

MONEY AS A WEAPON SYSTEM (MAAWS)



MNC-I CJ8 SOP



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This version of the MNC-I MAAWS Book supersedes all previous editions



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INTRODUCTION

Welcome to Iraq and Operation Iraqi Freedom (OIF). OIF is a dynamic, full spectrum operation encompassing both kinetic and non-kinetic operations and is arguably the most complex and challenging fiscal environment in our Nation's history. The dollar amounts spent supporting OIF are substantial and represent the treasure of our nation. Leaders must know what funding resources are available and how to best apply them in order to maximize their use. This "Money as a Weapons System" (MAAWS) SOP is published to educate/advise you on how to financially resource operations here in Iraq. It will serve as a financial road map to assist you in navigating the myriad of funding challenges and issues that will arise during your time in Iraq...recommend you keep a copy readily available.

Resources, particularly money, have a central role in ongoing operations given the effects they bring to bear on the fight. Money is truly a "weapons system" here in Iraq...especially in light of our non-kinetic efforts and the arsenal of supporting financial resources. While the scope of requirements; multitude of legislative authorities; fiscal law challenges; and perpetual contracting needs may appear daunting...they are manageable. The highly capable legal, comptroller, contracting, and finance teams assembled in Iraq are here to guide and assist... make sure you establish a rapport early on with them as teamwork and communication is indispensable to success.

Due to our OPTEMPO and demand on finite financial resources, it is imperative that we achieve efficiencies and prioritize our efforts. Fiscal stewardship is paramount. Units must manage their limited resources (labor, material, time and money) to achieve the Commander's intent, Joint Campaign objectives and desired end state. We must constantly reassess our requirements and the resources applied to them in light of rapidly changing operations and conditions. Towards that end, MNC-I has developed and refined several programs, processes and reporting procedures aimed at validating war fighting and support requirements. This edition of the MAAWS includes several key changes that provide Commanders financial flexibility while maintaining requisite management and internal controls.

Key focus areas:

- Quarterly budgeting and funding. Achieve a 90% OMA obligation rate quarterly; goal is 100%. Intent is threefold: transition of authority readiness, continuous preparation for year-end close and most importantly proper sizing of our funding requirements. Each OMA dollar we receive but don't obligate is one less dollar available for HQDA to apply against other critical needs.
- Transition from DbCAS to Resource Management Tool (RMT).



- Management of LOGCAP and Stock Fund cost. Applicable MSC's now have LOGCAP targets; Stock Fund targets are imminent. We cannot monitor/manage costs if we don't measure execution at the unit level.
- Consolidation of the JFARB and C6VB.
- Accurate reporting...especially regarding the Commanders' Emergency Response Program (CERP) and Rewards Program. HQDA uses our CERP report to defend our program to Congress. We need to ensure reported data is accurate, up-to-date and submitted on time.
- Iraqi-Commanders' Emergency Response Program (I-CERP) funds. This program reflects the GOI's commitment toward reconstruction and we must stringently comply with the rules and processes governing its use.
- Compliance with requirement board processes and expanded Field Ordering Officer (FOO) thresholds. We continue the consolidation and streamlining of MNC-I's requirement boards. These changes accelerate the process in order to meet your needs faster while providing appropriate flexibility balanced against management controls.
- As we execute our basing plans, we must ensure the right accounting mechanisms are in place to capture costs and receive reimbursement.
- Conversion to electronic routing/signatures in lieu of hard copy memorandum approval documents.

I need all Resource Managers to constantly review requests and consider what can be eliminated, deferred, or funded by the GoI. While we want to ensure Commanders needs are met, we must focus on our priorities: life, health, safety, and named operations. Funding is a finite resource that American taxpayers trust us to use judiciously; at the end of the day all will be held accountable on its use.

For fiscal lawyers, comptrollers, contracting officials, and finance personnel this is our resource management manual that will guide funding efforts in support of the Commander's vision and intent. Meeting the funding needs of a military formation in combat is a tall order by anyone's measure. The policies and procedures promulgated in this manual will assist everyone in accomplishing our collective mission while adhering to principles of good financial stewardship.

Funding the Fight – North of the Berm!

THURMAN M. PITTMAN
COL, GS
MNC-I CJ8



RESOURCE MANAGEMENT ROE

Kinetic and Non-Kinetic operations demand a tremendous amount of taxpayer resources. In order to meet resourcing deadlines in support of operations, Commanders and Staff at all levels must keep some basic resource management rules of engagement in the forefront.

- **Ensure costs are considered in the decision-making process.**
- **Look to the Government of Iraq to fully fund or share expenses.**
- **Fully identify and articulate your need...it will expedite the process when the lawyers, comptrollers, and contracting officers are processing your requirements.**
- **You must have legal authority to fund a requirement...the absence of a prohibition does not convey authority.**
- **Match the requirement to a funding authority first...then determine if funds are available.**
- **Abide by fiscal laws, the MAAWS, contract laws, legal opinions, and FRAGOs...they are published for a reason.**
- **Seek cost reduction measures, keeping in mind that major cost drivers are often “hidden” in LOGCAP and Stock Fund.**
- **Be judicious in the use of financial resources...ensure it is a bona fide need not a want.**
- **Conduct a litmus test – does your requirement meet the time, purpose, and amount criteria applicable to fiscal law.**
- **Maintain hard copy of records. Keep current year and previous year hard copies on hand.**
- **Audits and inspections will continue to increase in frequency and scope...ensure accurate on-time reporting and maintain your files and records.**
- **Institute a robust Management Internal Control Program (MICP) and check to see that it is working.**
- **If you are not sure, ASK; seek expert advice from the professional community: fiscal lawyers, comptrollers, contracting office, finance, engineers, etc...**



KEY RESOURCE BOARDS/COUNCILS

MSCs that tie-in to corporate decision processes generally have more success attaining resources—here are some key resource-related deliberative bodies:

- **MNF-I STRATEGIC STEWARDSHIP COUNCIL**
 - **PURPOSE:** Assess U.S. Government funding sources and maximize effects of all financial resources supporting the Campaign Plan.
 - **VOTING MEMBERS:** MNF-I CoS, MNC-I CoS, MNSTC-I CoS, GRD CoS, MNF-I DCS STRATEFF, MNF-I DCS SPA, MNF-I DCS STRATOPS, MNF-I DCS CIS, MNF-I DCS Engagement, JASG-C COS, JCC-I/A COS, TF134 COS and senior representatives from Department of State, USAID, Treasury Attaché and ITAO.
 - **CHAIR:** MNF-I Chief of Staff
 - Scheduled on a quarterly basis, but may meet more often as required.
- **JOINT FACILITIES and ACQUISITION REVIEW BOARD (JFARB) (MNC-I FRAGO 062)**
 - **PURPOSE:** MNC-I level board that validates all requirements equal to or greater than \$250K. Validates communications and information technology projects, purchases, services, and contracts. Validates all non-tactical vehicles and relocatable buildings, regardless of value. Oversees construction and base camp development, including MILCON, minor construction using OMA, real estate actions, and other engineering requirements. Recommends approval/disapproval of requirements to the MNC-I CoS.
 - **VOTING MEMBERS:** Field grade officer from C3, C4, C6, C7, C8, SJA, JCC-I/A and others as required.
 - **CHAIR:** MNC-I C6, C7 & C8
 - Coordination occurs electronically.

Refer to Appendix J for additional information on Requirements Validation.

MANAGEMENT INTERNAL CONTROL PROGRAM (MICP)

MICP is a tool for commanders that helps ensure resources are used effectively and in accordance with applicable laws and regulations.

- **PURPOSE:** Facilitates stewardship of federal resources and helps verifies compliance with laws and regulations.
- **GENERAL GUIDANCE:** Broadly, the MICP consists of a schedule of key evaluations to reduce risk of fraud, waste, and abuse and to identify material weaknesses. References: AR 11-2, OMB Circular A-123



- **PROCESS/LIMITING FACTORS:**
 - A MICP is required in organizations led by O-6s & above. These organizations are defined as an “Assessable Unit”.
 - Plan and conduct certain focused reviews that provide reasonable assurance that controls are effective.

- An Annual Statement of Assurance (ASA) is required from each Assessable Unit. These statements are consolidated into an MNC-I ASA which is provided to MNF-I.

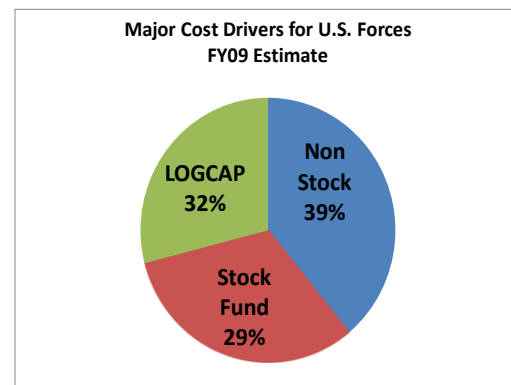
Refer to Appendix K for additional information on MICP.

OVERVIEW OF FUNDS

MAJOR COST DRIVERS FOR U.S. FORCES

The majority of funding for U.S. forces in Iraq may be divided into three broad Operations & Maintenance funding categories—LOGCAP, Stock Fund, and Non-Stock Fund. Because Non-Stock is the most “visible” to commanders and resource managers, many tend to spend the majority of their time managing Non-Stock requirements/funding. In this AOR LOGCAP and Stock Fund make up almost 61% of costs. Decision makers must manage costs in these areas as thoroughly as we assess our Non-Stock requirements. While USARCENT centrally funds Stock Fund and LOGCAP expenditures it is our activities that drive costs. Command supply discipline and compliance with published CENTCOM

Sand Book standards will ensure prudent stewardship of funds. Intent is for MSCs to take on more ownership of LOGCAP/Stock Fund funding responsibilities.





In this AOR, there are likely some funding sources with which you are familiar and perhaps a few that are new. The following funding programs and authorities will serve as the most common sources of support for your mission:

- Operation and Maintenance, Army (OMA)
- Commander's Emergency Response Program (CERP)
- Iraqi Commander's Emergency Response Program (I-CERP)
- CENTCOM Rewards
- DOS Rewards (MANPADS Buyback Program)
- Iraqi Security Forces Fund (ISFF)
- Logistics Civilian Augmentation Program (LOGCAP)
- Military Personnel, Army (MPA)
- Other Procurement, Army (OPA)
- Military Construction/Contingency Construction Authority (CCA)
- Official Representation Funds (ORF)

Funding from other agencies/countries may be available to meet requirements. The following is a list of some common forms of other agency/country funding:

- Coalition Forces (CF) Reimbursements (via Acquisition Cross Servicing Agreements (ACSA))
- Economic Security Fund (ESF) – Department of State
- Community Stabilization Program (CSP) – United States Agency for International Development (USAID)

Discussion of each major funding source follows.

OPERATION AND MAINTENANCE, ARMY (OMA)

OMA is the life-blood of US military daily operations. Everything U.S. forces do on the battlefield is either directly or indirectly influenced/supported by OMA. MNC-I is the Title X funding activity in Iraq; USARCENT resources our OMA requirements.

- **PURPOSE:** Provide resources required to conduct and sustain combat operations.



- **GENERAL GUIDANCE/USES:** OMA is the cornerstone appropriation for operations, funding everything from contractual support to repair parts to vehicle leases, in support of USG forces. (See Appendix A)
- **PROCESS/LIMITING FACTORS:**
 - Typically, only a 1-year appropriation. Funds appropriated for a specific fiscal year (FY) must be obligated in that FY (1 October – 30 September).
 - Supports minor construction with funded construction costs less than \$750K (with proper approval, it is possible to fund minor construction requirements to eliminate a life, health, and safety issue, if funded construction costs are less than \$1.5M).
 - The purpose of the OMA appropriation is to support U.S. Army requirements; Sister Services and coalition partners have similar funding.
 - Requirements funded by OMA become accountable US Government property unless the requirement is a service contract (e.g. LOGCAP).
 - Requirements \$250K or more, automation/IT, and select special interest items must be approved by a validation board (See Appendix J).
 - Board validation does not equal funding, funding must be requested separately.
 - MSCs provide a quarterly spend plan submission to MNC-I C8 by the 21st of the last month of the previous quarter (e.g. 21 Dec for 2nd quarter funding).

Refer to Appendix A for additional information on executing OMA funds.

COMMANDER'S EMERGENCY RESPONSE PROGRAM (CERP)

CERP funds resource high payoff projects/purchases and have proven to be an excellent enabler for winning the “hearts and minds” of the Iraqi people. The primary reference document for the CERP program is the MNC-I CERP Standard Operating Procedures (SOP). This document can be found at Appendix B.

- **PURPOSE.**
 - MNC-I C8 is the CERP funding authority in Iraq. CERP authority is provided by Congressional legislation. CENTCOM allocates this authority and USARCENT funds CERP with OMA dollars. Availability of funds is dependant on specific legislative language. The purpose of the CERP program is to enable commanders “to respond to urgent humanitarian relief and reconstruction requirements within their AOR by carrying out programs that will immediately assist the indigenous population.”
 - The MNC-I Commander's intent is to achieve focused effects while working directly with the Government Of Iraq (GOI) for project acceptance and assumption of follow-on operating and sustainment costs. Commands should prioritize those CERP projects that focus on providing urgent humanitarian relief while offering significant employment opportunities for the Iraqi people. Close coordination between commanders, engineers, civil



affairs, effects coordinators, comptrollers, and local and provincial governments is vital to ensure funds are applied consistently to achieve desired effects. Additionally, CERP funds must be properly accounted for and reported accurately to higher headquarters.

➤ **PROGRAM MANAGEMENT.**

- The CERP program has the following primary components: Reconstruction, Humanitarian Relief, Battle Damage, and Condolence Payments. The overall program coordinator is MNC-I C8; however the C7, C9 and C35 non-kinetic cell serve as program managers for their particular areas and functions. Primary responsibilities are to ensure consistency between functional program managers, identify timelines for program updates, coordinate data calls for the overall CERP requirements, and coordinate with the functional program managers in making CERP distribution proposals.
- Reconstruction. The Reconstruction functional program manager is MNC-I C7. C7 is primarily responsible for reconstruction reporting, policy, monitoring of reconstruction projects, and overall tracking of reconstruction efforts.
- Condolence Payments/Battle Damage. The Condolence Payment/Battle Damage functional program manager is the MNC-I C8.
- Humanitarian Relief. The C9 is the functional program manager for humanitarian relief efforts.

Refer to Appendix B for additional information on CERP.





IRAQI COMMANDER'S EMERGENCY RESPONSE PROGRAM

(I-CERP)

I-CERP funds are Government of Iraq funds provided for the benefit of Iraqi citizens. I-CERP was put into effect by a Memorandum of Understanding signed by a representative from the Supreme Reconstruction Council of the Secretariat of the Council of Ministers and the MNF-I DCS STRATEFF on 3 April 2008. The GoI directed that we allocate funds by province based on population density.

- **Purpose:** To execute urgent reconstruction projects for the benefit of the Iraqi people. This agreement provides GOI funding for infrastructure projects that will benefit the Iraqi people while using US procurement and financial systems.
- **Rules and Guidance:**
 - I-CERP rules and processes mirror current CERP guidance unless otherwise stated. Commingling of CERP and I-CERP are not authorized. To avoid the potential confusion of rules, MSCs are to institute internal management controls necessary to prevent this as well as ensuring the timely data entry of I-CERP commitments, obligations, and disbursement in project tracking spreadsheets and financial systems. Due to project reporting and coordination requirements, maintenance of project information is paramount.
 - All I-CERP financial documentation will include the statement: “These Funds are the property of the Government of Iraq.” I-CERP Payments should be made in Dinar. Priority of payment method is: Electronic Funds Transfer (EFT), check drawn on Iraqi Bank, and then Iraqi cash. The final decision on payment method is a local determination between the requirement owner, contracting officer or project purchasing officer, and finance.
 - As much as possible use the existing processes at the province level (e.g. Provincial Reconstruction Development Committee reviews) to obtain local Provincial Government participation in planning, coordination, prioritization and project transition without placing additional requirements on Commanders that defeat the rapid reconstruction model for I-CERP. Upon completion of each project, MSCs will secure documentation recording the time and date of project acceptance as well as the value of the project from either the Provincial Governor or relevant Iraqi Minister. This letter will, in form and content, mirror the Commander's project closure letter for CERP projects.
 - While I-CERP funds are GOI funds, fiduciary responsibility remains in effect. Everyone involved in managing, accounting for, and executing these funds remains accountable for their actions.



- In executing the I-CERP program, emphasize the following project categories:
 - Schools
 - Water Purification Plants
 - Health Clinics
 - City Planning Facilities
 - Protective measures necessary to secure an authorized I-CERP project
- Other Eligible Categories by exception that require MSC CG approval include:
 - Road
 - Sewer
 - Irrigation Projects
 - Non Reconstruction Projects that promote small business development

Refer to Appendix C for additional information on I-CERP.

CENTCOM REWARDS PROGRAM

HUMINT is vital to success in any battlespace. The Rewards program offers incentives for information and can be a remarkably effective tool in preempting enemy operations and denying sanctuary and weapons. MNC-I C2 is generally the first stop on the MNC-I staff for Rewards Program requirements. CENTCOM is the Rewards Program funding source.

- **PURPOSE:** Provides rewards (monetary, goods, or services) for information and other non-lethal assistance beneficial to force protection or operations against international terrorism.
- **GENERAL GUIDANCE/USES:** Program can pay for information leading to the arrest of wanted persons or weapons caches, for information beneficial to an operation or activity of the Armed Forces against international terrorism or aiding in force protection.
- **PROCESS/LIMITING FACTORS:**
 - Consists of Micro (\$500 or less), Small (\$501 up to \$10,000), and Large (greater than \$10,000) Rewards.
 - MNF-I CDR must approve all rewards greater than \$10,000.
 - CENTCOM must approve all rewards greater than \$50,000.
 - May not be paid to U.S. military, employees, contractors, or citizens of the U.S., nor to allied and coalition forces.
 - May not be paid to deceased persons unless the person is killed during operations based upon info provided or payments are specifically approved by SECDEF.
 - MSCs submit reports monthly to the MNC-I C2.

Refer to Appendix D for additional information on REWARDS.



IRAQI SECURITY FORCES FUNDS (ISFF)

ISFF is a U.S. appropriated fund that provides support to all elements of the Iraqi Security Forces (ISF), including the Iraqi Army, Iraqi police forces, special task forces, and border security. MNSTC-I is responsible for training and equipping the ISF and is resourced to accomplish this mission. Transition Team Implementation Funds (TTIF), a former MNC-I program (not a formal subdivision of the ISFF) has been terminated. Portions of the TTIF program have been merged into the new MNC-I QRF program.

- **PURPOSE:** As we continue to transition to Iraqi self governance, Congress has appropriated ISFF to train, equip, and maintain the Iraqi Security Forces (ISF). The Commanding General, MNSTC-I, is the statutory custodian of the ISFF and retains the responsibility for training and equipping the ISF. At the request of MNSTC-I, MNC-I C8 assists in the administration of the ISFF. MNC-I's ISFF program is made up of the following distinct categories:
 - Quick Response Fund (QRF) – requirements between \$2,000 and \$50,000
 - Quick Response Fund (QRF) – requirements over \$50,000
 - Combat Service Support (CSS) to the Iraqi Security Forces (CSS to ISF)
 - Foreseeable or recurring (non-QRF) requirements for ISF
- **GENERAL GUIDANCE/USES:** Broadly, funds may be used for construction, force protection, training, equipment, and sustainment.
- **PROCESS/LIMITING FACTORS:**
 - All life support requirements should be contracted
 - Cannot be used for weapons buy-back or salaries.
 - All ISFF-funded items must remain in theater.

Refer to Appendix E for additional information on ISFF.



LOGISTICS CIVIL AUGMENTATION PROGRAM **(LOGCAP)**

To increase the tooth-to-tail ratio, U.S. forces shifted from completely organic Combat Support/Combat Service Support to a logistics plan predicated upon civilian support. Guidance for requirements generation can be provided by the MSC LOGCAP Planner and the LOGCAP Support Officer (LSO) serving the location in question. C4 and/or C7 are generally the first stop for LOGCAP issues on the MNC-I staff. LOGCAP is the support of last resort. Order of support is: internal unit assets; contract via JCC-I/A; and then LOGCAP. Only after JCC-I/A is unable to contract for support will LOGCAP be utilized.

- **PURPOSE:** LOGCAP was developed in 1985 to assist the Army with logistics, engineering, and construction projects during contingency operations. The current LOGCAP contract used in Iraq provides contracted life support services to U.S. Forward Operating Bases (FOBs). Typical services provided by the contractor include dining facilities, MWR operations, laundry service, water works, billeting, vector control, repair services, and power generation/distribution. The current contract is a cost-plus-award-fee contract with two Task Orders (TO) that cover all of Iraq. The contract utilizes OMA funds because LOGCAP in Iraq is a service contract. Thus, LOGCAP requirements are always subject to funds availability and appropriate color of money issues. Finally, although LOGCAP is a service contract that uses OMA funds, the LOGCAP Contractor may purchase certain equipment and perform minor construction when the total cost falls beneath expense and investment thresholds. Acquisition of equipment or construction that exceeds these thresholds will be funded with the appropriate authority and/or funding source (e.g. OPA, MILCON, CCA, etc).
- **GENERAL GUIDANCE:** Basic LOGCAP service is provided to bases and LOGCAP level of service depends on the number of personnel assigned to the location. Conditions vary from base to base, and not all LOGCAP services are available at every base/location. CENTCOM Sand Book standards (MNC-I C7 is the proponent) provides more detail on level of services. Keep in mind that Sand Book standards are the “ceiling” not the “floor.”
- **LOGCAP services are dependent upon location.** All units should have close and detailed communications with their respective LOGCAP Support Officer, who is able to provide up to date information regarding LOGCAP requirements. LOGCAP services include, but are not limited to:
 - Mermite/MKT food service
 - MWR kits (sports, games, etc.)
 - Satellite/direct contract laundry
 - Electrical inspection and repair



- Chemical toilets (port-a-john)
 - Potable water delivered to site
 - Tents/pre-existing hardened facilities
 - DFACs (4 meals)
 - MWR (Gym, internet café)
 - On-site laundry
 - Facility repairs
 - Water works
 - Latrine/ablution units
 - Billeting
 - Waste management
 - Vector control
 - Power generation/distribution
- LOGCAP may provide base life support satellite services (to outlying stations) in coordination with the MNC-I C4, LOGCAP Support Officer (LSO), Base Camp Mayor, and Responsible HQ, and at the direction of the Administrative Contracting Officer (ACO); however, these requests will be assessed on a case-by-case basis. This would be an exception only approved under extreme circumstances.
- **PROCESS/LIMITING FACTORS:**
- LOGCAP is centrally funded, which tends to result in contract growth—therefore all units must continuously scrub requirements to differentiate between “must haves”, “nice to have”, and “still needed” services.
 - In order to create ownership of increasing LOGCAP costs, beginning in FY09, MSCs received LOGCAP funding targets. It is the MSCs’ responsibility to ensure these targets, designed to source LOGCAP requirements, are allocated to meet mission requirements. MSCs are able to monitor execution and identify savings by de-scoping work that is no longer required. This geographical and operational command empowerment will require more scrutiny during the validation process, since all increases in services will require an offset or billpayer.
 - Any new work meeting JFARB thresholds listed in Appendix J must be staffed and approved by the JFARB.
 - JFARB approved LOGCAP funding requests must be submitted to the LOGCAP Budget Officer for funding. They will not automatically be processed for funding, as the unit’s transfer of authority (TOA), basing decision, schedule and resource availability will determine when the project can begin and when funding is required.

Refer to Appendix F for additional information on LOGCAP.



MILITARY PERSONNEL, ARMY (MPA)

MPA is used for pay, allowances, individual clothing, subsistence, interest on deposits, gratuities, and permanent change of station travel (including all expenses for organizational movements) for members of the Army on active duty status.

- **PURPOSE:** Funds Army personnel and subsistence expenses.
- **GENERAL GUIDANCE USES:** Supports Theater bottled water and raw food acquisition in theater for military (note: for civilians, raw food is funded with OMA). MNC-I C8 only receives MPA in support of bottled water contract requirements in Iraq.
- **PROCESS/LIMITING FACTORS:**
 - Due to the nature of this appropriation, MPA also generally requires more planning lead-time than OMA.
 - Covers subsistence expenses that exceed the limitations of OMA.

OTHER PROCUREMENT, ARMY (OPA)

While OMA funds day-to-day operations, OPA is typically used for centrally managed items, large pieces of equipment, or systems that exceed established thresholds or is the purpose of some other major procurement account, such as Aircraft or Shipbuilding. Generally speaking, OPA is used to provide MTOE equipment for operational capabilities in Army units. The C4 or C6 is generally the first stop within the MNC-I staff for OPA related issues.

- **PURPOSE:** Funds major end-item investments and/or table of authorization equipment to provide core capabilities to Army units.
- **GENERAL GUIDANCE/USES:** Tactical and support vehicles, major communication and electronic equipment, centrally managed items, or equipment/systems costing equal to or more than \$250K.
- **PROCESS/LIMITING FACTORS:**
 - Due to the nature of this appropriation, OPA generally requires more planning lead-time than OMA. MNC-I does not receive any OPA funding. When OPA funds are required, coordination is made through ARCENT with Army Budget Office to fund OPA requirements.
 - Sometimes an equipment lease using OMA can augment in the short-term.
 - Requires approved Operational Needs Statement from Dept. of the Army.
 - If in doubt, consult your judge advocate familiar with appropriation law.

Refer to Appendix G for additional information on OPA.



MILITARY CONSTRUCTION (MILCON)

MILCON is the avenue to execute infrastructure improvements supporting OIF operations. These requirements can be funded through three different funding streams, and are normally applied against CENTCOM's annually developed Contingency Construction Priority List (CCPL). Information on the funding streams and thresholds are identified below. MNC-I conducts quarterly project calls to maintain the most current list of MILCON requirements and posture itself to take advantage of all available funds. Congress also provides Contingency Construction Authority (CCA) which permits the use of OMA on projects that otherwise require MILCON funding. CCA approval authority is OSD Comptroller. The C7 is the first stop on the MNC-I staff for MILCON requirements.

- **PURPOSE:** Fund major construction projects.
- **GENERAL GUIDANCE/USES:** 10 U.S.C. § 2801(a) and FAR 36.102.
- **PROCESS/LIMITING FACTORS:**
 - Projects must be validated by the JFARB prior to funding.
 - Projects with funded construction costs less than \$750,000 are funded with OMA.
 - Projects with funded construction costs between \$750,000 and \$2,000,000 are normally funded with Unspecified Minor Military Construction (UMMC) funds.
 - Projects with funded construction costs more than \$2,000,000 are funded with MILCON funds.
 - Funding thresholds increase if project corrects life, health, or safety issues.
 - Proper cost estimates must consider all costs in determining total project cost. This includes left over materials from previous projects. Capacity cost estimates (incremental costs) are not to be used when determining project cost. Troop labor is specifically counted as an unfunded cost per DA PAM 420-11.

Refer to Appendix H for additional information on MILCON and funding maintenance and repair requirements.

OFFICIAL REPRESENTATION FUNDS (ORF)

Although ORF is an extremely small funding line, it receives scrutiny at the highest levels in DoD. Used correctly, it is very helpful in building relationships in Iraq. The Secretary of the Combined Joint Staff (SCJS) is first stop on the MNC-I staff for ORF issues.

- **PURPOSE:** To uphold the standing and prestige of the U.S. by extending official courtesies to certain officials and dignitaries of the U.S. and foreign countries.



- **GENERAL GUIDANCE/USES:** Typical uses include official receptions, dinners, and modest entertainment.
- **PROCESS/LIMITING FACTORS:**
 - Generally issued/controlled by the ranking general officer in the Iraq Theater of Operations (ITO).
 - ORF funds must be approved prior to the event.
 - All ORF requirements must receive a legal review, regardless of the cost.
 - For more information, please refer to: DoDD 7250.13; AR 37-47; MNF-I Policy 04-21; or MNF-I CoS policy letter, subject “Proper Execution of Official Representation Funds (ORF)” and/or Appendix I.

OTHER TYPES OF FUNDS IN IRAQ

Aside from DOD funding, there are other funding sources at work within Iraq (described below). Both Department of State (DOS) and United States Agency for International Development (USAID) are funded to source select requirements here in Iraq. USAID provides diverse assistance as a service provider versus bill payer. Funding for DOS and USAID is generally dependant on annual appropriated funds, with amounts/authority fluctuating from year to year. Additionally, the Government of Iraq (GoI), subject to oil revenue generation, has established several funding initiatives. These GoI programs are in addition to Ministry and Provincial operating and capital budgets. All are gaining execution traction as the GoI's capacity to execute their budget increases. In addition to direct funding programs, there are also four business finance programs. Two are GoI run, one by the Ministry of Labor and Social Affairs (MoLSA) and the other by the Ministry of Industry and Minerals (MoIM), and have been successfully piloted in Baghdad. The GoI is expanding these programs to implement a nationwide loan program (Business Start-up and Small Business Loans) to be administered by MoLSA and MoIM. This initiative will provide significant access to capital throughout Iraq. Two other financing programs in Iraq are funded and administered by the USG (see below business finance loan discussion). You will need to engage your G9s and the Provincial Reconstruction Team (PRT) in your area to ensure you are not duplicating funding efforts and fully integrating all funding sources.

Department of State:

- **Economic Support Funds.** Funds USAID programs and supports key United States Mission-Iraq (USM-I) programs. These funds are targeted against three sectors: Security, Economic and Political. Key USM-I programs are: Provincial Reconstruction Development Council; Targeted Development; and a Quick Response Fund (provided to Provincial Reconstruction Teams and USAID). These funds are appropriated and provided to DOS on an annual basis.



- **Other Funds.**
 - **Migration and Refugee Assistance (MRA).** Provides support to refugees and internally displaced persons.
 - **International Narcotics Customs and Law Enforcement (INCLE).** Supports rule of law and prisons.

USAID:

- **Community Stabilization Program (CSP).** Focuses on short-term employment, jobs skills training, and business development.
- **Provincial Economic Growth (PEG).** Provides business development services and expands commercial lending through microfinance institutions and banks.
- **Iraq Rapid Assistance Program (IRAP).** Allows PRTs/ePRTs to provide grants to support activities in economic, social development and civil society efforts to mitigate conflict. Started September 2007; ends October 2009. Implementer: Development Alternatives, Inc. (www.dai.com). Program is run out of regional centers in Kirkuk, Hillah, Baghdad, Arbil, Sulaymaniyah, and Basrah.
- **Inma Agribusiness Program.** An initiative to improve farmer livelihood and to advance provincial economic growth through market-based development.
- **National Capacity Development Program.** Builds capacity of key GOI Ministries to deliver core services to the Iraqi population.
- **Elections Support Program.** Provides technical and material support to the Independent Higher Electoral Commission as it prepares for Iraq's upcoming provincial elections.
- **Community Action Program (CAP).** Assists community action groups and local government counterparts identify critical priorities and implement programs to address those needs.
- **Local Governance Program (LGP).** LGP is the USG's principal tool for transitioning provinces and local governments to self-reliance. As the lead provincial-level training organization, it supports Iraq's efforts to establish a local government that is transparent, accountable and responsive. LGP also seeks to build the capacity of provincial representative councils and sub-national offices of GOI ministries.
- **Economic Governance.** Assists in establishing and implementing a legal, regulatory and institutional framework within which reform and policy can be formulated to foster a transparent, investment-friendly and market-based economy. These funds expire on / before September 2009.
- **Marla Ruzicka Iraq War Victims Fund (Marla Fund).** Established to aid civilian victims of armed conflict. Assistance includes small loans,



business training, medical care, children and orphan assistance, and the restoration of battle-damaged homes. Funding is provided via contracts with local vendors vice cash payments.

Government of Iraq Funding Initiatives:

- **Employment Stimulus.** Program to improve access to capital in order to encourage job creation.
- **Iraq 2020.** Large scale 12 year plan for infrastructure and employment.
- **National Housing Compensation Fund.** Pays families who have suffered as a consequence of their home being damaged or destroyed as a result of war.
- **Iraqi CERP.** Similar to DOD CERP initiative. Program executed by MNC-I and is discussed in Annex C.
- **Sons of Iraq Security Contracts.** Funding set aside to assume resourcing responsibility for SOI security contracts.
- **Business start-up and small business loans.** Initiative based on successful Ministry of Labor and Social Affairs (MoLSA) and Ministry of Industry and Minerals (MoIM) business finance programs.

Business Finance Loans: Currently available through two GoI programs (MoLSA and MoIM) and two USG programs: one through USAID and one through the Overseas Private Investment Corporation (OPIC).

MoLSA Program

- **Average loan size:** \$2,100
- **Recipients:** Mostly college graduates, but also to displaced families returning home, families of a person killed during war, the disabled, and businesses impacted by violence

MoIM Program

- **Average loan size:** about \$17,244
- **Recipients:** Small to Medium Enterprises (SMEs)

USAID Program

- **USAID manages a micro-loan program** that was started by the Office of Private Sector Development in 2004. It has grown to expand access to capital for Iraqi businesses and entrepreneurs across all 18 of Iraq's governorates. Loans average around \$1,300 with interest rates between 12% and 18% and a remarkable repayment rate of over 98 percent. There are presently three international Micro Finance Institutions (MFIs) serving Iraqis: Al Thiqa (operated by ACDI/VOCA), CHF, and Relief International.
- **USAID currently supports indigenous microfinance institutions (IMFIs):** Al-Aman in Kirkuk; Al Bashair in Baghdad; Al Takadum with offices in Al



Qa'im, Fallujah and Ramadi; Al-Intilaq in Tikrit; Nenawah Economic Development Center (NEDC) in Mosul; and Tal'Afar Economic Development Center (TEDC) in Tal'Afar.

Iraq Mid-Market Development Fund (IMMDF) Loan Program

- **IMMDF was started in 2004 by the Overseas Private Investment Corporation to provide credit to middle-market Iraqi companies offering loans ranging between \$500,000 to \$5 million for up to five years with an average interest rate of 12%. The program was expanded with an additional \$10 million in January 2007 to fund small businesses in a variety of business sectors with emphasis on agri-business with loans ranging between \$250,000 and \$500,000. The program has been very successful and should be resourced with additional funding.**



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OPERATIONS AND MAINTENANCE ARMY

CONTENTS

1. Purpose
2. General Guidance/Uses
3. OMA Background
4. Annexes

Operations and Maintenance Army (OMA) is quite simply the funding life-blood of daily operations. Everything U.S. forces do on the battlefield is either directly or indirectly influenced and/or supported by OMA funds.

1. **PURPOSE:** To outline policy, procedures, and responsibilities governing the expenditure of OMA funds, to include the use of Purchase Request & Commitment documents, Field Ordering Officers, Government Purchase Cards, Military Interdepartmental Purchase Requests, Temporary Duty Travel, the Commander's Coin Policy, Official Representation Funds (see appendix I), and the purchase of Special Interest Items (e.g., Furniture, appliances, etc...). These procedures are applicable to non-stock fund expenditures for MNC-I in support of Operation Iraqi Freedom.
2. **GENERAL GUIDANCE/USES:** MNC-I OMA funds mission critical sustainment requirements that include supplies, equipment, administrative support, contract services, leased services, minor repairs, minor construction, and travel expenses to enhance mission success.
 - A. Operations and Maintenance Army funding is appropriated by Congress for the US Army to execute their Title X functions. MNC-I has Title X authority in Iraq. The use of OMA is limited to those Congressionally authorized activities for which funds are specifically appropriated. Unit and MNC-I resource managers are the first line of defense to ensure funds are used for the proper purposes. Specific questions on the appropriate use of OMA funds should be referred to the fiscal law experts in the Staff Judge Advocates office and/or your comptroller.
 - B. The availability of OMA funding is severely limited, as opposed to requirements which are virtually unlimited. Ensuring a process is in place to apply limited command funding to the highest priority requirements is the responsibility of the comptroller. We fulfill this role by ensuring a process exists whereby requirements are identified, reviewed, validated, prioritized and funded.
 - C. The command's ability to receive additional funding is tied to our obligation rate. Achieving and maintaining a high obligation rate bolsters our case for additional funds. The goal for the end of each of the first three quarters is for units to attain at least a 90% obligation rate. During the 4th quarter the unit rates should be at 90% by the end of August. Units whose obligation rates are below 90% at the end of

each of the three first quarters will receive a proportional allocation of funding based on their performance rate until reaching a 90% obligation rate.

- D. **OFFLINE Purchases.** Units are **not** authorized to make offline purchases without prior coordination. Offline purchases are those that bypass the Army Standard Supply System (e.g., prime vendor, GSA, etc). This includes but is not limited to telephone and internet orders using unit DODAACs. Offline purchases are a supply function. Units may only request offline purchases in coordination with their RIC GEO manager and MNC-I C4. C4 will coordinate with MNC-I C8 prior to authorizing the RIC GEO manager to place the order. Refer to MNC-I C4 FRAGO 118, dated 21 September 2008 for additional information.
- E. **Retention Incentives.** The number of retention incentives a unit purchases must be appropriately sized to its reenlistment eligible population. Retention items must cost less than \$50. The value of items should be scaled (e.g., \$20 for Initial Term; \$25 Mid Career Term; \$50 Career). Coordinate unit requests with the MNC-I career counselor prior to submission. A retention statement (e.g., "Stay Army") must be on all items. Include a copy of the statement design in the submission packet.
- F. **Funds Increases.** Units with validated requirements (by a MNC-I validation board) may request in scope increases of up to 25% without re-boarding. For requirements that do not require validation boards, additional funds needed in excess of 10% of the original funding level require a new LOJ and legal review (if applicable). If the increase causes the total requirement to cross a validation board threshold, or the scope changes, then the requirement must go to the appropriate validation board. Fund increases of any amount on a Super CARB item require revalidation. See Appendix J.
- G. **DHL Blanket Purchase Agreements (BPA).** When units establish DHL BPAs they must include the list of individuals authorized to place shipments in the packet sent to the RM office for certification. When placing orders against the BPA, the authorized individuals will ensure adequate funds are available for the transaction.

3. OMA BACKGROUND:

- A. Since we use OMA for most of our theater funding, the following background is provided to facilitate your understanding of this source of funding.
- B. OMA funds are tied to the fiscal year (FY) which is a 12 month period that begins on 01 October and ends on 30 September.
- C. Authorization: Every year, Congress passes the National Defense Authorization Act (NDAA) which authorizes the appropriation of funds for the Department of Defense. This authorization does not have any budget authority. It usually sets restrictions and limitations on what the Department of Defense Appropriations bill will contain.

In the case where the NDAA is not passed, some other form of legislation will serve as the basis for the authorization of appropriations.

- D. Appropriation Act: After the NDAA bill is passed, Congress then works with the President to develop and pass a law that appropriates money for the Department of Defense. This law (Appropriation Act) has the actual budget authority that allows the Department of Defense to spend money.
- E. Continuing Resolution: If Congress has not passed the Defense Appropriation bill by 30 September for the next fiscal year, it will often pass a law called a Continuing Resolution (CR). This law provides authority to the government to continue operations but is not intended for starting new work. You cannot fund requirements beyond the period authorized under the CR nor exceed the amount spent over the same period of time as in the previous FY. Generally there is no such thing as a “new start” for items funded by OMA. Constraints arise based on specific language in the CR and its duration.
- F. Appropriation: When Congress passes the law that appropriates money for specific purposes to the Department of Defense, it divides money into different types depending on their purpose (use) and time available to support requirements. The general types include: Military Personnel (your pay and benefits), Procurement (Aircraft, missiles, weapons, vehicles, etc.), Shipbuilding and Conversion, RDT&E (Research, Development, Testing and Evaluation), Military Construction (permanent buildings), and Operations & Maintenance.
- G. Operations and Maintenance - Army (OMA): OMA is used for day-to-day expenses of training exercises, deployments, operations and maintenance of facilities, etc. Everything U.S. forces do on the battlefield is either directly or indirectly influenced/supported by OMA. **Because what money can be used for is actually defined by law, it is important to be aware of what the restrictions and limitations are when planning requirements.**
- H. Period of Execution: Each appropriation has different time windows in which they remain available for new obligations. These windows are defined by law. The period of execution for OMA is 1 year (01 October to 30 September). This means that a contract initiated in FY 08 can only use FY 08 money. If a funds increase is needed for that contract in FY 09 and the change is within scope, it will need to come out of FY08 funds, if they are available. **When possible, new OMA-related contract starts and contract renewals should avoid September and October. During the September / October time period, funding may be very restricted and delay the start of new initiatives. It is strongly recommended that you coordinate the start and renewal of your annual support contracts outside of this window to improve their probability of receiving adequate funding.**

- I. Limitations: The following is a short list of the major requirements OMA **CANNOT** be used for. This list is not exhaustive. When in doubt, seek guidance from your comptroller’s office and/or the Staff Judge Advocate.
1. Cannot be used for purchases of personal property or systems of personal property equal to or in excess of \$250,000.
 2. Projects with funded construction costs (as defined in DA PAM 420-11) of \$750,000 or more; certain exceptions exist that allow construction related to life, health and safety where funded construction costs are under \$1,500,000.¹
 3. Repairs when the repair to replacement ratio is less than 50% and funded project cost is less than \$5,000,000.²
 4. Cannot be used for subsistence of military personnel (food, bottled water, ice, etc.).
 5. Cannot be used to purchase “in lieu of” substitutions for MTOE Equipment.
 6. Cannot be used to purchase items centrally managed.
 7. Cannot be used to purchase gifts or individual awards, except for specifically authorized awards programs coordinated through the appropriate departments (such as Safety Awards).
 8. Cannot purchase NTVs, trucks, etc.
 9. Cannot fund Iraqi Security Force Requirements (messing, lodging, training, force protection, etc), unless it is a qualified Iraqi Security Forces Funds (ISFF) expenditures and the OMA accounts are properly reimbursed with ISFF.
 10. The absence of a prohibition does not convey authorization.

4. ANNEXES: Detailed information and guidance relating to OMA is found in the following annexes.

TDY	A-1
PR&C	A-2
Bulk Funds	A-3
MIPR	A-4
Spend Plan	A-5
GPC	A-6
Coin Policy	A-7
Special Interest Items	A-8
Year End Closeout	A-9

¹ (a) Work classification memorandum approved by the first general officer in the chain of command and meets the following five conditions: 1. Requirement did not exist last FY; 2. Deferral is unacceptable; 3. No work arounds to mitigate risks; 4. Deficiencies cannot be otherwise corrected ; 5. Primary purpose is to correct an immediate threat to life, health, or safety. (b) Note that Contingency Construction Authority may be available in limited circumstances and with approval from ARCENT for projects that exceed the referenced thresholds.

² The technical review will include an analysis to support the repair alternative selected and to support retention of the facility. For each maintenance and repair project with funded costs over \$750,000, an R & R calculation will be made part of the official project records. (ARCENT Delegation of Authority – Maintenance, Repair and Construction Projects and Relocatable Buildings)

TEMPORARY DUTY (TDY) TRAVEL

CONTENTS

1. Purpose
2. References
3. General
4. Overview
5. Guidelines
6. Responsibility
7. Submitting a Travel Settlement Voucher

1. PURPOSE. To outline Multi-National Corps – Iraq (MNC-I) Temporary Duty guidelines for MNC-I and all Direct Reporting Units (DRU).

2. REFERENCES.

- A. MNF-I FRAGO 292 [CG MNF-I FISCAL POLICY] ANNEX D: Temporary Duty (TDY) Policy and Procedures.
- B. MNC-I FRAGO 063 [15 JAN 08 DTU] to MNC-I OPORD 08-01, Task 9.

3. GENERAL.

A. Reimbursable travel will be held to a minimum for the deployed force; however there may be occasional requirements for TDY to and from the AOR.

B. For official travel:

1. Outside the USCENTCOM Area of Responsibility (AOR): The first General Officer in the chain of command must approve the TDY orders. Corps staff and units without a GO will be approved by the MNC-I Chief of Staff (CoS).
2. Inside the USCENTCOM AOR (outside of the Iraqi Theater of Operations (ITO)):
 - a. If travel will incur a reimbursable cost, individuals will need locally issued TDY orders approved by the first General Officer in their chain of command. Corps staff and units without a GO will be approved by the MNC-I Chief of Staff (CoS).
 - b. If travel will incur no cost, individuals will need locally issued TDY orders approved by the first O-6 in their chain of command.
3. Inside the ITO:
 - a. If travel will incur a reimbursable cost, individuals will need locally issued TDY orders approved by the first General Officer in their chain of command. Corps staff and units without a GO will be approved by the MNC-I Chief of Staff (CoS).
 - b. If travel will incur no cost, individuals Temporary Change of Station (TCS) or Permanent Change of Station (PCS) orders will suffice.

- C. Travel entitlements will be computed based on the orders directing travel and provisions of the Joint Federal Travel Regulations (JFTR) for military and the Joint Travel Regulation (JTR) for civilians. Volume 9, DODFMR, Travel Policy and Procedures (DOD 7000.14-R) will also be used for additional details on travel support.
- D. **Travel will be by military conveyance when possible**; government meals and lodging will be utilized to the maximum extent.
- E. Estimated TDY costs will be as close as possible to the actual costs. Over-estimating the cost of TDY expenses ties up available funds while under-estimating costs may cause an over-obligation of TDY funds.
- F. **The TDY submission must include a complete itinerary to include travel days. Ensure that the cost estimate section is completed (Block 14 on DD 1610). The website to determine per diem is: <http://perdiem.hqda.pentagon.mil/perdiem/pdrates.html>. Organizations requesting TDY approval from the MNC-I CoS must first bring the TDY request to the MNC-I C8 Budget Execution Office to ensure funds are available. The request must include a completed MNC-I Form 1222 (TDY Routing Slip). The request must also include a day-to-day itinerary for conference and training TDYs. MNC-I C8 will then forward the TDY request package to the MNC-I CoS for approval consideration. After the MNC-I CoS signs/approves the travel request, it will be returned to the MNC-I C8 Budget Execution Cell for funds certification. After the MNC-I C8 Budget Execution Office certifies the funds for the TDY request, MNC-I C8 will notify the requesting organization that the TDY request is ready for pick-up. (See process flow FIGURE 1-1)**

4. OVERVIEW.

- A. All requests for TDY approval will be submitted on a DD Form 1610 (Request and Authorization for TDY Travel of DoD Personnel). (See FIGURE 1-2)
- B. At a minimum, block #16 of the DD Form 1610 should include statements about the following:
 - 1. The availability of government meals. Are they provided at no cost to the service member?
 - 2. The availability of government billeting.
 - 3. Does use of available government billeting adversely affect the mission?
 - 4. If government billeting is not available, a statement of non-availability is required for reimbursement.
 - 5. Is a rental car authorized? If so, the general rule is 1 rental car per 3 travelers.
 - 6. **The statement: “Service member will scan and e-mail travel settlement voucher to the Theater Finance Travel Office within five days of completion of travel”. E-mail address: finance.travel@mnd-b.army.mil**
 - 7. Other statements regarding phone calls, laundry service, excess baggage, etc. can be added as needed.
 - 8. Be very specific about what requirements are / are not reimbursable for this travel. For example, incidentals will be paid at the end of a Soldier’s tour (settlement voucher) – therefore incidentals should not be paid on interim travel vouchers.

9. R&R leave in conjunction with TDY requires prior approval. Units request approval through the C1 Programs Leaves and Passes Sections. The approved authorization memo must be included with the TDY request. AR 600–8–10 Section IV states that commanders must ensure that the TDY orders are written to include the travel and leave involved. Soldiers who report for TDY earlier than the date specified on their orders normally will not be paid any additional per diem.
 10. Personnel deployed will not leave the area of operations to attend any professional military education (PME) schools. Requests for exceptions must have the concurrence of Commander Multi-National Corp Iraq (MNC-I). Officers scheduled for OES training will attend prior to or post deployment.
 11. Do not mark Variation Authorized in block #11 on the DD Form 1610. In those rare cases that variations are authorized, the first GO in the chain of command will approve. Incomplete trip planning is not justification for authorizing variations.
- C. Invitational Travel Authorizations (ITAs) – Ref: Appendix E of the Joint Travel Regulation (JTR). ITAs are prepared for use by Non-DoD personnel (Host Nation Civilians, Foreign personnel, subject matter experts/consultants). The cost of travel must provide some benefit to the U.S. Government. ITA is prepared in memorandum format and is approved by the first General Officer in the chain of command. Many foreign officers/officials do not have credit cards so authorizing a cash advance may be required.
1. Restrictions. Invitational travel must not be authorized for:
 - a. A non-appropriated fund official or employee traveling on non-appropriated fund business;
 - b. Transportation of dependents and/or HHG (including freight and parcel post mail) or other property of an individuals to whom an ITA is issued;
 - c. A Federal Government employee or Uniformed Service member (A Federal employee and a Uniformed member on active duty are given regular TDY travel authorizations/orders) unless the individual is:
 1. A retired Federal Government employee or Uniformed Services member (may include retired military personnel from foreign countries), or
 2. Authorized pre-employment interview travel under JTR, par. C7150 and the employee/member is in a leave status during such travel (B-219046, 29 September 1986)); or
 3. An employee/member, traveling as a non-medical attendant, included on an ITA issued to a patient; or
 - d. Contractors – (See JTR Appendix E Part III for more details) Travel costs of Gov't contractors and contractor employees are governed by the rules in the Federal Acquisition Regulations (FAR) §31.205-46, available at <http://www.arnet.gov/far/pdf/frame.html>. For these reasons, contractors are not eligible for Invitational Travel Authorizations (ITAs) in the execution of their contracts. See DODI 3020.41 for information regarding contractors at <http://www.dtic.mil/whs/directives/corres/html/302041.htm>.

2. ITAs are prepared in memorandum format. See Figure 1-3. A standardized format is available from your local Resource Management office (C8/G8). The ITA must contain the following as a minimum:

- a. Traveler's full name, Last 4 digits of SSN (if applicable)
- b. Passport number & issuing country
- c. Address originating TDY from
- d. Nationality (if non-US)
- e. Purpose for travel
- f. Locations authorized
- g. Total period of request (both travel and TDY)
- h. Authorized modes of travel
- i. Estimated travel costs (expenses that are reimbursable)
- j. The following statement, "Traveler will file settlement voucher within 5 days after completion of TDY."

D. Group Travel Orders are authorized for three or more individuals traveling in a group for which transportation will be furnished by government conveyance or Transportation Request (TR). All individuals will travel from the same point of origin and return to the same destination under one order.

E. Blanket Travel Orders (BTOs) are issued to those who regularly make trips away from their duty station to perform regularly assigned duties that are mission essential to the operation of their command or agency. Blanket TDY is limited to the command group (including aides, drivers, security, etc.) and those designated by the MNC-I CoS. All BTOs are approved by the MNC-I CoS.

F. Actual Expense Allowance (AEA) requests will only be approved in cases where it is demonstrated as essential for accomplishment of the mission. Normally, this is to maintain integrity of the travel group for security purposes. Situations may arise where normal per diem (lodging only) is not sufficient for TDY. AEA may be requested to recoup cost over the published maximum lodging rates listed in the Joint Federal Travel Regulations (JFTR), Appendix B (OCONUS) and Appendix D (CONUS). This situation should be a rare event: travelers need to plan trips in advance to keep expenses within the established JFTR limits. AEA will not be used as a blanket authority. **AEA request must be made prior to travel (see figure 1-4).**

1. The first GO, or approved delegate, in the chain of command is the approval authority and can approve AEA up to 150% by signing DD Form 1610 in block #18.

2. Requests for authorizing expenses between 151% and 300% of approved lodging rates need to be approved by the first GO **commander** in the Chain of Command.

3. Requests above 300% must be submitted to the Director, Per Diem, Travel, and Transportation Allowance Committee (PDTATAC) for approval. Approval must be in advance of the travel. Route request for approval of AEA above 300%, through MNC-I CJ8. ***NOTE: Do not send AEA requests over 300% directly to the PDTATAC.***

4. Before the approving official signs the travel orders the requestor of travel must note in block #16 on the DD Form 1610 the statement, "Actual Expense Authorized not to exceed 150 (or 300) percent of authorized lodging rate".
5. Attached with the DD Form 1610, a letter of justification on official letterhead must be submitted to the approving official when requesting AEA.
 - a. The letter will be signed by the Brigade Commander or Staff Principal (O-5 minimum).
 - b. Letters of justification will state:
 - What efforts have been made to stay within the JFTR allowances.
 - What circumstances require AEA.
 - The breakout of requested lodging showing cost versus the authorized lodging rate.
 - What the effect on mission is if AEA is not approved.
6. Request for AEA after travel completion will only be processed on an exception basis. The DD Form 1610 amendment must be submitted to the MNC-I CoS for approval and signature in block #18.
- G. Funding TDY into the Iraq Theater of Operations (ITO). There are instances when a unit has a requirement to bring a service member from outside the ITO into the ITO on TDY. In order to fund these TDYs (either on DD Form 1610 or by fund cite memorandum) a General Officer endorsement is required.

5. GUIDELINES.

- A. Travel must be mission essential.
- B. Use of commercial travel must be approved by the first General Officer in the chain of command and is only authorized when government conveyance is unavailable.
- C. **DD Form 1610 will be submitted to the Resource Management Office at least 10 days prior to travel for funds certification.**
- D. Approving officials will ensure trip cannot be accomplished by other means (for example, correspondence, telephone, VTC).
- E. Sections will send the minimum number of travelers required.
- F. Exact TDY location and interim stops must be shown.
- G. Use of government transportation, quarters and mess are required when available.
- H. Rotator flights will be used for flights out of AOR to the fullest extent.
- I. Minimize use of rental cars (3 travelers per car).
- J. Combine visits within same geographical area.
- K. Ensure travel is performed economically.
- L. Ensure amendments and revocations are processed quickly.
- M. Entitlements must be stated and justified.
- N. Travelers will file settlement voucher within 5 days after completion of TDY.

6. RESPONSIBILITY.

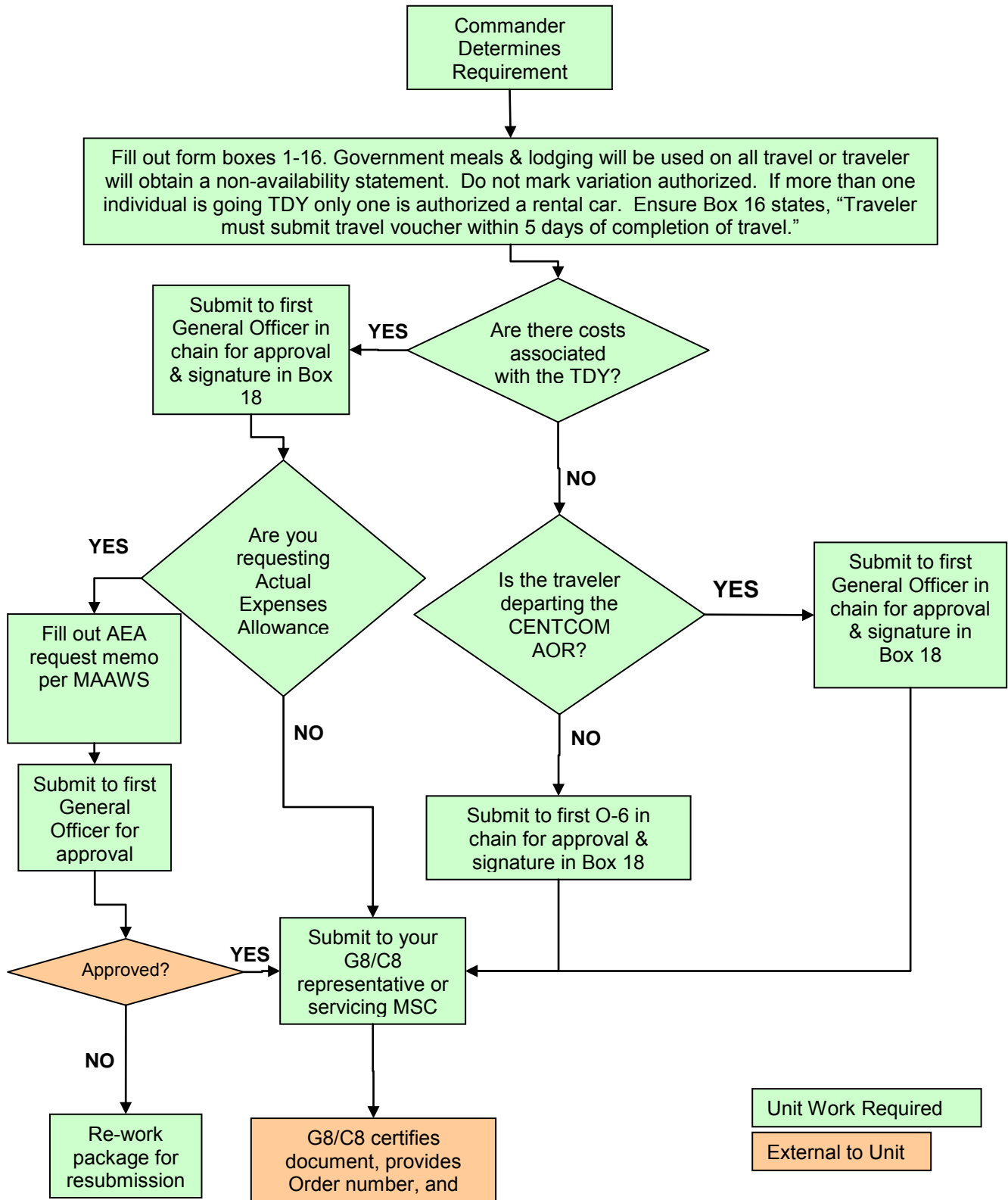
- A. The traveler's supervisor is responsible for maintaining TDY accountability and minimizing instances of fraud, waste and misuse.
- B. The requesting official will be a supervisor or someone familiar with the reason and necessity for the travel (not the traveler) and will sign block 17 of DD form 1610.
- C. The approving official will be the first General Officer in the chain of command and will sign block 18 of DD form 1610 unless it is an in-theater no cost TDY (O-6 signature) .
- D. The Resource Management Office supporting your organization will review the travel orders for completeness and accuracy and complete blocks 19 thru 22.

7. SUBMITTING A TRAVEL SETTLEMENT VOUCHER

- A. All travelers are responsible for completing a DD Form 1351-2 Travel Settlement Voucher (MAR 2008 Version) within 5 days of completion of travel. A DD Form 1351-2C can be used for continuation. See figure 1-5.
- B. Travelers must complete blocks 1-9, 11, and 14-20a. Travelers must also ensure all stops are listed in the itinerary portion of the travel voucher including return to theater travel plans. The commander/supervisor will review; sign and date block 20.d&f prior to submitting the travel voucher. The traveler's supervisor will review the voucher for accuracy, completeness, and to ensure all claims are proper.
- C. In order to receive reimbursement for any expenses incurred during travel they must be claimed on the travel settlement voucher.
- D. The following documents are required and must accompany the travel voucher for payment.
 - 1. Travel orders, including amendments.
 - 2. Leave form (DA Form 31), if applicable.
 - 3. Lodging and rental car receipts, regardless of the amount (receipt must show payment and a zero balance).
 - 4. Receipts for miscellaneous expenses (gas, taxi, parking, registration fee, etc.) costing \$75 or more.
 - 5. A non-availability statement or control number when government meals and/or lodging were not available.
- E. For travelers who used the Government Travel Card, use of split disbursement payment is mandatory. Supervisors should carefully review travel receipts and ensure sufficient funds are split disbursed in order to prevent Travel Card delinquencies.
- F. Once the travel voucher has been completed and has the required signatures with supporting documents it must then be submitted to the Theater Travel Finance Office for processing.
- G. Travelers may scan their documents and email them to:
finance.travel@mnd-b.army.mil

FIGURE 1-1

DD FORM 1610 (TDY) Process Flow



Reference: MNC-I FRAGO 063 [15 Jan 08] Task 9

FIGURE 1-2

REQUEST AND AUTHORIZATION FOR TDY TRAVEL OF DOD PERSONNEL <i>(Reference: Joint Travel Regulations (JTR), Chapter 3)</i> <i>(Read Privacy Act Statement on back before completing form.)</i>						1. DATE OF REQUEST <i>(YYYYMMDD)</i> 20081110					
REQUEST FOR OFFICIAL TRAVEL											
2. NAME <i>(Last, First, Middle Initial)</i> SMITH, JOHN L.			3. SOCIAL SECURITY NUMBER 123-45-6789		4. POSITION TITLE AND GRADE/RATING STRATEGIC MANAGER OIC, CPT/O-3						
5. LOCATION OF PERMANENT DUTY STATION (PDS) CAMP VICTORY, BAGHDAD, IRAQ APO AE 09342				6. ORGANIZATIONAL ELEMENT B CO. 99TH SIGNAL BN ¹		7. DUTY PHONE NUMBER <i>(Include Area Code)</i> (318) 485-0000					
8. TYPE OF AUTHORIZATION TDY OR TDY ICW R&R		9. TDY PURPOSE <i>(See JTR, Appendix H)</i> OPERATIONAL RISK MANAGEMENT CONFERENCE		10a. APPROX. NO. OF TDY DAYS <i>(Including travel time)</i> 12		b. PROCEED DATE <i>(YYYYMMDD)</i> 20081127					
11. ITINERARY EXAMPLE ITINERARIES: <ul style="list-style-type: none"> 1. BIAP TO QATAR TO GERMANY TO WASHINGTON D.C. AND RETURN 2. BALAD TO RAMSTEIN AB, GE TO DOVER, DE TO ATLANTA, GA (R&R 30 NOV-14 DEC) AND RETURN 3. BIAP TO KUWAIT TO DUBAI, UAE AND RETURN 											
12. TRANSPORTATION MODE											
a. COMMERCIAL			b. GOVERNMENT			c. LOCAL TRANSPORTATION					
RAIL	AIR	BUS	SHIP	AIR	VEHICLE	SHIP	RENTAL CAR	TAXI	OTHER	PRIVATELY OWNED CONVEYANCE <i>(Check one)</i> RATE PER MILE:	
	X			X			X	X		<input type="checkbox"/> ADVANTAGEOUS TO THE GOVERNMENT <input type="checkbox"/> MILEAGE REIMBURSEMENT AND PER DIEM IS LIMITED TO CONSTRUCTED COST OF COMMON CARRIER TRANSPORTATION AND PER DIEM AS DETERMINED AND TRAVEL TIME AS LIMITED PER JTR	
<input type="checkbox"/> AS DETERMINED BY APPROPRIATE TRANSPORTATION OFFICER <i>(Overseas Travel only)</i>											
13. <input checked="" type="checkbox"/> a. PER DIEM AUTHORIZED IN ACCORDANCE WITH JTR.				<input type="checkbox"/> b. OTHER RATE OF PER DIEM <i>(Specify)</i>							
14. ESTIMATED COST						15. ADVANCE AUTHORIZED					
a. PER DIEM \$		b. TRAVEL \$		c. OTHER \$		d. TOTAL \$ 0.00		\$ 0.00			
16. REMARKS <i>(Use this space for special requirements, leave, excess baggage, accommodations, registration fees, etc.)</i> MEMBER WILL COMPLETE A TRAVEL SETTLEMENT VOUCHER (DD1351-2) WITHIN 5 DAYS OF TRAVEL COMPLETION. MEMBER WILL SEND APPROVED VOUCHER TO: FINANCE.TRAVEL@MND-B.ARMY.MIL EXAMPLE AUTHORIZATIONS TO BE USED (USE AS NECESSARY, DEPENDENT ON TDY LOCATION): <ul style="list-style-type: none"> 1. GOVERNMENT MEALS AND LODGING ARE AVAILABLE AND DIRECTED. 2. GOVERNMENT MEALS AND LODGING ARE AVAILABLE AND DIRECTED. IF UNAVAILABLE, OBTAIN A NON-AVAILABILITY LETTER IN ORDER TO BE REIMBURSED. 3. GOVERNMENT MEALS AND LODGING ARE NOT AVAILABLE, COMMERCIAL MEALS & LODGING AUTHORIZED. OPTIONAL STATEMENTS (BASED UPON COMMAND'S AUTHORIZATION): <ul style="list-style-type: none"> 4. OFFICIAL PHONE CALLS AND INTERNET USE IS AUTHORIZED. 5. EXCESS BAGGAGE IS AUTHORIZED. 6. RENTAL CAR AUTHORIZED. 7. LEAVE IN CONJUNCTION WITH TDY IS AUTHORIZED - 30 NOV 08 - 14 DEC 08. 8. CONFERENCE FEES AND REGISTRATION FEES AUTHORIZED. 											
17. TRAVEL-REQUESTING OFFICIAL <i>(Title and signature)</i> JANE WATKINS, LTC, 99 SIG BN CDR						18. TRAVEL-APPROVING/DIRECTING OFFICIAL <i>(Title and signature)</i> JOHN C. ZALL, BG, CHIEF OF STAFF					
AUTHORIZATION											
19. ACCOUNTING CITATION COMPLETED BY SERVICING RESOURCE MANAGEMENT (RM) OFFICE											
20. AUTHORIZING/ORDER-ISSUING OFFICIAL <i>(Title and signature)</i> COMPLETED BY SERVICING RESOURCE MANAGEMENT (RM) OFFICE						21. DATE ISSUED <i>(YYYYMMDD)</i> RM INPUT		22. TRAVEL AUTHORIZATION NUMBER RM INPUT			

FIGURE 1-3

FOR OFFICIAL USE ONLY

INVITATIONAL TRAVEL AUTHORIZATION
TRAVEL ORDER #:

___ You are authorized transportation only. Lodging and meals will be provided.

XX You shall be paid per diem rate for lodging and meals as outlined by the Per Diem, Travel, and Transportation Committee. You must itemize all your subsistence expenses. Subsistence expenses include lodgings, meals, and transportation (including usual tips). Rental car is not authorized.

___ You travel via military airlift and are directed to stay in Government lodging. Meals and transportation will be provided for you. There are no anticipated expenses expected for reimbursement. Any expenses you request reimbursement for must be validated, approved, and amended to these orders before reimbursement can be filed for.

Applicable Per Diem Rates: **DAMASCUS, SYRIA**

Attendance Fee	Maximum Lodging Rate	Meal/Incidental Expense Rate	Total Per Diem
N/A	\$1,267.00	\$630.00	\$1,897.00

Applicable Transportation Cost:

Destination	Round Trip Plane Ticket	Taxi	Total Transport Cost
Damascus, Syria	\$1,500.00	\$60.00	\$1,560.00

Receipts: Ticket stubs are required to substantiate your transportation costs.

Requesting Official

Approving Official

Unit POC Name
Rank, Branch
ITO Unit
Position

First O-7 in chain of command
Rank, Branch
ITO Unit
Position

INVITATIONAL TRAVEL AUTHORIZATION FUND-CITE:

MNCI-C8 Budget Execution
Funds Certifying Official

FIGURE 1-4

//EXAMPLE AEA Letter of Justification//

OFFICE SYMBOL

1 May 2008

MEMORANDUM FOR

SUBJECT: Request for Actual Expenses Allowance (AEA) of Lodging

1. Reference: Joint Federal Travel Regulation, Vol. 1 and 2. MNC-I MAAWS Appendix J.

2. Purpose: The following individuals are TDY in connection with activity XXXXXX on 15-20 May 2008. The authorized government lodging near the TDY location in LOCATION HERE is insufficient in order to have members within a reasonable commuting distance of the TDY point. Transportation costs for travel to/from lodging within authorized amounts would exceed that of the obtained higher lodging rates.

<u>Rank</u>	<u>Name</u>	<u>Branch</u>
COL	John L. Smith	U.S. Army
1Lt	Jimmie A. Jones	U.S. Air Force
SFC	Peggy A. Sue	U.S. Army

3. The maximum government lodging rate in LOCATION HERE is: \$210.00. The lowest lodging rate available for the conference is \$225.00. Request reimbursement of actual expenses. The \$15 (\$225 minus \$210) per day increased cost is within 150% of the authorized daily lodging rate (\$310).

4. Point of contact for this request is: YOUR UNIT POC HERE, DSN xxx-xxxx

NAME
RANK, BRANCH
OFFICE

Enclosure

//ENCLOSURE EXAMPLE//

All units in US Dollars (\$)

Authorized Lodging Rate	\$210
Lodging Rate Obtained (including applicable tax)	\$225
Per Person Delta	\$ 15
Percentage (Obtained/Authorized) (\$225 / \$210)	107% of Authorized Lodging
Number of Travelers	3
Total AEA Requirement	\$ 45

Maximum per room cost is 107% higher than authorized lodging rate, below the 150% threshold.

PURCHASE REQUEST & COMMITMENT (PR&C)

CONTENTS

1. Purpose
2. Reference
3. Procedures to Process PR&Cs

1. PURPOSE: This section provides detailed guidance to MNC-I units and those units supported by MNC-I C8 on Purchase Request and Commitment (PR&C) procedures to follow in order to process local purchase requests for contract services and supplies. For requirements up to the \$25,000 single purchase limit units may utilize micro purchase instruments such as unit Field Ordering Officers (FOO) – (up to \$25,000) or unit Government-wide Purchase Cards (GPC) – (up to \$3,000). Annex A-3-1 addresses FOO policies. Provided is a step-by-step guideline of the PR&C procedures. See Figure 2-1 for process flow. Samples of the supporting documentation required for processing a unit's PR&C request are provided. Requirement owners must remain engaged with their requirements from submission to completion of the contracted period of performance.

2. REFERENCE: MNC-I FRAGO 063 [15 JAN 08] to MNC-I OPOD 08-01, Task 9.

3. PROCEDURES TO PROCESS PR&Cs.

A. All requirements, other than bulk funding, processed on a DA Form 3953 must have the following supporting documentation:

1. A justification letter that provides adequate detail to explain why the purchase is necessary, how this purchase meets mission requirements, why the items can't be procured through the normal supply system, and the impact if not funded.
2. A Statement of Work (SOW) (for requirements that require contracting support) with costs estimates and detailed descriptions of work is required. This is to ensure that the requirement is detailed enough so that a contract can be awarded which meets the requestor's requirements.
3. An estimate from at least one source. If the item or service can only be provided by one provider, the requirement owner (unit) must include a sole source justification. Sole source provider can only be authorized if fully justified. The Contracting Office will seek sources via the normal solicitation/bidding process or through current source providers. The local contracting office is the subject matter expert in this area. Internet "quotes" consisting of web pages or "cart" summaries are not valid estimates. A valid estimate contains: a locally produced price valid for a period of time and **includes cost of delivery**.
4. **A legal review must accompany all requirements \$10,000 and greater. (USARCENT Policy)**
5. A CC35, Standard Order/Receipt for Reimbursable International Support Transactions, completed through block #21, will accompany all PR&Cs supporting

Coalition members under Acquisition and Cross-Servicing Agreements (ACSA).
See appendix O.

- B. Requirements Validation Process. Requirements equal to greater than \$250,000 or special command interest items must be validated in accordance with the command's requirements validation process. Items that meet the screening criteria requiring validation will not be funded without the appropriate validation board approval. For detailed instructions on this process, see Requirements Validation – Appendix J of this SOP.
1. Requirements equal to or greater than \$250K (or special items such as NTVs, equipment rental and CHUs) require JFARB approval. The MNC-I COS is the PR&C approving official (signs block 35). JFARB submission packets will also include the Acquisition Review Board (ARB) approval documents from those commands running an ARB, to mitigate RFIs. ARB approval documents can be in the form of the PR&C (COS must sign block 35 of the PR&C); memo stating the requirement was approved by an ARB (signed by COS); or copy of ARB minutes signed by COS.
 2. MSC (2-star) and other General Officer / Flag Officer (GO/FO) commands can conduct an ARB (e.g., DARB, MARB) for requirements equal to or greater than \$100K with the unit COS being the ARB approving official (e.g., MND-B COS). **The MSC or GO/FO CDR will delegate PR&C approval levels (e.g. who signs block 35) within his command, up to \$249,999 (For example O3 CDR \$25,000 and O5 CDR \$50,000). If an ARB is not conducted paragraph 3 applies.**
 3. For Separate BNs, Separate BDEs and those GO/FO Commands that are not running an ARB the PR&C approval level is \$99,999. Because of the volume of documents certified in the C8 office, the following thresholds are established as internal controls: Officers in the grade of O-5 or higher in these commands may sign up to \$99,999; O-3 commanders and O-4 staff principles may sign up to \$25K. Requirements equal to or greater than \$100K require JFARB approval. MNC-I COS signs the PR&C (block 35) once validated.
 4. MNC-I / MNF-I staff principles (US Government only) may sign as approving officials for PR&Cs less than \$100K. Requirements equal to or greater than \$100K and designated special items (see Annex J) require JFARB approval and the MNC-I COS signs the PR&C.
 5. MSCs and applicable GO/FO Commands will include ARB approval documentation (see para one above) for all requirements equal to or greater than \$100K with their spend plan submission.
 6. **All requirements equal to or over \$10 million require USARCENT approval (SUPERCARB Process).**
- C. To aid in the identification of requirements, functional staff expertise exists in the following areas:

1. C1/G1 assists in developing MWR program requirements.
2. C2/G2 assists in developing COMSEC and OPSEC requirements.
3. C3/G3 along with the Provost Marshall Office and Base Camp Mayors assists in developing force protection requirements.
4. C4/G4 assists with the development of logistic services and base operations support requirements. C4 reviews unit and soldier equipment requests. Requests for unit or soldier equipment should be coordinated with MNC-I C4, regardless of validation, in order to ensure that centrally managed items are distributed to ensure the greatest effect.
5. C6/G6 will review all information management and automation, communication equipment, and communication lease and service requirements.
6. C7/G7 will review facilities, utilities, roadways and real property requirements.

D. Steps to complete a DA Form 3953. (See FIGURE 2-2 for detailed instructions)

STEP 1: Unit Determines Requirement: IAW the Requirements Flowchart (Figure 2-1), if a PR&C (DD Form 3953) is necessary the unit will follow the procedures below to correctly complete a PR&C.

STEP 2: Initiator completes the following DA Form 3953 blocks 3-18b, 25-30.

STEP 3: The initiator forwards the PR&C to the Installation Property Book Officer (IPBO) who will assign a requisition number in block 2 and complete blocks 31 through 33. The IPBO will review all requests to determine if the requirement can be filled with on hand items. **All items purchased in theater with OIF funds must remain in theater. This includes items purchased with bulk funds and GPCs.** Units are not authorized to take any property purchased with theater funding back to home station. The IPBO returns the PR&C to the initiator. If a scanned copy the initiator must ensure all information is legible.

STEP 4: The initiator obtains signed approval from their chain-of-command (blocks 34-36).

STEP 5: Once approved for funding on the spend plan, the initiator or unit resource manager forwards the PR&C to their supporting Resource Management office along with the justification letter, Statement of Work, and cost estimates (provide memorandum explaining a sole source provider if applicable) and validation packages.

STEP 6: The RM will complete blocks 19-22 and forward the PR&C to the Contracting office. The Contracting Officer will:

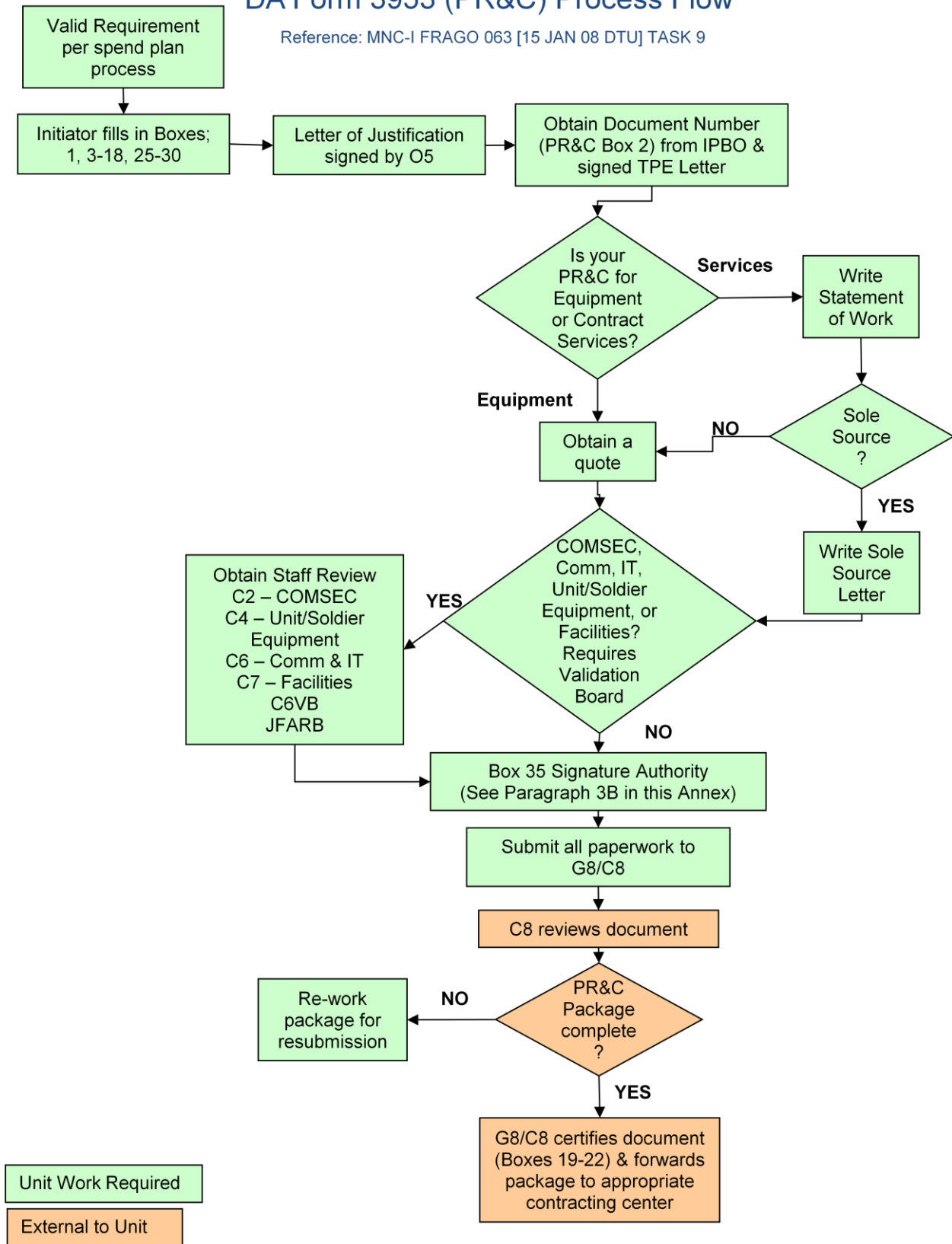
1. Contact Initiating Officer
2. Contract for supply or service item
3. Provide a copy of the contract

STEP 7: Upon receipt of the goods and/or service, the requesting unit will prepare and submit a DD 250, Material Inspection and Receiving Report, and submit to the contracting office. Units must confirm with their supporting Resource Management Office to ensure that they have a copy of your contract on file. If the RM office does not receive a copy of the contract there will be no obligation in the financial system and the vendor will not be paid.

FIGURE 2-1

DA Form 3953 (PR&C) Process Flow

Reference: MNC-I FRAGO 063 [15 JAN 08 DTU] TASK 9



Completing a DA Form 3953 Purchase Request and Commitment (PR&C)

1. General. Completion of DA Form 3953, Purchase Request and Commitment (PR&C) (See FIGURE 2-2), is the customer's (requiring element's) responsibility. The form must be filled out in sufficient detail. It is critical that the customer identify and describe the item of support needed in detail (identify the specific requirement). The requiring element will attach an Independent Government Estimate (IGE) to the PR&C when required.
2. Preparation. The following will provide block by block instruction on preparing DA Form 3953.
 - a. Block 1 - PURCHASE INSTRUMENT NUMBER. Leave blank or may be used as needed by requiring element or comptroller.
 - b. Block 2 - REQUISITION NUMBER. Document number from requiring element which includes e.g., DODAAC, Julian date, and serial number.
 - c. Block 3 - DATE. Date of requisition.
 - d. PAGE ____ OF ____ PAGES. Fill in the blanks.
 - e. Block 4 - TO. Name of the Contracting Office making the purchase.
 - f. Block 5 - THRU. Name/address of requiring element commander in the grade of O5 or higher.
 - g. Block 6 - FROM. Name/address of ordering organization.
 - h. Block 7 - PURCHASED FOR. Name of organization for which supplies/services are being purchased.
 - i. Block 8 - DELIVERED TO. Complete Organization/address of the Central Receiving Point. Should include building number, pad number, etc. of actual location.
 - j. Block 9 - NOT LATER THAN (Date). Latest date when delivery / performance is required. The date must be realistic and based on the Standard Delivery Dates (SDD) for each Priority Designator (PD) as outlined in Chapter 2, AR 725-50.
 - k. Block 10 and 11 – NAME, EMAIL ADDRESS AND TELEPHONE NO. OF PERSON TO CALL FOR ADDITIONAL INFORMATION. Point of contact concerning the requirements. This person must be knowledgeable and have the authority to provide clarification on the PR&C.
 - l. Blocks 12 and 13 - LOCAL PURCHASE AUTHORIZED... OR REQUISITIONING DISCLOSES NONAVAILABILITY... OR EMERGENCY SITUATION PRECLUDES... Authority (governing regulation) for local purchase. The SSA must check and complete the appropriate block.

- m. Blocks 14 thru 18 - ITEM-DESCRIPTION OF SUPPLY OR SERVICES/SUGGESTED SOURCE OF SUPPLY-QUANTITY-UNIT-ESTIMATED Unit Price & Total Cost-DISCOUNT TERMS-PURCHASE ORDER NO. Ordering information: by item number, describe the item/service requested including quantity, number of units, unit price, and total cost. Includes data needed for preparation of procurement document, discount terms, purchase order (if contract modification), and delivery schedule. For multiple items **do not** merely state "see attached". Must state the nature of the attached list (e.g. "see attached list of automation equipment.")
- n. Blocks 19 thru 22 – **This is the final step.** These are the last blocks completed and done by your resource manager. ACCOUNTING CLASSIFICATION-AMOUNT-TYPED NAME & TITLE OF CERTIFYING OFFICER-SIGNATURE. Fund certification: In the appropriate block, the Resource Management will enter the accounting classification to be charged, the dollar amount, the name and title of officer approving use of funds, date of signature, and signature of fund approving officer. If applicable, indicate the foreign currency conversion rate and amount as converted into US Dollars.
- o. Block 25 - THE FOLLOWING ITEMS ARE REQUIRED NOT LATER THAN AS INDICATED ABOVE FOR THE FOLLOWING PURPOSE. Purpose and use of purchase.
- p. Block 26 - DELIVERY REQUIREMENTS. Check or fill-in appropriate blank
- q. Blocks 27 thru 30 - DATE-TYPED NAME AND GRADE OF INITIATING OFFICER-SIGNATURE-DATE. In appropriate block, date, name, title and grade of requesting officer, and signature.
- r. Blocks 31 thru 33 - DATE-TYPED NAME AND GRADE OF SUPPLY OFFICER-SIGNATURE. In appropriate block, date, name, title and grade, and signature of responsible supply officer.
- s. Blocks 34 thru 36 - DATE-TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE-SIGNATURE. Name, grade, and signature of the requiring element commander or staff principal, and date signed.

NOTE. The use and completion of this form is governed by Chapter 8, AR 37-1.

FIGURE 2-2

PURCHASE REQUEST AND COMMITMENT <small>For use only by RM, see AF 37-1, the proposal stage by OASD (PM)</small>		1. PURCHASE INSTRUMENT NO. RM ASSIGNS	2. REQUISITION NO. PBO ASSIGNS	3. DATE	PAGE 1 OF PAGES
4. TO: SUPPORTING CONTRACTING OFFICE HERE		6. THRU: SUPPORTING RM OFFICE HERE		6. FROM: SPECIFIC & COMPLETE ADDRESS OF REQUESTING UNIT HERE	
It is requested that the supplies and services enumerated below or on attached list be					
7. PURCHASED FOR		8. DELIVERED TO		9. NOT LATER THAN (Date)	
SPECIFIC REQUESTING UNIT ADDRESS HERE		SPECIFIC REQUESTING UNIT ADDRESS HERE		11. TELEPHONE NUMBER	
The supplies and services listed below cannot be secured through normal supply channels or other Army supply sources in the immediate vicinity, and their procurement will not violate existing regulations pertaining to local purchases for stock, therefore, local procurement is necessary for the following reason: (Check appropriate box and complete item.)		10. NAME OF PERSON TO CALL FOR ADDITIONAL INFORMATION UNIT POC NAME & E-MAIL HERE POC PHONE HERE			
12. LOCAL PURCHASES AUTHORIZED AS THE NORMAL MEANS OF SUPPLY FOR THE FOREGOING BY Check 12 if request is not ordinarily available from a military source		13. REQUISITIONING DISCLOSES NONAVAILABILITY OF ITEMS AND LOCAL PURCHASE IS AUTHORIZED BY Check 13 if request is not available from a military source			
EMERGENCY SITUATION PRECLUDES USE OF REQUISITION CHANNELS FOR SECURING ITEM					
14. ITEM	15. DESCRIPTION OF SUPPLY OR SERVICES	16. QUANTITY	17. UNIT	18. ESTIMATED	
				UNIT PRICE ^a	TOTAL COST ^b
	Provide a complete description, duration, service frequency of the supply or service item required. In short, write a statement of work (SOW) -Recommended source of supply if known -Other pertinent information -Use continuation sheet if necessary	# REQUIRED	TYPE OF UNIT; Month, Feet, etc	PER UNIT COST	TOTAL COST
25. THE FOREGOING ITEMS ARE REQUIRED NOT LATER THAN AS INDICATED ABOVE FOR THE FOLLOWING PURPOSE EXPLAIN WHO, WHAT, WHERE, WHEN, & WHY THE REQUIREMENT IS NEEDED -MAY ATTACH A SIGNED LETTER OF JUSTIFICATION FOR FURTHER DETAILS					
27. TYPED NAME AND GRADE OF INITIATING OFFICER <i>Initiating officer name here</i>		28. SIGNATURE		29. DATE	
30. TELEPHONE NUMBER INITIATING OFFICER PHONE HERE		SIGNATURE OF INITIATING OFFICER		33. DATE	
31. TYPED NAME AND GRADE OF SUPPLY OFFICER		SIGNATURE		32. DATE	
PROPERTY BOOK OFFICE OFFICIAL		SIGNATURE OF PBO OFFICIAL		APPROVER SIGNATURE	
19. ACCOUNTING CLASSIFICATION AND AMOUNT ACCOUNTING CLASSIFICATION PROVIDED BY RM OFFICE					
20. TYPED NAME AND TITLE OF CERTIFYING OFFICER		21. SIGNATURE		22. DATE	
CERTIFYING OFFICIAL SIGNATURE BLOCK		CERTIFIER SIGNS			
23. DISCOUNT TERMS		LEAVE BLANK			
24. PURCHASE ORDER NUMBER		LEAVE BLANK			
26. DELIVERY REQUIREMENTS ARE MORE THAN 7 DAYS REQUIRED TO INSPECT AND ACCEPT THE REQUESTED GOODS OR SERVICES YES <input type="checkbox"/> NO <input type="checkbox"/> IF YES, NUMBER OF DAYS REQUIRED					
27. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE		35. SIGNATURE		36. DATE	
APPROPRIATE APPROVAL AUTHORITY SIGNATURE BLOCK HERE		APPROVER SIGNATURE			

USAPP 0200

EDITION OF AUG 76 IS OBSOLETE

DA FORM 3953, MAR 91

BULK FUNDS – FIELD ORDERING OFFICER / PAYING AGENT

CONTENTS

1. Purpose
2. References
3. General Information
4. Guidelines
5. Prohibited Purchases
6. Exceptions
7. Army Supply Channels
8. Responsibility

1. **PURPOSE:** To outline Multi-National Corps-Iraq (MNC-I) Field Ordering Officer (FOO)/Paying Agent (PA) guidelines.

2. REFERENCES.

- A. MNF-I FRAGO 292 [CG MNF-I FISCAL POLICY] ANNEX E. MNF-I Field Ordering Officer Policy and Procedures.
- B. MNC-I FRAGO 063 [15 JAN 08 DTU] to MNC-I OPORD 08-01, Task 9.
- C. Joint Contracting Command (JCC) Multi-National Forces – Iraq Acquisition Instructions
- D. 336th Financial Management Center Memorandum SUBJECT: Disbursing SOP # 19 - Policy for Paying Agents Making Disbursements for Detainee Labor
- E. MNC-I FRAGO 142 [11 FEB 08] to MNC-I OPORD 08-01. Solatia Payment Program
- F. ACEN-TSC-FMC Technical Guidance, Subject: Clearing Paying Agents, dated 10 November 2008.

3. GENERAL INFORMATION.

A. Field Ordering Officers (FOO) are an extension of the contracting office. FOOs must be USG employees. Contractors and non-US nationals cannot perform FOO duties. A contracting officer delegates the authority to obligate the government to the FOO.

1. FOOs are an extension of JCC-I/A and able to procure authorized, urgently needed supplies from local sources that are either not available or not capable of being obtained from normal supply sources. A FOO purchase authorization list is provided to FOO's during training. This list is maintained by JCC-I/A ICW MNC-I C8.

2. FOOs can quickly and directly make over-the-counter purchases at or under \$25,000 from local vendors and contractors.

3. A FOO is similar to a Government Purchase Card (GPC) holder; instead of credit-and-carry, the transaction is cash-and-carry.

4. Only contracting officers and their authorized agents (e.g., FOOs) can obligate the government to pay for an item or service.

5. FOO is funded with theater funding (OMA); therefore all items purchased with these funds must remain in theater.

6. Single purchases over \$10,000 require a legal review. (USARCENT policy)

B. Paying Agents (PA) are authorized to receive and disburse cash for official business. They are pecuniarily liable for any cash, negotiable instrument, and/or paid vouchers entrusted to them. PAs must be USG employees. Foreign military can serve as pay agents upon SECDEF waiver.

1. Paying agents must be trained and briefed by the Disbursing Agent prior to signing for and utilizing funds.

2. The amount funded to the PA will be the total of the certified PR&C.

3. Paying agents are only authorized to make payment for purchases approved by the PA's FOO.

4. GUIDELINES.

A. The maximum authorized advance for a FOO/PA is \$200,000. The monthly funding amount per unit will be determined by their Resource Manager and is dependent on availability of funds. Advances in excess of \$200,000 will be requested through your Resource Manager and are dependent on mission requirements or when health and safety issues are paramount.

B. Establishing Bulk Funds Account: The purpose of the bulk fund is to have cash available for requirements that may be met within FOO limitations. The procedures below apply to MNC-I staff and subordinate commands who will establish similar procedures. (See FIGURES 3-1 & 3-2)

1. FOOs (E-7 or above; waiverable to E-6) are nominated in writing by the Commanding Officer (O-5 or above) and are appointed in writing by their servicing Contracting Officer. The DD Form 577 will be signed by commander, MTT Chief, or Staff Principal (above BDE level)

2. FOOs must attend training provided by the servicing contracting office.

3. Paying Agents (E-7 or above; waiverable to E-6) are appointed in writing by the unit commander, MTT Chief, or Staff Principal (above BDE level) and must attend training provided by the servicing finance office. Block 14 of the DD 577 should include the expiration date of appointment, the maximum amount of advance, and responsibilities of agent.
4. The FOO and their PA will provide copies of their certification from Contracting and Finance and DD Form 577 (Appointment Letter / Signature Card) to their Resource Management office prior to receipt of funding. If the unit's commander, MTT Chief, or Staff Principal changes, a new DD577 must be provided.
5. A FOO and PA should only have one account at a time and must only have one open OMA PR&C at a time. If a PA must draw funds from multiple PR&Cs (e.g. OMA and QRF) at any one time, a separate DD Form 1081 will be used for each PR&C.
6. Resource Managers will not sign Cancellation of PR&C Documents for FOO and PA PR&Cs without first receiving a memo from Finance stating the PA did not draw funds against the PR&C in question.
7. It is the FOOs responsibility to ensure he or she has received adequate training. By signing the signature card, the FOO/PA is acknowledging that they are properly trained to perform their duties and can be held pecuniarily responsible for losses by failing to follow proper procedures.

C. Preparing a PR&C (**DA 3953**): (See FIGURE 3-3)

1. PR&C will be fully completed prior to requesting a fund cite from the Resource Management office.
2. Blocks 19-22 will be completed by the Resource Management Office.
3. Approving officer (blocks 34 & 35) will be signed by the requesting unit's **commander** (O-3 – up to \$25,000; O-5 – up to \$100,000; O-6 – up to \$200,000). A staff principal at Division or higher, may sign up to the following amounts: (O5 - \$100,000, O6 - \$200,000). Above \$200,000 requires a General Officer approval. **The bulk funding approval levels are an exception to the normal DA3953 (PR&C) approval threshold described in Annex 2 to Appendix A.**
4. After the funds certifying officer signs block 21 the FOO and PA may take the PR&C to Finance and draw funds.

D. FOO/PAs are highly encouraged to settle their accounts in 30 days. They must be reconciled at a minimum every 90 days, prior to the FOO/PA's scheduled departure from theater, or prior to end of year close out, whichever is sooner. The PA has to reconcile with the supporting finance office and the FOO has to reconcile with the Regional Contracting office. Either the FOO or the PA can reconcile with the Resource Management office. FOO and Paying Agent accounts may be replenished as often as necessary as deemed by the commander and in accordance with unit spend plans. FOOs and PAs will contact their supporting contracting or finance office every 30 days

telephonically to provide an update on the account. FOOs inactive for longer than 90 days are required to complete refresher training.

E. Detainee Release Payments. This is applicable when detainees are released from TIRFCs. These payments are similar to FOO and PA transactions. Some differences are that a Certifying Officer is used instead of a FOO; an Accountable Officer is required; there is no requirement to clear through contracting and PBO prior to coming to the finance office; and payments are certified on DD Form 1351-6s by the unit responsible for the detainees. For specific requirements see 336th Financial Management Center Memorandum SUBJECT: Disbursing SOP # 19 - Policy for Paying Agents Making Disbursements for Detainee Labor.

F. Solatia Payments. These payments are made when the death of an SOI was caused by a member of an insurgent group or suffered in the scope of performing SOI duties pursuant to a valid CERP security contract. These payments are similar to FOO and PA transactions. Some differences are that the PA is appointed as a Solatia Paying Agent (SPA); Certifying Officers are used instead of a FOO; and witnesses are appointed in writing. Payments may be made up to \$2,500. See FRAGO 142 to MNC-I OPORD 08-01, 11FEB08 for specific requirements.

G. The following documents/actions are required to replenish funds or close out accounts:

1. Clearance letter from contracting.
2. Clearance letter from IPBO.
3. Copies of SF 44s with required signatures and IPBO stamp (see FIGURE 3-4).
4. Purchase review memorandum signed by Unit Commander, MTT Chief, or Staff Principle (above BDE level).
5. DD 1081 clearing Paying Agent (from Finance).
6. Submit a copy of all final closing documents to your supporting Resource Management office.

H. Electronic Clearing of PA Accounts. PAs may clear electronically if they have no remaining funds to turn in. The PA must sign the original DD Form 1081 and electronically submit it and supporting documentation to finance. The disbursing official will sign and electronically return the closeout DD Form 1081 to the PA for his records. Originals and copies must be maintained until seven (7) years from the time of clearing. No alteration of electronic copies is authorized. If supporting documentation contains classified data notify finance.

5. PROHIBITED PURCHASES. In general, FOO funds should not be used to pay for equipment or services already provided by another source. During training the FOO is provided a list of that can be purchased. Prior to making any purchase, the FOO should check for availability of the requirement from existing sources, such as within the unit, the Installation Property Book Office (IPBO), LOGCAP Contractor, Self Service Supply Center (SSSC) and the local contracting office. **When in doubt, call**

contracting. Violation of the below guidance will result in immediate procurement authority termination unless an exception to policy is granted by the supporting contracting office, as recommended by the Resource Management office. You are not authorized to obligate government funds for the following:

A. Purchases greater than \$25,000. Do not split purchases to get around \$25,000 limit. If the cost is more than \$25,000, a PR&C must be submitted to your Resource Management office for the respective purchase.

B. Purchases requiring more than one delivery or one payment (only over the counter transactions are authorized).

C. Personal Items: Items that do not meet an operational need of the unit should not be purchased with operational funding. FOO funds should not be used to pay for comfort items or items used by individual service member. Personal hygiene items, clothing items, bedding, personal cell phone minutes, and refrigerators for living quarters are examples.

D. Subsistence – Food & Bottled Water: Do not purchase subsistence items (food or water for consumption) using an operational fund citation. You need a separate subsistence (food/water) specific 65 digit fund citation if required to purchase food or water. Further, food and water can only be purchased from U.S. Army Veterinary approved sources.

E. Ice. Has the same rule as bottled water above, if you are placing the ice in the water and are consuming it along with the water.

F. Rent or lease of real estate. The Army Corps of Engineers is the only organization permitted to rent or lease land/facilities.

G. Contracted Lodging. If unit has prior knowledge of lodging availability, then lodging should be authorized on the deployment orders. If not, then the unit comptroller must provide a memorandum or a DA 3953 that authorizes the use of operational funds for lodging.

H. Interpreters for more than 5 consecutive days. Interpreters should only be funded for up to a maximum of five days. The FOO should contact the supporting contracting office prior to soliciting the interpreter's services.

I. Day Laborers for more than 5 consecutive days. FOOs are authorized to pay for day labor services that are only required for **five** days and are not provided on an existing contract. The FOO should contact the supporting office to check for existing contracts.

J. JFARB Items (See Requirements Validation appendix J). Any special interest items that require board validation approval are not authorized to be purchased with FOO funds.

K. Automation equipment not found on the MNC-I FOO Authorization List. Contact C6 for specific validation processes and requirements.

L. Cellular Phones or monthly service charges may not be purchased with FOO funds. Phone cards require JFARB approval.

M. MWR equipment, services or tours. Commands will identify agencies responsible for procuring MWR equipment and establishing a common level of support throughout the base camp.

N. Social Events (Only ORF FOO / PA by exception, see appendix I).

O. Gifts, Souvenirs and Plaques. (Only ORF FOO / PA by exception, see appendix I).

P. Class VIII (medical supplies).

Q. Items on the unit's Table of Organization and Equipment.

R. Ammunition or explosives.

S. Alcohol.

T. Excess Baggage.

U. Construction materials used to build a fixed ("permanent") site.

V. Plane/train/ship/bus tickets (taxi fare for members of the local civilian population treated and released from US military hospitals is authorized).

W. This is not an exhaustive list. FOO Agents are provided a list of all prohibited items during training.

6. **EXCEPTIONS.** Units may request exceptions to the FOO authorized list in advance of purchase. The request must go through the units functional proponent (e.g., G6/C6) and resource management section before being submitted to contracting for approval.
7. **ARMY SUPPLY CHANNELS.** You are authorized to procure the following items only after a requisition has been submitted through the normal Army supply channels, which has been annotated as not available, or not available in a timely manner. A copy of the supply requisition document must be attached to the SF44 as proof that the item was first ordered through the supply system.

- A. Class II, General supplies (Clothing and Equipment)
- B. Class III, Packaged POL
- C. Class IV, Barrier and Construction items (temporary construction only)
- D. Class IX, Repair Parts
- E. Expendable office and cleaning supplies

8. RESPONSIBILITY.

A. Each Battalion or Separate Company (e.g., one that does not fall under a Battalion) is authorized two Field Ordering Officers (FOO) and two Paying Agents (PA). Additional FOOs/PAs may be appointed based on the unit's mission and requirements. Units that need additional FOOs/PAs must obtain approval from and coordinate with their Resource Management office. The FOO must be nominated, in writing, by a Commander in the grade of O-5 or above and appointed, in writing, by their servicing contracting officer.

B. Paying Agents will be appointed in writing by the unit commander and trained by the local finance office.

C. Responsibility and accountability for bulk funds must be maintained in order to ensure fraud, waste and abuse does not occur. The Paying Agent is subject to pecuniary liability for all funds entrusted to him/her and must close their accounts when the account is no longer required. The bulk fund account must be reconciled at a minimum of every 90 days, prior to the FOO/PA's scheduled departure from theater, or prior to the end of the fiscal year, whichever is sooner. They must have the following documents to close their accounts with the Resource Management Office:

1. Commander's, MTT Chief's, or Staff Principals (above BDE level) Reconciliation Memo
2. PBO Clearance Memo (OMA Only – not required for QRF)
3. PIN Log (Total Spent & Total Remaining)
4. Signed PR&C
5. SF44s (In Numerical Order)
6. Receipts (Attached to SF44)
7. Justification Memos

D. All FOO/PA accounts must be closed with Property Book Office, Contracting, Finance and the Resource Management office prior to individual's departure from the AOR regardless of reason for departure (PCS, TDY, R&R, etc.)

E. Commanders will ensure funds are properly handled, stored and accounted for IAW governing regulations. Storage of cash up to \$50K requires a class one or class five

tool resistant safe (TL 15) and greater than \$50K requires a TL30 with 1R combination lock.

FIGURE 3-1

Bulk Fund Process Flow – Appointing Representatives

Reference: MNC-I FRAGO 063 [15 Jan 08] Task 9

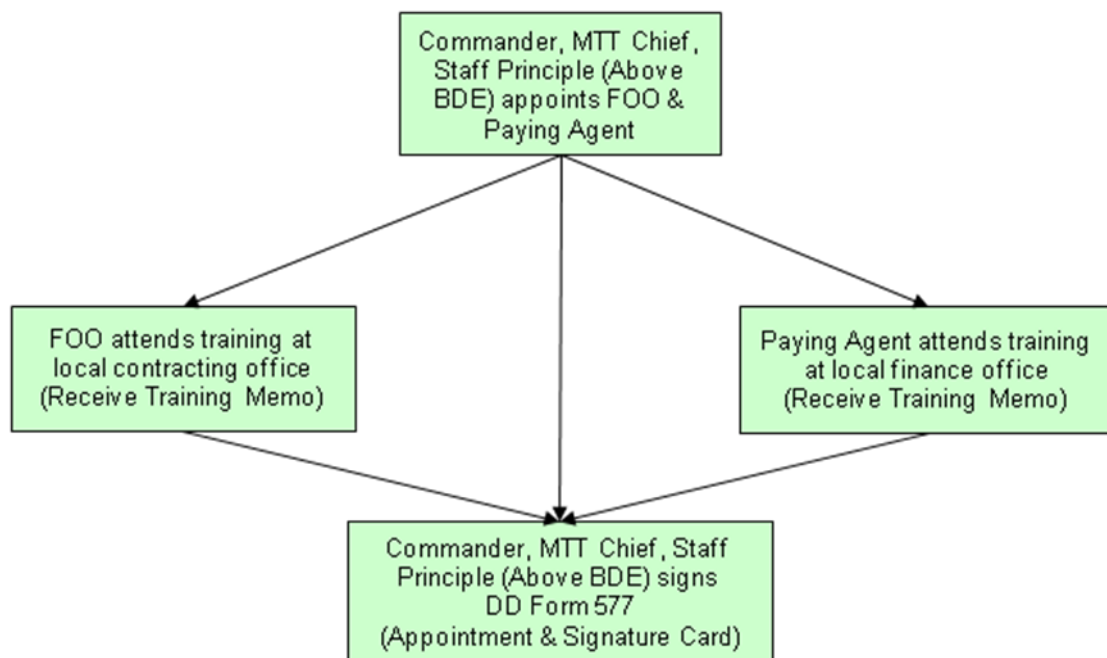


FIGURE 3-2

Bulk Fund Process Flow – Obtaining Funds

Reference: MNC-I FRAGO 063 [15 Jan 08] Task 9

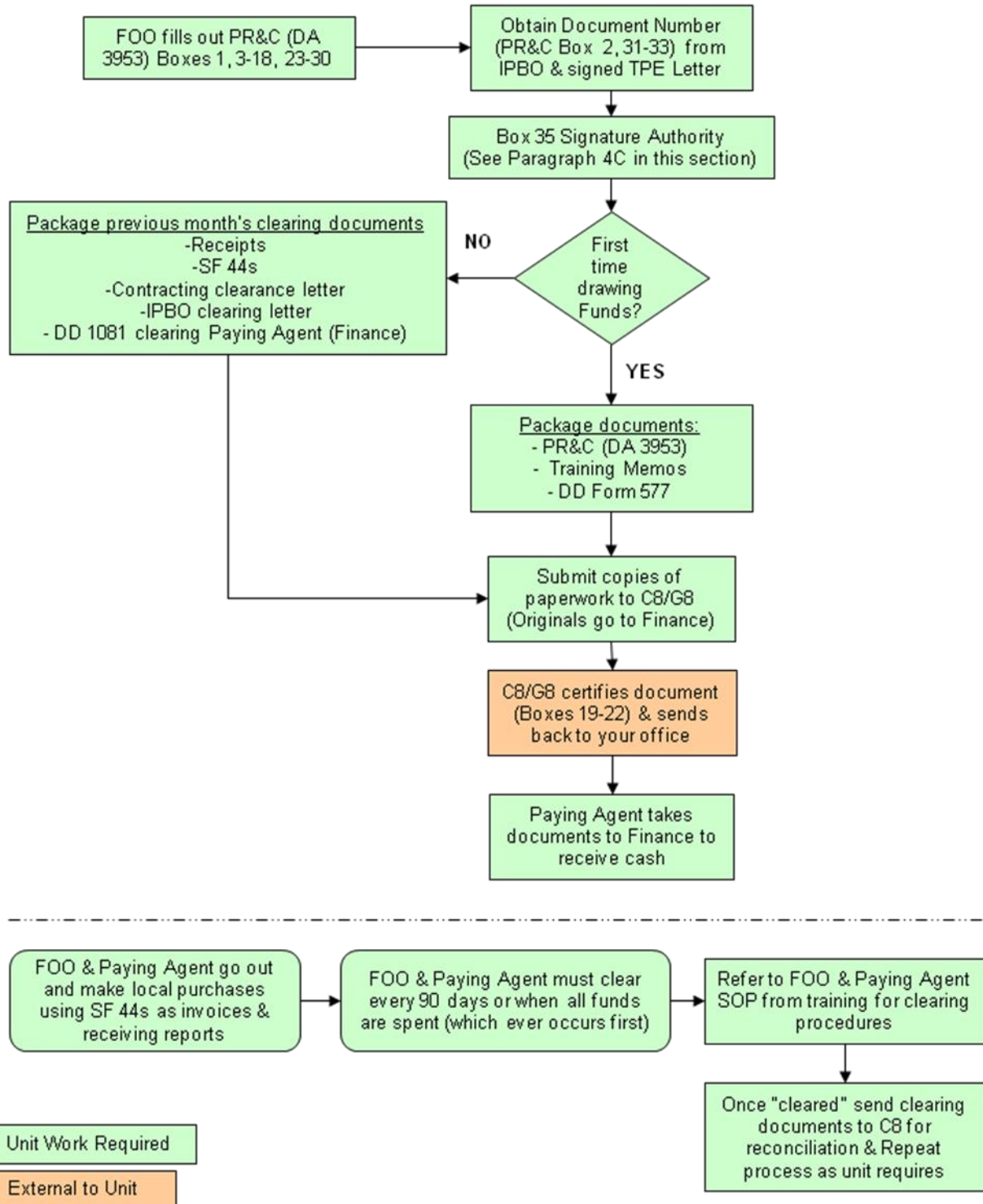


FIGURE 3-3

PR&C for Field Ordering Officer - Bulk Fund

SAMPLE

PURCHASE REQUEST AND COMMITMENT <small>To use this form see AFSP (http://www.army.mil/afsp/)</small>		1. PURCHASE INSTRUMENT NO. RM Assigns	2. REQUESTION NO.	3. DATE Date of Request	PAGE OF 1 PAGES	Total # Pages
4. TO: Supporting Contracting Office		5. THRU: Supporting Resource Management Office		6. FROM: Specific and complete address of unit requesting bulk fund		
It is requested that the supplies and services enumerated below or on attached list be						
7. PURCHASED FOR Specific and complete address of unit requiring bulk fund				8. DELIVERED TO		9. NOT LATER THAN (Date)
The supplies and services listed below cannot be secured through normal supply channels or of the Army supply sources in the immediate vicinity, and their procurement will not violate existing regulations pertaining to local purchases for stock, therefore, local procurement is necessary for the following reasons: (Check appropriate box and complete item)				10. NAME OF PERSON TO CALL FOR ADDITIONAL INFORMATION Name of POC and alternate		11. TELEPHONE NUMBER Phone #
C. LOCAL PURCHASES AUTHORIZED AS THE NORMAL MEANS OF SUPPLY FOR THE FOREGOING BY		D. REQUESTIONING DISCLOSES NONAVAILABILITY OF ITEMS AND LOCAL PURCHASE IS AUTHORIZED BY		FUND CERTIFICATION		
		X AR 710-2		The supplies and services listed on this request are properly chargeable to the following allotments, the available balances of which are sufficient to cover the cost thereof, and funds have been committed.		
EMERGENCY SITUATION (PRECLUDES USE OF REDUCTION CHANNELS FOR SECURING ITEM)						
14. ITEM	15. SUPPLY OR SERVICES	16. DESCRIPTION OF	17. QUANTITY	17. UNIT	18. ESTIMATED	
					UNIT PRICE a	TOTAL COST b
	-Field Ordering Officer Bulk Fund for purchase of supplies and services in support of Corps CONOPS. Name/Rank of Paying Agent: Email Address Name/Rank of FOO: Email Address					Amount needed for bulk fund
				19. ACCOUNTING CLASSIFICATION AND AMOUNT Funds Accounting Code Provided by supporting Resource Management Office		
20. TYPED NAME AND TITLE OF CERTIFYING OFFICER Signature Block RM Funds Certifying Officer		21. SIGNATURE // S RM Funds Cert Officer		22. DATE Date		
23. DISCOUNT TERMS Leave Blank						
24. PURCHASE ORDER NUMBER Leave Blank						
25. THE FOREGOING ITEMS ARE REQUIRED NOT LATER THAN AS INDICATED ABOVE FOR THE FOLLOWING PURPOSE Bulk fund required to support unit CONOPS operations by procuring emergency supplies or services						
26. DELIVERY REQUIREMENTS ARE MORE THAN 7 DAYS REQUIRED TO INSPECT AND ACCEPT THE REQUESTED GOODS OR SERVICES IF YES, NUMBER OF DAYS REQUIRED YES <input type="checkbox"/> NO <input type="checkbox"/>						
27. TYPED NAME AND GRADE OF INITIATING OFFICER Initiating Officer		28. SIGNATURE // S Initiating Officer		29. DATE Date		
30. TELEPHONE NUMBER Contact Information						
31. TYPED NAME AND GRADE OF SUPPLY OFFICER IPBO Name		32. SIGNATURE // Signature of PBO//		33. DATE Leave Blank		
				34. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE CDR		35. SIGNATURE // S Approving Authority
				36. DATE Date		

Block 8: Leave Blank

PBO assigns document number

Required Date to Begin Purchases (Not ASAP)

DA FORM 368, MAR 91

EDITION OF AUG 76 IS OBSOLETE

LEAPC 2000

**FIGURE 3-4
SF 44 EXAMPLE**

U. S. GOVERNMENT
PURCHASE ORDER-INVOICE-VOUCHER

DATE OF ORDER <i>Date Paid</i>		ORDER NO. <i>Provided by Contracting Officer</i>	
PRINT NAME AND ADDRESS OF SELLER (Number, Street, City, and State)* <i>Seller's Name & Address</i>			
FURNISH SUPPLIES OR SERVICES TO (Name and address)* <i>Purchasing Unit's Name & Address</i>			
SUPPLIES OR SERVICES		QTY	UNIT PRICE
<i>ITEMS MUST BE ITEMIZED OR ITEMIZED INVOICE ATTACHED</i>			
Hammer		2	\$3.00
Nails		50	\$0.02
AGENCY NAME AND BILLING ADDRESS* <i>Finance Office Name & Address</i>		TOTAL \$7.00 USD	
		DISCOUNT TERMS % DAYS	
		DATE INVOICE RECEIVED	
ORDERED BY (Signature and title) <i>FOO's Title & Signature</i>			
PURPOSE AND ACCOUNTING DATA <i>Accounting Classification from PR&C Block 19</i>			
PURCHASER - To sign below for over-the-counter delivery of items			
RECEIVED BY <i>Authorized Unit Receiving Official</i>			
TITLE <i>Unit Receiving Official's Title</i>		DATE <i>Date Goods/Services Recv'd</i>	
SELLER - Please read instructions on Copy 2			
<input type="checkbox"/> PAYMENT RECEIVED \$.....		<input type="checkbox"/> PAYMENT REQUESTED \$.....	
NO FURTHER INVOICE NEED BE SUBMITTED			
SELLER BY _____ <i>Seller's Signature Here</i> <i>Signature</i>		DATE	
I certify that this account is correct and proper for payment in the amount of \$ Value of Goods/Services in US Dollars.		DIFFERENCE \$	
		ACCOUNT VERIFIED CORRECT FOR	
		BY <i>Typed Paying Agent Name</i>	
PAID BY <input type="checkbox"/> CASH		DATE PAID	
OR <i>(Check No.)</i>		VOUCHER NO.	

Order Number provided by Contracting Officer

Pay Agent insures totals & amounts
* Make sure to list \$USD or Iraqi Dinars

List any discounts received

Pay Agent fills out

PLEASE INCLUDE ZIP CODE 1. SELLER'S INVOICE (See instructions on Copy 2) STANDARD FORM 44A (Rev. 10-82) PRESCRIBED BY GSA FAK (48 CFR) 51.213(c)

MILITARY INTERDEPARTMENTAL PURCHASE REQUEST (MIPR)

1. **PURPOSE.** To outline guidance on the completion and execution of the Military Interdepartmental Purchase Request (MIPR) and the Acceptance of a MIPR.
2. The DD Form 448 - Military Interdepartmental Purchase Request (FIGURE 4-1) document is used to transfer (or receive) funds to (or from) other federal agencies and departments. A MIPR may be received as either direct or reimbursable, or both. If accepting as a DIRECT CITATION, the resource manager will cite the MIPR's fund cite on all obligating documents. Accepting a MIPR as reimbursable requires the resource manager to set up a reimbursable account and customer number and use his own fund cite on all obligating documents. The acceptance of a MIPR is done on a DD Form 448-2, Acceptance of MIPR (FIGURE 4-2), and submitted to the Resource Management Office. The Resource Manager will be responsible for identifying the type and amount of funds to include restrictions regarding the use of the funds (the validation process facilitates this identification).
3. Requirement owners must ensure the information they provide in DD Form 448 block 7 is both complete and current. They will also leave blocks 14 and 15 blank.
4. MSC Comptrollers must be vigilant to follow-up on MIPRs sent to ensure DD 448-2 acceptances are received for reimbursable MIPRs or obligating documents for Direct MIPRs are received. MIPRs should be reconciled at least monthly to avoid End of Year backlogs. Funding should be withdrawn when it becomes apparent that the recipient will not execute the funding in a timely fashion.
5. Supporting documentation should include the MIPR accepting activity's functional and budget POCs at AO, O6, and GO/FO – SES level.
6. All MIPRs originating from MNC-I units citing OMA funds will contain the following statement: "These funds will not be used in excess of OMA thresholds: investment - \$250,000 (10 USC 2245), construction - \$750,000 (10 USC 2805), for centrally managed items, or for maintenance & repair in excess of \$5,000,000 (AR 420-1, DA PAM 420-11, and per delegation from USARCENT."
7. Accepting reimbursable MIPRs. MNC-I units cannot establish reimbursable accounts. When MNC-I units accept MIPRs from other organizations the G8/C8 must forward both the MIPR and the Acceptance to USARCENT to establish the account. The G8/C8 must tell USARCENT what the reimbursement is for and what APC should be reimbursed. MNC-I units will not accept MIPRs for third party contracts (e.g., NTV leases for non-MNC-I / MNF-I organizations).

FIGURE 4-1

MILITARY INTERDEPARTMENTAL PURCHASE REQUEST						1. PAGE 1 OF 1 PAGES			
2. FSC		3. CONTROL SYMBOL NO.		4. DATE PREPARED		5. MIPR NUMBER		6. AMEND NO. BASIC	
7. TO: UNIT BEING REIMBURSED HERE UNIT Address POC POC Phone # POC Email					8. FROM: (Agency, name, telephone number of originator) MNC-I C8 - Budget Execution ATTN: Your unit budget rep's name here UNIT # 42001 Camp Victory, Baghdad, Iraq APO AE 09342-2001 DSN (318) 485-3907 E-mail: C8_BE@iraq.centcom.mil-				
9. ITEMS <input type="checkbox"/> ARE <input checked="" type="checkbox"/> ARE NOT INCLUDED IN THE INTERSERVICE SUPPLY SUPPORT PROGRAM AND REQUIRED INTERSERVICE SCREENING <input type="checkbox"/> HAS <input checked="" type="checkbox"/> HAS NOT BEEN ACCOMPLISHED.									
ITEM NO.	DESCRIPTION <small>(Federal stock number, nomenclature, specification and/or drawing No., etc.)</small>	QTY	UNIT	ESTIMATED PRICE	ESTIMATED TOTAL PRICE				
a	b	c	d	e	f				
1	Place a brief description of what is being procured or what is being reimbursed here.								
2	Fund increase are not authorized without prior approval from MNC-I Resource Management Office, Exceeding funds provided, without approval, may result in recipient accepting the burden of the mount in excess of this MIPR.								
3	Submit DD448-2 within 3 working days and provide all copies of all billing or obligating documents to the address in block #8. Please ensure the accounting classification. MIPR number and APC are annotated on all obligating documents.								
4	MNC-I C8 BUDGET POC: Your C8/G8 representative here DSN: (318) 123-4567 E-mail: C8/G8 email address here								
5	Technical POC: UNIT SUBJECT MATTER EXPERT HERE DSN: (xxx) xxx-xxxx E-mail: xxxx@xxxxx.xxx								
6	These funds will not be used in excess of OMA thresholds: investment - \$250,000 (per 10 USC 2245), construction - \$750,000 (per 10 USC 2805), or for centrally managed items, or for maintenance & repair in excess of \$5,000,000 (AR 420-1, DA PAM 420-11, & per delegation from USARCENT).								
7	FY09 FUNDS EXPIRE 30 SEPTEMBER 2009 This is an Economy Act order IAW Chp 12, DFAS IN REG 37-1 & USC 1535								
10. SEE ATTACHED PAGES FOR DELIVERY SCHEDULES, PRESERVATION AND PACKAGING INSTRUCTIONS, SHIPPING INSTRUCTIONS AND INSTRUCTIONS FOR DISTRIBUTION OF CONTRACTS AND RELATED DOCUMENTS.					11. GRAND TOTAL				
12. TRANSPORTATION ALLOTMENT (Used if FOB Contractor's plant)					13. MAIL INVOICES TO (Payment will be made by) DFAS RO/FPT 325 BROOK RD ROME, NY 13442-4527 PAY OFFICE DODAAD				
14. FUNDS FOR PROCUREMENT ARE PROPERLY CHARGEABLE TO THE ALLOTMENTS SET FORTH BELOW, THE AVAILABLE BALANCES OF WHICH ARE SUFFICIENT TO COVER THE ESTIMATED TOTAL PRICE.									
ACRN	APPROPRIATION	LIMIT/SUBHEAD	SUPPLEMENTAL ACCOUNTING CLASSIFICATION			ACCTG STA DODAAD	AMOUNT		
			Your accounting classification will be placed here by C8/G8						
15. AUTHORIZING OFFICER (Type name and title) C8/G8 certification authority here					16. SIGNATURE			17. DATE	

FIGURE 4-2

ACCEPTANCE OF MIPR					
1. TO <i>(Requiring Activity Address) (Include ZIP Code)</i> SUPPORTING RESOURCE MANAGEMENT OFFICE LIST ADDRESS, PHONE NUMBER AND EMAIL ADDRESS			2. MIPR NUMBER MIPR NUMBER FROM DD 448		3. AMENDMENT NO.
			4. DATE <i>(MIPR Signature Date)</i>	5. AMOUNT <i>(As Listed on the MIPR)</i> \$1,000.00	
6. The MIPR identified above is accepted and the items requested will be provided as follows: <i>(Check as Applicable)</i>					
a. <input type="checkbox"/> ALL ITEMS WILL BE PROVIDED THROUGH REIMBURSEMENT <i>(Category I)</i> b. <input type="checkbox"/> ALL ITEMS WILL BE PROCURED BY THE DIRECT CITATION OF FUNDS <i>(Category II)</i> c. <input checked="" type="checkbox"/> ITEMS WILL BE PROVIDED BY BOTH CATEGORY I AND CATEGORY II AS INDICATED BELOW d. <input type="checkbox"/> THIS ACCEPTANCE, FOR CATEGORY I ITEMS, IS QUALIFIED BECAUSE OF ANTICIPATED CONTINGENCIES AS TO FINAL PRICE. CHANGES IN THIS ACCEPTANCE FIGURE WILL BE FURNISHED PERIODICALLY UPON DETERMINATION OF DEFINITIZED PRICES, BUT PRIOR TO SUBMISSION OF BILLINGS.					
7. <input type="checkbox"/> MIPR ITEM NUMBER(S) IDENTIFIED IN BLOCK 13, "REMARKS" IS NOT ACCEPTED (IS REJECTED) FOR THE REASONS INDICATED.					
8. TO BE PROVIDED THROUGH REIMBURSEMENT CATEGORY I			9. TO BE PROCURED BY DIRECT CITATION OF FUNDS CATEGORY II		
ITEM NO. <i>a</i>	QUANTITY <i>b</i>	ESTIMATED PRICE <i>c</i>	ITEM NO. <i>a</i>	QUANTITY <i>b</i>	ESTIMATED PRICE <i>c</i>
		\$500.00			\$500.00
d. TOTAL ESTIMATED PRICE		\$500.00	d. TOTAL ESTIMATED PRICE		\$500.00
10. ANTICIPATED DATE OF OBLIGATION FOR CATEGORY II ITEMS			11. GRAND TOTAL ESTIMATED PRICE OF ALL ITEMS \$1,000.00		
12. FUNDS DATA <i>(Check if Applicable)</i>					
a. <input type="checkbox"/> ADDITIONAL FUNDS IN THE AMOUNT OF \$ _____ ARE REQUIRED <i>(See Justification in Block 13)</i> b. <input type="checkbox"/> FUNDS IN THE AMOUNT OF \$ _____ ARE NOT REQUIRED AND MAY BE WITHDRAWN					
13. REMARKS					
14. ACCEPTING ACTIVITY <i>(Complete Address)</i> COMPLETE ADDRESS OF ACCEPTING ACTIVITY			15. TYPED NAME AND TITLE OF AUTHORIZED OFFICIAL AUTHORIZED OFFICIAL AT ACCEPTING ACTIVITY		
			16. SIGNATURE		17. DATE

SUBMITTING YOUR UNIT QUARTERLY SPEND PLAN

CONTENTS

1. Purpose
2. References
3. Responsibilities
4. Spend Plan Checklist

1. **PURPOSE:** To provide guidance and establish procedures in submitting a prioritized unit spend plan for funding approval. MNC-I operates on a quarterly funding cycle. Units submit a spend plan to C8 for the next quarter's anticipated requirements. After funds are distributed the unit prepares the appropriate requisition forms and forwards to their G8/C8 for funding. These are typically TDY orders, PR&Cs, and MIPRs. Separate annexes discuss policies for the use of and instructions for completing each of these forms

2. **REFERENCES:**

- A. ARCENT Publication 1-06 Financial Management Operations in the CENTCOM AOR, 16 May 2007
- B. MNC-I FRAGO 063 [15 JAN 08 DTU] to MNC-I OPORD 08-01, Task 9

3. **RESPONSIBILITIES:** (See FIGURE 1)

- A. Commander determines requirements for their units.
- B. Unit must determine if the requirement necessitates JFARB, approval (see Requirements Validation, Appendix J). Also, requirements equal to or more than \$100K require Unit Acquisition Review Board approval. Include approval documentation with your spend plan submission.

C. If the requirement needs validation board approval, a packet is submitted for validation (see the Requirements Validation, Appendix J). Once validated, you may place the requirement on the unit spend plan and compete for funding. **Keep in mind that VALIDATION DOES NOT EQUAL FUNDING.** You should place known requirements pending validation on your spend plan to provide visibility for planning. However these requirements will not be considered for funding until validated

Note: Iridium phones are centrally managed at MNC-I C6. Units with an approved ONS and JFARB will submit their Iridium phone requirements to the Iridium phone manager at C6 for inclusion on the C6 spend plan.

- D. If the requirement does not require board approval, it is placed on the unit spend plan for submission to your Resource Management Office for funding approval.
- E. All unit spend plans for the upcoming quarter are normally due to the MNC-I C8 on the 21st of the last month of the current quarter (for example 21 December).

During periods where a Continuing Resolution is in effect, there may be more than one spend plan cycle.

- F. Based on funding availability and changes in operating conditions the C8 may have additional cyclical spend plan data calls throughout the quarter. This will provide units an opportunity to submit unforeseen requirements based on evolving missions.
- G. The MNC-I C8 compiles a comprehensive spend plan and presents it to the MNC-I Chief of Staff (CoS) for approval, disapproval, or deferral.
- H. If approved by the MNC-I CoS, spend plans and Resource Distribution Documents (RDD) are provided to the requesting units between the 5th and 10th day (depending on when USARCENT provides our funding) of the 1st month in the quarter (for example January).
- I. **THE REQUIREMENT OWNER IS RESPONSIBLE FOR HIS REQUIREMENT FROM START TO FINISH.** The requirement owner is responsible for ensuring that contracting has placed funding on a contract (maintain a copy of the final contract), the COR is monitoring the contract's performance and dollar execution, annotates receipt of goods and services on a DD 250 (receiving report) and works any subsequent funds increases and contract extensions with both theater contracting offices and supporting resource management offices.

4. **SPEND PLAN CHECKLIST:**

- A. Spend Plan General Guidance
 - 1. Use the Budget Briefcase program to prepare and submit your spend plan.
 - 2. Ensure that your organization's submission has been prioritized by your leadership. Not all requirements will be funded. Your prioritization should be reflected in the priority column of your input. Generally, funding will follow your prioritization to the greatest extent possible.
 - 3. Provide amplification and justification in the comments and justification sections for any high priority requirements. Do not assume that C8 or the CoS understands your requirements as well as you do. Add whatever information you feel is necessary to justify funding your requirement (be reasonable). If a contract is of special tactical or strategic importance, please do not assume that we know this. Provide Period of Performance for your contracts by timeframe and number of months. As an example: POP – OCT 08-APR 09 (6 months). Be explicit as to how a contract is phased for funding (monthly/quarterly/yearly). Specify whether the amount you are requesting is a month's worth, quarter's worth or year's worth. Specify the minimum amount you need to continue execution of the contract or to start it up. If your contract is incrementally funded, provide the amount that has been funded to date as well as how much can be funded (ceiling) based on your validation (JFARB, Super CARB, etc.). Provide your validation tracking number in the validation column.

B. Validation

1. **Remember that validation is not equal to funding approval.**
2. Refer to Appendix J for validation procedures
3. Validation status is checked on the 22nd of the month for the following quarter's spend plan (e.g., validation for an item submitted on the third quarter (April – June) spend plan is checked on March 22nd). If it is not validated by this date, it is a candidate for deferment. It is your responsibility to get requirements validated expeditiously and ensure the board has validated your requirement and posted it to their tracking system.
4. **Validation entry in your spend plan needs to include the validation reference #. If applicable enter the validation reference # in the validation entry on your spend plan.**

C. GPC, FOO and Unit Coins

1. Specific Guidance on coins is listed later in this section of the MAAWS (see Annex A-7-1). Please pay attention to deployment limits.
2. When rolling up GPC/FOO/Unit Coins from various units and/or unit types, please specify in the comments section what type of units make up the roll-up and the amount of coins per unit.

D. Out of Cycle Requests: (FIGURE 2)

1. Out-of-Cycle requests occur when a unit has an emergency requirement that was not submitted on the current spend plan and it cannot wait until the next spend plan cycle.
2. Because the request was not on the spend plan, funding must be found by MNC-I C8 to resource the requirement. Therefore an out-of-cycle request must actually be a time sensitive, emergency requirement. Do not submit routine items that can wait until the next spend plan. All out-of-cycle requests will be evaluated by MNC-I C8 with respect to MNC-I Chief of Staff fiscal guidance, those requests that do not warrant emergency funding will be returned to the unit without action.
3. Out-of-Cycle requests should be submitted to the MNC-I Chief of Staff through C8 (Budget Execution Officer) in memorandum format signed by the first O-6 in the chain-of-command. Units should include all pertinent documentation with the request—validation paperwork, legal review, obligating document, etc. The memorandum should include a no later than date for funding if applicable.
4. Use of Out-of-Cycle requests should be minimized as these requirements reduce funding available from current spend plans. It is recommended that the units first attempt to re-prioritize current requirements to accommodate emergent requests. The requirements owner will have to work with C8 to

rebalance priorities on their current spend plan to fund their out-of-cycle requirement.

E. Funds Increases:

1. Funds increases for requirements funded in the current fiscal year will be taken from the unit's current spend plan. The requirements owner will have to work with C8 and the Contracting Officer (KO) to rebalance priorities on their current spend plan to fund these increases.
2. The KO will submit a funds increase request memo, with his signature, to C8 after consulting with the requirements owner.
3. Funds increases for requirements from prior fiscal years must be submitted to ARCENT for funding. MNC-I does not have funds certification authority for prior fiscal year funds. USARCENT requires any prior year funds increase to be accompanied by: a funds increase memo signed by the contracting officer and a SJA memo stating that there has not been a change in scope and that prior year funds are appropriate.

FIGURE 1

Spend Plan Flow Process

Reference: MNC-I FRA GO 063 [15 Jan 08] Task 9

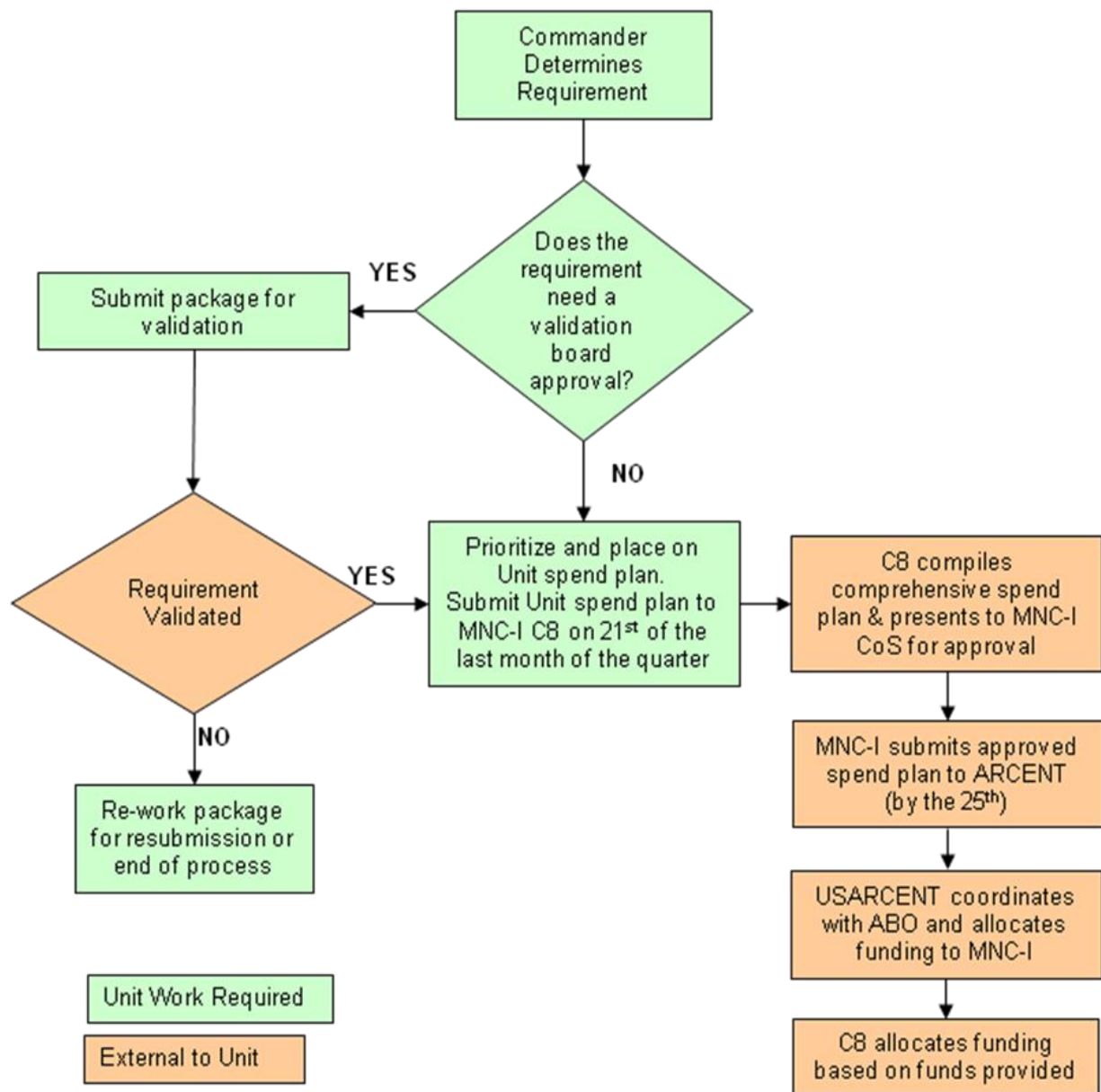


FIGURE 2



REPLY TO
ATTENTION OF

**HEADQUARTERS
MULTI-NATIONAL CORPS - IRAQ
BAGHDAD, IRAQ
APO AE 09342**

Unit office symbol

8 January 2009

MEMORANDUM FOR Multinational Corps – Iraq, ATTN: MNC-I Chief of Staff (BG Allyn)

SUBJECT: Request for Out of Cycle Funding CJ081234 [or C6VB# C-08-240-03]

1. This is a request for \$500,000 to accomplish (what). Explain requirement so the MNC-I CoS can understand what the requirement is.
2. This requirement is important (why) (who it benefits, the importance or criticality). Impact if not funded at this time.
3. This requirement was not on the spend plan because. (JFARB was approved after the spend plan submitted to USARCENT)
4. The funding for this requirement is needed by (when). It can / cannot wait until the next spend plan because (why)
5. There is (how much) / is not any fund available within [your unit/staff section] to offset this requirement until the January 2008 funding is distributed.
6. The point of contact for this memorandum is MAJ Dee at DSN: 318-822-XXXX.

JOHN A. DOE
COL, SF (must be an O-6 or above)
Commanding or Staff Position

GOVERNMENT PURCHASE CARD (GPC)

1. **PURPOSE.** To outline MNC-I policy and procedures on the use of the Government Purchase Card (GPC) in support of theater operations.
2. **REFERENCES.**
 - A. ARCENT Publication 1-06 Financial Management Operations in the CENTCOM AOR, 16 May 2007
 - B. MNC-I FRAGO 063 [15 JAN 08 DTU] to MNC-I OPORD 08-01, Task 9.
3. **GUIDELINES.**
 - A. Government Purchase Cards (GPC) are not issued or managed in theater. If units have active cards in theater that were brought from home station, they may be used for purchases in accordance with the following guidelines.
 1. Each individual GPC purchase will not exceed \$3,000.
 2. Do not split purchases to get around the \$3,000 limit.
 3. Prohibitions for purchases with a Government Purchase Card are the same for those of a Field Ordering Officer; in addition to any home station restrictions.
 - B. Deploying units supporting the contingency operation will receive an initial funding distribution to assist them in establishing operations. After the initial distribution, funding will be distributed incrementally monthly, quarterly, or semiannually based on funding availability and type unit.

<u>UNIT SIZE</u>	<u>INITIAL MONTH</u>	<u>MONTHLY</u>
Battalion/Separate Company	\$ 3,000	\$ 1,000
Brigade HQ	\$ 5,000	\$ 3,000
GO Command HQ	\$10,000	\$ 7,000

- C. Prior to GPC reimbursement, funding must first be approved on the unit's monthly spend plan and is limited to the unit's funding distribution.
- D. At the end of the billing period, the credit card holder will provide their list of purchases, copies of receipts, and a clearance memorandum from the IPBO to the Resource Management Office
- E. After reviewing the documents in para D, above, the Resource Management Office will provide a Military Interdepartmental Purchase Request (MIPR) to the home station to reimburse for GPC expenditures in theater.

COMMANDER'S COIN POLICY

1. **PURPOSE.** This policy governs the purchase and award of unit coin medallions by MNC-I Commanders and Leaders as a device to recognize personal achievements.
2. **REFERENCES.**
 - A. MNC-I Memorandum– Commander and Leader Award for Excellence Coins in Multi-National Corps-Iraq (MNC-I) 14 FEB 08.
 - B. Title 5, U.S.C. 4503
 - C. Title 10, U.S.C. 1125
 - D. AR 600-8-22, Military Awards, 11 December 2006.
 - E. DA Pamphlet 672-20, Incentive Awards Handbook, 1 July 1993.
 - F. U.S. Army Forces Command Unit Coin Policy, 04 August 2006.
 - G. Third U.S. Army/ARCENT/CFLCC Unit Coin Policy, 07 March 2007.
 - H. Multi-National Force – Iraq, Memo 11-1, Commander's Coin Program (Undated).
3. **APPLICABILITY.** This policy applies to all Active Army (AA), US Army Reserve (USAR), Army National Guard (ARNG), US Navy (USN), US Marine Corps (USMC), and US Air Force (USAF) units and personnel utilizing coins procured with MNC-I funds. This policy does not apply to non-U.S. Coalition Forces. This policy does not address the presentation of coins that have been procured by private or personal funds or official representation funds (ORF). Coins purchased with ORF are subject to the statutes, regulations, and policies applicable to the use of ORF. No restrictions apply to coins purchased with private or personal funds. This policy does not apply to coins purchased with home-station funds (other restrictions apply – consult with legal adviser).
4. **GENERAL.**
 - A. Unit coin medallions are custom-minted and emblazoned coins or similar items, typically highlighting the unit's insignia on one side and an inscription on the reverse side. These medallions are generally presented by the Commander or on behalf of the Commander.
 - B. Commanders and Command Sergeant Majors of battalion-sized units and above are authorized to procure and purchase unit coins. Staff officers may not use appropriated funds to purchase coins. Commanders may have only one coin design for their unit.
 - C. MNC-I staff sections may request MNC-I coins from the Commanding General's Aide-De-Camp or Executive Officer for presentation purposes.
 - D. Subject to the limitations contained in the policy, the MNC-I Commander delegates the authority for purchasing unit coins to Commanders of battalion-sized units and above.

5. UNAUTHORIZED USES.

- A. No coins will be purchased that are “personalized” with the presenter’s name inscribed on the coin. The presenter’s name may be subsequently engraved on a coin, on a case-by-case basis, for individual presentation.
- B. Unit coins will not be given away as mementos and should not be presented merely for an individual’s normal performance of regularly assigned duties.
- C. Unit coins must be awarded for performance and will not be presented to superiors or peers.
- D. Coins purchased with appropriated funds cannot be presented to foreign military or foreign civilian personnel.

6. SUBORDINATE UNIT RESPONSIBILITIES.

- A. Chiefs of Staff assigned to subordinate commands have the authority to approve the purchase of military coins within their respective units.
- B. Commanders have the authority to expend no more than \$2,000 per Battalion / \$5,000 per Brigade in OMA funds for coins during their deployment period. Multi-National Division and other General Officer Commanders above Brigade level and equivalent-level Command Sergeant Majors may expend a total of \$10,000 each during their deployment period using OMA funds for their respective coins; i.e. \$10,000 for the commander’s coin and \$10,000 for the CSMs coin, for a total of \$20,000. Within these limits, expenditures will not exceed \$7 per coin and the quantity purchased will not exceed 20% of the assigned unit end strength. Unit end strength is defined as the number of personnel that fall under the parent unit, to include its subordinate units, for command and control or are assigned for accountability and support. This 20% end strength ceiling covers the entire deployment. Requests above \$10,000 require MNF-I approval. These limits cover all coins a unit purchases using OMA funds (e.g., if a unit requests “coins for excellence” and “retention coins” the cumulative total cannot exceed \$2,000 for a battalion or \$5,000 for a brigade during their deployment period).
- C. Requests for exception to exceed the above spending limits up to \$5,000 per Battalion and \$7,500 per Brigade during their deployment period must be approved by the Commander, MNC-I. Submit requests to MNC-I Commander (ATTN: C-8, Comptroller) for review and appropriate staffing. Request for authorization to spend more than \$5,000 per Battalion or \$7,500 per Brigade during their deployment period must be approved by the MNF-I Commander. Submit requests to MNC-I Commander (ATTN: C-8, Comptroller) for review and appropriate staffing.

	<u>Self approve</u>	<u>With MNC-I CG approval</u>	<u>With MNF-I CG approval</u>
BN	up to \$2,000	up to \$5,000	over \$5,000
BDE	up to \$5,000	up to \$7,500	over \$7,500

D. All MNC-I units and organizations that purchase coins with appropriated funds will track these expenditures and submit a monthly report not later than the third of each month to the MNC-I Comptroller.

7. **ACCOUNTABILITY OF COINS AWARDED.** Commanders are responsible for ensuring coins are used as awards only. S-1s and aides-de-camp will assist Commanders and Sergeant Major account for all awards of coins to the fullest extent possible.

SPECIAL INTEREST ITEMS (SII)

1. **PURPOSE.** To outline the MNC-I policy and procedures pertaining to the purchase of furniture and appliances.
2. **REFERENCES.**
 - A. MNF-I FRAGO 292 (CG MNF-I FISCAL POLICY) ANNEX C: MNF-I Special Interest Items Purchasing Policy and Procedures.
 - B. MNC-I FRAGO 063 [15 JAN 08 DTU] to MNC-I OPORD 08-01, Task 9.
3. **GENERAL.** MNC-I is beyond the initial basing stage in Iraq. It is assumed that subordinate units are equipped with sufficient furniture and appliances to cover their needs and should have only a modest requirement to replace items that wear out.
4. **GUIDELINES.**
 - A. Initial requests for furniture purchase and exceptions to guidance over \$5,000 must have a justification memorandum signed by a General Officer. Furniture replacement requests will be limited to once every three years and must be signed by a General Officer. Request for exception should be for:
 1. Increased manpower numbers on a unit's Joint Manning Document.
 2. The destruction of SII as a result of enemy actions or acts of nature.
 3. Change of mission that requires more furniture or appliances.
 - B. Relocation of office space is not an exception and the unit should make every effort to move the furniture and appliances with them or use what is provided at the new location. Coordination should be made with Property Book Officers at new locations to identify requirements for furniture and appliances. Purchasing a completely new set of office furniture is not an acceptable solution
 - C. Appliances such as washers, dryers, microwaves and refrigerators are not considered mission critical. Unless specifically designated as refrigeration of medicines, requests for exception to this policy must have a legal opinion and a justification letter signed by the MSC's SJA and Chief of Staff, respectively. For MNC-I staff sections and separate brigades, the justification letter must be signed by the MNC-I SJA and Chief of Staff, respectively.
 - D. MWR funded furniture and appliance purchases are common property and should be located in office spaces or common areas such as day rooms, reception areas or recreational rooms. Furniture and appliances, purchased with appropriated unit funds, are not intended for use in private quarters or force provider tents.

Year End Closeout

1. **PURPOSE.** To outline the MNC-I policy and procedures pertaining to conducting Fiscal Year End Closeout
2. **REFERENCES.**
 - A. USARCENT FYxx Year End Guidance
 - B. MNC-I FYxx Year End Guidance
3. **GENERAL.** Each fiscal year ends on September 30th. All obligations must be recorded in the financial system by the end of that date. This means all contracts must be awarded prior to this time, reimbursable MIPRs accepted, and FOO/PA accounts closed. Preparation for close out takes place throughout the year with active management of financial accounts. However detailed planning begins in June and actual year end procedures begin in July.
4. **GUIDELINES.**
 - A. Initial guidance will be published by the MNC-I C8 in June. It will layout the concept of operations and event timelines.
 - B. JCC-I/A will publish a timeline with suspenses for contract submission based on type and dollar threshold. It is important that this timeline be adhered to. Otherwise high priority contracts may risk not being awarded in time due to volume of workload placed on contracting officers. Conduct continual reconciliations with JCC-I/A to ensure all PR&Cs are being processed; it is the requirement owners responsibility to monitor their PR&C through the contracting process.
 - C. Triad meetings (Comptroller, Finance, and Contracting representatives) will increase in frequency from monthly to weekly as year-end approaches. Units will brief their open document status during these meetings using the format found at figure 9-1. One Triad meeting (early September) will be used as a year-end close rehearsal to familiarize all resource managers with actions during the final 72 hours of the fiscal year.
 - D. Communication between ARCENT, MNC-I, and MSCs is critical during year end close out. A standard protocol for chains of communication and under what circumstances direct communication is authorized must be established. Standard document transmittal formats and execution matrices will facilitate efficient reconciliation and corrective actions.
 - E. Closing MIPRs. Resource managers and requirement owners must engage agencies that accepted MIPRs in order to receive obligating documents and/or MIPR acceptances returning unused funds. Getting funds returned early enables

them to be applied to other unfunded requirements. **Be aware that GRD will attempt to return funds in the last 24 – 48 hours of the fiscal year; coordinate with them ahead of time to avoid any surprises.**

F. Unfunded Requirements: Have a prioritized list of requirements that can obligate quickly as funds become available. This is a good opportunity to fully fund periods of performance on large contracts that cross the fiscal year.

G. RM shops will be present for duty on 30 September until the theater is released by the ARCENT G8. The release notification will come through MNC-I C8.

Figure 9-1 FUND Overview

As of: 20000 3 Sep 08

<p style="text-align: center;">FY08 OMA Funding</p> <ul style="list-style-type: none"> • Current RDD: \$281,928,460 • Committed: \$270,815,820 96.1% • Obligated : \$249,075,887 88.4% • Available: \$11,112,640 ↓ \$3.9M 	<p style="text-align: center;">FY08 CERP Funding</p> <ul style="list-style-type: none"> • Current RDD: \$152,477,500 • Committed: \$117,229,900 77% • Obligated: \$117,066,379 77% • Available: \$35,244,594 ↓ \$3.2M
<p style="text-align: center;">OMA Stats</p> <ul style="list-style-type: none"> • Open PR&Cs → 117/\$21,044,124 ↑ \$939K • Open FOOs → 118/\$3,948,327 ↓ \$69K • Open MIPRs → 32/\$5,096,068 ↑ \$107K 	<p style="text-align: center;">CERP Stats</p> <ul style="list-style-type: none"> • Open PR&Cs → 6/\$163,521 ↑ \$146K • Open PAs → 4/\$163,521 ↑ \$146K

As of: 20000 3 Sep 08

OMA Open PR&Cs

		Last Report			This Report
PR&Cs Commits w/o Obs	Total PR&Cs -	149	PR&Cs Commits w/o Obs	Total PR&Cs -	130
	PR&Cs Obligated -	19		PR&Cs Obligated -	15
	PR&Cs Remaining -	130		PR&Cs Remaining -	115
	Total UnOBL Value -	\$20,079,762		Total UnOBL Value -	\$20,723,001

		Last Report			This Report
PR&Cs Commits ≠ Obs	Total PR&Cs -	2	PR&Cs Commits ≠ Obs	Total PR&Cs -	3
	PR&Cs Obligated -	0		PR&Cs Obligated -	1
	PR&Cs Remaining -	3		PR&Cs Remaining -	2
	Total UnOBL Value -	\$35,578		Total UnOBL Value -	\$321,123

Way Ahead – No major issues or concerns
 3 PR&Cs > \$1M open - no issue with awarding prior to end of FY
 9 PR&Cs > 60 days – 5 awarded and pending receipt of obligating document; 4 pending – no issue with awarding prior to end of FY

As of: 20000 3 Sep 08

OMA Outbound MIPRs

		Last Report			This Report
	Total MIPRs -	31		Total MIPRs -	31
	MIPRs Closed -	0		MIPRs Closed -	0
	MIPRs Remaining -	31		MIPRs Remaining -	32
	Total UnOBL Value -	\$380,827		Total UnOBL Value -	-\$695,809

OMA Inbound MIPRs

		Last Report			This Report
	Total MIPRs -	0		Total MIPRs -	0
	MIPRs Closed -	0		MIPRs Closed -	0
	MIPRs Remaining -	0		MIPRs Remaining -	0
	Total UnOBL Value -	\$0		Total UnOBL Value -	\$0

Comments – No major issues or concerns
 Will be sending 1 more MIPR pending C6VB validation

CERP Open PR&Cs

		Last Report		This Report	
PR&Cs Commits w/o Obs	Total PR&Cs -	6		Total PR&Cs -	2
	PR&Cs Obligated -	4		PR&Cs Obligated -	0
	PR&Cs Remaining -	2		PR&Cs Remaining -	6
	Total UnOBL Value -	\$19,000		Total UnOBL Value -	\$163,521

		Last Report		This Report	
PR&Cs Commits ≠ Obs	Total PR&Cs -	0		Total PR&Cs -	0
	PR&Cs Obligated -	0		PR&Cs Obligated -	0
	PR&Cs Remaining -	0		PR&Cs Remaining -	0
	Total UnOBL Value -	\$0		Total UnOBL Value -	\$0

Way Ahead – Program is on track. Will obligate as soon as contracts are received.

COMMANDER'S EMERGENCY RESPONSE PROGRAM (CERP) STANDARD OPERATING PROCEDURES

CONTENTS

1. REFERENCES
2. PURPOSE
3. PROGRAM MANAGEMENT
4. PROGRAM OVERVIEW
5. APPROVAL THRESHOLDS
6. REQUESTS FOR EXCEPTION
7. SPECIAL SITUATIONS
8. REPORTING
9. ANNEXES

1. **REFERENCES:** The pertinent guidance in the references listed below has been incorporated into this section of the MAAWS. These policies and instructions supersede FRAGOs issued prior to the release of this document. This section of the MAAWS shall be the primary source of guidance used to manage CERP, unless overridden by higher authority.
 - A. Under Secretary of Defense (Comptroller) (USD(C)) memorandum, subject: "Commander's Emergency Response Program (CERP) Guidance," dated 18 December 2008
 - B. United States Army Central Command (USARCENT) memorandum, subject: "USARCENT Commanders' Emergency Response Program (CERP) Guidance", dated 16 July 2008
 - C. DOD 5500.7-R, Joint Ethics Regulation
 - D. Department of Defense Financial Management Regulation Volume 12, Chapter 27, August 2008, Commander's Emergency Response Program (CERP)
 - E. Department of Defense Financial Management Regulation Volume 5, Chapter 2, June 2008, "Disbursing Officer, Officers and Agents;" Chapter 3, October 2006, "Keeping and Safeguarding Public Funds;" Chapter 9 January 2005, "Supporting Documents to Payment Vouchers;" Chapter 11, May 2008, "Disbursements;" and Chapter 33 April 2005, "Accountable Officials and Certifying Officers."
 - F. MNF-I FRAGO 060 [DFI Closeout Procedures], 21 June 2004
 - G. MNF-I FRAGO 05-374 [FY06 Commander's Emergency Response Program], 29 November 2005

- H. MNF-I FRAGO 549 [Execution of IIG Funded Reconstruction Projects], 23 December 2004
- I. MNF-I FRAGO 603 [Accountability of Funds from the Iraqi Interim Government], 11 January 2005
- J. MNC-I FRAGO 08-248 [Maximize the success and benefits derived from CERP], 27 March 2008
- K. MNC-I FRAGO 08-322 [Iraqi CERP]
- L. MNC-I FRAGO 08-518 [Revised Commanders Emergency Response Program (CERP) Reporting and Execution Guidance], 21 July 2008
- M. MNC-I FRAGO 08-023 [Distribute Revised USD-Comptroller/USARCENT CERP Guidance], 11 August 2008
- N. MNC-I, Acquisition Instructions for Ordering Officers, April 2006
- O. Disbursing Standing Operating Procedures (SOP) #2 (Revision #1), 23 January 2008
- P. Under Secretary of Defense Comptroller (USD(C)) memorandum, Appendix I "Allocation and Disbursement for the Development of Iraq (DFI)," subject: "Appendices for Procedures Applicable to Vested and Seized Iraqi Property," dated 16 December 2004

2. PURPOSE

- A. The purpose of the CERP program is to enable commanders to respond to **urgent** humanitarian relief and reconstruction requirements within their Area of Responsibility (AOR) by carrying out programs that will **immediately assist** the indigenous population. "Urgent" is defined as any chronic or acute inadequacy of an essential good or service that, in the judgment of the local commander, calls for immediate action. CERP is intended for projects that can be sustained by the local population or government and cost less than \$500K per project. Projects equal to or greater than \$500K are expected to be relatively few in number. MSC Commanders are required to verify local, national, donor nation, non-governmental organization or other aid or reconstruction resources are not reasonably available before using CERP funds.
- B. The MNC-I Commander's intent is to achieve focused effects while working directly with the Government of Iraq (GoI) for project acceptance with follow-on maintenance and sustainment (as required). Commands should prioritize those CERP projects that focus on urgent humanitarian relief while providing significant employment opportunities for the Iraqi people. Close coordination between

commanders, engineers, civil affairs, effects coordinators and comptrollers is vital to ensure funds are applied consistently to achieve desired effects. Additionally, CERP funds must be properly accounted for and reported accurately to higher headquarters.

C. CERP **may be used** to assist the Iraqi people in numerous areas (See Annex B-14).

D. Commanders will ensure that CERP projects focus primarily on:

1. Projects that can be sustained by the local population or government and cost less than \$500K.
2. Reconstructing structures damaged during military operations to rapidly improve conditions such as: repairing homes, roads, and mosques.
3. Making emergency repairs on critical facilities, such as hospitals, water treatment facilities, and electrical plants.
4. Economic Development.
5. Resolving small scale critical infrastructure shortfalls that can be rapidly repaired, such as: bridges, sewage and telephone systems.
6. Reducing the risk of injury to the local populace by: constructing security fences and barriers; removal of trash and sewage; providing blankets, space heaters, propane where unavailable; and installing traffic control and other warning signs.
7. Procuring critical equipment: to replace lost, stolen, non-repairable items, to establish critical community essential services such as new parts for a water pump, backup generators for a hospital, or firefighting equipment for a community fire department.
8. Employing as many Iraqi people as possible.

E. CERP **will not be used** for the following purposes:

1. Direct or indirect benefit to U.S., Coalition, or other supporting personnel.
2. Providing goods, services, or funds to national armies, national guard forces, border security forces, civil defense forces, highway patrol units, police, special police, intelligence, or other security forces (except the salaries of Sons/Daughters of Iraq or other critical infrastructure security services).

3. Weapons buy-back programs or other purchases of firearms or ammunition, except as authorized by law and separate implementing guidance.
4. Entertainment (except light refreshment costs (\$500 or less) purely incidental to either an approved CERP project opening ceremony or a conference in support of a CERP project).
5. Reward programs.
6. Removal of unexploded ordnance (unless incidental to construction or an agricultural development project).
7. Duplication of services available through municipal governments.
8. Salaries, bonuses, or pensions of Iraqi military or civilian government personnel.
9. Training, equipping, or operating costs of Iraqi security forces (including medical support).
10. Support to individuals or private businesses (exception: condolence, Iraqi hero, battle damage, former detainee release payments, and micro-grants).
11. Conducting psychological operations, information operations, or other US, Coalition, or Iraqi Security Force operations.
12. Loans or capitalization of lending institutes.
13. Purchasing goods or services from any US trade-sanctioned nation.
14. Stipends for trainees of CERP-funded education or training programs.

3. PROGRAM MANAGEMENT

- A. MNC-I Commander has theater oversight of CERP, shall publish guidance identifying objectives/goals, and coordinate reports to higher authorities. The MNC-I Commander will approve any essential individual CERP project of \$500K or more (on an exception basis given that the intent is for projects costing less than \$500K). The requesting unit will verify that local, national, donor nation, non-government organization, or other aid or reconstruction resources are not reasonably available before CERP funds are used.
- B. The overall program coordinator is the MNC-I C8. Primary responsibilities are to ensure consistency between functional program managers, identify timelines for program updates, coordinate data calls for overall CERP requirements, and

coordinate with functional program managers (C35 non-kinetic, C7, & C9) when developing CERP distribution proposals.

- C. The CERP program has three primary components: Humanitarian Assistance, Condolence/Battle Damage payments, and Reconstruction.
 - 1. Humanitarian Assistance. MNC-I C9 is the functional program manager who coordinates the economic benefits and humanitarian assistance within the CERP Program. This includes the monitoring of the Micro Grant program to ensure that the grant funds have been fully expended on the initiative that justified project approval. MNC-I C9 will measure effects of the CERP program on the local populace.
 - 2. Condolence/Battle Damage payments. The Condolence/Battle Damage payments functional program manager is the MNC-I C8.
 - 3. Reconstruction. The Reconstruction functional program manager is the MNC-I C7. They are primarily responsible for reconstruction reporting, policy, monitoring of reconstruction projects, and overall tracking of reconstruction efforts.

4. PROGRAM OVERVIEW

- A. The CERP family of funds is an effects enabler that provides Commanders with a non-lethal weapon system for high payoff projects and services. CERP provides a quick and effective method to institute an immediate positive impact on the Iraqi people. The keys to project selection are (1) execute quickly; (2) employ many Iraqis; (3) benefit the Iraqi people; and (4) be highly visible.
- B. Commanders will coordinate and determine project needs with local Iraqi government agencies, civil affairs elements, engineers, and the Provincial Reconstruction and Development Committees (PRDCs) and/or Provincial Reconstruction Teams (PRTs) to gain the greatest effect, ensure effect synchronization, and provide for documented GoI project acceptance with follow-on project maintenance and sustainment as required. Such efforts may also include complementary programs provided by the US Agency for International Development (USAID) and other non-governmental agencies operating in their AOR. Document this coordination as follows:
 - 1. Projects of \$50K or greater must be coordinated with PRDCs (including PRTs, embedded PRTs (e-PRT) and Provincial Support Teams (PSTs) where established). Such coordination must be noted in the project documentation.
 - 2. Document the project cost and unavailability of Iraqi funds or inability to execute, and list the various sustainment/operating requirements identified during the project planning process. For those projects that incur operating or

- sustainment costs and are equal to or greater than \$50K, prepare a MOA and obtain the signature of the applicable Iraqi Government official (either local, provincial, or national) acknowledging responsibility and his/her commitment to budget for and execute this agreement. Intent is to educate the applicable Gol entity on the project itself, while ensuring understanding of the project's out-year operating and sustainment costs. If the Gol official is not willing to fund operating costs or maintain the investment then do not fund the project.
3. The following two clauses need to be inserted into any and all MOAs that the Major Subordinate Command (MSC) may enter into with a Gol official for the follow on sustainment of projects.
 - a. "Nothing in this Memorandum of Agreement authorizes the commitment or obligation of appropriated funds of the United States of America prior to their availability, or in violation of any applicable statute, regulation or policy of the government of the United States of America"
 - b. "This document expresses the participants' intent to achieve the goals of this project. The participants intend for this project to benefit the neighborhood and its people for years to come. It is not, however, a legal instrument that binds the participants under international law. Rather, it embodies the aspirations towards which the participants strive."
 4. Per the terms of the Security Agreement between the Gol and the US, the US must consult with the Gol on all major construction projects.
- C. MNC-I MSCs have approval authority for projects less than \$500K. This authority may be delegated in writing to Brigade and lower Commanders at the MSC Commander's discretion. The MNC-I Commander approves projects equal to or greater than \$500K and up to \$1M for all Corp units.
- D. Commanders must ensure that projects are properly managed to ensure that CERP funds achieve maximum results, which includes establishing performance objectives and monitoring progress. Additionally, Commanders must ensure CERP funds are commensurate with project accomplishments/performance metrics, and that projects are monitored and closed out properly upon completion, including the transfer of ownership to an appropriate authority prepared to sustain the project.
- E. Commanders can quickly execute projects less than \$500K without a warranted contracting officer. This ability is via a USG employee (not a contractor) who is a JCC-I/A trained Project Purchasing Officer (PPO) . Contracts for projects \$500K or greater must be awarded by a warranted Contracting Officer. Use of a warranted Contracting Officer is recommended for projects \$500K or less when the technical complexity or the scope of the project exceeds the abilities of the PPO. It is the PPO's responsibility to ensure he or she has the necessary

knowledge to monitor and ensure work is completed in accordance with US standards as mandated in the contract Statement of Work (SoW). Any non-compliance or construction issue could result in the PPO being found negligent and held liable.

- F. There are two currencies (Iraqi Dinar and US Dollar) and three methods of payment (EFT, LDA, and cash) authorized in theater.
 - 1. The preferred currency is Iraqi Dinar over US Dollar. All cash payment under \$5K should be paid in Dinar.
 - 2. The methods of payment in order of preference are electronic funds transfer (EFT), check drawn against a Limited Depository Account (LDA), or cash. Upon identifying a payee or contractor, the paying agent should immediately begin coordination to make an EFT payment. Contracts should be written in Dinar to decrease Iraqi reliance on the US Dollar. US Dollar is the last resort form of payment.

5. APPROVAL THRESHOLDS

- A. These thresholds are per requirement thresholds, not per item or per project. Project splitting is prohibited – separating procurements that are related to the same requirement in order to stay below the CERP funding limitations is prohibited.
 - 1. Projects equal to or greater than \$500K require approval by the MNC-I Commander. In addition, per the 2009 National Defense Authorization Act, projects over \$500K will require a detailed report of the amount of funds provided by the Gol for the project and a description of the plan for the transition of such project upon completion to the people of Iraq and for the sustainment of any completed facilities, including any commitments by the Gol to sustain projects requiring the support of the Gol for sustainment.
 - 2. Projects greater than \$1M require Secretary of Defense (SECDEF) certification. The SECDEF (or Deputy SECDEF if authority is delegated) will certify that the project addresses urgent humanitarian relief and reconstruction requirements that will immediately assist the Iraqi people.
 - 3. Any project that began prior to FY 2009 which had an obligation of appropriated CERP amount less than \$1M but which now requires additional funding that will take the total appropriated CERP amount above \$1M requires SECDEF approval before additional CERP funding can be spent.
 - 4. Projects are capped at \$2M. The SECDEF may waive this funding limit if he determines that the project is required to meet urgent humanitarian relief or reconstruction requirements that will immediately assist the Iraqi people. He

must also notify the congressional defense committees in writing concerning the unmet and urgent needs to be addressed by the project, and any arrangements between the USG and the GoI regarding the provision of Iraqi funds to carry out and sustain the project.

5. Projects greater than \$750K require a certification that the project is linked to a cost sharing arrangement with the GoI or justified on an exception basis because it directly supports the US security mission in Iraq.

B. CERP approval threshold matrix

Item	Limit	Approval Authority	Can be delegated?
Project Approval	<\$500K	MSC Cdr	Yes
Project Approval	≥\$500K up to \$1M	MNC-I Cdr	No
Project Approval	>\$1M up to \$2M	SECDEF	Yes (To Deputy SECDEF)
Project Approval	>\$2M	SECDEF; must inform Congress within 15 days	No
Condolence/Battle Damage Payments	Up to \$2.5K	BDE Cdr	Yes
Condolence/Battle Damage Payments	>\$2.5K up to \$10K	First G.O. Commander in Chain of Command	No
Condolence/Battle Damage Payments	>\$10K	MNC-I Cdr	No
Battle Damage Payments (when IA/IP actions caused damage)	Dollar amount of damage	MNC-I Cdr	No
Iraqi Hero Payment (IA/IP)	Up to \$2.5K	BDE Cdr	Yes
Iraqi Hero Payment (IA/IP)	>\$2.5K up to \$10K	First G.O. Commander in Chain of Command	No
Iraqi Hero Payment (non IA/IP Civ)	Up to \$10K	MSC Cdr (All Separate BDEs must seek approval from MNC-I CoS)	No
Micro Grants	Up to \$5K	BDE Cdr	Yes
Micro Grants	>\$5K up to \$10K	MSC Cdr	No
Micro Grants	>\$10K	MNC-I Cdr	No

6. REQUESTS FOR EXCEPTION

- A. Send clarification requests to the MNC-I C8 or to the respective functional program managers as identified above.
- B. If a request for exception to this policy is required; submit to the MNC-I Deputy Chief of Staff who will route it for staffing and approval as necessary.

7. SPECIAL SITUATIONS. There are a number of special situations in the CERP program. These range from different types of CERP affiliated funding (such as I-CERP and Iraqi Interim Government (IIG), to special uses of CERP (such as condolence and former detainee payments), to special execution of CERP. These items are addressed below.

A. CERP Affiliated funding

- 1. **Iraqi CERP (I-CERP).** I-CERP funding was provided by the Iraqi government in April 2008 with an expressed project focus on schools, water purification plants, health clinics, city planning facilities, roads, sewers, and irrigation. See Appendix C for specific application of I-CERP.
- 2. **Iraqi Interim Government (IIG) Funds.** IIG funds were also known as Development Funds for Iraq (DFI). These are funds that the Iraqi Interim Government contributed towards CERP in August 2004.
 - a. IIG funds are to assist the Iraqi people in the following areas:
 - 1. Security and Law Enforcement
 - 2. Justice, Public Safety Infrastructure, and Civil Society
 - 3. Electric Sector
 - 4. Oil Infrastructure
 - 5. Water Resources and Sanitation
 - 6. Transportation and Telecommunications
 - 7. Roads, Bridges and Construction
 - 8. Health Care
 - 9. Private Sector Development
 - 10. Education, Refugees, human Rights, and Governance

- b. The project execution criteria should include the ability to:
 - 1. Execute quickly.
 - 2. Employ many Iraqis.
 - 3. Benefit many Iraqi people.
 - 4. Be highly visible.
- c. The business rules and processes employed in the execution of IIG Funds will mirror CERP execution and project management with additional special instructions as noted below:
 - 1. Report project status by the 5th of each month using the CERP reporting format.
 - 2. Units will promptly report any changes in these projects (need for additional funding, cancelation, change in scope) so that MNF-I may inform the Iraqi Government and gain approval. Funds increases will require units to resubmit the entire project package for endorsement by MNC-I and approval by MNF-I. See project approval process in Annex 1 to Appendix B.
 - 3. C8 will submit IIG status of funds and list of complete and open projects to MNF-I by the 12th of each month until funds are exhausted and all projects are complete.

B. Special Uses for CERP

1. Condolence / Battle Damage Payments

- a. CERP authorizes payments for death, injury, or battle damage in the amounts up to \$2.5K. This means for each death, each injury, and each incident of property damage CERP funds can be used to pay the family. For example, two members of the same family are killed in a car when the car is hit by US forces. The head of that household could receive a maximum of \$7.5K in payment - \$2.5K for each death (\$5K) and \$2.5K for the damage to the vehicle. Extraordinary cases may be approved by the 1st GO in the chain of command for payments up to \$10K per incident. This authority cannot be delegated.
- b. Condolence payments can be paid to express sympathy and to provide urgently needed humanitarian relief to individual Iraqis and the Iraqi people in general. Commanders must verify that a claim against the USG

is not a viable option under the Foreign Claims Act prior to using CERP for condolence payments. Condolence payments are different from claims and are not an admission of fault by the USG. It is crucial to remember that when a Commander uses CERP funds, it is not an acknowledgement of any moral or legal responsibility for someone's death, injury, or damaged property. Condolence payments are symbolic gestures and are not paid to compensate someone for a loss. CERP condolence payments are not Solatia payments and will not be referred as such. In addition, condolence payments are only for Coalition/US Force caused incidents.

- c. Battle damage for Iraqi Army (IA)/Iraqi Police (IP) caused damage may be approved on a case by case basis by the MNC-I Commander. This authority cannot be delegated.

2. Iraqi Hero Payments

- a. Iraqi Hero payments are defined as a payment to the surviving spouse or next of kin of IA/IP, or in extraordinary circumstances, government civilians (e.g. PRDC employees) who were killed as a result of US, Coalition, or supporting military operations. Iraqi Hero payments are considered a subset of the OSD authorized condolence payment, but are only payable in the event of the death of one of these authorized individuals and at the same amounts as condolence payments.
- b. Commander's must bear in mind that the Ministry of Interior (Mol) and Ministry of Defense (MoD) make Iraqi Hero payments to the families of IA and IP forces to provide long term assistance. It may not be prudent to make it a standing practice to make substantial condolence payments to the families of every fallen Iraqi Security Force (ISF) member and full consideration must be given to the Iraqi Mol/MoD Iraqi hero payment system. Iraqi Hero payments to IA/IP families should be minimal and used to provide immediate assistance only.
- c. Iraqi Hero payments for non-IA/IP casualties must be approved by the MSC Commander (General Officer) only in extraordinary circumstances and on a case by case basis. This authority cannot be delegated.
- d. All claims must be reviewed by a claims attorney in order to determine whether CERP or Solatia funds will be used for payments.

3. Former Detainee Payments

- a. Detainees released from MNC-I detention facilities will be paid \$6 dollars per day for each day they are held in the detention facility. This payment will be automatic unless there is a finding by the facility commander that payment is not appropriate in a particular case. The payments will be

made to provide humanitarian relief to the family and community for time spent in detention.

- b. This policy does not authorize payments to detainees upon transfer to Theater Internment Facilities.
- c. Detainee payments are not compensation, but are expressions of sympathy for wages lost during detention and to provide urgently needed humanitarian relief to individual Iraqis for their families. Detainee payments are not claims, are not an admission of fault by the government, and are not an acknowledgement of any moral or legal responsibility for a person's detention.
- d. Documentation of detainee payments will include the name of the recipient, the date that the incident occurred, city and province where incident occurred, and a detailed description of the extent of the incident. These assessments must be documented in a memorandum certified by the approver of the project.

4. Procedures for Condolence / Battle Damage / Iraqi Hero / Former Detainee Payments

- a. Each category (Condolence / Battle Damage / Iraqi Hero / Former Detainee Payments) will have its own DA3953. The Commander may choose to make multiple payments in a single category against one DA3953.
- b. Upon Commander approval, the PA may go to the Finance Office and use the DA3953 for an advance bulk fund draw of cash in Iraqi Dinar or U.S. dollars. If US dollars are used, a memorandum from the unit commander is required justifying the use of US dollars.
- c. The PA makes a disbursement using a roster that provides the name of the recipient, the amount, and their signature. The PPO and PA will certify each roster that it represents the actual payments made to Iraqi individuals or heads of household for condolence payments.
- d. The PPO will prepare a memorandum providing a description and explanation for the condolence payments. This will include the date(s) that the incident occurred, city and province where incident occurred, and a detailed description of the extent of the incident. The Commander will sign this memorandum. The memorandum and all rosters will become part of the project file.

- e. Clearing of all bulk fund accounts will be completed according to the theater supporting Finance Command's guidance. Units must ensure that classified documentation is not submitted improperly to Finance.
 - f. All documents will be immediately forwarded to the Unit Comptroller upon completion and clearing Finance.
- 5. Commander's Small-Scale Projects.** Enable the Commander to resource multiple small scale projects that require immediate sourcing. This process should be on an exception basis and used only when operating conditions prevent immediate access to financial support. The following guidance applies:
- a. Maximum amount per project is \$5K.
 - b. The advance bulk draw of funds will be initially captured under the "Other Urgent Humanitarian and Reconstruction" project category in the CERP Project Tracking System. The Project Title will be input as "Commander's Small-Scale Projects".
 - c. Once all funding has been disbursed (paid out), units must input each individual project that was funded into the CERP Project Tracking System using one of the OSD-Comptroller designated CERP categories. The original entry of "Other Urgent Humanitarian and Reconstruction" Category will then be removed from the Project Tracking System so expenditures and projects are not duplicated. For example, if funding two Electrical and two Education projects, four projects would be input into the Project Tracking System: two as Electrical Projects and two as Education Projects. This will ensure that the execution of CERP funds is accurately captured and portrayed in the CERP Project Tracking System. This requirement ensures compliance with OSD-Comptroller CERP guidance regarding accurate project record keeping.
 - d. Retain detailed individual project expense receipts and documentation in the project folder for compliance review and auditing purposes.
- 6. Micro Grants.** These payments provide financial assistance to disadvantaged entrepreneurs engaged in small and micro business activities that can support humanitarian relief and reconstruction. See Annex B-2 for detailed guidance.
- 7. CERP Project ribbon cutting ceremony.** Upon completion of a CERP project, units are authorized to spend up to \$500 for light refreshment costs during the ribbon cutting ceremony. Approval authority for exceptions to this threshold is the MNC-I Commander.

C. Special Execution of CERP

1. Advance Bulk Funding.

- a. MSC's are authorized to draw **advance** bulk funds for Commander's Small Scale Projects, condolence, battle damage, detainee, and Iraqi Hero payments. **Advance bulk funds are not authorized for Micro Grants.** Advance bulk funds are lump sum withdrawals from Finance made to a PA. Advance bulk funds will not be obligated until obligating documentation is received (contract or MOA, SF44, or appropriate obligating document). The purpose of advance bulk funds is to allow prior command approved payments to be initiated more quickly and projects closed out sooner than if individual withdrawals were made. The withdrawal of advance bulk funds at any single time is limited to \$50K per Battalion (and Brigade HQs as applicable) in a 2 star commanded MSC and \$200K total for O6/O7 separate commands (e.g. CJSOTF). The authority to draw advance bulk funds is at the discretion of the Commander and may be delegated as the Commander requires, but in no case may a unit's PAs have more than the units authorized limit in advance bulk funds at a time. The Chief of Staff of a 2 star commanded HQs may approve up to \$50K in additional bulk funds for a Battalion/Brigade to meet specific operational needs.
- b. The approval of advance bulk funds is not intended to circumvent the CERP approval process. The Commander must approve all advance bulk funded payments prior to the disbursement of funds. Condolence, battle damage, former detainee, Iraqi Hero, and Commander's Small Scale Projects are the only instances where multiple payments can be consolidated for advance bulk funding. Each category of payment **MUST** be on a separate funding document and documented individually in the CERP Project Tracking System. For example, you cannot combine battle damage and Iraqi Hero payments on the same document.
- c. Clearing of all bulk fund accounts will be completed according to Finance's guidance. See Annex B-16, Disbursing Standard Operating Procedures (SOP) #2, 23 Jan 2008. After clearing Finance all documents will immediately be sent to the Unit Resource Manager (G8/C8).

2. Execution by Coalition Major Subordinate Commands

- a. Because of US financial regulations, the methods to fund and disburse CERP projects with Coalition MSCs will vary from the normal procedures.
- b. The Coalition MSC Commander will appoint a MSC Disbursing Agent (DA) (US member preferred) to receive the cash from the US Military Finance Office. The Coalition MSC DA will receive training from MNC-I C-8 and

the US Military Finance Office on how to issue/return funds and disbursement vouchers to/from PAs using DD1081. SECDEF waiver authorizes Coalition members to serve as PAs. Prior to appointing Coalition members as PAs, units will need to confirm the waiver is still in effect.

- c. MNC-I C-8 will certify funds on a DA3953 for the Coalition MSC. The Coalition MSC DA will then receive cash from a US Military Finance Office. At no time will non-USG personnel certify funds.
 - d. The Coalition MSC DA will act as the "Finance Office" in these procedures to issue cash to PAs within the Coalition MSC. The Coalition MSC DA will receive returns of remaining funds and disbursement vouchers from PAs. All issues and returns will use DD1081.
 - e. On a monthly basis, the Coalition MSC DA will turn in copies of all DD1081s and disbursement vouchers received from PAs to the Coalition MSC Comptroller and supporting Finance office.
 - f. The Coalition MSC Comptroller will ensure that the Coalition MSC DA clears with Finance and transfers any remaining cash to the next appointed Coalition MSC DA prior to leaving the command or theater. The Coalition MSC Comptroller will issue a clearance memorandum to the former Coalition MSC DA once the DA has cleared with Finance.
- 3. Funding for non-Battle Space owners.** Non-Battle Space owners may require CERP for specific projects. Requests will be submitted to the owning Battle Space Commander for approval and funding. This procedure ensures the project is consistent with and not redundant to other projects in that area and that they support the Battle Space owner's desired effects.

8. REPORTING

A. Overview

1. The overall success of CERP reporting is based on checks and balances. The three main systems that track CERP information are the CERP Project Tracking System (a Resource Managers tool), the Database Commitment Accounting System (DbCAS), and the Army Standard Financial System (STANFINS). MNC-I is currently planning to transition from DbCAS to Resource Management Tool (RMT). Upon transition, all references to DbCAS will become RMT. The CERP Project Tracking System (Annex 18) meets OSD-C's revised reporting guidance. MSC G8s are required to provide a status of funds update to MNC-I C8 every Friday and the 1st of each month. All MSC G8s, Coalition Forces (CF) and separates that initiate CERP projects will submit their CERP Project Tracker NLT the 3rd of each month to

the MNC-I C-8 Special Programs CERP manager. CERP funded projects must be captured in this spreadsheet and reconciled throughout the life of the project. DbCAS is the system used to commit projects and transmit obligations into STANFINS, and STANFINS tracks obligations and disbursements against these CERP projects. Through a coordinated effort of Commanders, CERP Program Managers, civil affairs, engineers, effects coordinators, PPOs and Resource Managers, reporting systems will remain up-to-date and accurately reflect the status of projects. MNC-I provides detailed monthly reports to higher commands that ultimately reach the office of the Secretary of Defense and finally Congress for review and are used for audit purposes. Leaders at all levels make decisions for future funding based on these reports. Additionally, these reports are used to provide a Reconstruction Common Operating Picture (COP). Failure to accurately report CERP execution data is indicative of poor internal management controls and may result in funding being withheld until rectified.

2. MNC-I C8 has the responsibility for submitting to USARCENT and HQDA by the 10th day of each month a CERP Project Tracker Report as of the last day of the preceding month. This monthly report is referred to as a quarterly report for the month of December, March, June, and September. Each report is cumulative (e.g. the November report will include October data). The CERP Project Tracking System shall contain the following information, identified by Project Category:
 - a. For all Projects:
 1. Tracking #.
 2. URI, Unique Requirement Identifier (if unit uses).
 3. Unit.
 4. Project Document Reference Number/STANFINS Document Reference Number.
 5. Project Category (from Annex 14).
 6. Project Title.
 7. Province where project is located.
 8. Description (two or three sentences that describe the project for a person not familiar with it). For micro-grant projects list the name of recipient and the type of business. For Commander's Small Scale Projects sourced out of bulk funding, capture the initial bulk funded amount under the "other urgent and humanitarian or reconstruction"

category. Once the bulk fund is completely obligated/disbursed, replace with actual project descriptions for each completed project using the appropriate CERP categories.

9. Total amount committed, obligated, and disbursed for the project.
 10. Obligation date. NOTE: Once projects are identified, if they are cancelled during the same fiscal year they remain on the report with a note that they were cancelled and the obligated amount adjusted to \$0.
 11. For projects costing \$50K or more provide justification stating how the project supports the purpose of CERP, e.g., justification for the project.
 12. Current status of the project and projected completion date or when the project was completed, noting also whether the project was finished or terminated for other reasons.
 13. For projects \$50K or more, identify the date when project is/will be transferred to the Iraq government. Annotate with “yes” to indicate the government’s commitment to sustain the project, or “no” to indicate no agreement for sustainment. Details of any indicated sustainment must be included in the project files.
 14. Number of local citizens estimated to directly benefit from project, if available.
 - a. Number of local citizens estimated to be employed by the project.
 - b. Number of local citizens estimated to be affected by the project.
- b. For projects equal to or greater than \$500K:**
1. All information identified above for each project.
 2. Note whether project sustainment is required and if it has been arranged.
 3. Description of the plan for the transition of the project upon completion to the Iraq people/government and the Gol’s commitment to sustain the project.
 4. For projects in Iraq, identify the amount of funds, if any, provided by the Government of Iraq for this project.
 5. Note whether with “yes” or “no” if one of the goals of the project includes benefit to internally displaced citizens.

6. For each project in Iraq costing more than \$750K, note whether it was approved by the MNC-I Commander for funding based on a cost-sharing arrangement with the GoI or based on direct benefit to the US mission.
3. The MNC-I Commander will provide a Commander's Narrative for each quarterly report. This narrative consists of the Commander's intent for CERP funds by geographic sector, including performance measures for on-going and proposed projects, specific details for each prior and proposed project of \$500K or more and the contributions these projects made to humanitarian relief and reconstruction efforts for the benefit of the Iraqi people. Annex B-17 provides additional guidance on the Commander's Narrative. In conjunction with this report, but provided separately, MNC-I will notify USD(C), MNF-I, and USCENTCOM J8 of all individual CERP projects of \$500K or greater during the normal monthly/quarterly reporting process. Such separate notification shall include a description of the project, an estimated time required for completion, and a justification of how the project supports the purpose of the CERP and the respective theater campaign plan. MNC-I C7, C8, C9 and C35 Non-Kinetic will participate in the staff synchronization and planning to complete the CERP Quarterly Narratives, with the assistance of the MSCs.
4. MSC CERP Managers are responsible for the project data provided in the Iraqi Reconstruction Management System (IRMS). IRMS is the central database for project management; critical to measure and record civil capacity efforts stipulated in OPOD 09-01. At a minimum CERP and I-CERP projects will be entered during the approval/funding phase and updated with any project status changes. Authorized entries for the IRMS "Status" field are: waiting on approval, approved, in progress, physically complete, terminated, or cancelled. Additionally, the "Program Status" field should reflect the correct funding status. For completed projects ensure that the IRMS project "Execution" and "Project Outcomes" tabs are updated with the appropriate project information and effects. By the 10th of each month MSC CERP Managers will provide the MS Excel report generated from the IRMS MNC-I BUA Report feature to MNC-I C7. The report will include all active (funded, started, in progress, or completed) CERP and I-CERP projects during the previous month. Verification and reconciliation of IRMS data against the G8's CERP Project Tracking System report is required before submitting. Access and reference material for IRMS is found through the web page: <https://irms.pco-iraq.net>.

B. Project monitoring and performance metrics. All projects must have progress monitored to ensure that payments are commensurate with work accomplished and engineering standards are met. The PPO delegation memo should note that assistance from either the organizations engineers or another

unit's engineers may be requested to assist in determining construction progress. All projects involving grants must be monitored to ensure grant funds are fully expended on the approved initiative. See Annex B-15 for additional guidance regarding performance metrics.

C. MSC Comptroller Requirements.

1. MSC Comptrollers must maintain a document register for each CERP Family of Funds (CERP, IIG, I-CERP).
2. MND/MNF Comptrollers will maintain their own DbCAS (Army)/SABRS (Marines) records. MNC-I C8 is responsible for maintaining DbCAS for the CF MSC Comptrollers and units who receive a Military Interdepartmental Purchase Request (MIPR).
3. MSC G-8's must track all CERP projects via the CERP Project Tracker. The spreadsheet's format and instructions are located in Annex B-18 and CERP categories are located in Annex B-14. G8's are required to update all projects status in the CERP Project Tracking System as changes occur. It is imperative that the CERP Project Tracker reflect accurate amounts committed, obligated, and disbursed for each project, as well as project status. At a minimum, these numbers must be reconciled monthly with the MSC CERP Status of Funds Tracker. Accurate reporting of actual obligation and final disbursement dates, detailed project descriptions, correct CERP categories, and project status requires timely input and updates as changes occur. Project titles, descriptions, and justifications (if over \$500K) will accurately reflect the scope and intent of the project. All entries will avoid the use of acronyms, abbreviations, or capital letters. Project titles, descriptions, and justification formatting will comply with standards for Congressional review.
4. MSC Comptrollers must submit a monthly MSC Commander's CERP Status of Funds report to MNC-I C8 NLT the 3rd of every month (data as of the end of month). The following defines the information required in the monthly MSC Commander's CERP Status of Funds report: (See Annex B-5)
 - a. Type of CERP Funding – Indicate CERP (by fiscal year), I-CERP, or IIG.
 - b. Cumulative Funds Allocated – Total funds distributed to MSC. The total funding distributed on a RDD / MIPR / DA3953.
 - c. Cumulative Funds Committed – Total funds committed to pay for projects. The total of all approved and certified DA3953 / DD1149s.

- d. Cumulative Funds Obligated – Funds are obligated based on the dollars awarded for contracts or paid for condolence/battle damage/micro grants. Bulk funds are not obligated until payment is made.
 - e. Cumulative Funds Disbursed – Amount of money paid to vendors or individuals for goods and/or services as represented in the financial systems.
5. The Commander’s monthly CERP Status of Funds report will include the following statements:
- a. “The CERP obligations in the CERP Project Tracker have been reconciled with the CERP obligations in STANFINS (or service/Coalition equivalent system) and no discrepancies were found.”

-OR-

“The CERP obligations in the CERP Project Tracker have been reconciled with the CERP obligations in STANFINS (or service/Coalition equivalent system) and the following discrepancies were found: (as applicable).
 - b. “I have verified that all controls and procedures were followed, and the unit is exercising appropriate fiscal oversight in accordance with MNC-I fragmentary orders and command guidance. In addition, I certify the monthly status of funds report as true and accurate.”
6. MSC Comptrollers must also review and submit the CERP Project Tracker. See Annex B-18.

9. ANNEXES

- B-1. Responsibilities, Project Execution and Management
- B-2. Micro Grant Program
- B-3. Project Purchasing Officer Acquisition Instructions
- B-4. Project Clearance Letter Sample
- B-5. Commander’s Monthly CERP Status of Funds Report Sample
- B-6. DA FORM 3953 Sample
- B-7. SF44 Sample
- B-8. CERP Project File Checklist
- B-9. CERP Funding Process Flow Chart
- B-10. DD 577 JAN 04 Appointment/Termination Record
- B-11. Request for Increase in Funds
- B-12. CERP Request Packet Checklist
- B-13. CERP Standard Letter of Justification
- B-14. CERP Category Definitions and Potential Projects
- B-15. CERP Performance Metrics
- B-16. Disbursing Standard Operating Procedures (SOP) #2 (Revision 1), 23 Jan 08
- B-17. CERP Quarterly Report Commander’s Narrative
- B-18. CERP Project Tracker Instructions and Column Headings
- B-19. CERP Elements of Resources for CERP and I-CERP

RESPONSIBILITIES, PROJECT EXECUTION, AND MANAGEMENT

CONTENTS

1. OVERVIEW
2. RESPONSIBILITIES
3. PROJECT MANAGEMENT PROCEDURES

1. **OVERVIEW**: Commanders at all levels are responsible for the success of the Commander's Emergency Response Program (CERP) and must ensure that their personnel abide by the guidelines prescribed in the MAAWS and higher authority.
2. **RESPONSIBILITIES**: Outlined below are responsibilities key stakeholders have when executing the CERP
 - A. MNC-I Commander. The MNC-I Commander has Theater oversight of CERP, shall publish guidance identifying objectives and goals, and shall coordinate reports for submission to higher authorities. The MNC-I Commander will approve any essential individual CERP project of \$500K or more (on an exception basis). For projects of \$500K or more, the MNC-I Commander will ensure that local, national, donor nation, non-government organization, or other aid or reconstruction resources are not reasonably available before CERP funds are used.
 - B. Major Subordinate Command (MSC) Commander. The MSC Commander identifies and approves CERP projects within his dollar threshold (less than \$500K). The MSC Commander must ensure proper management, reporting, and fiscal controls to account for funding. The MSC Commander will delegate CERP project funding approval thresholds within his/her command and will sign the monthly CERP Status of Funds (SOF) statement prepared by the MSC Comptroller (can be delegated to the Chief of Staff (CoS)). Additionally, the MSC Commander must identify a MSC CERP Program Manager in writing and forward copies to MNC-I C7 and C8. This program manager will be the primary POC for the MSC, working directly with the MNC-I C7 and C8. The MSC Commander will ensure that local, national, donor nation, non-government organization, or other aid or reconstruction resources are not reasonably available before any CERP funds are used.
 - C. Brigade/Battalion Commander. The Brigade/Battalion Commander will appoint their Project Purchasing Officer (PPO) and Paying Agent (PA) in writing. The appointment order specifies the maximum amount that the PPO may contract, or amount the PA may draw from the Finance Office. The PPO will only be issued appointment orders upon successful completion of PPO training by a warranted Contracting Officer. The PA will only be appointed upon receipt of training by Finance. The Commander will take reasonable assurances that the PPO is not over extended and projects are commensurate with the PPO's skill set. **The**

BDE Commander must ensure that no one individual serves as both PPO and PA.

- D. Major Subordinate Command (MSC) Comptroller. The MSC Comptroller certifies the availability of funds; ensures proper resource management and fiscal controls; and will clear PPO and PA accounts. The MSC Comptroller will provide a quarterly CERP funding requirement estimate (spend plan) two months prior to the beginning of the following quarter (e.g., Aug 1 for FY 1st quarter). MNC-I Commander's Lines of Operation are utilized in determining quarterly requirements. The MSC Comptroller, working with the MSC CERP Program Manager, will prepare a weekly SOF report forwarding it to MNC-I C8 NLT 1200 each Friday. A monthly SOF report signed by the MSC Commander (can be delegated to CoS or equivalent) is due NLT the 3rd of each month to MNC-I C8. The MSC Comptroller is responsible for the CERP Project Tracker due to MNC-I C8 NLT the 3rd of each month.
- E. Major Subordinate Commander (MSC) CERP Program Manager. The MSC CERP Program Manager is appointed by the MSC Commander. The CERP Program Manager coordinates CERP requirements with the MNC-I staff and maintains a list of unfunded requirements. The Program Manager updates projects in the Iraqi Reconstruction Management System (IRMS).
- F. Project Purchasing Officer (PPO). The PPO is a direct representative of the Contracting Officer. He or she must be a United States Government (USG) employee; Coalition members cannot serve as PPOs, nor can contractors. The PPO's authority to procure services and supplies is granted by the Commander IAW policies and procedures outlined in training received by the appropriate contracting office. The PPO manages the individual CERP projects and maintains project files IAW this SOP. The PPO may be subject to pecuniary liability, and could face administrative actions or criminal prosecution for making any prohibited purchases. A PPO may not be designated as a PA during the same period of time.
- G. Paying Agent (PA). The PA is a direct representative of the servicing Finance office's Disbursing Officer (DO) and receives and disburses CERP project expenditures. Coalition members are authorized to serve as PA subject to continued Secretary of Defense (SECDEF) approval and if internal controls are met to ensure restitution of USG funds if they are lost. PAs are trained by the servicing Finance office and are subject to pecuniary liability for any cash, negotiable instrument, and/or paid vouchers entrusted to them. **Only the PA is authorized to disburse funds.** All funds shall be delivered, transported, and safeguarded consistent with DoDFMR 7000.14-R, Volume 5, Chapter 3, and applicable Finance policies and procedures. If the PA fails to abide by applicable regulations and procedures, the PA can be held liable for any losses of funds and may be subject to administrative actions or criminal prosecution. The PA is

responsible for coordinating with Finance prior to and after the receipt of money on the potential for any classified documents produced during the disbursement of CERP funds. A PA may not be designated as PPO during the same period of time.

- H. Contracting Office. The contracting office (currently JCCI/A) conducts formal training classes for PPOs, provides certificates of training in writing and awards contracts for all CERP projects \$500K or greater.
- I. U.S. Military Finance Office. The supporting DO, Deputy Disbursing Officer (DDO) or Disbursing Agent (DA) trains and briefs PAs in their duties and responsibilities. The PA will sign a pecuniary liability statement in the presence of the DO, DDO or DA.
- J. Coalition MSC Disbursing Agent. The Coalition MSC DA acts as a Finance Office to fund PAs within a Coalition MSC.
- K. MNC-I C-8. Develops annual CERP funding requirement based on the MSC input and the MNC-I Commander's guidance, obtains annual program authority from USCENTCOM and funds from USARCENT. MNC-I C8 allocates funds and monitors MSC's commitments, obligations, and disbursements. MNC-I C8 will submit to USARCENT and HQDA by the 10th day of each month a CERP Project Tracker Report as of the last day of the preceding month. The CERP Project Tracker Report shall contain the information as described in Annex B-18. MNC-I C8 will receive all completed CERP project files, perform a file audit, retain the files for one year and then forward to USARCENT at the end of the following fiscal year. MNC-I C8 will provide staff assistance visits to units based upon their request to assist with program issues. MNC-I C8 is the program coordinator for CERP.
- L. MNC-I C7. Coordinates Reconstruction Program management and status reporting; staffs exceptions to policy; plans and publishes reconstruction orders; and coordinates and chairs the Reconstruction Program Review Board (PGRB). The Reconstruction PGRB is a monthly review board for MSC's to update MNC-I regarding ongoing reconstruction initiatives. The Reconstruction PGRB is vital for non-lethal enablers – civil military operations, engineers, resource management and effects to update program status, reconstruction plans, new guidance, and quality assurance. MSCs will ensure civil affairs, engineers, effects and comptrollers participate in the Reconstruction PGRB. MSC's will provide and brief a reconstruction update that integrates non-lethal enablers input for each province and strategic city.
- M. MNC-I C9. Coordinates the economic and humanitarian assistance needs that the CERP Program can source. This includes the monitoring of the Micro Grant program to ensure projects are advancing economic development in their

province or region. MNC-I C9 will measure the effects of the CERP program on the local populace.

N. MNC-I C35 Non Kinetic, C7, C9. Participate in staff synchronization and planning with MNC-I C8 to complete the CERP quarterly narratives and to develop MNC-I FY CERP guidance. The 4th quarter narrative will address the next FY's overall goals for CERP funding, priorities, uses for CERP and how CERP supports the Joint Campaign Plan.

3. PROJECT MANAGEMENT PROCEDURES: Management of a CERP project involves seven steps: CERP Program Funding, Project Identification, Project Approval, Project Funding, Project Execution, Project Payment, and Project Closure. Each of these steps is covered below.

A. CERP Program Funding

1. MNC-I receives annual program authority from USCENCOM and funding from USARCEN. Funds are requested on a quarterly basis or as needed. If additional program authority is required, MNC-I C8 will coordinate with USARCEN G8 and USCENCOM J8.
2. MNC-I C8 develops a recommended funds distribution plan in coordination with MNC-I C7, MNC-I C9 and MNC-I C35 non kinetic. This distribution plan is based on desired effects, operational priorities and ability to execute the funding. All distribution plans are approved by the MNC-I Commander.
3. MNC-I C8 distributes funding to MSCs and/or separate Brigades in accordance with the approved plan.

B. Project Identification

1. Commanders will coordinate with Iraqi Government agencies, civil affairs elements, engineers, Provincial Reconstruction and Development Committees (PRDCs) and/or Provincial Reconstruction Teams (PRTs) to gain the greatest effect while meeting the urgent humanitarian and reconstruction needs of the Iraqi people. Coordination with local officials is critical to ensure that the project meets a perceived need by the population, is appropriate for the culture, and will be maintained in the future. Operations, maintenance, and staffing should be discussed before any project begins. Any construction or equipment project \$50K or more requires an Iraqi MOA accepting the follow-on maintenance and sustainment requirements of the project.
2. Units scope the proposed project, developing a Statement of Work (SoW) or a project proposal that describes what the project is and what it will do. Units provide this information to their MSC CERP Project Manager to identify it as a

planned project. The SoW should be sufficiently detailed to allow the contractor to know what needs to be done. At the end of the project if there is a disagreement as to what work should have been done the SoW will be used to determine who is correct. If the work is not spelled out in the SoW, the contractor is not obligated to do it. Any costs associated with another organization (e.g., Gulf Region Division) performing contracting and/or project oversight will be included within the estimated project cost. A detailed list of the services being provided and their associated cost will be included with the SoW.

3. Commanders appoint a PPO to manage the project and a PA to process payments (once the project is approved) for the contractors.
4. ADVANCE BULK FUNDS ARE PROHIBITED EXCEPT TO PAY FOR CONDOLENCE, BATTLE DAMAGE, FORMER DETAINEE, IRAQI HERO PAYMENTS AND COMMANDERS SMALL SCALE PROJECTS. For Bulk Funds the unit requesting the requirement will prepare either a DA 3953 (Purchase Request and Commitment Form), a DD1149 (Requisition and Invoice/Shipping Document), or a memorandum identifying the required funding. The Initiating Officer will either be the individual from the unit requesting funding, the MSC CERP Program Manager, or a Brigade/Battalion staff officer. The signature for the memorandum requesting authority to initiate bulk funding can either be an individual from the unit requesting the funding or the MSC CERP Program Manager.

C. Project Approval

1. Once the project has been identified, a CERP request packet will be submitted to the appropriate approval authority.
2. Every CERP request packet must contain the following (Annex B-12):
 - a. CERP Standard Letter of Justification (LOJ), Annex B-13.
 - b. MSC endorsement (not required if LOJ is signed by the appropriate approval authority).
 - c. Projects \$50K or greater require coordinated documentation with Gol and PRT's (or similar organizations).
 - d. Performance Metrics for any project \$50K or more.
 - e. SoW or Bill of Quantities along with a Cost Estimate.

- f. DA3953 or DD1149. The line of accounting for the DA3953 must have the appropriate Element of Resource (EOR). See Annex B-19.
 - g. Memorandum of Concurrence from MSC, if requesting activity is not the Battle Space owner.
 - h. Legal Review by U.S. DoD attorney.
 - i. DD Form 577 Appointment / Termination Record for the Project Purchasing Officer and Paying Agent.
 - j. Appointment Memorandum for the Project Purchasing Officer / Paying Agent.
3. The SECDEF, MNC-I, and MSC Commander's approval authority is addressed in the base instructions. Projects will not be split to circumvent these limits.
 4. If the actual project costs exceed the DA3953/DD1149 or memorandum amount, a Funds Increase Memorandum (FIM) is required. The FIM must be approved prior to making disbursements that exceed the amount on the original DA3953/DD1149.
 5. If the actual project costs exceed the original approving Commander's authority level, the project must be approved by the higher level Commander prior to making disbursements that exceed the amount on the original project approval documentation. If a project \$500K or more has already been approved by the MNC-I CG, any cost increases exceeding 20% must be resubmitted and approved by the MNC-I CG. In addition, any project that previously had an obligation of appropriated CERP funds less than \$1M but which now requires additional funding that will take the total appropriated CERP above \$1M, must be approved by the MNC-I Commander and certified by SECDEF before additional funds can be obligated.
 6. If funding is unavailable the CERP Program Manager will maintain an unfunded requirements list.

D. Project Funding

1. Non-bulk funded projects
 - a. Upon Commander's approval the DA3953/DD1149 is submitted to the MSC Comptroller's Office. Coalition members must submit all funding documents to MNC-I C8 for fund certification.

- b. The MSC Comptroller's Office processes the DA3953/DD1149 by issuing a standard document number, printing the accounting classification on the document, signing block 21 as the Certifying Officer, and committing the funds. There will be no co-mingling of funds in the same project (use only one funding source - U.S. appropriated CERP, Iraqi CERP, or Iraqi Interim Government (IIG) funds).
 - c. The documents in Annex B-12 must be on file at the MSC Comptroller's Office prior to release of the DA3953/DD1149.
 - d. The issuance of a funded DA3953/DD1149 authorizes the PPO to contract for the project.
 - e. The DA 3953/DD1149 does **NOT** constitute an obligating document. The MSC Comptroller must wait until proper obligating documents have been received (contract or SF44) prior to obligating funds in the financial system.
2. Advance Bulk Funds. The approval of bulk funds does not change the approval process. Condolence, battle damage, former detainee, Iraqi Hero payments, and Commander's Small Scale Projects are the only instances where multiple payments can be consolidated with advance bulk funding. Each category of payment must be on a separate funding document. Note that once Commander's Small Scale Projects are disbursed, then each individual project must be identified in the CERP Project Tracker. Failure to comply with reporting Commander's Small Scale Projects and adjusting the tracking system will result in the loss of this program.
 3. Projects must be entered into the CERP Monthly Tracking System when funds are committed. As obligation and disbursements occur, the CERP Project Tracking system must be updated. Bulk funds are obligated only upon making disbursements. Projects will be tracked throughout the life of the project. For further information on the CERP Project Tracking System see Annex B-18.

E. Project Execution

1. The PPO will maintain a project file containing copies of all documents created during the project.
2. The PPO contracts for services and supplies within the established dollar limits and in accordance with the training received from the US warranted contracting office and IAW this SOP. The PPO negotiates payment terms to include price/cost, currency, and payment schedule. The PPO limit is less than \$500K per project. Requirements at and above the \$500K limit must be

contracted by a USG warranted Contracting Officer. The PPO will make the best effort to identify local Iraqi firms, in accordance with the Iraqi first procurement plan. The PPO, when feasible, should seek multiple bids in order to encourage competition.

3. The PPO manages the project to completion. Lack of ability does not excuse failure to adequately supervise a project and ensure the SoW requirements are met. Failure can result in the PPO being found negligent and liable for any cost, damage, or loss of life. IT IS ABSOLUTELY ESSENTIAL THE PPO NOT PERFORM THIS DUTY IF NECESSARY QUALIFICATIONS TO DO SO ARE ABSENT. The PPO may use a warranted Contracting Officer as desired.
4. Advance payments are not authorized. Installment or in-progress payments based upon a completion percentage are recommended and should be stated in the contract. Payments should be paid via EFT (Iraqi Dinar) although Limited Depository Checking accounts, cash payments in Iraqi Dinar and US Dollar (last resort) are authorized.
5. In accordance with the payment schedule, the PPO will prepare an SF44 or DD250. This will acknowledge the receipt of goods or a percentage of work completed on the project. Total disbursements for the project will not exceed the amount on the contract, DA3953/DD1149 or approval memo for a bulk fund requirement. Each SF44 or DD250 must be complete to include a detailed description of supplies and/or services received.
6. If the project costs exceed the amount on the DA3953/DD1149, the PPO will immediately contact the approving Commander and the MSC CERP Program Manager. The Commander will either suspend work on the project or approve a FIM (prepared by the PPO or contracting office awarding the contract) for the difference. The Commander approving the funds increase must have approval authority high enough for the total cost of the project.
7. If the project is cancelled or suspended, the PPO will immediately notify the approving Commander and the MSC CERP Program Manager. Once a project is cancelled un-needed funds will be deobligated and the CERP Project Tracking System will be updated.

F. Project Payment

1. EFT Payment

- a. Upon identification of the Vendor or Payee, the PA and PPO will obtain the banking information necessary to complete an EFT payment (in Iraqi Dinar).

- b. The PPO will prepare the DD250, certifying that goods or services have been received. The Paying Agent will submit to Finance and the Comptroller: DA200; EFT form (obtain an updated version from Finance); PR&C; Contract; DD577's and appointment orders for the PPO/PA; Invoice; and DD250.
 - c. Finance will return the DA200 to acknowledge receipt of the payment request.
 - d. Finance will certify the payment, producing an SF1034. Finance will send a copy of the SF1034 to the PA once the payment has been sent to International Treasury Services.
2. Limited Depository Checking Account (LDA), per DoD FMR Volume 5 Chapter 14 can be used as a form of payment for CERP. The use of an LDA is encouraged to reduce the use of cash in Theater, while providing an immediate form of payment.
3. Cash Payment
 - a. The PA will take the DA3953/DD1149 to the Finance Office, with copies of the PPO/PA Appointment/Termination records and appointment Orders, to draw cash for payment. Iraqi Dinar will be the primary form of cash payment, the US Dollar is authorized as a last resort. The Finance Office will issue a DD1081 (Statement of Agent Accountability) that acts as a hand receipt for the cash. The DD1081 must reference the document number recorded on the DA3953/DD1149.
 - b. The PPO will prepare the SF44 and contact the PA to arrange payment with the vendor. The PPO and the PA will go together to make payment to the vendor.
 - c. The PPO will authorize payment on the SF44. The PA will insert the dollar value of the goods or services and sign the SF44 immediately after the certification statement – "I certify that this account is correct and proper for payment in the amount of..."
 - d. The vendor will sign the SF44 and receive a copy. The vendor should provide an invoice or receipt, either before or at the time of payment. Both the PPO and PA must be present. The PPO (or designated representative) will sign as the receiver on the SF44. The PA cannot sign as the receiver. The SF44 becomes an accountable document to the PA and it is a required to clear the PA's DD1081 from Finance.

- e. The PPO and PA will clear with the MSC Comptroller before clearing the Finance Office.
- f. The PA will clear with their Finance (where funds were drawn) and will need their completed SF44/SF1034, receipts and any remaining currency to clear their DD Form 1081. The DD Form 1081 must reference the document number recorded on the DA3953/DD1149. The Finance Office will prepare an SF1034 voucher for the total amount of all SF Forms 44 submitted. When bulk funding is used, several requirements may be completed on a bulk draw prior to clearing Finance. After clearing Finance and receiving the DD1081 (return), the PPO and PA will provide a copy to the MSC Comptroller to finalize the clearing process.
 1. The PA, PRIOR to coming to finance, will clearly identify and mark any classified documentation, and will remove any unnecessary classified documentation not required by Finance. The PA will notify Finance prior to or immediately upon arrival to clear if he/she has any reason to believe there is potentially classified material within the clearing documentation.
 2. The Finance Office will provide the PA with updated guidance on the classification of documents. While Finance is clearing the PA, all documentation will be closely scrutinized according to the latest criteria.
4. The PA will keep or obtain a copy of all SF44/SF1034/DD1081 and provide a copy of all documents to the PPO. The PPO will clear the PA and provide a clearance memorandum to the PA upon receipt of all disbursement and agent documents.
5. Disbursements are not recorded in STANFINS until the PA clears with the finance office where the funds were drawn. After every payment is cleared by the PA to the DO (installment and final), the DO submits original payment vouchers to DFAS-Rome where the disbursement is recorded in STANFINS and held for future review or audit.

G. Project Closure

1. Once the project is completed, the project will be closed in the CERP Project Tracking System. The "Project Status" field will be changed to "Complete, transferred, sustainment arranged", or "Complete, transferred, no required sustainment", or "Terminated prior to completion", and the

disbursements will be entered. If funds were de-obligated, then the obligation field should also be corrected.

2. The PPO will reconcile all documents used during the project. All required documents in the project checklist must be included, (Annex B-8).
3. Commanders are required to review the project file, all disbursement vouchers, and supporting documentation. After review, the Commander will issue a clearance memorandum stating: "I have reviewed and approved the project, it is complete and adheres to the guidelines set forth in the current MNC-I MAAWS and applicable FRAGOs." The PPO will add the Commander's clearance memorandum to the project folder.
4. The PPO will then submit the completed project file to the MSC Comptroller's Office for review, reconciliation, and clearance.
5. The MSC Comptroller's Office will ensure the project file contains all documents described above. The PPO is responsible for making corrections or providing memorandums explaining lost or illegible documents endorsed by the approving Commander.
6. After receiving all required documentation in the project file, the MSC Comptroller must provide a clearance memorandum to the PPO stating: "The following CERP Project is cleared, contractually sufficient, and within the scope of the appointed authority." A copy of the MSC Comptroller clearance memorandum will be placed in the project file.
7. The MSC Comptroller's Office will provide completed project files to the MNC-I C8 on a quarterly basis. MNC-I C8 will not accept completed files unless a completed checklist is attached along with all the necessary documents. In the event that completed project files become lost, the MSC Comptroller will reconstruct the file with the following minimum information/documents: project description, accounting documents, and Commander's explanation/clearance letter.

CERP MICRO-GRANT PROGRAM PRACTICES AND PROCEDURES

CONTENT

1. PURPOSE
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 3. KEY TASKS
 4. BACKGROUND
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 9. FISCAL MANAGEMENT PROCEDURES REQUIREMENTS
1. **PURPOSE:** To provide basic guidelines and specify common procedures and restrictions to be followed by MSCs in using CERP funds to make micro grants to support small and micro business activities.
 2. **REFERENCES:**
 - A. (U) DoD FMR 7000.14-R, Volume 12, Chapter 27, November 2007
 - B. (U) MNC-I OPORD 06-03, dtd NOV 2006
 - C. (U) MNC-I FRAGO 518 [Revised Commanders Emergency Response Program (CERP) Reporting and Execution Guidance], 21 July 2008.
 3. **KEY TASKS:**
 - A. MSCs must have a SOP for solicitation, selection, and monitoring of business micro grants.
 - B. All micro grants will adhere to MNC-I policy.
 4. **BACKGROUND:** Throughout the AOR, there are several GOI institutions that are making loans available to small businesses and entrepreneurs. This will increase economic activity, and result in job availability and businesses that can support reconstruction and relief projects. The Commander's intent via the micro grant program is to provide local Commanders in areas adversely impacted by insurgent and sectarian violence a flexible tool with which to engage entrepreneurs and increase economic activity that supports reconstruction and humanitarian relief efforts.
 5. **CONCEPT OF OPERATIONS:**

- A. The purpose of this program (subject to the restrictions and implementation requirements) is to use CERP funds to provide financial assistance (**preferably in the form of in-kind contributions**, cash, or both) to disadvantaged entrepreneurs engaged in small and micro business activities that can support humanitarian relief and reconstruction. For purposes of this program, a disadvantaged entrepreneur is one lacking independent wealth or otherwise unable to access sufficient business credit at commercially reasonable terms.
- B. Grants provided should generally be less than \$2.5K and should be made based on standardized selection criteria and processes in accordance with the guidance set forth in this SOP. Resources provided will not be repaid or returned to MNC-I. In-kind deliveries of equipment, tools, and other material support, when practical, are preferred over cash payments. In-kind distributions help to ensure that grants will be used for intended purposes and limit the ability of AIF, criminal elements, and other corrupt individuals from acquiring grant proceeds. In certain circumstances, however, one or more cash payments to be used for working capital may be provided to a grant recipient.
- C. The goal is stimulation of economic activity that supports MNC-I reconstruction and humanitarian assistance operations. Assistance provided is intended to allow disadvantaged individuals to grow existing businesses or re-establish disrupted enterprises which will create lasting economic activity in a community. As such, the primary target recipients are individuals operating existing businesses or those whose prior business activities have been disrupted in recent years. Support to individuals without prior business experience may be considered on a case by case basis, particularly with respect to recent college, university or professional graduates who desire to start a business. But only applicants with strong business concepts should be considered for grants in this latter category.
- D. Within the guidelines and restrictions specified in this SOP, Commanders are encouraged to be creative and adapt the micro grant program to local conditions in order to achieve the best local results. The application guidance set forth below provides general criteria to be used in evaluating grant requests. Ultimately, however, the judgment of individual Commanders based on local circumstances will determine the relative merit of each grant request. The objective is to make high-quality grants which will have a meaningful impact in a community, not merely to make a large numbers of grants.
- E. Commanders are encouraged to use the micro grant program in conjunction with other CERP projects and other Coalition Forces (CF), US government, and Gol economic development initiatives. For example, it may be appropriate in certain circumstances to require a grant applicant to employ vocational education graduates or students as a condition for receipt of a grant. If a micro lending institution is present in a community, grants should be made to leverage the

aggregate economic benefit of such activities. For example, an engine repair shop might receive a piece of equipment under the micro grant program and a loan from a micro finance institution to use as working capital to hire one or more new employees to operate that machine.

6. PROCEDURES:

- A. MSCs will develop SOPs for grant solicitation, approval, implementation, and monitoring including a written application to be completed for each grant application. Procedures will incorporate the guidance and restrictions contained in this document.
- B. Grants will be awarded based on applications submitted by potential grantees. As the target grantees are experienced, but not large entrepreneurs, application procedures should be kept as simple as practical. Formal business plans or financial projections should generally not be required. Applications will be evaluated on the basis of the following criteria:
 - 1. Applicant has the necessary knowledge, skills, and experience required to undertake the proposed activity.
 - 2. An understanding of the market for their activity, including, where will the product or service be sold, at what cost, and the level of competition. Such factors shall be assessed by the information provided by the applicant on the application or in an interview by Coalition Forces, if practicable.
 - 3. That the resources available to the applicant will be realistic to the business idea being pursued.
- C. How the grant would be used. Applicant should show:
 - 1. How the assistance provided will be used.
 - 2. That the requested resources are sufficient for the intended purpose.
- D. How the applicant will manage the activity including use and maintenance of resources.
- E. Need and character of the applicant:
 - 1. Does the applicant have alternative resources?
 - 2. Has the applicant's business been negatively impacted by military operations or extremist violence?

3. Does the applicant have character references from trusted sources in the community?
4. How the business will re-invest incomes derived from the grant back into the business.
5. Measurable increases in production, trade, or business activity.
6. Positive impact that the supported activity will have on the community.
7. Number of jobs created.
8. Willingness of the applicant to contribute resources to the enterprise including in-kind contributions and "sweat equity."
9. Any grant to an applicant with a value up to \$5,000 shall be pre-approved by the Brigade commander or his staff designee.
10. Any grant to an applicant with a value greater than \$5,000 and up to \$10,000 shall be pre-approved by the MSC Commander.
11. Any grant to an applicant with a value greater than \$10,000 shall be pre-approved by the MNC-I commander.
12. Assistance provided will be in the form of in-kind distributions, cash grants, or a combination of both. In-kind grants or reimbursements for completed improvements or purchases by the grant recipient are preferable to cash payments to the extent practical. Commanders are encouraged to structure payout of grants in segments and condition later payments upon successful accomplishment of agreed goals (for example, new employees hired, renovations completed, new equipment installed, etc.).
13. Grant making activities should be focused in areas underserved by other micro-credit and assistance programs. In areas where micro-lending programs are available, applicants may propose to combine program resources in order to leverage capabilities. However, under no circumstances shall grants be provided to repay existing micro-loans or other business support programs.
14. Commanders shall maximize the use of Iraqi partners to solicit applicants to the extent practical. Potential local partners include NACS, DACS, NGOs, tribal leadership, college and university officials, agricultural cooperatives, business development centers, and any other formal or informal entity supportive of CF and GoI efforts with sufficient outreach in their community. Final selection of grant recipients, however, will remain with CF and CF

payment rules shall apply. Regardless of the source of the applicant and recommendations for approval, only those applications proposing viable business ideas should be approved.

15. The application and selection process shall be made clear to all applicants. For every applicant selected to receive a grant, there may be numerous disappointed non-selected applicants. Providing the objective criteria upon which the selection was made will lessen the perception that the process was pre-determined or otherwise unfair. Commanders retain full discretion, however, to deny grants to any party not deemed an appropriate recipient, for whatever reason.

16. Customary background checks similar to those conducted on other Iraqi nationals who are recipients of US funds will be conducted on all approved applicants prior to disbursement of grant proceeds.

F. Once a grant is distributed, the progress of the supported enterprise will be monitored. The grants should be monitored to ensure that the grant funds have been fully expended on the initiative that justified the project approval. The intent is to assess the effectiveness of the grant, not to provide mentoring or other support for the enterprise. The effectiveness of prior grants should be used as a guide in subsequent grant making activities.

7. EXECUTION:

A. After completion of the micro-grant application(s), the unit can process a single PR&C to draw cash for payment of the multiple micro-grants. This will result in only having to prepare one PR&C and enable the unit to draw the cash it needs to source multiple micro-grants at various locations. This enables the unit to obtain cash to pay multiple micro-grants once they are vetted and approved; minimize the financial documents necessary to obtain cash; and ensures that the record keeping is maintained.

B. Each individual micro-grant must be entered into the CERP Project Tracking System separately.

C. On the PR&C (in the description block), the unit will need to annotate the applicable micro grants being funded as well as the CERP Project Tracking System unique reference identifier (if unit uses IRMS) for each approved grant. The CERP Project Tracking System entry is made upon grant approval (to include dollar amount). This will ensure that the PR&C is processed with the correct funding annotated for each micro-grant.

8. LEGAL CONSTRAINTS AND REQUIREMENTS:

- A. While an expected collateral benefit of the micro grant program is increased employment opportunities at small businesses, the program may not be used as a general purpose job creation program.
- B. Micro grants are prohibited to enterprises which are in the following lines of business:
 - 1. Entertainment.
 - 2. Equipping or training the ISF.
 - 3. Services duplicative of those provided by the Gol.
 - 4. PSYOP or IO activities.
 - 5. Weapons sales or service.
- C. Micro grants may not be used to obtain directly goods or services for U.S., Coalition, or other supporting forces.
- D. The business activities supported must have a relationship to CF reconstruction or humanitarian relief efforts. Questions regarding whether a proposed grant is sufficiently related to these efforts should be directed to the Commander's SJA. Example activities which have a sufficient connection to reconstruction and humanitarian relief efforts to qualify for grants include:
 - 1. Construction.
 - 2. Equipment and electronic repair.
 - 3. Agribusiness including production, processing, and distribution.
 - 4. Educational services which are not duplicative of available Gol services
 - 5. Reconstruction material supply.
 - 6. Heavy equipment.
 - 7. Transportation.
 - 8. Conflict resolution and mediation services.
 - 9. Legal services related to furthering rule of law.

10. Medical services which are not duplicative of available Gol services.

E. All MSCs will maintain records and provide financial reports. Commanders must maintain documentation that records the amount and character of each grant (list of equipment provided and cost, for example) and the Commander's determination that the grant met the requirements set forth in this instruction.

F. Each Brigade Commander upon making grants in his AOR with an aggregate value equal to or greater than of \$250K shall forward copies of the records to his Division Commander for review and confirmation of compliance with the intent of the micro grant program prior to making additional grants. Upon satisfactory review of such documentation, the Division Commander will restore the authority of the Brigade Commander to resume making grants. An identical halt and review process shall occur for each additional \$250K increment of grants made.

9. **FISCAL MANAGEMENT PROCEDURES REQUIREMENTS:** All grants will adhere to MNC-I policy IAW this instruction and referenced documents that govern the use of CERP.

PROJECT PURCHASING OFFICERS (PPO) ACQUISITION INSTRUCTIONS

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1. **PURPOSE:** The purpose of this Acquisition Instruction for CERP PPOs is to consolidate the laws and policies found in the FAR, DFAR, AFAR, AFAR Manual No. 2, MNF-I FRAGO 87, and MNC-I FRAGO 845.
2. **STANDARDS OF CONDUCT:** Reference: DoD 5500.7-R, *Joint Ethics Regulation*. Because of the sensitivity of spending American taxpayer's money and the potential conflicting business and cultural standards in the theater of operation, misunderstanding and appearance of impropriety is greatly heightened. PPO's conduct and behavior shall be above reproach. Project Purchasing Officers shall not solicit or accept, directly or indirectly, any gratuity, gift, favor, entertainment, loan, or anything of monetary value from any vendor or contractor.
3. **ROLE OF A PROJECT PURCHASING OFFICER:** Project Purchasing Officers are an extension of the Contracting Office and are only authorized to obligate CERP funds. Coalition members cannot serve as PPOs. A Contracting Officer delegates the authority to obligate the USG to make payments to the PPO. Project Purchasing Officers play a vital role in purchasing goods and services that will assist Commanders in providing urgent humanitarian relief that will immediately assist the Iraqi people. When contracting for services, the PPO should employ as many Iraqi

people as possible. Project Purchasing Officers can quickly and directly make purchases of less than \$500K from local vendors and contractors. Only USG Contracting Officers and their authorized agents (e.g., PPOs) can obligate the US Government to pay for an item or service.

4. **NOMINATION**: A PPO is nominated/approved by a Commander (O-5 and above), see FIGURES 3-1 & 3-2. Only US Government personnel can be appointed as PPOs and should be the rank of E-6 or above. PPOs may not hold additional duties of PA, FOO, Property Book Officer, or Property Accountable Officers.
5. **PROHIBITED PURCHASES**: When in doubt, call Contracting and/or MNC-I C8. Purchasing any of the below items will result in immediate procurement authority termination. Project Purchasing Officers are not authorized to obligate funds for the following:
 - A. Rewards. OMA funds will be used to pay rewards for information leading to the seizure of weapons or information regarding wanted personnel. You can not use CERP.
 - B. Direct or indirect support of coalition or other supporting forces: Do not use CERP funds to purchase items that will have any benefit to coalition or other supporting forces. An example of "other supporting forces" is the Iraqi Security Police (ISF). MNSTC-I will provide Quick Reactionary Funds for ISF support.
 - C. Entertainment of Iraqi people.
 - D. Weapon buy-back program. Do NOT use CERP funds for any type of weapon buy-back program. In addition, CERP funds will not be used to facilitate the removal of captured enemy ammunition or unexploded ordnance for any purpose.
 - E. Firearms or ammunition.
 - F. Duplicating services available through Iraqi municipal governments.
 - G. Salaries. Do NOT use CERP funds to pay for salaries or pensions of Iraqi government personnel.
 - H. Anything \$500K and up. Warranted Contracting Officers must negotiate contracts for requirements \$500K and up.
6. **PROJECT PURCHASING OFFICER LIABILITIES**:
Reference: AFARS manual No. 2

- A. Pecuniary and Legal Liability. Project Purchasing Officers may be subject to pecuniary liability, and/or could face UCMJ action, for making purchases prohibited by the PPO appointment and these acquisition instructions. Project Purchasing Officers are responsible for informing their Commander of the extent and limitations of their authority. If in doubt, see a Contracting Officer before making an SF 44 purchase.
- B. Loss of accountability of SF 44s. The PPO must be aware that the SF 44 is a direct draft upon the U.S. Treasury and may be accepted by vendors without further proof of authority to execute. Therefore, the PPO must safeguard all SF 44s or risk being held accountable for those forms presented for payment over the signature of someone other than the PPO.

7. FUNDING:

Reference: AFARS Part 5113.306

- A. Funding is established by submitting a DA Form 3953, Purchase Request and Commitment (PR&C). A separate PR&C will be used to pay for each project, regardless of amount. Block 35 of the PR&C can be signed by a United States representative only. An O-6 signature in block 35 is required for any PR&C less than \$200K (MSC Commander may delegate to an O-5). A General Officer (O7 and above) signature in block 35 is required for any PR&C equal to \$200K to less than \$500K. A 2-star MSC Commander may delegate approval authority to the MSC Chief of Staff (CoS). MNC-I CG will approve or delegate approval authority for PR&C amounts equal to and greater than \$500K.
- B. Bulk Funds are prohibited except to pay for condolence battle damage payments, Micro Grants, former detainee, Iraqi hero payments, and Commanders Small Scale Projects. Advance bulk funds are not authorized for micro grants.
- C. The PPO must ensure that they do not exceed the monetary limitation listed on the DA Form 3953.
- D. Payments to individuals are strictly prohibited, with the exception of condolence, battle damage payments, Micro Grants, former detainee, and Iraqi Hero Payments. Payments should include the name of the recipient, date of incident, city or location where incident occurred, and a detailed description of the extent of the incident. The receipts for Micro Grants should state what the grant will be used for. (The details should be in memo format signed by the Brigade or Division Commander as backup to the payment.)
- E. The PA is advanced funds on a Statement of Agent Officer's Account (DD Form 1081) that is initiated by the Finance and Accounting Office.

8. RATIFICATION:

- A. Improper Procurements and Unauthorized Commitments. Ratification is the process of approving an improper procurement or an unauthorized commitment. Improper procurement is a purchase that exceeds the PPO's authority (e.g. a PPO making a purchase for \$500K or more). An Unauthorized Commitment is obligating funds in excess of the available amount, which is a violation of The Anti-Deficiency Act. Ratification is a long, painful process, and not all ratifications result in approval (which means the PPO/Paying Agent (PA) may have to personally pay for the purchase). Note that an unauthorized purchase on an SF 44 cannot be ratified if the purchase was something that could not have been made by a Warranted Contracting Officer.
- B. Ratification Process. Ratification is accomplished using ARCENT Form 121-R. This eight-page form requires input from the PPO, his supervisor, his unit commander, his first O-6 level commander (or higher depending on amount of purchase), legal review by attorney, and the Contracting Officer (or higher level Contracting Official, depending on amount of purchase). Should ratification be necessary, the Contracting Officer will explain the process in more detail.

9. PROJECT PURCHASING OFFICER TASKS AND RESPONSIBILITIES:

- A. Reference: AFARS Manual No. 2
- B. The PPO must:
 - 1. Comply strictly with all provisions of the appointment letter and acquisition instructions.
 - 2. Follow standards of conduct as prescribed in DoD 5500.7-R, *Joint Ethics Regulation*.
 - 3. Not re-delegate the contracting authority of a PPO.
 - 4. Receive requirement(s) from the unit commander.
 - 5. Determine if they are capable of safely and effectively administering a project. Awarding a project that is beyond the PPOs expertise or ability could result in the PPO incurring pecuniary or legal liability. **Monitoring of project progress is mandatory through completion.** (See Appendix B)
 - 6. **Establish performance metrics for the project before forwarding for funding approval in accordance with Annex B-15/B-17.**

10. PURCHASING OFFICER FOLDER: PPOs shall maintain an operational file, which will be organized by the below instructions.

A. Left Side of Folder. Attached from bottom to top.

1. The original DA Form 3953
2. Copy of Paying Agent Appointment/DD577
3. Funding increases or decreases
4. Backside of DA Form 3953 (filled out as purchases are made)

B. Right Side of Folder. Attached from bottom to top.

1. Battalion Commander's request for PPO appointment
2. Signed Standards of Conduct Statement and Certification of PPO Training
3. Acquisition Instructions: Purchasing Officer
4. PPO Appointment/DD577
5. One memorandum, covers all SF 44 purchases; signed by unit commander
6. Photo copy of the SF 44 Record of Purchases register
7. Copy of monthly DD 1057 Feeder Reports
8. After final reconciliation, PPO termination order

11. SF 44, PURCHASE ORDER -- INVOICE -- VOUCHER:

Reference: FAR Part 13.306

A. Purpose. The SF 44, Purchase Order -- Invoice -- Voucher, is a multipurpose pocket-size purchase order form designed primarily for on-the-spot, over-the-counter purchases of supplies and non-personal services while away from the purchasing office or at isolated activities. The SF 44 can be used as a receiving report, invoice, and public voucher.

B. Conditions for Use. PPOs are responsible for ensuring that the below conditions are met before making an SF 44 purchase.

1. Unit Commander deems the purchase as an emergency or mission critical item.
2. The amount of the purchase is at or below their contracting limit of less than \$500K U.S. dollars and within their self determined ability to successfully administer. The requirement shall not be split to avoid this dollar limitation. Purchase requirements exceeding this monetary threshold will be forwarded to the Contracting Office for procurement.
3. Sufficient funds are available. A DA Form 3953, Purchase Request and Commitment Form, signed by a budget officer must be in place prior to the PPO entering into any transactions.
4. The supplies or services are immediately available from the local trade area.
5. Promote competition and area wide economic growth by attempting to obtain three bids for all contracts/purchases over \$10K.
6. The purchases are rotated among sources of supply when possible.

12. PREPARATION OF STANDARD FORM 44:

- A. PPO will fill out the SF 44 with a ballpoint pen. Press hard; all copies of the form must be legible.
- B. **Order Identification Number:** The PPO should use the numbers provided by the contracting office and only resort to local numbering if none were provided. In any event the PPO must provide the Contracting Officer a "Record of Purchases".
- C. **Date of Order:** The date the order is placed.
- D. **Order Number:** SF 44 Booklet Number, which the appointing Contracting Officer assigns and writes on the front cover, and either "A" thru "Y," which the PPO assigns to the order. An example: PIIN, Booklet No., Fifth purchase; (DABM03-03-M-2006-0008).
- E. **Payee or Seller:** Business or trade name and address of the vendor must be correct in order to facilitate payment.
- F. **Furnish Supplies or Services:** Print your activity address.

- G. **Supplies or Services, Quantity and Unit Price:** Completed by the ordering officer. Ensure description is adequate enough that anyone can tell what was purchased.
- H. **Amount, Total and Discount Terms:** All transactions should be in Dinar, must be completed prior to the signature of the PPO, and enter the word "NET" in the "Discount Terms" block.
- I. **Date Invoice Received:** The date of receipt by the PPO of the properly signed Seller's Invoice (Copy 1).
- J. **Agency Name and Billing Address:** The address for the finance and accounting office supporting your command.
- K. **Ordered By:** The title ("PPO") and signature of the PPO will be used on all copies of the form.
- L. **Purpose and Accounting Data:** The fund cite shown on the DA Form 3953 will be written out in full in this block. Write legibly!
- M. **Received By:** When the delivery or pickup is made, the PPO or a designated official will complete this information.
- N. **Seller:** The seller/vendor signs and dates all copies of the form on the date payment was received by the seller. Seller checks the "Payment Received" block. If the vendor refuses to sign, write "Vendor Refuses to Sign" in the seller's signature block.
- O. **Authorized Certifying Officer:** PA signs when payment is made.
- P. All other spaces are reserved for finance and accounting office use.

13. DISTRIBUTION OF STANDARD FORM 44:

- A. **Copy 1 (White) (Seller's Invoice):** The PPO, Seller, PA, and Receiver sign Copy 1. After the receiver signs for the items on Copy 1, Copy 1 is detached and given directly to the PA. The PA retains Copy 1 for finance reconciliation.
- B. **Copy 2 (Blue) (Seller's Copy of Invoice)** will be given to the vendor at the time of purchase.
- C. **Copy 3 (Pink) (Receiving Report – Accounting Copy).** After the receiver signs for the items on Copy 1, Copy 3 is detached and given directly to the PA. The PA retains Copy 3 for finance reconciliation.

- D. **Copy 4 (Green) (Memorandum Copy)** will be retained by the PPO and submitted to a Contracting Officer for SF 44 reconciliation.

14. RECORD OF PURCHASES BY THE PROJECT PURCHASING OFFICER:

- A. Record of Purchases. The PPO will maintain a record of purchases made in register format on the inside flap of the SF 44 booklet. The register will show as a minimum, order number, name of contractor, date of purchase, and total cost of the transaction.
- B. Record of Funds. The PPO will also maintain a record of funds remaining available to him/her on the back of the DA Form 3953. This will be maintained in checkbook register style, with each entry being subtracted and a running balance maintained at all times.

15. LOST OR STOLEN SF 44s:

- A. PPO will immediately inform the Contracting Officer via telephone and prepare a written statement on how the unit SF 44s were lost or stolen.
- B. The Contract Officer notifies Security, Commander, and Finance Officer.
- C. If lost SF 44s are found, take statement from the individual returning the lost SF 44s.
- D. If Copy 1 (white) is lost after a purchase has been made, the PPO and PA must recreate the paperwork by submitting a memorandum for record stating the circumstances, dollar amount, and purchase order number.
- E. If the PPO loses Copy 4 (green) photocopies of Copy 1 (white) must be obtained.

16. CLEARING PROCEDURES:

- A. PPO and PA will reconcile and clear their accounts with their MSC Comptroller before the Finance and Accounting Office. Completed projects must be reconciled and cleared in a timely manner.
- B. A letter from an O-5 or higher in a position of command must justify expenditures and authorization for payments. Commanders are required to review all SF 44's with supporting documentation. After review, the Commander will issue a clearance letter stating: "I have reviewed and approved the projects, and they are complete and adhere to the guidelines set forth in the MNF-I FRAGO 087".

- C. The PA will provide a copy of the initial and closing DD Form 1081 to the unit Comptroller. The DD Form 1081 must reference the document number recorded on the Purchase Request and Commitment Form (DA Form 3953).
- D. PPO and PA will also provide the Comptroller with a copy of all Purchase Order-Invoice-Vouchers (SF 44s) and all supporting documentation. Each SF 44 must have the vendor's invoice/bill attached and a copy of the contract, if applicable.
- E. Each SF 44 must be complete to include a detailed description of supplies and/or services received. The "Ordered By" section of the form will include the signature of the PPO and the title "Project Purchasing Officer". The Receiver of the goods or services will sign in the "Received By" block and include their position title. (NOTE: The receiver of the goods or services will be an individual other than the PA). The PA will insert the dollar value of the goods or services and sign the SF 44 immediately after the certification statement—"I certify that this account is correct and proper for payment in the amount of".
- F. The vendor must sign the SF 44 for the receipt of payment. A copy of contract, and any other justification (memorandum for record, legal reviews, etc.) to support the project shall be provided to the comptrollers and included in the project file.
- G. After receiving DD Form 1081, all SF 44's with supporting documentation, and the Commander's clearance letter the Comptroller must provide a clearance letter stating: "The following SF 44's are cleared, contractually sufficient, and within the scope of the appointed authority".

17. TERMINATION FOR OTHER THAN CLOSE OUT:

- A. By the request of the Commander who initiated the appointment.
- B. As a result of making unauthorized purchases or other misconduct.
- C. The Contracting Officer may terminate a PPO without the concurrence of the requesting command.

18. SUBJECT MATTER EXPERTS: PPO (if they are not qualified) should seek engineer support or submit for GRD administrative assistance to accomplish the following general duties:

- A. Determine if the project components were adequately designed before construction or installation.
- B. Determine if the construction or rehabilitation meets the standards of the design.

- C. Determine if the contractor and the USG's quality assurance plan are adequate.
- D. Determine the adequacy of the sustainment plan.
- E. Determine if the project results are consistent with the original objective.

19. SPECIFIC REQUIREMENTS:

- A. Contractor will have a Quality Control Plan. The Quality Control Plan is used to determine if:
 - 1. All materials are new and meet US construction standards.
 - 2. Design and construction meets National Committee for Clinical Laboratory standards.
 - 3. Electrical, sanitary, and drinking water installations are safe and operational upon completion of work.
 - 4. No items are procured from prohibited sources.
- B. The Quality Assurance Plan will document periodic visits to construction site and include:
 - 1. Date and weather.
 - 2. Determination of percent complete.
 - 3. Number of employees on the site.
 - 4. Brief description and/or photographic evidence of work underway.
 - 5. Brief description of quality problems encountered, resolution plan, and follow up.
- C. Sustainability: The contract will include the following requirements in order to close out:
 - 1. Operations and maintenance manuals, spare parts, and post construction guides
 - 2. As built drawings that are signed by the recipient acknowledging their receipt and acceptance.

3. Final punch list that includes a notice of all deficiencies have been corrected and accepted.
4. Contractor final invoice.
5. Contractor release of claims.
6. Acceptance memorandum signed by representatives of the receiving party (local government), the USG supervising engineer, and the contractor.
7. Final inspection and completion letters.

20. UCMJ: Should there be any injury, loss of life or property as a result of not performing the above due diligence, the PPO as noted in this annex can be subject to pecuniary and legal liability, to include UCMJ action.



FIGURE 3-1

DEPARTMENT OF THE ARMY
Headquarters, 23rd Air Defense Artillery
Brigade
Camp Victory, Iraq
APO AE 09342

REPLY TO
ATTENTION OF

FICI-AD-B

Date

MEMORANDUM FOR RECORD

SUBJECT: Project Purchasing Officer Appointment

1. The following United States representative is appointed as a Project Purchasing Officer (PPO).

- a. NAME: Orville Wright
- b. RANK: SFC
- c. SSN: 123-45-6789
- d. UNIT: Alpha Battery, 2-89 Air Defense Artillery Battalion

2. The individual will receive PPO training from the Consolidated Contracting Office prior to executing duties as the Project Purchasing Officer.

3. This appointment will remain effective from 28 March 200X until the 23rd ADA Brigade completes its mission and redeploys to home station.

4. Point of contact for this action is the undersigned and can be reached at DSN 839-4395.

Richie Rich
COL, AD
Commanding

B-3-12

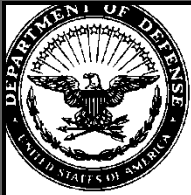
FIGURE 3-2

SUBJECT: Project Purchasing Officer Appointment Acknowledgement

1. I, Rank: _____ Name: _____ SSN: _____, certify that I have been briefed and understand my duties and responsibilities as an Ordering Officer for Unit: _____. I understand the Standards of Conduct found in DoD 5500.7-R, Joint Ethics Regulation.
2. I will place loyalty to country, ethical principles, and law above private gain and other interests and perform my duties in keeping with the highest tradition of the military and civilian service to the U.S. Government.
3. I will avoid engaging in any personal business or professional activity or have or retain any direct or indirect financial interest which places me in a position in which there is a conflict or the appearance of a conflict between my private interests and the public interest of the United States as it relates to my duties and responsibilities as Department of the Army government personnel.
4. I will accept no gifts or gratuities from those that have or seek business with the DOD or from those whose business interests are affected by DOD functions.
5. I hereby acknowledge receipt of an Ordering Officer Appointment.

Signature: _____

Date: _____



REPLY TO
ATTENTION OF

DEPARTMENT OF THE ARMY
Headquarters, 23rd Air Defense Artillery Brigade
Camp Victory, Iraq
APO AE 09342

FICI-AD-B

Date

MEMORANDUM FOR RECORD

**SUBJECT: Clearance of Commander's Emergency Response Program (CERP)
Purchases for the 23rd Air Defense Artillery**

1. Under the provisions of MNC-I Regulations for CERP, I certify that all funds expended to date and remaining for APF2AD50170674 were paid in accordance with MNC-I Regulations.
2. APF2AD50170674 was approved for \$90,900 on 17 Jan 09. The attached SF 44's (SF1034's) validate that we have paid out \$24,458.00 and have \$66,442.00 remaining to return to the Division Disbursing Officer.
2. POC for this memo is SFC Samuel Adams, 2AD Project Purchasing Officer, e-mail address DSN: 839-4395.

ROBERT G. SHAW
COL, AD
Commanding

B-4-1



HEADQUARTERS
MAJOR SUBORDINATE COMMAND
LOCATION, IRAQ
APO AE 00000

REPLY TO
ATTENTION OF

OFFICE SYMBOL

DATE

MEMORANDUM THRU C8, Multi-National Corps – Iraq

MEMORANDUM FOR Commanding General, Multi-National Corps - Iraq

SUBJECT: Commander's Monthly CERP Status of Funds Report

1. CERP Status of Funds Report for end of month December 2008:

TYPE OF CERP FUNDING	CUMULATIVE FUNDS ALLOCATED	CUMULATIVE FUNDS COMMITTED	CUMULATIVE FUNDS OBLIGATED	CUMULATIVE FUNDS DISBURSED
FY 07 APF CERP	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00
FY 08 APF CERP	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00
FY 09 APF CERP	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00
IIG/DFI	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00
CHRRP	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00
I-CERP	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00
TOTAL	\$6,000,000.00	\$6,000,000.00	\$6,000,000.00	\$6,000,000.00

2. CERP Challenges or Issues (must include one of the following statements):

a. "The CERP obligations in the CERP Project Tracker have been reconciled with the CERP obligations in STANFINS financial system or service/Coalition equivalent system and no discrepancies were found"

b. "The CERP obligations in CERP Project Tracker have been reconciled with the CERP obligations in STANFINS financial system or service/Coalition equivalent system and the following discrepancies were found:"

3. I have verified that all controls and procedures were followed, and the unit is exercising appropriate fiscal oversight per MNC-I fragmentary orders and command guidance. In addition, I certify the monthly status of funds report as true and accurate.

4. The Point of Contact for this report is MAJ John Smith, MND-Z CERP Program Manager, DSN 222-2222.

ROBERT E. LEE
Major General, USA
Commanding

B-5-1

Contracting office that will be working the requirement (≥\$500K)
 Finance office that will be issuing funds (≥\$500K)

Put resource management office (i.e. 3rd ID)
 For Sep BDE put C8 Resource management "Camp Victory Iraq"

Requesting units document number

Date prepared

Phone number for POC

Unit POC rank, name, and e-mail

Fund cite (provided by comptroller)

Signature of certifying officer

Signature block for certifying officer

PURCHASE REQUEST AND COMMITMENT <small>For use of the form, see AFM 37-1; this procurement agency is OASD AFPM</small>		1. PURCHASE INSTRUMENT NO.	2. REQUISITION NO.	3. DATE	PAGE OF PAGES
4. TO:		5. THRU:		6. FROM:	
7. PURCHASED FOR					
8. DELIVERED TO					
9. NOT LATER THAN (date)					
10. NAME OF PERSON TO CALL FOR ADDITIONAL INFORMATION					
11. TELEPHONE NUMBER					
12. LOCAL PURCHASES AUTHORIZED AS THE NORMAL MEANS OF SUPPLY FOR THE FOREGOING BY					
13. REQUISITIONING DISCLOSES NONAVAILABILITY OF ITEMS AND LOCAL PURCHASE IS AUTHORIZED BY					
14. EMERGENCY SITUATION PRECLUDES USE OF REQUISITION CHANNELS FOR SECURING ITEM					
15. ITEM DESCRIPTION OF SUPPLY OR SERVICES	16. QUANTITY	17. UNIT	18. ESTIMATED UNIT PRICE	19. TOTAL COST	
20. PA Name Here PPO Name Here					
21. TYPED NAME AND GRADE OF INITIATING OFFICER					
22. DATE					
23. DISCOUNT TERMS					
24. PURCHASE ORDER NUMBER					
25. THE FOREGOING ITEMS ARE REQUIRED NOT LATER THAN AS INDICATED ABOVE FOR THE FOLLOWING PURPOSE					
26. DELIVERY REQUIREMENTS ARE MORE THAN 7 DAYS REQUIRED TO INSPECT AND ACCEPT THE REQUESTED GOODS OR SERVICES					
27. TYPED NAME AND GRADE OF INITIATING OFFICER					
28. SIGNATURE					
29. DATE					
30. TELEPHONE NUMBER					
31. TYPED NAME AND GRADE OF SUPPLY OFFICER					
32. SIGNATURE					
33. DATE					
34. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE					
35. SIGNATURE					
36. DATE					
37. IF YES, NUMBER OF DAYS REQUIRED					
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Complete description of item or service requested

The specific purpose for the requirement

Signature block of initiating officer

Phone number of initiating officer

Signature of initiating officer

Total price of requirement

Signature of approving officer

Signature block of approving officer

CERP PROJECT FILE CHECKLIST

Fund Certification

- _____ Project proposal or Statement of Work
- _____ Standard Letter of Justification
- _____ Legal Review
- _____ MSC endorsement (not required if the LOJ is signed by the appropriate approval authority)
- _____ Memorandum of Concurrence from MSC, if requesting activity is not the Battle Space owner
- _____ Copy of DA3953 / DD1149
- _____ Funds Increase Memo, along with supporting documentation (as applicable)
- _____ Project Purchasing Officer and Paying Agent appointment letter
- _____ Copy of DD Form 577, Appointment/Termination Record of both PPO and PA
- _____ Sustainment letter from Iraqi government (local, provincial, national) for any construction or equipment project \$50K or more per FRAGO 08-248
- _____ Outline of Project Performance Metrics for projects \$50K or more

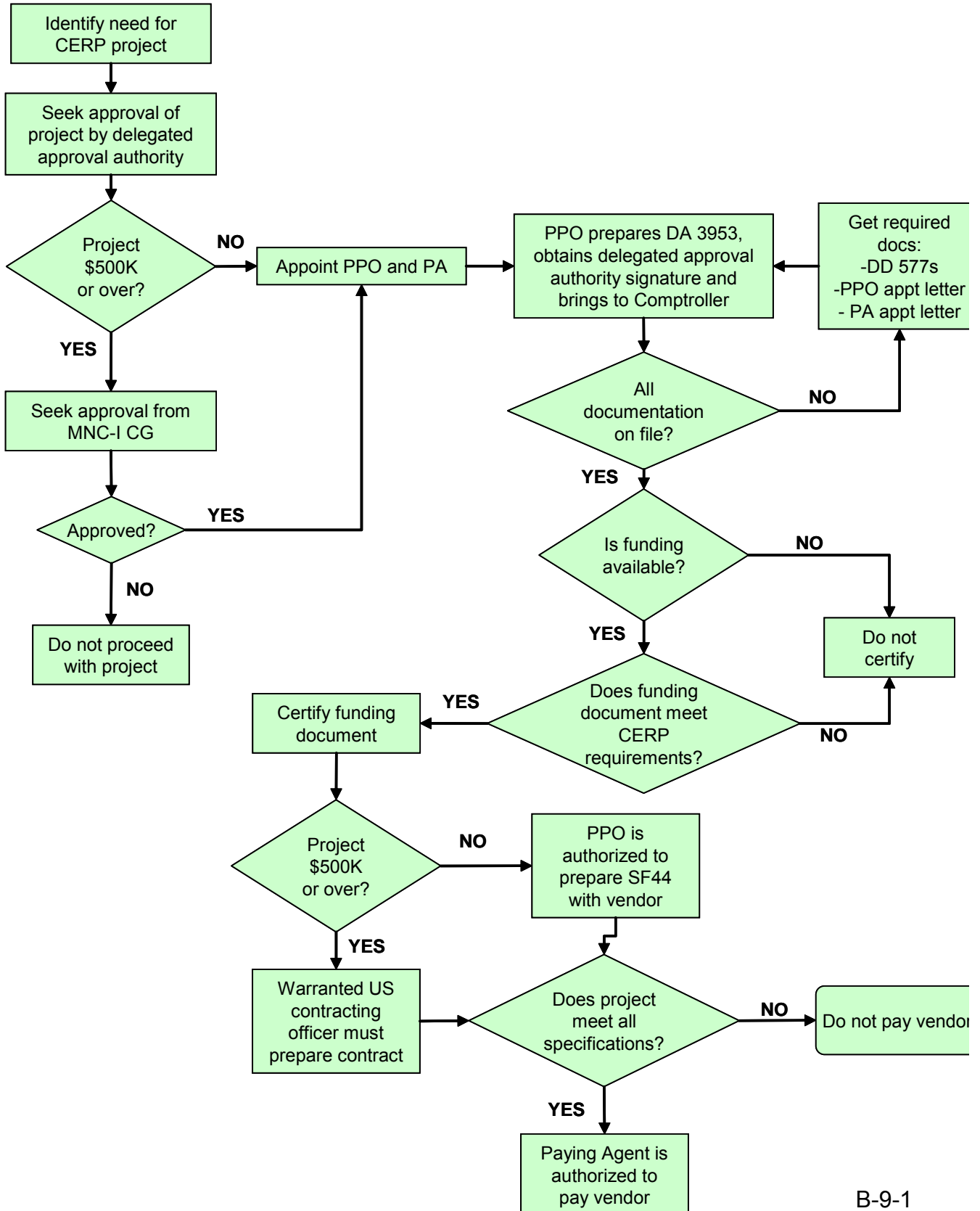
Project Obligation / Disbursing

- _____ Completed copy of contract or memorandum of agreement (as applicable)
- _____ Contract modifications
- _____ EFT Payment Request (if available)
- _____ Copy of DD Form 250 Receiving report (if contact used)
- _____ Invoice from vendor (if provided)
- _____ Copy of SF44(s), SF1351(s), or SF 1449(s) or SF1034(s) (as needed)
- _____ Copy of DD Form 1081 marked ON ADVANCE
- _____ Copy of DD Form 1081 marked ON RETURN

Project Closure

- _____ Contract Completion statement (if possible)
- _____ Commander's clearance memorandum
- _____ MSC Comptroller clearance memorandum
- _____ Screen out all Classified Documents

CERP Funding Process Flow – Obtaining Funds



APPOINTMENT/TERMINATION RECORD - AUTHORIZED SIGNATURE*(Read Privacy Act Statement and Instructions before completing form.)***PRIVACY ACT STATEMENT****AUTHORITY:** E.O. 9397, 31 U.S.C. §§ 3325, 3528, DoD Financial Management Regulation, Vol. 5, Chapter 33, and DoDD 7000.15, DoD Accountable Officials and Certifying Officers.**PRINCIPAL PURPOSE(S):** To maintain a record of certifying and accountable officers' appointments, and termination of those appointments. The information will also be used for identification purposes associated with certification of documents and/or liability of public records and funds.**ROUTINE USE(S):** The information on this form may be disclosed as generally permitted under 5 U.S.C. § 552a(b) of the Privacy Act of 1974, as amended. It may also be disclosed outside of the Department of Defense (DoD) to the the Federal Reserve banks to verify authority of the accountable individual to issue Treasury checks. In addition, other Federal, State and local government agencies, which have identified a need to know, may obtain this information for the purpose(s) identified in the DoD Blanket Routine Uses published in the Federal Register.**DISCLOSURE:** Voluntary; however, failure to provide the requested information may preclude appointment.**SECTION I - FROM: COMMANDER/APPOINTING AUTHORITY**

1. NAME <i>(First, Middle Initial, Last)</i>		2. TITLE	3. DOD COMPONENT/ORGANIZATION
4. DATE <i>(YYYYMMDD)</i>	5. SIGNATURE		

SECTION II - TO: APPOINTEE

6. NAME <i>(First, Middle Initial, Last)</i>		7. SSN	8. TITLE
9. DOD COMPONENT/ORGANIZATION		10. ADDRESS <i>(Include ZIP Code)</i>	
11. TELEPHONE NUMBER <i>(Include Area Code)</i>		12. EFFECTIVE DATE OF APPOINTMENT <i>(YYYYMMDD)</i>	
13. POSITION TO WHICH APPOINTED <i>(X one)</i>			
<input type="checkbox"/>	CERTIFYING OFFICER	<input type="checkbox"/>	ACCOUNTABLE OFFICIAL
<input type="checkbox"/>	OTHER <i>(Specify)</i>		

14. YOU ARE HEREBY APPOINTED TO SERVE IN THE CAPACITY SHOWN ABOVE. YOUR RESPONSIBILITIES WILL INCLUDE:

15. YOU ARE ADVISED TO REVIEW AND ADHERE TO THE FOLLOWING REGULATION(S) NEEDED TO ADEQUATELY PERFORM THE DUTIES TO WHICH YOU HAVE BEEN ASSIGNED:

DoDFMR, Vol. 5, chapter 33;

SECTION III - ACKNOWLEDGEMENT OF APPOINTMENT

I acknowledge and accept the position and responsibilities defined above. I understand that I am strictly liable to the United States for all public funds under my control. I have been counseled on my pecuniary liability and have been given written operating instructions. I certify that my official signature is shown in the box below.

16. PRINTED NAME <i>(First, Middle Initial, Last)</i>	17. SIGNATURE
---	---------------

SECTION IV - TERMINATION OF APPOINTMENT

The appointment of the individual named above is hereby revoked.		18. EFFECTIVE DATE <i>(YYYYMMDD)</i>	19. APPOINTEE INITIALS
20. NAME OF COMMANDER/APPOINTING AUTHORITY	21. TITLE	22. SIGNATURE	

**INSTRUCTIONS FOR COMPLETING
APPOINTMENT/TERMINATION RECORD - AUTHORIZED SIGNATURE**

This form may be used to:

1. Appoint certifying officers. Certifying officers are those individuals, military or civilian, designated to attest to the correctness of statements, facts, accounts, and amounts appearing on a voucher for payment.

2. Appoint accountable officials. Accountable officials are those individuals, military or civilian, who are designated in writing and are not otherwise accountable under applicable law, who provide source information, data or service to a certifying or disbursing officer in support of the payment process.

SECTION I.

1. Enter the name of the Commander/Appointing Authority.

2. Enter the Commander/Appointing Authority's title.

3. Enter the Commander/Appointing Authority's DoD Component/Organization location.

4. Enter the date the form is completed.

5. The Commander/Appointing Authority must place his or her legal signature in the block provided.

SECTION II.

6. Enter the Appointee's name.

7. Enter the Appointee's social security number.

8. Enter the Appointee's title.

9. - 11. Enter the name, complete address, and telephone number of the DoD Component/Organization activity to which appointed.

12. Enter the date the appointment is to be effective.

13. Mark X in the appropriate box indicating the purpose for the appointment.

14. Describe in detail the duties the Appointee will be required to perform, to include types of payments, records and vouchers for which authorized (specifying the applicable disbursing station symbol number(s) affected), and any other pertinent information.

15. List all regulations the Appointee must review and follow in order to adequately fulfill the requirements of the appointment.

SECTION III.

16. - 17. The Appointee shall print his or her name and enter his or her legal signature in the spaces provided.

SECTION IV.

Completing this section will terminate the original appointment as of the effective date. If partial authority is to be retained, a new DD Form 577 must be completed.

Mark X in the box provided to indicate the appointment is being revoked.

18. Enter the date the termination is effective.

19. The Appointee will initial in the space provided acknowledging revocation of the appointment.

20. - 22. The Commander/Appointing Authority must place his or her name, title and legal signature in the spaces provided.

1 Jan 09

REQUEST FOR INCREASE OF FUNDS

PR&C/Account classification:

**2142220 0 00000 76 2084 P13619800 26EB 83ABVC MNCIC851310100 ABVC83
S09076**

Requiring Unit: CJSOTF

Basic Reason:

The original funding amount of the PR&C was \$50,000.00. The customer did the estimate to renovate the hospital over five-months ago and the costs of labor, transportation, materials and security have all escalated since the original estimate. An increase of \$10,000.00 is required to procure this service.

- Total funds originally allocated:	\$50,000.00
- Increase of	<u>\$10,000.00</u>
- Total of new funding amount is:	\$60,000.00

**Robert T. Hudds, SFC, USA
CJSOTF-AP Contracting Officer
Signature of Requestor**

**Johnny A. Woods
CPT, FI
CERP Comptroller
Signature of Certifying Officer**

MNC-I CERP REQUEST PACKET CHECKLIST The purpose of this checklist is to ensure that proper actions have been taken prior to submitting MNC-I Approval Packets, thereby decreasing the amount of time from submittal to approval and provide clear expectations on projects submitted.

Project Title _____

Point of Contact _____

Location _____

Estimated Cost _____

Package contains:

- _____ - DD Form 577 Appointment / Termination Record for the Project Purchasing Officer and Paying Agent
- _____ - Appointment Memorandum for the Project Purchasing Officer / Paying Agent
- _____ - Command Group Endorsement
- _____ - CERP Standard Letter of Justification (LOJ)
- _____ - DA Form 3953, Purchase Request and Commitment, **DD 1149**, Requisition and Invoice/Shipping Document.
- _____ - Scope of Work/Bill of Quantities
- _____ - Cost Estimate
- _____ - Supporting Diagrams, Maps, and Correspondence if required
- _____ - Memorandum of concurrence from MND, if non battle space owner
- _____ - Legal Review
- _____ - Memorandum of Agreement or sustainment letter from Iraqi government for construction or equipment project \$50K or more.
- _____ - Project Performance Metrics.
- _____ - For projects over \$750K, a cost-sharing arrangement with the Gol.
- _____ - Letter of Justification includes:
 - _____ - Purpose
 - _____ - Statement Stating no other means of funding was available
 - _____ - Justification
 - _____ - Coordination
 - _____ - Goods and Services
 - _____ - Performance Period
 - _____ - Location (Province, District, City, Grid)
 - _____ - Employment
 - _____ - Estimated Cost
 - _____ - Impact if not funded
 - _____ - POC

SUBJECT: Letter of Justification for CERP or I-CERP *Project Title*.

1. PURPOSE: This should be a short description of the project and where the project is located.
2. JUSTIFICATION: The justification should give a synopsis of what the project will do, how it will benefit the local population and how it will support coalition desired effects (this is the project goal and not to be confused with a benefit to coalition forces). Justification should clearly articulate how the project meets the URGENT AND IMMEDIATE HUMANITARIAN RELIEF standard for CERP projects and the category the project falls within. The statement “Reasonable measures have been taken to ensure that other aid and reconstruction funds (local, national, donor nation, non-government organization (NGO) or other resources) are not available” should be inserted into this justification.
3. COORDINATION: All projects must be coordinated with the proper GOI entities and the coordination that has taken place should be listed here. The outcome of the coordination and anything that the local government has committed to accomplish with respect to the project shall also be included. This section should also include a summary of the plan to transition the project as well as the operations and maintenance to Iraqi officials. (Memorandum of Agreement or sustainment letter from the Iraqi government for construction and equipment projects \$50K or more must be included with the packet).
4. GOODS AND SERVICES: This should list all requirements placed on the contractor in order to complete the project. If a detailed Statement of Work or bill of goods/materials is attached, reference it here.
5. PERFORMANCE PERIOD: This should give the timetable for execution of the project and the number of local Iraqis that will be employed for the duration of the project.
6. LOCATION: Include Province, District, City and an 8 digit grid coordinate (MGRS) if applicable.
7. EMPLOYMENT: List the number of people employed during the performance period (short term) and the number employed after completion (long term).
8. PROJECTED COST: Estimated cost of the project.
9. PERFORMANCE METRICS: Using the situation that needs improvement as the baseline, state specific units of measure and methodology that will be applied to measure progress as the project develops and degree to which project achieved the intended purpose upon completion.
10. IMPACT IF NOT FUNDED: Possible negative outcomes if the project is not funded.
11. POINT OF CONTACT: All contact information of the individual who will answer questions that arise during the staffing process.

JOHN Q. PUBLIC
COL, IN
Commanding

CERP Category Definitions and Potential Projects

Agriculture/Irrigation: Projects to increase agricultural production or cooperative agricultural programs. This includes irrigation systems.

- Reforestation (fruit and nut) producing trees, timber production, and general reforestation
- Wind breaks for fields
- Pesticide control for crops
- Animal husbandry practices
- Veterinary clinics, supplies, and care of animals
- Seeds for planting
- Purchase of initial, parents livestock for herds
- Animal health
- Animal production
- Aquaculture
- Fish farms
- Conservation programs
- Biotechnology
- Purchase of farm equipment or implements
- Irrigation wells
- Irrigation ditches
- Canal cleanup
- Water pumps
- Siphon tubes
- Development and construction of terracing
- Sprinkler irrigation
- Dust suppression
- Central pivot irrigation
- Sub-irrigation
- Aquifer development
- Agricultural Training Facilities and Demo-Farms—ADT

Battle Damage Repair: Projects to repair, or make payments for repairs, of property damage that results from U.S., coalition, or supporting military operations and is not compensable under the Foreign Claims Act.

Civic Cleanup Activities: Projects to cleanup public areas; area beautification.

- Streets, roads
- Parks
- Demolition of old buildings/structures
- Trash removal

Civic Support Vehicles: Projects to purchase or lease vehicles by public/government officials in support of civic and community activities.

- Construction vehicles for public works
- Water and trash trucks
- Governmental vehicles for official duties

Condolence Payments: Payments to individual civilians for the death or physical injury resulting from U.S., coalition, or supporting military operations not compensable under the Foreign Claims Act.

Economic, Financial, and Management Improvements: Projects to improve economic or financial security.

- Marketing assistance programs
- Refurbishment of Bazaars
- Micro-Grants to individuals or small businesses
- Refurbishment of district centers

Education: Projects to repair or reconstruct schools, or to purchase school supplies or equipment.

- Build, repair, and refurbish schools (primary, middle, high, schools; colleges; trade schools and Centers of Educational Excellence)
- Tents for use as schools/classrooms
- School supplies, textbooks
- Furniture, desks, mats
- Sports equipment (soccer balls/goals, etc.)

Electricity: Projects to repair, restore, or improve electrical production, distribution, and secondary distribution infrastructure. Cost analysis must be conducted so the village or district may collect revenues to ensure operation and maintenance of the system for long-term use.

- Electrical production (solar, hydro, wind, and fossil) for villages and districts (not specific to individual government buildings or homes)
- Distribution of high and low voltage to villages and districts (not specific to individual government buildings or homes)
- Secondary distribution to individual buildings and homes
- Generators (regardless of where used)
- Studies

Food Production & Distribution: Projects to increase food production or distribution processes to further economic development.

- Food handling technology, including refrigeration, storage, warehousing, etc.
- Adequate production and supply logistics, based on demand and need
- Food labeling and packaging
- Food production safety

- Capacity building for production and regulation of food
- Storage capability for pre-distribution holding

Former Detainee Payments: Payments to individuals upon release from Coalition (non-Theater Internment) detention facilities.

Healthcare: Projects to repair, or improve infrastructure, equipment, medical supplies, immunizations, and training of individuals and facilities in respect to efforts made to maintain or restore health especially by trained and licensed professionals.

- Construction/repair of clinics
- Ambulances/transportation for doctors in rural areas
- Construction/repair of hospitals
- Cooperative medical assistance (CMA) visits and supplies
- Healthcare specific furnishings (beds, mattresses, etc.)
- Refrigeration for medication
- Expendable supplies
- Durable and non-expendable equipment for medical facilities

Hero Payments: Payments made to the surviving spouses or next of kin of Iraqi defense or police personnel who were killed as a result of U.S., coalition, or supporting military operations. (Previously referred to as Martyr payments in Iraq)

Other Urgent Humanitarian or Reconstruction Projects: Projects to repair collateral damage not otherwise payable because of combat exclusions or condolence payments. Other urgent humanitarian projects not captured under any other category. For other urgent humanitarian projects, this category should be used **only** when no other category is applicable.

- Tents
- Tarps, plastic sheeting
- Blankets
- Clothes, shoes/boots, winter coats/gloves
- Hygiene kits
- Food (rice, beans, salt, sugar, tea, cooking oil)
- Stoves
- Wood for stoves
- Coal/charcoal

Protective Measures: Projects to repair or improve protective measures to enhance the durability and survivability of a critical infrastructure site (oil pipelines, electric lines, etc.).

- Fencing
- Lights
- Barrier materials
- Berms over pipelines

- Guard Towers

Repair of Civic & Cultural Facilities: Projects to repair or restore civic or cultural buildings or facilities.

- Religious buildings such as mosques or shrines
- Civic/community centers
- Women's centers
- Athletic venues
- Libraries
- Museums

Rule of Law & Governance: Projects to repair government buildings such as administrative offices, or court houses.

- Governmental buildings repair
- Support for the judicial system
- Jails or temporary holding facilities' repairs
- Public service facilities' improvements
- Support to divergent political party development

Temporary Contract Guards for Critical Infrastructure: Projects including Sons/Daughters of Iraq and other projects to guard critical infrastructure, including neighborhoods and other public areas.

Telecommunications: Projects to repair or extend communication over a distance. The term telecommunication covers all forms of distance and/or conversion of the original communications, including radio, telegraphy, television, telephony, data communication, and computer networking. Includes projects to repair or reconstruct telecommunications systems or infrastructure.

- TV stations (including equipment purchase, repair, and maintenance)
- Radio stations (including equipment purchase, repair, and maintenance)
- Governmental communications systems (telephones, two-way radios, repeaters, antennas)
- Loudspeaker systems
- Landline point to point connections to connect systems

Transportation: Projects to repair or restore transportation to include infrastructure and operations. Infrastructure includes the transport networks (roads, railways, airways, canals, pipelines, etc.) that are used, as well as the nodes or terminals (such as airports, railway stations, bus stations, and seaports). The operations deal with the control of the system, such as traffic signals and ramp meters, railroad switches, air traffic control, etc.

- Transportation infrastructure, including roads, railway tracks, airports, ports, etc.
- Roads (including gravel, cobblestone, etc.)
- Culverts
- Bridging

- Traffic control measures

Water & Sanitation: Projects to repair or improve drinking water availability, to include purification and distribution. Building wells in adequate places is a way to produce more water, assuming the aquifers can supply an adequate flow. Other water sources such as rainwater and river or lake water must be purified for human consumption. The processes include filtering, boiling, distillation among more advanced techniques, such as reverse osmosis. The distribution of drinking water is done through municipal water systems or as bottled water. Sanitation, an important public health measure that is essential for the prevention of disease, is the hygienic disposal or recycling of waste materials, particularly human excrement.

- Wells (regardless of the end user, unless the end user is the security forces)
- Water pumps
- Water treatment facilities
- Production or distribution of potable water and sanitation of that production capability
- Establishing trash collection points
- Waste disposal sites
- Sewage treatment solutions
- Retaining walls for flood prevention
- Dumpsters
- Public latrines
- Water studies, including watershed studies
- Water Testing

PERFORMANCE METRICS

CONTENTS

1. PURPOSE
2. GUIDANCE

1. **PURPOSE**: Performance metrics are essential to ensure that funds are applied to the projects that will yield the greatest benefit to the Iraqi people. The specific benefit to the Iraqi people and the performance indicators (methodology) that will be employed to measure the conditions, before and after the project is completed, must be included in evaluation packages for proposed CERP projects and used as part of the close-out process for evaluating the project at its completion. **Metrics are required for all projects \$50K or more.**
2. **GUIDANCE**: Procedures for evaluating proposed projects will consider:
 - A. Immediate benefit to the local population. For example: Infrastructure improvement, school attendance, or decrease in un-employment rates.
 - B. Sustainability of the project. For example: GOI or local populace investment (amount budgeted to sustain project), or use of project by intended target audience.
 - C. Name and authority of the local partner. For example: Serious incident reports or crime / violence statistics.
 - D. Number of the local population engaged in the project. For example: Number of the locals on the project site.
 - E. Number of locals benefitting. For example: Local populace that is affected, cost benefit or per capita analysis.
 - F. Execution ability of the project. For example: In terms of completion, operation and sustainment of the project.
 - G. Relationship to other similar efforts. For example: Such as replicating other successful projects funded with CERP or comparison to effects from other funding sources (I-CERP, Provincial, Other donor Nation, and Non-Government sources).
 - H. Quantifiable measures of productivity or service improvements. For example: Increased potable water in cubic meters, number of households affected, added acreage for agriculture.



DEPARTMENT OF THE ARMY
UNITED STATES ARMY FORCES CENTRAL COMMAND
COALITION FORCES LAND COMPONENT COMMAND
HQ 1ST SUSTAINMENT COMMAND (THEATER)
336TH FINANCIAL MANAGEMENT CENTER
APO AE 09366

AFRC-SBLA-FC

JAN 23 2008

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Disbursing Standing Operating Procedure (SOP) # 2 - Paying Agent Memorandum of Instruction (MOI) (Revision #1)

1. References:

- a. Field Manual (FM) 1-06 Financial Management Operations, Sep 06, (FM 14-100, Appendix C, 7 May 97).
- b. Defense Finance and Accounting Service - Indianapolis (DFAS-IN) Regulation 37-1, Finance and Accounting Policy Implementation, 25 Jan 00.
- c. Department of Defense Financial Management Regulation (DoDFMR) Volume 5, Disbursing Policy and Procedures, Chapters 2, Disbursing Offices, Officers, and Agents; and Chapter 3, Keeping and Safeguarding Public Funds, Jun 05.
- d. Memorandum, U.S. Army Finance Command, SFFM-FC-OD, 3 Aug 03, Subject: Acceptance of Electronic Images of Standard Form 44s.

2. Purpose: The purpose of this SOP is to provide paying agents specific instructions relating to the scope and performance of their duties.

3. Scope: This SOP is applicable to all paying agents appointed to a Disbursing Officer (DO) within the 336th Financial Management Center Area of Responsibility (AOR).

4. Concept: Paying agents are authorized to receive and disburse cash for official business in accordance with the provisions of this memorandum and the cited references. Paying agents are pecuniary liable for any cash, negotiable instrument, and/or paid vouchers entrusted to them; therefore, it is imperative that paying agents become familiar with these instructions. If paying agents fail to abide by applicable regulations, MOIs and SOPs, they will be held liable for any losses of funds and be subject to administrative actions or criminal prosecution.

AFRC-SBLA-FC

SUBJECT: Disbursing Standing Operating Procedure (SOP) # 2 - Paying Agent Memorandum of Instruction (MOI)

5. General:

a. Appointment of paying agent.

(1) The following personnel are eligible to be appointed as paying agent to a DO, within the 336th AoR:

(a) Commissioned or warrant officers.

(b) Enlisted personnel in the grade of E7 or above (exceptions can be made for the rank of E-6, if personnel resources are limited and is authorized by the unit commander).

(2) Unit Commanders will appoint eligible individuals to be placed on orders as paying agent officers to a disbursing officer within the 336th Financial Management Center AOR (template at enclosure 1).

b. Required Documentation. To receive funding from a DO or Deputy Disbursing Officer (DDO), the paying agent must complete and bring the following to the DO/DDO:

(1) Original copy of paying agent appointment orders (enclosure 1).

(2) Valid U.S. Armed Forces Identification Card.

(3) DA Form 3953, Purchase Request and Commitment (PR&C).

(4) Copy of Field Ordering Officer (FOO) appointment orders signed by the head of the contracting office or his/her designee. Note: The FOO cannot also be the paying agent.

(5) FOO's DD Form 577, Signature Card, signed by the commander.

c. Training. Immediately upon appointment as a paying agent, the agent will be familiarized with the cited references. In addition, all paying agents within the 336th Financial Management Center AOR must be trained/briefed by the DO, DDO or Disbursing Agent (DA) prior to signing for any funds. Once the DA is satisfied that the prospective paying agent is trained/briefed on the duties of a paying agent, the paying agent will sign a pecuniary liability statement in the presence of the DA. Only upon receipt of the required documentation and a signed pecuniary liability statement, will a paying agent receive any funds.

AFRC-SBLA-FC

SUBJECT: Disbursing Standing Operating Procedure (SOP) # 2 - Paying Agent Memorandum of Instruction (MOI)

d. Funding.

(1) The paying agent will be advanced all funds on one DD Form 1081, Statement of Agent Officer's Account. Foreign Currency will be advanced at the foreign currency exchange rate at time of issue and returned at the foreign currency exchange rate at the time of clearing the DDO/DA. The paying agent will verify the amount of funds advanced by ensuring the amount received matches the amount specified on the DD Form 1081. Any discrepancies between the amount received and the amount on the DD Form 1081 must be resolved prior to leaving the disbursing office. Once the paying agent leaves the disbursing office, the paying agent assumes all liability for discrepancies. Paying agents will acknowledge receipt of funds by signing and dating the DD Form 1081 in the block entitled "On Advance". The DO will keep two copies of the DD Form 1081 and the paying agent will retain one copy.

(2) Amount funded will be the total of PR&C(s) approved. If the paying agent is directly supporting a contracting officer instead of a FOO, the maximum amount can be raised up to \$50,000.00 or foreign currency equivalent (not to exceed the amount of the PR&C). Exceptions to the above limits must be approved by the DO/DDO, usually upon recommendation of the unit commander supported by the contracting command.

e. Keeping and safeguarding of public funds.

(1) As a paying agent, paying agents are pecuniary liable to the DO from whom the funds were drawn, for the full amount of funds drawn. As a result, paying agents will provide security as specified in the DoDFMR, Vol. 5. This means, that paying agents must be the only person to have access to the paying agents funds. Paying agents are not authorized to delegate responsibility for paying agents funds to anyone else, including financial institutions. Funds received, as a paying agent must not be co-mingled with any other funds, private or public. If funds are not in the physical possession of the paying agent, they must be secured in an approved safe to which only the paying agent has the combination. If an approved safe is not available, a field safe may be used, in conjunction with an armed guard, until such time an approved safe can be obtained or until the paying agent removes the funds. Approved safes are as follows:

(a) Up to \$50,000.00 (cash, foreign currency, negotiable instruments, and paid vouchers): Class 1 or Class 5 - OR - Tool-Resistant Safe TL 15 with a Group 1R combination lock.

(b) \$50,000.00 and up (cash, foreign currency, negotiable instruments, and paid vouchers): Tool-Resistant Safe TL 30 with a Group 1R combination lock.

AFRC-SBLA-FC

SUBJECT: Disbursing Standing Operating Procedure (SOP) # 2 - Paying Agent Memorandum of Instruction (MOI)

(2) Transporting funds:

(a) The unit must provide an armed guard for funds of \$10,000.00 or more (Unit Commanders are responsible for ensuring the guard receives a deadly force briefing and is qualified with the weapon).

(b) All funds will be transported in a government vehicle.

f. Obtaining Foreign Currency or U.S. Dollars. Paying agents are not authorized to exchange moneys for different currencies from anyone but the DA who originally advanced the funds. If the paying agent needs more Foreign Currency or more U.S. Dollars, an appointment must be made with the DA to clear the paying agent's account and draw the proper amounts of each currency needed. This is why it is imperative that the agent requests the proper amount of each currency during the initial funding. Failure to comply with these instructions could cause the paying agent to become fully liable for losses incurred as a result of fluctuating exchange rates. Only when the local finance office is unable to provide the local currency is the paying agent authorized to procure funds from a local bank, the DO is the only one who may make exceptions. When purchasing local currency at a bank, the paying agent must obtain a receipt for any associated fees.

6. Specific Instructions.

a. Paying agents for Individual Purchases of \$25,000.00 or foreign currency equivalent or less. Paying agents are only authorized to make payment for purchases approved by paying agents' FOO(s). Paying agents' FOO(s) is/are the FOO(s) whose orders and DD Form 577 were brought to the servicing finance unit from whom the paying agents drew the funds. Any purchase receipt (SF 44, Purchase Order - Invoice - Voucher) bearing the signature of a FOO that does not have orders and a signature card on file at the servicing finance unit will be rejected.

(1) All purchases must be made on an SF 44 (these forms may be obtained from the Directorate of Contracting (DoC)). General instructions for the use of the SF 44 are as follows:

(a) The individual or cumulative amount on any single SF 44 will not exceed \$25,000.00 (splitting a single purchase over two SFs 44 is prohibited). If the SF 44 is being paid in foreign currency, the voucher will be completed reflecting foreign currency value.

(b) Goods or services must be immediately available.

(c) Only one delivery and payment allowed per SF 44.

AFRC-SBLA-FC

SUBJECT: Disbursing Standing Operating Procedure (SOP) # 2 - Paying Agent Memorandum of Instruction (MOI)

(d) Must be prepared by the FOO according to instructions received by the contracting office and this SOP. It must include an itemized invoice or be filled out on the SF 44 (see attached SF 44 for additional guidance).

(2) Distribution of the SF 44.

(a) The paying agent will keep copies 1 and 3 to support his/her payment. These will be used to clear the paying agents account at the servicing finance unit. Copy 1 must be safeguarded in the same manner as the cash.

(b) The vendor gets copy 2 at the time of the sale.

(c) Copy 4 will be kept in the book of forms. The contracting office supplies the forms.

(3) Paying agents are responsible for the following:

(a) Maintaining a ledger that shows beginning figures drawn from the servicing finance unit and each SF 44, by number, as a deduction from the beginning figures (be sure to include exchange rates, if known). Paying agents will only exchange U.S. dollars for foreign currency if specifically authorized by the DA, DDO or DO. Separate ledgers are required for U.S. and foreign currency balances.

(b) Ensuring that the SF 44s on hand and cash on hand add up to the amount of the original advance (balance at a minimum of once a day).

(c) Reporting any irregularities to the servicing finance unit immediately upon discovery.

(d) Reporting status to the DO monthly.

(e) Adhering to the general instructions of this SOP.

b. Single Purchases of \$25,000.00 or foreign currency equivalent and over.

(1) FOOs are not authorized to approve purchases that exceed \$25,000.00 or foreign currency equivalent.

(2) Contact the 336th Financial Management Center for further instructions when faced with making a payment for over \$25,000.00 or foreign currency equivalent.

AFRC-SBLA-FC

SUBJECT: Disbursing Standing Operating Procedure (SOP) # 2 - Paying Agent Memorandum of Instruction (MOI)

7. General Information.

a. Irregularities. When balancing, if paying agents notice any overages or shortages, cease all paying activities and contact the DO from whom paying agents were advanced funds. Specific guidance will be given at that time. In the event paying agents cannot reach the DO, follow these guidelines:

(1) Organize all receipts and check them off in paying agent's ledger.

(2) Count paying agent's money several times to verify that the total of all receipts and money equals the beginning balance. If not in balance, move to next step.

(3) Prepare a memorandum for record that shows the date and balance of the last time paying agents were in balance. In addition, list all purchases made after the last time paying agents were in balance. If paying agents suspect that anyone else may have had access to paying agents funds, list their name, the date and time of their possible access, and any circumstances surrounding their possible access.

(4) Record the adjustment in paying agents ledger to bring paying agents back into balance.

(5) Do not, under any circumstances, make up for the difference out of paying agents own money. The DO will make a determination as whether or not to recommend paying agents are held liable based on the circumstances.

b. Clearing Paying Agents Account.

(1) The FOO must go to the Directorate of Contracting (DoC) to get the letter of clearance/termination before making an appointment to clear finance. This letter lets finance know that DoC has verified and cleared all purchases.

(2) Letter of Clearance/Termination, DA Form 3953, Purchase Request, and paying agents SFs 44, will be taken to the servicing finance unit. An appointment must be made to clear finance prior to the expiration date on paying agents' orders. The following will make clearing easier:

(a) Make appointment to clear on a day when paying agents have time to clear. The DA will not clear paying agents any faster just because paying agents have appointments. The clearing process cannot stop once started.

AFRC-SBLA-FC

SUBJECT: Disbursing Standing Operating Procedure (SOP) # 2 - Paying Agent Memorandum of Instruction (MOI)

(b) Ensure paying agents have 4 copies of all vouchers and supporting documentation (copiers are available at the finance office).

(c) When paying agents clear disbursing, ensure the DD Form 1081 received is signed in the "on return" block by the paying agents and the DA. Keep one copy for the paying agents' records. Paying agents must reconcile every 30 days or prior to the paying agent's scheduled departure from theater, whichever is sooner. If this cannot be done, they must make positive contact with the DA to request an extension.

c. Extraordinary Occurrences. If circumstances become such that the paying agent is unable to physically clear at the finance office, it is possible to clear the account if legible copies are provided. If originals can't be recovered, the disbursing agent will write the following statement on the top of the DD Form 1081, "Paying Agent cleared with copies". If paying agents have a situation arise that is not covered by this SOP or the other cited regulations, stop and call the DO/DDO/DA from whom the funds were advanced.

8. Point of contact is Financial Operations, 336th Financial Management Center, at DSN 318-430-7667.

3 Encls

1. Example Paying agent Appointment Order
2. Example SF 44
3. Example paying agent Ledger


MICHAEL J. BENDICH, JR.
COL, FC
Director

DISTRIBUTION:

336TH FINANCIAL MANAGEMENT CENTER
1ST THEATER SUSTAINMENT COMMAND
316TH EXPEDITIONARY SUSTAINMENT COMMAND
15TH FINANCE BATTALION
82ND FINANCIAL MANAGEMENT COMPANY
9TH FINANCIAL MANAGEMENT COMPANY
726TH FINANCE BATTALION
126TH FINANCIAL MANAGEMENT COMPANY
24TH FINANCIAL MANAGEMENT COMPANY
SUPPORT OPERATIONS OFFICE 3RD SUSTAINMENT BRIGADE
SUPPORT OPERATIONS OFFICE 1ST SUSTAINMENT BRIGADE

AFRC-SBLA-FC

SUBJECT: Disbursing Standing Operating Procedure (SOP) # 2 - Paying Agent Memorandum of Instruction (MOI)

SUPPORT OPERATIONS OFFICE 82ND SUSTAINMENT BRIGADE

SUPPORT OPERATIONS OFFICE 7TH SUSTAINMENT BRIGADE

SUPPORT OPERATIONS OFFICE 640TH SUSTAINMENT BRIGADE

ENCLOSURE #1 (Example Paying Agent Appointment Order)
Unit Letterhead

MEMORANDUM THRU Finance and Accounting Officer, 336th Financial Management Center,
APO AE 09336

MEMORANDUM FOR (Whichever Sustainment Brigade Commander the Finance Company
falls under)

SUBJECT: Paying Agent Appointment

1. Under the provisions of DODFMR, Volume 5, paragraph 020602, **RANK, NAME, and SSN**,
is appointed as paying agent to LTC John B. Smith, Disbursing Officer (DO), DSSN xxxx

2. PURPOSE: To perform duties as paying agent for _____ (i.e., Operation . . .)
From _____ To _____ (If to dates are unknown, leave blank)

3. MAXIMUM ADVANCE: \$US VALUE OF ALL FUNDS REQUESTED

4. ACCOUNTING CLASSIFICATION: SAME AS PR&C

5. SPECIAL INSTRUCTIONS: Paying agent is authorized to make official government
purchases that have been properly prepared and signed by the accompanying Field Ordering
Officer and vendor. Funds will not be entrusted to others or intermingled with other funds.
Paying agent will receive a copy of the 13th Finance Group Paying Agent MoI and understand
these instructions prior to drawing funds. Funds will be secured at all times as required by
DoDFMR, Vol. 5.

STATEMENT

(Printed Name)

STATEMENT

(Printed Branch)

_____)

6. STATEMENT: I accept my appoin
Finance Group and agree to hold myself
received. I have been counseled as to m
Procedures, and had all my questions rel

STATEMENT
it to LTC John B. Smith, 13th
United States for all public funds
given Standing Operating
agent answered satisfactorily.

(Printed Name)

(Printed Branch)

ENCLOSURE #2 (Example SF 44)

Example of SF 44

U.S. GOVERNMENT PURCHASE ORDER-INVOICE-VOUCHER			
DATE OF ORDER <i>Date Paid</i>	ORDER NO	1	
PRINT NAME AND ADDRESS OF SELLER (Number, Street, City, and State)* <i>Seller's name and address</i>			
FURNISH SUPPLIES OR SERVICES TO (Name and address)* <i>Purchasing unit's name and address</i>			
SUPPLIES OR SERVICES	QUANTITY	UNIT PRICE	AMOUNT
<i>Items must be itemized or the itemized invoice must be attached</i>			
hammer	2	2	\$4.00
nails	6	0.1	\$0.60
AGENCY NAME AND BILLING ADDRESS * <i>Finance Office name and address</i>		TOTAL	\$4.60 <i>EURO or US</i>
ORDERED BY (Signature and title) <i>FOO's signature and title</i>		DISCOUNT TERMS	% DAYS
PURPOSE AND ACCOUNTING DAT. <i>Accounting Classification from PRC</i>		DATE INVOICE RECEIVED	
PURCHASER- To sign below for over-the-counter delivery of items			
RECEIVED BY	<i>Authorized Receiver Signature</i>		
TITLE	<i>Self expl</i>	DATE	<i>date rec</i>
SELLER- Please read instructions on Copy 2			
<input type="checkbox"/> PAYMENT RECEIVED \$.....		<input type="checkbox"/> PAYMENT REQUESTED \$.....	
NO FURTHER INVOICE NEED BE SUBMITTED			
SELLER BY..... <i>sellers signature</i>	DATE <i>date sold</i>		
I certify that this account is correct and proper for payment in the amount of \$.....	DIFFERENCES		
(Authorized certifying officer)	ACCOUNT VERIFIED		
	CORRECT FOR		
PAID BY <input type="checkbox"/> CASH	DATE PAID	VOUCHER NO	
OR.....			
(Check No)			
* PLEASE INCLUDE ZIP CODE			
1. SELLERS INVOICE STANDARD FORM 44a (Rev. 10-83) PRESCRIBED BY GSA (See Instructions on Copy 2) FAR (48 CFR) 53.213(c)			

← increment by one for each SF44

Amounts should be listed in the applicable currency terms
EURO or US

Paing Agent ensures totals

← EURO or US

amount of payment

Class A Agent fills out and signs

Put the exchange rate if applicable. List the US value

ENCLOSURE #3 (Example Paying Agents Ledger)

Date	Transaction	Vouchers	Conversions	FC@1.1210	FC@1.1152	U.S. Balance
24-May-02	Advance					\$ 12,500.00
25-May-02	Exchange \$\$ for FC		(\$89.21)	FC 100		\$ 12,410.79
26-May-02	Exchange \$\$ for FC		(\$179.34)		FC 200	\$ 12,231.45
27-May	FC purchase SF44 #1	FC 214.26			FC 85.74	\$ 12,231.45
28-May	Sell FC for \$: SF44#2	\$ 3.80	\$73.08		FC 0.00	\$12,304.53

Date	Transaction	Vouchers	cost	US Balance
22-May-02	wood	#2	\$45.00	\$12,455

Quarterly Report Commander's Narrative

CONTENTS

1. PURPOSE
 2. GUIDANCE
 3. FORMAT
1. **PURPOSE:** Each quarterly report shall be submitted in accordance with the OSD CERP Guidance and will contain a Commander's Narrative establishing the following at the beginning of each fiscal year:
 - A. Commander's overall goals for the CERP funding
 - B. At least three supporting areas of emphasis for using the funding
 - C. How progress of the identified goals will be measured
 2. **GUIDANCE:** Each quarter the Commander's Narrative will review the goals as required above and report progress achieved against the identified goals, using the results from the performance metrics in Annex B-15 and the following areas of interest.
 - A. Significant events/issues that have occurred since the previous quarterly report
 - B. Adequacy of projected funding
 - C. Areas anticipated to be of interest to USCENTCOM, HQDA, OSD, and Congress
 - D. Any problems arising in the transfer of completed projects to the Government of Iraq
 - E. Impact of the security situation on monitoring of CERP funded projects
 - F. Newly approved projects \$500K or more and the category of any project
 - G. Projects \$500K or more that were completed during the quarter and category of each project
 - H. Contributions each project \$500K or more made to humanitarian relief and reconstruction efforts for the benefit of the Iraqi people
 - I. Efforts made to obtain donor funding for projects and results obtained
 - J. Identification of any projects or category of projects that are cost-shared and with whom

- K. Date that projects were turned over to the appropriate government
 - L. Impacts of CERP funded projects, individually and collectively in assisting the U.S. carry out its strategy
 - M. Progress made in identifying and pursuing opportunities to transition responsibility for larger economic revitalization efforts to the Government of Iraq including:
 - 1. The amount of funding from the Gol for I-CERP;
 - 2. The amount of funding provided through other programs to meet urgent humanitarian relief and reconstruction requirements that immediately assist the Iraqi people,
 - 3. The status of efforts to transition Sons/Daughters of Iraq to the Gol.
3. **FORMAT:** In addition to the above requirements the format on the following page should be used.

SUBJECT: Quarterly Report Commander's Narrative.

1. **COMMANDER'S GOALS:** Goals and areas of emphasis for use of CERP funding. What major events have taken place that have impacted the progress on obtaining goals? Also, include areas of emphasis that have changed during the quarter.
2. **SHORT/LONG TERM EMPLOYMENT:** How many construction jobs were created (short term) and how many long term (teachers, doctors, instructors,...) benefited from CERP projects completed.
3. **EFFECTS:** This section should focus on the measurable effects obtained from the use of CERP during the quarter for each of the authorized categories. Some suggested metrics are provided below:
 - a. **AGRICULTURE:** How many farm Co-Ops benefited and how many acres were added to farming? How much seed purchased and expected yield?
 - b. **SMALL BUSINESS DEVELOPMENT:** How many and what types of business were aided through micro-grants? How will these businesses contribute to the economy?
 - c. **EDUCATION:** How many pupils affected by education related projects?
 - d. **ELECTRICITY:** How much additional power provided or what size population impacted?
 - e. **HEALTHCARE:** How many additional patients can be served?
 - f. **IRRIGATION:** How much additional volume is provided and how many kilometers of canal systems worked on? How many acres of land affected?
 - g. **TRANSPORTATION:** How many kilometers of roads worked on or number of bridges repaired? Include impact to traffic.
 - h. **WATER:** How much additional drinking water provided and what size population or number of households benefited?
 - i. **SEWER:** Number of home impacted with sewer availability?
4. **POINT OF CONTACT:** All contact information of the individual who will answer questions that arise during the staffing process.

JOHN Q. PUBLIC
COL, IN
Commanding

CERP PROJECT TRACKER INSTRUCTIONS

CONTENT

1. GUIDANCE
 2. CERP PROJECT TRACKER COLUMNS
 3. COMMON PROBLEMS
 4. UPDATES
 5. RECONCILE
 6. SPECIAL INSTRUCTIONS
 7. CERP PROJECT TRACKER COLUMN TITLES
 8. CERP INFORMATION CELLS
1. **GUIDANCE**: CERP Projects shall be entered into the CERP Project Tracker once funds are committed. When the project is approved for funding, the G8 will input the project into the CERP Project Tracker. Separates will coordinate with MNCI C8 or the MSC G8 providing funding to ensure projects are entered, status is correct, and correctly closed out (as applicable) in the CERP Spreadsheet.
2. **CERP PROJECT TRACKER COLUMNS**: Follow the instructions below for entering/updating a project in the CERP Project Tracker. Guidance is provided for each field.
- A. **Tracking #** - For unit internal tracking use.
 - B. **URI** - Input the URI number out of IRMS (if using IRMS).
 - C. **Unit** - Input your MSC or the MSC that owns the battle space if you are a separate unit operating in a MSCs Battle space. Projects must be coordinated with the battle space owner. Please use unit name as listed in paragraph 8, CERP Information Cells.
 - D. **STANFINS Document Reference Number** - Input your STANFINS document number. MNF-W (Marines) will input the SABRS document number.
 - E. **Project Category** - Input the CERP Category. Use list of CERP categories in Annex B-14. Please use the CERP category as listed in paragraph 8, CERP Information Cells (CERP Category). Pay close attention to this field. These are heavily scrutinized by our Higher Headquarters and the Department of the Army (DA).
 - F. **Project Title** - Input a project title.

- G. Province** - Input the province that the project is executed in. Please use the Province name as listed in paragraph 8, CERP Information Cells (Province).
- H. Concise Project Description** - This field will accurately reflect the scope and intent of the project. It should be 2 or 3 sentences that explain what you are doing and for whom. It should be understandable to the layman that knows nothing about the project or the military.
- I. Total Amount of Funds Committed** - Input the commitment. There must be a commitment if there is an obligation. The commitment must be equal to or be larger than the obligation. The DA3953, direct MIPR, and DD1149 are commitment documents only (***do not obligate off these documents***). Higher headquarters monitors the time a commitment and obligation stays on the report without a disbursement. If it exceeds 90 days then it is questioned as to whether we are following the policy that states a Paying Agent will hold funds no longer than 90 days without coming in to clear finance.
- J. Total Amount of Funds Obligated** - The following are obligation documents: DD1155 contract and completed SF44's. This field should be updated as soon as the obligation document is received. You may have to wait for the paying agent to clear finance unless the Paying Agent will provide G8 copies of paid SF44s prior to clearing finance. The CERP Program Manager and the MSC Comptroller need to know when the pay agent clears finance in order to ensure they get a copy of the obligation and disbursement documents. Close coordination with Finance is essential in order to receive the documents required to close a project. ***Projects using advance bulk draw funds will not be obligated when the funds are drawn.*** DA-3953, Purchase Request & Commitment document for bulk funds will generate a commitment in the financial system. Each type of bulk funding must be recorded and maintained by the Pay Agent until the bulk fund is closed out at finance.
- K. Total Amount of Funds Disbursed** - This field should be updated each time the Paying Agent clears finance. When a project is complete the report category needs to change to show the project is complete. The disbursement is input and the final commitment and obligation should also be updated to match.
- L. Start Date (Date funds obligated)** - Input the date (example: '1 Mar 09') funds were obligated in the financial system.
- M. Justification** - This field is used to provide an explanation as to why the project is necessary and what effects it will achieve. It is not required

unless the project is \$50K or more. This field can be used to further explain a project if the input in the 'Project Description' field is insufficient. If the project is \$500K or more a detailed explanation is required. Projects \$500K and over are pulled out and sent to Congress on a separate report. Each explanation is read. Ensure it fully describes the project.

- N. Project Status** - Input project status. Please use Project status as listed in paragraph 8, CERP Information Cells (Project Status).
- O. Projected Completion Date / Completion Date** - Input the projected project completion date (example: '20 Mar 09'), or date project was completed.
- P. Date Project Transferred to GOI** – Input the date (example: '20 Mar 09') the project was transferred to the GOI if applicable. Required for projects \$50K or more.
- Q. Number of Local Citizens Estimated to be Employed by Project** - Input the estimated number of local citizens to be employed by this project.
- R. Number of Local Citizens Estimated to be Affected by Project** - Input the estimated number of citizens estimated to be affected by project. Use province population if no other data is available.
- S. Description of the plan for transition of Project to GOI (Government of IRAQ)** - For projects \$500K or greater only. Describe the plan for transitioning this project to the GOI. Explain any commitment by the GOI for the sustainment of the project.
- T. Dollar Amount of funds provided by GOI for project** - For projects \$500K or greater only. Input the dollar amount of funds provided by the GOI for this project.
- U. Did one of project goals include a benefit to internally displaced citizens? For projects \$500K or greater only.** - Provide a yes or no answer to whether one of the project goals included providing a benefit to internally displaced citizens.
- V. Was project approved based on cost sharing arrangement with GOI or based on direct benefit to US mission, projects \$750k or greater** - Input whether project was approved based on cost sharing with GOI or based on direct benefit to US mission. Please use reason for projects listed in paragraph 8, drop down fields (Reason for Project).

3. COMMON PROBLEMS:

- A. Many project titles are falling under CERP categories where they do not belong. This is tracked through using key word searches in the custom filter option of Microsoft Excel, examples include: schools, generator, vehicle, irrigation, condolence, water, fields, security, and grant.
1. Generators belong in electricity. Unless associated with a generator business (e.g. a Micro Grant), these belong in Economic Financial & Management.
 2. Irrigation items belong in Agriculture/Irrigation, except where generators are involved.
 3. All building, repairing, and refurbishing school projects belong under education.
 4. Purchase of vehicles belongs to Civil Support Vehicles.
 5. Other Humanitarian Assistance is only used for basic human needs.
 6. Security guards belong in Protective Measures.
 7. Civic Cleanup Activity is specifically for “cleanup of public areas including streets/roads, parks and demolition of old buildings/structures”. This category is not used for building or road repairs.
- B. Do not use all capital letters.
- C. CERP project descriptions must be clear, concise, and understandable to a layman.
- D. Project justification must be specific to the actual project.
- E. No acronyms or abbreviations.

4. UPDATES: During the execution phase the following updates will be made as they occur:

- A. Obligation amounts and date.
- B. Disbursement amounts and date.
- C. Project Status.

D. Date project is transferred to Government of Iraq (GOI).

5. **RECONCILE**: The MSCs should ensure their G8 reconciles the spreadsheet weekly to verify all projects have been inputted to the CERP Project Tracker and the financial systems and that the dollar amounts match. On a monthly basis MSCs must ensure all projects are up to date and accurate by the 30th of each month. Each MSC Chief of Staff (CoS) will sign the Monthly Status of Funds NLT than the third of the month. When the obligations between the CERP Project Tracking System and the Monthly Status of Funds do not match, the reason for the differences shall be identified and reported.
6. **SPECIAL INSTRUCTIONS**: The following projects require special instructions. Follow the below guidance when inputting:
 - A. **Advance Bulk Funds**. These projects will be inputted into the CERP Spreadsheet as follows. The DA3953, MIPR, and DD1149 (commitment documents) will be input as a commitment. As individual projects are completed and SF44s, DD250s, or DD1155s (obligation documents) are provided to MSC Comptrollers each project will be inputted separately. The commitment of the original commitment document will be reduced until it equals \$0. Each quarter, the amount of bulk funding drawn as cash and paid out by the Pay Agent must be identified as an obligation and disbursement on the reports for all bulk categories. Once funds for bulk funded small scale projects are fully spent, each individual project must be entered in the CERP Project Tracker using the appropriate category.
 - B. **MIPR**. A MIPR will be handled the same as bulk funds (see 6A above) unless the MIPR is reimbursable. If reimbursable, it is obligated all at once in STANFINS and on the CERP Project Tracker. As projects are identified, obligated and inputted to the CERP Spreadsheet the commitment and obligation of the MIPR will be reduced to zero. Marines will submit the amount obligated in SABRS to the C8 as requested. MIPRs accepted as "direct" will be obligated in the system stating the MIPR number and inputted into the CERP Project Tracker on an individual basis, citing the direct citation on the MIPR.

7. CERP PROJECT TRACKER COLUMN TITLES:

Tracking #	URI	Unit
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STANFINS Document Reference Number	Project Category	Project Title	Province	Concise Project Description (No acronyms or abbreviations)	Amount of Funds Committed	Amount of Funds Obligated	Amount of Funds Disbursed	Start Date (Date Funds Obligated)
---	-------------------------	----------------------	-----------------	---	----------------------------------	----------------------------------	----------------------------------	--

Projects \$50K or more require justification of how project supports purpose of CERP (No acronyms or abbreviations)	Project Status	Projected Completion Date / Completion Date	Transfer to GOI Date. (Projects \$50K or more).
--	-----------------------	--	--

Number of Local Citizens Estimated to be Employed by Project	Number of Local Citizens Estimated to be Affected by Project	Projects \$500K or more. Description of Plan for Transition of Project to GOI. Noting any commitment by GOI to Sustain the Project.	Projects \$500K or more. Amount of funds provided by GOI for project.
---	---	--	--

Projects \$500K or more. Did one of project goals include a benefit to internally displaced citizens?	Projects greater than \$750K. Was project approved based on cost sharing arrangement with GOI or Based on Direct benefit to US Mission?
--	--

8. CERP INFORMATION CELLS:

Drop Down Fields				
Project Status	Province	Reason for project	Units	CERP Category
In process.	Anbar	Cost sharing arrangement with GOI	CJSOTF	Agriculture/Irrigation
Complete, transferred, sustainment arranged.	Babil	Direct benefit to US Mission	MNC-I	Battle Damage Repair
Complete, transferred, no sustainment required.	Baghdad		MND-B	Civic Cleanup Activities
Terminated prior to completion.	Basrah		MND-C	Civic Support Vehicles
	Dahuk		MND-CS	Condolence Payments
	Dhi-Qar		MND-N	Former Detainee Payments
	Diyala		MND-NE	Economic, Financial, and Management Improvements
	Irbil		MND-SE	Education
	Karbala		MNF-W	Electricity
	Maysan		ESC	Food Production & Distribution
	Muthanna			Healthcare
	Najaf			Iraqi Hero Payments
	Ninawa			Other Urgent Humanitarian or Reconstruction Projects
	Qadisiyah			Protective Measures
	Salah ad Din			Repair of Civic & Cultural Facilities
	Sulaymaniyah			Rule of Law & Governance
	Tamim			Temporary Contract Guards for Critical Infrastructure
	Wasit			Telecommunications
				Transportation
				Water & Sanitation

Elements of Resources for CERP/ICERP

Project Category	25** (see notes)	26**	31**	32**	42**
Agriculture/Irrigation	2540	26EB	31EA	3230	
Battle Damage Repair					4200
Civic Cleanup Activities	2540	26EB	31EA		
Civic Support Vehicles			31EA		
Condolence Payments					4200
Detainee Payments	258A				
Economic, Financial, and Management Improvements	2540	26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	
Education	2540	26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	
Electricity	2540	26EB	31EA	3230	
Food Production & Distribution	2540	26EB	31EA	3230	
Healthcare	2540	26ER, 26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	
Other Urgent Humanitarian or Reconstruction Projects	2540	26EB	31EA	3230	
Protective Measures	2540	26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	
Repair of Civic & Cultural Facilities	2540	26EB	31EA		
Rule of Law & Governance	2540	26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	
Telecommunications	2540	26EB	31EL	3230	
Transportation	2540	26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	
Water & Sanitation	2540	26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	

Note 1: 2540 should be used for contracted labor to operate, maintain or repair buildings, land, structures or utility systems (also see 3230)

Element of Resource (EOR) Descriptions

2540 - OPERATION AND MAINTENANCE OF FACILITIES - Obligations for the operation and maintenance of real property facilities, i.e., buildings (temporary or permanent), land (improved, semi-improved or unimproved), structures or utility systems when done by contract, including Government-owned contractor-operated facilities (GOCOs). This includes service contracts and routine repair of facilities and upkeep of land. Also includes obligations for operation of facilities engaged in research and development activities. Examples of types of contracts that are included in this EOR are contracts to paint the interior or exterior of buildings, mow grass or remove snow, maintain alarm or smoke/fire detection systems, pave roads, replace sidewalks, etc. Excludes alterations, modifications or improvements to facilities and land, which are classified in EOR code 32**.

258A - SUBSISTENCE AND SUPPORT OF PERSONS - Contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners (except travel items, which are classified under EOR codes 21** and medical care, which is classified under EOR codes 256*).

26EB - Non-Defense Working Capital Fund (DWCF)/Local Purchases - General Supplies

26ED - Non-DWCF/Local Purchases - Furniture, Non-Recurring, Federal Supply Group 71

26 ER - Non-DWCF/Local Purchases - Medical Supplies

26EN - Non-DWCF/Local Purchases - ADP Supplies

31EA - Non-DWCF/Local Purchases - General Equipment

31 EC - Non-DWCF/Local Purchases - Furniture (Non-Recurring)

31ED - Non-DWCF/Local Purchases - ADP Equipment (Hardware-Computer, Peripherals, And Office Automation Equipment)

31EF - Total Non-DWCF/Local Purchase Items - ADP software

31EJ - Non-DWCF/Local Purchases - Medical Equipment

31EL - Non-DWCF/Local Purchases - Communications and Electronics Equipment

3230 - Land, Buildings, Improvements - Obligations for purchase of land, buildings, and other structures, non-structural improvements, fixed equipment and environmental assessments, impact statements, restorations and pollution prevention when acquired under contract (whether an addition or a replacement), so that the federal payment results in the acquisition of a physical asset rather than a loan asset. This includes: Land - obligations for the purchase of land and interest in lands, including easements and rights of way. Buildings and other structures - obligations for the acquisition or construction of buildings and structures,

and additions thereto, when acquired under contract. Includes alterations, modifications, and improvements in land and structures when done by contract (excludes routine maintenance and repair of facilities, which is classified under EOR codes 2540). Non-structural improvements - obligations for improvements of land, such as landscaping, fences, sewers, wells, and reservoirs, when acquired under contract (routine maintenance and repair are classified under EOR codes 2540). Fixed equipment - obligations for fixtures and equipment that become permanently attached to or a part of buildings or structures, such as elevators, plumbing, power-plant boilers, fire-alarm systems, lighting or heating systems, and air-conditioning or refrigerating systems (whether an addition or a replacement), when acquired under contract. Includes amounts for services for the initial installation of fixed equipment when performed under contract.

4200 - Other claims or indemnities - Payments of claims and judgments arising from court decisions or abrogation of contracts; indemnities for the destruction of livestock, crops, and the like; damage to or loss of property; and personal injury or death.

IRAQI COMMANDER'S EMERGENCY RESPONSE PROGRAM (I-CERP) STANDARD OPERATING PROCEDURES

CONTENTS

1. REFERENCES
2. PURPOSE
3. PROGRAM MANAGEMENT
4. PROGRAM OVERVIEW
5. REPORTING
6. ANNEXES

1. REFERENCES:

- A. Under Secretary of Defense (Comptroller) (USD(C)) memorandum, subject: "Commander's Emergency Response Program (CERP) Guidance," dated 18 December 2008.
- B. Department of Defense Financial Management Regulation Volume 12, Chapter 27, August 2008, Commander's Emergency Response Program (CERP).
- C. Memorandum of Understanding between Iraq Supreme Reconstruction Council (I-SRC) of the Secretariat of the Council of Ministers and the Multi-National Force-Iraq concerning implementation of the Government of Iraq Commander's Emergency Response Program (I-CERP), 3 Apr 2008
- D. MNF-I FRAGO 08-166 (I-CERP Implementation), 17 Apr 2008
- E. MOD 1 to MNF-I FRAGO 08-166 [I-CERP Implementation]
- F. MNC-I FRAGO 08-322 (19 Apr 08 DTU)
- G. MNF-I Joint Campaign Plan for OIF, 27 Nov 2007
- H. MNC-I FRAGO 08-248, CERP Project Transition, 27 Mar 2008
- I. MNC-I FRAGO_322 [19 APR 08 DTU] TASK 2
- J. MNC-I FRAGO_118, I-CERP Reporting Implementation, 21 Sep 2008

2. PURPOSE:

- A. In accordance with reference A, the purpose of the I-CERP program is to enable commanders to execute urgently needed reconstruction projects for the benefit of the Iraqi people in the 15 non-KRG provinces, while simultaneously growing and achieving Iraqi military and civil self sufficiency.
- B. I-CERP may be used to assist the Iraqi people in the following representative areas in accordance with reference A:

1. Water Purification Plants
 2. Schools – projects to repair or reconstruct schools
 3. Health Clinics – projects to repair or reconstruct hospitals or clinics
 4. City Planning Facilities – Ministry Offices, local government offices, town hall buildings where leaders gather to do business
 5. Protective measures necessary to secure otherwise permissible I-CERP projects such as fencing, light, berms, or barriers.
- C. Other eligible categories by exception (which must be approved by the MSC CG) include:
1. Roads
 2. Sewers
 3. Irrigation
 4. Non-reconstruction projects that promote small business development in the form of Micro Grants
- D. In addition to the restrictions already imposed by the MNC-I CERP SOP, any other categories not expressly permitted in paragraphs 2B and 2C are prohibited.

3. PROGRAM MANAGEMENT:

- A. As much as possible, use existing processes at the province level (i.e. Provincial Reconstruction Development Committee (PRDC) reviews) to obtain local provincial government participation in planning, coordination, prioritization and project transition without placing additional requirements on tactical commanders. Prominently feature the new Iraqi flag and other techniques to associate the I-CERP projects with an Iraqi Government that is working to improve conditions for its people. Upon completion of each project, MSCs will secure documentation recording the time and date of receipt as well as the value of the project from either the Provincial Governor or relevant Iraqi Minister. This letter will in form and content mirror the CERP Commander's project closure letter.
- B. The business rules and processes employed in the approval process and execution of I-CERP will mirror CERP to include the relevant personnel: Project Purchasing Officer (PPO), Paying Agent (PA), G7, G8, and G9 personnel. Commingling of funds between CERP and I-CERP is not

authorized. MSCs will institute internal management controls necessary to prevent this from occurring. I-CERP does not supplant existing CERP, but complements it by making Iraqi funds available to Coalition commanders for infrastructure projects that directly benefit the Iraqi people while using US procurement and disbursing agents on Iraq's behalf in order to assist the GoI in this effort. All I-CERP funding should be exhausted prior to using CERP funds for projects that meet I-CERP criteria.

- C. I-CERP accounting structure has been set up on a provincial basis. Each province has been assigned a unique Accounting Process Code (APC). In the isolated instances where a province boundary and an MSC boundary do not match, the MNC-I Commander will determine resource allocation. Fund expenditures will always remain associated with their original province. It is imperative to track obligations by province and not exceed APC targets.
- D. Use of a warranted Contracting Officer is required for projects \$500K or more when the technical complexity exceeds the abilities of the individual Project Purchasing Officer (PPO).
- E. All I-CERP financial documentation will include the statement “**These funds are the property of the Government of Iraq**”. All I-CERP payments should be made in Iraqi Dinar. The priority payment method is electronic funds transfer (EFT), check drawn on an Iraqi bank, and then cash (Iraqi Dinar).
- F. A summary of approval authorities is contained below:

Item	Limit	Approval Authority	Can be delegated?
Project Approval	Less than \$500K	MSC Cdr	Yes
Project Approval	\$500K or greater	MNC-I Cdr	No
Contract	\$500K or greater	Must be awarded by Warranted Contracting Officer	No

4. PROGRAM OVERVIEW:

- A. The I-CERP Funds are to be used as an effects enabler to benefit the citizens of Iraq. Fund allocation is based on a provincial population percentage basis (excluding the three KRG controlled provinces) as required by the I-CERP MOU with the GoI. Any exception to this principle of distribution must be to the benefit of those provinces most in need of

reconstruction assistance, but only as determined by the Supreme Reconstruction Council during quarterly sessions. MNC-I has no authority of its own to reallocate I-CERP funds across provinces.

B. In executing I-CERP, as opposed to CERP, units are to emphasize reconstruction projects such as schools, water purification plants, health clinics, and city planning facilities. By exception, MSC Commanders may approve roads, sewers, and irrigation projects at the appropriate CERP approval level. Non-reconstruction projects in the form of micro-grants that create employment and promote small business development are also permitted with MSC commander's approval.

C. Every activity should be considered a training opportunity for participating Iraqi personnel. Over time, the main effort will be the transitioning of I-CERP execution roles and responsibilities to Iraqi Security Force and Provincial Government counterparts. Keep in mind the life cycle responsibilities: from requirements generation/ validation, to developing and administering the contractual vehicle which will deliver the desired capability, and lasting sustainment. Ultimately this expansion of capacity will result in local governments fully capable of balancing the needs of its constituents and executing Gol appropriated budgets in order to deliver essential services.

5. **REPORTING:** The overall success of I-CERP reporting is based on checks and balances. MSCs will use the same processes currently used for CERP for monthly reporting requirements. Due to Gol oversight of I-CERP, bi-weekly reports of projects are submitted for Gol review. Project data must be kept accurate in I-CERP Project Tracking System on a weekly basis to ensure timely concurrence from Gol on planned projects. Monthly reconciliation must be completed to ensure STANFINS matches the I-CERP Project Tracking System. Monthly reports to MNC-I C7 and C8 on program execution will use the same processes and requirements currently used for CERP.

A. Each MSC will provide the I-CERP report no later than the 10th of each month utilizing the I-CERP Project Tracking System format. Instructions for completing report format are contained in Annex C-1 and a sample reporting format is included in Annex C-2. This format is similar to CERP reporting. The main difference between the reports is category descriptions and required information. This report will be reconciled against STANFINS monthly. The report will include the unit, province, project document reference number, payment date, description, was the project approved by Gol and by whom (position/title, organization), location of project, and amount committed, obligated and disbursed.

B. Each MSC will provide a quarterly I-CERP report consisting of two parts: A spreadsheet of ALL projects active during the quarter and a storyboard

(Annex C-3) for COMPLETED projects equal to or greater than \$50,000. A copy of the signed GoI sustainment memorandum will also be attached to each storyboard. Quarterly reports are due: 10 April, 10 July, 10 October, and 10 January each year. At a minimum, the report will include: Project title; I-CERP category; location (city, province and grid coordinates); project Unique Requirement Identifier (URI); a detailed project description; photo or map of the completed project (if applicable); completion date; who in GoI approved the project (with position/title, organization, and contact phone number); and the committed, obligated and disbursed dollar amounts.

C. Reconstruction. The Reconstruction functional program manager is the MNC-I C7. They are primarily responsible for reconstruction reporting, policy, monitoring of reconstruction projects, and overall tracking of reconstruction efforts. C-7 will ensure MSC's provide quarterly completed projects in storyboard format per Annex C3.

6. ANNEXES:

C-1 Reporting Instructions to Appendix C Iraqi CERP (C-1-1)

C-2 Reporting Format to Appendix C Iraqi CERP (C-2-1)

C-3 Story Board Format to Appendix C Iraqi CERP (C-3-1)

I-CERP PROJECT TRACKER INSTRUCTIONS

CONTENTS

1. GUIDANCE
 2. I-CERP PROJECT TRACKER COLUMNS
 3. UPDATES
 4. RECONCILIATION
 5. MIPR
-
1. **GUIDANCE**: I-CERP Projects shall be entered into the I-CERP spreadsheet as projects are funded. Separates will coordinate with MNC-I C8 or the MSC providing funding to ensure projects are captured and correctly closed out in the I-CERP Spreadsheet.
 2. **I-CERP PROJECT TRACKER COLUMNS**: Follow the instructions below for entering / updating a project in the CERP Project Tracker. Guidance is provided for each field.
 - A. **Tracking Number** - For unit internal tracking use.
 - B. **URI** - Place URI from IRMS in this field
 - C. **Unit** - Input your MSC. Pick from the Drop Down box.
 - D. **STANFINS Document Reference Number** - Input the Standard Financial System (STANFINS) document number. MNF-W will input the Standardized Accounting Budgeting and Reporting System (SABRS) document number.
 - E. **Project Category** - Input the I-CERP Category using the drop down box. Use the list of I-CERP Categories in Annex C-2. It is also on the right side of the spread sheet for reference.
 - F. **Project Title** - Input a Project Title.
 - G. **Concise Project Description** - This field will accurately reflect the scope and intent of the project. It should be two or three sentences that explain the purpose of the project and identify who will benefit from it. It should be understandable to the layman, contain no abbreviations or acronyms, and be clear and concise. It should also contain an action verb.
 - H. **Nearest City to location of Project** - Input the city or the nearest city that the project is executed in.

- I. **Province** - Input the province that the project is executed in. Use the Provinces listed in the drop down box.
- J. **GOI Approval Authority** - Input the name and title of the person approving project from the government of Iraq.
- K. **Amount of Funds Committed** - The project should not be in this tracker unless funds have been committed. There must be a commitment if there is an obligation. The commitment must be equal to or larger than the obligation. The DA3953, direct MIPR, and DD1149 are commitment documents only (do not obligate off these documents). Higher headquarters monitors the time a commitment stays on the report without an obligation. If it exceeds 90 days, it questions adherence to the policy that states that a Paying Agent (PA) will hold funds no longer than 90 days without going in to clear with Finance.
- L. **Amount of Funds Obligated** - The following are obligation documents: DD1155 Contract, PPO Contract, completed SF44s, SF1034s, and DD250s. This field should be updated as soon as the obligation document is received. Per the MAAWS, the PA should be clearing with the Resource Management office prior to clearing with Finance. The I-CERP Program Manager and the C/G8 need to know when the PA clears Finance in order to ensure they get a copy of the obligation and disbursement documents. Close coordination with Finance is essential in order to receive the documents required to close a project.
- M. **Start Date (Date Funds Obligated)** - Input the date the funds are obligated. This will be the date of obligation from STANFINS/SABRS.
- N. **Amount of Funds Disbursed** - This field should be updated each time the PA clears Finance. When a project is complete the report category needs to change to show the project is complete. Once the final disbursement is inputted, the commitment and obligation numbers should also be updated to match the final disbursement numbers.
- O. **Final Disbursement Date** - Input the final disbursement date. This will be the date of the final disbursement from STANFINS/SABRS.
- P. **Actual Percent Complete** - Input the percent complete. This needs to be updated as the unit receives project information.
- Q. **Contractor's Name** - Input the name of the contractor.

3. **UPDATES:** During the execution phase, the following updates will be made as they occur:
 - Commitment Amounts
 - Obligation Amounts
 - Disbursement Amounts
 - Percent Complete

4. **RECONCILIATION:** The MSCs G7/8 should perform a weekly I-CERP Project tracker reconciliation to DbCAS/STANFINS/SABRS to ensure all projects have been input and that the dollar amounts match. By the 30th of each month, the MSCs must ensure all projects are up-to-date and financial data is accurate. Each MSC Chief of Staff (CoS) will sign the Monthly Status of Funds NLT than the third of the month. When the obligations between the I-CERP Project Tracking System and the Monthly Status of Funds do not match, the reason for the differences shall be identified and reported.

5. **MIPR:** Handle the same as PR&C bulk funds unless the MIPR is accepted as a Reimbursable document. If so, it is obligated all at once in STANFINS. As projects are identified, obligated and input to the I-CERP spreadsheet, the commitment and obligation of the MIPR will be reduced to zero like a bulk fund document. A footnote explaining the obligations captured as the MIPR is obligated will be provided with the monthly I-CERP reports. MNF-W will submit the amount obligated in SABRS. MIPRs accepted as Direct will be obligated in the system stating the MIPR number and input to the I-CERP Spreadsheet as any other project.

ICERP Project Tracker Column Titles

Tracking #	URI	Unit	STANFINS Document Reference Number	Project Category	Project Title	Detail Project Description (No acronyms or abbreviations)	Nearest City to Location of Project	Province
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Approved BY GOI Approval Authority (Name of Person)	Amount of Funds Committed	Amount of Funds Obligated	Start Date (Date Funds Obligated)	Amount of Funds Disbursed	Final Disbursement Date
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Actual % Complete	Contractor's Name
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Project Title (I-CERP Category)
City, Province

Project Details

- **Project Location & Grid Coordinates:**
- **URI:** (from IRMS)
- **Completion Date:**
- **Gol Approval Information:** (Name of Provincial Governor or relevant minister, Position/Title, Organization, contact phone number)
- **Funds Committed:**
- **Funds Obligated:**
- **Funds Disbursed:**

Place Project Photograph or Location Map Here

Description

Provide a detailed description of the project here. Include who was involved (CF and Gol) and how many people it will benefit.

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CENTCOM REWARDS PROGRAM

CONTENTS

1. REFERENCES
2. PURPOSE
3. GENERAL GUIDANCE
4. POINTS OF EMPHASIS
5. TYPES OF REWARDS
6. RESPONSIBILITIES AND PROCEDURES
7. SPECIAL CATEGORIES
8. ADVERTISEMENT
9. PROPONENT
10. MNC-I DOD REWARDS PORTAL

1. **(U//FOUO) REFERENCES:**

- A. (U) 10 U.S.C. §127b, Assistance in Combating Terrorism.
- B. (U) USCENTCOM Message, 231721Z MAR 07, Designation of MNF-I Rewards Authorization and Disbursement Officers.
- C. (U) Department of Defense Financial Regulation, Volume 12, Chapter 17, August 2008.
- D. (U) Deputy Secretary of Defense Memorandum, Subject: Implementation Guidance for DOD Rewards Program, 19 August 2008.
- E. (U) FRAGO 08-506 (MNF-I Rewards Program Update), dated 09 October 2008.
- F. (U) CFC DoD Rewards Program in USCENTCOM AOR (revision 3) Operation/Enduring Freedom and Iraqi Freedom, 271906Z Apr 03, UK.
- G. (U) USCENTCOM Message, 121351Z JUN 07, Delegation of DoD Rewards Authority to Brigade Commanders.

2. **(U//FOUO) PURPOSE:** Under 10 U.S.C. Section 127b, the DoD Rewards Program authorizes the payment of monetary funds or like-kind payments to persons as a reward for providing United States Government personnel with information or non-lethal assistance that is beneficial to (1) an operation or activity of the Armed Forces conducted outside the U.S. against international terrorism or (2) for the force protection of the Armed Forces. 10 U.S.C Section 127b is broad in scope in order to provide maximum flexibility for commanders to implement the Rewards Program in the field. This allows units to pay rewards for information helpful to the Coalition Forces (CF) and is not limited only to information leading to the capture of a High Value

Individual (HVI) or seizure of weapons as outlined in this Standard Operating Procedures (SOP). The program's scope is, however, limited for specific pre-nominations and pre-approved categories in which reward payments are restricted to instances where the information leads to the "capture of wanted individuals or weapons." The DoD Rewards Program is not an intelligence program and is not intended to replace any existing programs.

3. (U//FOUO) GENERAL GUIDANCE: Iraqi culture does not view rewards the same way that Americans do. Higher reward amounts do not necessarily create greater incentives in the local populous to "turn in their neighbors." Large reward amounts for the Iraqi people primarily provide an expeditious means to leave the country, and an average citizen and their family are at risk if they come into a sizeable amount of U.S. dollars. An Iraqi culture focus group has advised that Iraqis believe that an insurgent is "well connected" and therefore dangerous to them when a large reward for his capture/kill is posted. Therefore, they hesitate to provide CF with the target's location for fear of retaliation and death. Advertising without listing specific dollar amounts can mitigate against this perception. Indiscriminately raising advertised reward amounts on lesser HVIs can therefore be counterproductive to achieving the intended effect of the DoD Rewards Program. Very little is paid out over the \$10K threshold, and lower rewards limit notoriety for insurgents (Jesse James effect). In the past, units have effectively reduced advertised rewards in order to send the message that a particular individual is not a significant "HVI celebrity." Like-kind payments are authorized under the Rewards Program, and may be an effective method of rewarding cooperation while limiting risk to individuals, especially when using communal rather than individual rewards.

4. (U//FOUO) POINTS OF EMPHASIS:

- A. This SOP outlines the responsibilities and procedures for duty positions, payment request, payment approval, actual payment process, reporting, record keeping requirements and advertisement.
- B. This guidance applies to all components and forces assigned to or supporting MNC-I and operating in the Iraq Theater of Operations.
- C. Units may take steps to expedite the rewards nomination, approval, and payment processes, but the following guidelines must be followed regardless of the procedures used:
 - 1. All rewards must be approved at the appropriate level.
 - 2. Units must maintain specific information for each reward payment as outlined in this appendix.

3. Units must meet reporting requirements through their Major Subordinate Command (MSC) to MNC-I.
- D. All reasonable efforts must be made to protect the reward recipient's confidentiality.
 - E. Company/Battery/Troop Commanders must ensure they do not develop an ongoing working relationship with local nationals through any level of the DoD Rewards Program.
 - F. The DoD Rewards Program is the primary Rewards Program authorized for use by MNC-I and its subordinate units. This program should not be confused with any rewards programs offered by other government agencies, such as the Department of State Rewards for Justice Program, or the now terminated Rewards Authorization under the Commander's Emergency Response Program (CERP). Coordination with the Rewards for Justice Program will be handled through MNF-I and USCENTCOM.
 - G. The DoD Rewards Program is not a weapons buyback program; however it does allow payment for information leading to the capture of wanted weapons as outlined by DoD.
 - H. Funds from the DoD Rewards Program may be used to exclusively advertise the program. The Rewards Program may also be referenced in other Information Operations (IO) products funded with Operational and Maintenance, Army (OMA). Units will fully advertise the Rewards Program using all means within their capability and authority (must consult other guidance such as PSYOP authorities). Local products may include the National 130 Tip Line, but units must closely coordinate with the GOI Tip Line personnel in order to accurately disseminate and act on information. Ultimately, units are responsible for developing their own mechanisms, such as a locally generated tip line, to facilitate Iraqi nationals contacting the CF. There is no requirement for the advertisement products to have an official U.S. Government/DoD symbol. Advertisement products can, but don't have to, refer to coalition or allied headquarters as the agency offering the reward.
 - I. Use of Rewards in Military Source Operations (MSO):
 1. The DoD Rewards Program is not an intelligence program and is not intended to replace any existing programs. It provides a tool to be considered by commanders to facilitate the capture of wanted persons or weapons.
 2. Units who have the authority to operate a Source Network (Human Intelligence (HUMINT) Collection Teams (HCTs) or HUMINT

Exploitation Teams (HETs)) can use rewards to pay sources for information leading to the capture/seizure of wanted persons and equipment. Previous intent was to limit use of rewards while conducting source operations. However, this was intended to keep units that are not authorized to establish Source Networks from setting up a pseudo-network using rewards funds. Units not authorized or trained to conduct MSO will not create a Source Network via the Rewards Program. These sources should be turned over to a HCT/HET authorized and trained to conduct MSO.

3. HCTs or other intelligence gathering elements are authorized to use the Rewards Program in accordance with the applicable guidelines and policies. Units authorized to conduct source operations will not use rewards to pay salaries or provide equipment for the purpose of tasking the source to collect information.
- J.** Rewards may be paid in cash or in the form of like-kind payments. Like-kind payments include food, local amenities, necessities, vehicles, or communal rewards whose value is equal to or less than the authorized/approved reward amount. This is one way to limit the possible flow of funds to insurgents. There is no separate procedure for this form of payment. This approach reinforces engagement and reconciliation efforts at the local level, motivating citizens to fight back for safer and more secure neighborhoods. Once funds are procured from Finance, units can simply go to any local facility and purchase items for like-kind payments. While units can purchase such items through LOGCAP, AAFES, etc., the “Iraqi First” procurement plan recognizes the economic benefits of supporting Iraqi businesses and directs that purchases be made through Iraqi vendors if practical.
- K.** Rewards may not be paid to: U.S. military members; employees; contractors; citizens of the United States; Allied or CF (ISF exempted). Rewards can only be paid to Non-Coalition parties.
- L.** Rewards can be paid to detainees for information that assists CF in operations or force protection. There is no statutory prohibition against providing rewards to detainees, nor is there any regulatory prohibition in the SECDEF guidance or AR 190-8/OPNAVINST 3461.6/AFJI 31-304/MCO 3461.1. Local commanders can decide what rewards are appropriate. Information acquired through detainees does not have to be acted upon in order to pay rewards to detainees. Units can pay detainees in Iraqi Dinars, U.S. Dollars, or like-kind payment (such as cigarettes etc). Like-kind payment is the preferred method for all detainees receiving rewards.

- M. All Iraqi Security Forces (ISF) are eligible for rewards per OSD waiver, but only for actions significantly beyond their normal duties. The current waiver expires 30 May 09. Although normally renewed, the PA needs to ensure a current waiver is in place prior to making rewards payments to ISF members. Any rewards paid to ISF members must be documented and annotated in all reports to MNC-I.
- N. If an individual's actions qualify for a DoD reward or DoS MANPADS reward, that individual may be paid under any one of these two Rewards Programs, but cannot receive payments from more than one of these programs for the same qualifying action.
- O. Rewards will not be paid for information that leads to a person who is found deceased, unless the person is killed during operations based upon information provided, or the request is specifically approved by the SECDEF.
- P. Rewards will not be given for information gathered by methods contrary to DoD policy (e.g., extortion).
- Q. All those eligible for rewards above \$10K must be advised that the payment process may take several weeks due to administrative requirements.

5. (U//FOUO) TYPES OF REWARDS:

A. MICRO-REWARDS are designed for payouts less than or equal to \$500 per incident, with \$1,000.00 a month available per company. This amount can be increased by the BDE/BCT/RCT CDR or other designated Rewards Authorization Officer (RAO) up to his authority (\$10,000). It is not the intent of the policy to provide all company level commanders this amount every month. Funding has not been forecasted to provide ALL company level commanders \$10,000 per month for Micro-Rewards, nor is this the intent of the program. An increase above the \$10K monthly amount must be coordinated and approved at the next authorized RAO level. Payments must be based on pre-determined reward criteria developed by the RAO. It is imperative the MSC have full accountability of the micro rewards. Units that are not spending micro rewards need to turn in the funds and request a new funding DA 3953 every 90 days (at a minimum), or at end of the fiscal year (whichever comes first). The guidelines below should be used by the RAO in developing the reward value criteria.

1. The relative importance of the person or cache of weapons captured.

2. The number of intermediate steps required by U.S. forces between receiving the information and making the capture.
3. The number of personnel captured as a result of the information or assistance.
4. If weapons are seized, consider the cache:
 - a. Size.
 - b. Type of weapons (e.g., MANPADS, artillery shells, IED/EFP components, caliber of weaponry).

B. SMALL REWARDS are for payouts greater than \$500 but equal to or less than \$10K. These are intended for High Value Individuals (HVI - i.e. terror cell leaders, terrorist financiers and smugglers) or weapons caches. MNC-I or DIV/BDE/RCT CMDs or other designated RAOs should follow the same guidelines as the Micro-Rewards for developing the reward value.

C. LARGE REWARDS are for payouts greater than \$10K and are for the capture of HVI, large weapon caches that significantly reduce the effectiveness of a terror cell and other pre-approved rewards of similar significance (i.e., the capture of foreign fighters or the abductor of a U.S. Service member).

6. (U//FOUO) RESPONSIBILITIES AND PROCEDURES:

A. DUTY POSITIONS AND RESPONSIBILITIES

1. MNC-I Level

- a. MNC-I Commander (RAO) or his designee endorses all large reward pre-nominations and payment requests above \$10K before forwarding to MNF-I, USCENTCOM, or OSD for approval. The commander (RAO) can delegate reward authority, but the delegated individual can only pay out rewards that already have been pre-approved up to the RAOs authority.
- b. MNC-I C2X is the MNC-I Rewards Point of Contact (POC) responsible for managing policies, procedures, and training under the DoD Rewards Program for MNC-I. The MNC-I Rewards POC also processes all large reward payment requests for MNF-I, CENTCOM, and OSD; works with MNC-I C8 to ensure distribution of funding to subordinate units is appropriate; ensures units are complying with fiscal requirements and submission of timely

reports; coordinates with MSCs to obtain consolidated payment roll-ups for monthly submission to the MNF-I Rewards Program Administrator and the quarterly submission to USCENTCOM CCJ8; consolidates subordinate unit nomination packets, reports and submits to MNF-I as required; works with MNC-I C8 to ensure MSCs complete audits and internal review of respective programs as required or at least quarterly; ensures compliance with policies, procedures and guidance from higher headquarters. **The monthly reports must balance with the financial system. Failure to ensure accurate reporting will result in the withholding of funds until accountability is achieved.**

- c. MNC-I SJA reviews rewards packets and prepares a legal review memorandum for all large reward packets processed through the MNC-I Rewards POC. SJA also ensures that policies and procedures comply with applicable laws, regulations, and policies of HHQ.
- d. MNC-I C8 (Comptroller Office) certifies funds for Corps separate requests and all large rewards; issues funding via Resources Distribution Documents (RDDs) to all MSCs and CJSOTF; tracks execution of rewards funding throughout MNC-I; pays all large rewards from a centralized fund; reports status of funds to USCENTCOM when requested and notifies USCENTCOM of any shortages of funds; coordinates with the MSC Rewards POCs to ensure payments are completed in a timely manner; ensures MSCs complete audits and internal reviews of respective programs quarterly; requests additional funds as required; certifies funds for MNF-I units; and assists MNC-I C2X with reconciliation of the monthly report with the financial systems. **MNC-I C8 will withhold unit level funding if monthly reward reports do not balance with expenditure data in the financial system.**

2. MSC/DIV

- a. Commanders: MSC Commanders and other commanders appointed as RAOs are authorized to approve rewards up to \$10K. They endorse all large reward payments above \$10K prior to submission through MNC-I, to MNF-I, USCENTCOM or OSD for approval. At the discretion of the MSC CDR, MiTTs can implement the Rewards Program. The commander (RAO) can delegate reward authority, but the delegated individual can only pay out rewards that already have been pre-approved.
- b. MSC Rewards POC manages policies, procedures, and training under the DoD Rewards Program for its respective DIV/BDE. The

MSC/DIV Rewards POC can provide implementation guidance based on the MNC-I Commander's intent. The MSC Rewards POC is responsible for receiving large reward payment approval requests from subordinate units and submitting them to the MNC-I Rewards POC. The MSC Rewards POC processes approved large reward payment requests and returns them to subordinate units. The MSC Rewards POC is responsible for consolidating and submitting monthly roll-ups on all subordinate unit reward payouts to the MNC-I Rewards POC for submission to USCENTCOM. The MSC Rewards POC must verify that these reports are accurate and contain all the required information before they are sent to the MNC-I Rewards POC. Every monthly report submitted must be reconciled with the MSC G8. Failure to accurately report reward payments by balancing with the financial system will result in funds being withheld until accountability is regained. Reporting requirements are listed in this appendix.

3. BCT/BDE, Separate Brigades, all Iraqi Training Teams, and other non-traditional units.
 - a. Commanders: Currently, USCENTCOM has appointed all BCT/BDE/RGT/MiTT level commanders and MNC-I separate BCT/BDE commanders as RAOs for rewards up to \$10K. MNF-I has also authorized all BCT/BDE/MiTT RAOs to implement the Micro-Rewards Program. USCENTCOM immediate subordinate commanders may nominate Allied Officers as well as U.S. personnel to serve as RAOs. All Allied Force RAOs will validate information and request payment through designated U.S. liaison or a U.S. RAO supporting the Allied Force. The RAO may authorize a monthly Micro-Reward Program for each company commander and must develop pre-determined micro-reward payment criteria authorizing company commanders to pay rewards for each piece of information. Use of the criteria by subordinates should allow immediate payment of most rewards after the information has been verified. The RAO is also responsible for endorsing requests for large rewards over \$10K before forwarding to MNC-I, MNF-I, USCENTCOM, or OSD for approval.
 - b. Other non-traditional units/elements (EDets; JIDC; SCID) can select an officer to be a USCENTCOM authorized RAO if not already designated. These names are submitted to the MNC-I Rewards POC for consideration and then submitted to USCENTCOM.
4. The Unit Rewards POC. A Rewards POC is appointed by the RAO to manage the Rewards Program and is responsible for receiving reward

payment approval requests, as well as accurate reporting. The Rewards POC and the Rewards Paying Agent (PA) cannot be the same person. The Rewards POC must be appointed on orders and be familiar with duties and responsibilities of this position as prescribed in this SOP. The Rewards POCs are responsible for compiling the small and micro rewards at their level for submission to the next higher element monthly. The Reward POC also prepares the Purchase, Request and Commitment (DA form 3953) to pay rewards; coordinates bulk fund issue under the Micro-Rewards Program; and is responsible for signing out Purchase Order-Invoice-Vouchers (SF44) to company/battery/troop commanders for micro rewards cash issue. The Unit Rewards POC is responsible for compiling the monthly report and forwarding to the next higher echelon. This report must follow the reporting requirements in this section. Funding will be withheld if reporting is not complete or accurate.

5. The Rewards PA is a service member trained by Finance and authorized by the Unit Commander to draw funds in order to pay sources for the Micro, Small Rewards and approved Large Rewards. The unit PA should keep sufficient funds on hand to facilitate same day or next day small rewards payments. There can be multiple PAs throughout the BDE or other non-traditional elements in order to facilitate timely and accurate disbursement of rewards funds. One PA is authorized per DA 3953. The Rewards PA must be appointed on orders and familiar with duties and responsibilities of this position. The PA must be an E7 and above (E6 with waiver).
6. All MSCs/DIVs (including: BCT/BDE, Separate Brigades, all Iraqi Training Teams, and other non-traditional units) will provide the MNC-I Rewards POC with an electronic list of the personnel in those slots in order to update USCENCOM's RAO by name list. Units also need to submit a list of designated rewards POCs and PAs. The list must include contact information such as e-mail addresses and phone numbers. Units can find this excel list on the MNC-I C2X Webpage in order to verify if data is current and accurate.

B. PAYMENT REQUEST AND APPROVAL PROCEDURES.

1. Any service member or unit may submit a reward request for payment to a source for information that leads to the capture of wanted weapons or individuals as applicable. The requesting unit must tie the information to a "benefit" for U.S Forces. Under 10 U.S.C. 127B, MNF-I is only authorized to pay when that information of non-lethal assistance was "beneficial" to an operation of activity against international terrorism or to our force protection. It is understood that units don't need to show the information provided led to the capture of

an HVI or Cache, but units still have to articulate some “benefit” that justifies the rewards. Also, the justification cannot be for a source simply providing intelligence that other sources have already passed to CF (i.e. old news). All requests must be processed through the chain of command.

2. Micro Rewards less than or equal to \$500. Company level units/MiTTs or other respective elements request cash from next higher (BCT/BDE) Rewards POC. Generally, no more than \$3,000 should be drawn every 90 days per company level. These payments are tracked via the monthly report. The BCT/BDE/Regiment Commanders, to include other pre-designated RAOs, develop pre-determined micro-rewards payout criteria in writing that authorizes company commanders to pay rewards of up to \$500 per incident. This payout criterion is not a pre-nomination process, but is a subjective tool established by the commanders based on the AO. Use of the established criteria should allow units to make on the spot payments (after information is verified) up to \$500, or the amount the RAO deems appropriate for the AO. The criteria can be in the form of specific scenarios with the dollar value for each event. Scenarios must be in compliance with the intent of the Rewards Program. Payment amounts should be the minimum market value required in the area of operations in order to efficiently use the program.
3. Small Rewards less than or equal to \$10K. Units will prepare a pre-nomination packet and a follow on payment approval request packet for qualifying information and/or non-lethal assistance and forward these packets to the respective RAO. Units are authorized to put a system in place to expedite small rewards payments as long as OSD guidance is followed and all reporting requirements are met.
4. Large Rewards. While units can nominate and request funding for an HVI after he/she has been captured/killed, the preferred method is a two step process (nomination before capture/kill and funding request after capture/kill).
 - a. Nomination process before capture/kill. Units submit all pre-approval nomination requests (pre-nominations) for HVIs greater than \$10K to the MNC-I Rewards POC. This initial step only nominates the target as eligible for a large reward and puts them on a master pre-nominated list consolidated at USCENCOM. Funds are not committed, obligated or dispersed until kill/capture is verified from source information and acted upon by the unit. Pre-approved nominations permit the unit to advertise up to the pre-approved amount. Forms required:

1. Request for pre-nomination memorandum endorsed by the MSC Commander.
 2. Target package should include photographs if possible, and all other relevant background information.
 3. Legal review. SJA review at the unit level is recommended but not required for packets submitted to MNC-I. MNC-I SJA recommends that subordinate SJAs/CJAs familiar with the HVI target folder include a legal review summarizing the intelligence/evidence supporting the kill or capture mission. MNC-I SJA completes a legal review for all large reward nominations.
 4. DA 3953.
 5. PA designation letter and DD 577.
- b. During this initial staffing process, MNC-I Rewards POC will assemble and process a staffing packet through the MNC-I staff sections listed below. Once this is completed, the packet is scanned and sent to the MNF-I Rewards POC for staffing and approval by MNF-I CG. Staffing steps below:
1. SJA
 2. Targeting
 3. Effects Coordinator
 4. C8
 5. SJS
 - i. Deputy Chief of Staff
 - ii. Chief of Staff
 - iii. MNC-I CG
- c. Funding request after capture/kill. Once source information is verified and the target is captured or killed (by CF/ISF), the unit submits a justification and payment request through the chain of command to the MNC-I Rewards POC. USCENTCOM is responsible for providing additional funding to cover all current and future large reward payouts of pre-nominated targets. Justification payment request approval packets must include:
1. Request for reward payment memorandum endorsed by the unit RAO.

2. All relevant capture data and/or mission story board that led to the capture of pre-nominated target or cache via source information.
 3. The original pre-approval letter that was signed by the BCT, DIV, MNC-I, or MNF-I commander (as applicable). The legal review associated with the pre-nomination is required for Large Rewards when clearing Finance.
 4. DA3953 – Purchase Request and Commitment (PR&C). An O6 or higher should sign the DA 3953, but since the respective reward nomination would have been already approved through staffing actions and by the respective commanding RAO, any pre-designated RAO below the rank of O-6 can sign in these cases.
- d. MNC-I C8 certifies DA 3953. If funds are not available, MNC-I C8 will coordinate with USCENTCOM for procurement of additional funding. DA 3953s will be closed out 30 days from issue. Exceptions to policy must be submitted to MNC-I C8, Special Programs.
 - e. If a unit has already captured an HVI who was not pre-nominated in accordance with the above process and the informant needs to be paid, a nomination and payment request must be submitted. However, this process takes a few weeks, so units are encouraged to pre-nominate targets before the HVI is captured in order to streamline the payment process.

C. PAYMENT PROCEDURES

1. Drawing funds from Finance
 - a. Paying Agent (PA) must be appointed by the Commander and receive a training certificate from the local Finance Office. PA must also have a DD 577 Signature Card and a PA Appointment Letter.
 - b. Due to the sensitivity of the Rewards Program, the PA must realize that during the course of being a Rewards PA, the documentation acquired during the process may be classified in nature. The PA must ensure all documents are stored properly and clearly marked.
 - c. Each DA 3953 must have the PA's name listed, with no more than one PA per DA 3953. If a PA is rotating out of theater, the fund should be properly closed through the Finance and Comptroller office. A new DA 3953 will be issued to the incoming PA if needed.

Internal controls must be in place to ensure monthly thresholds are not broken.

- d. Upon the DA 3953 being fund certified by the MSC Comptroller's office, the PA can draw funds from Finance. The PA will receive a DD 1081, Statement of Agent Officer's Accountability. Finance will maintain a copy of DD Form 577 and Appointment Order on file for each PA and each subsequent withdrawal. The PA maintains a copy of the DA 3953 and DD 1081.
- e. The Iraqi Dinar will be the primary form of cash used to make reward payments. US dollars can be drawn from Finance as a last resort.

2. Making Payment

- a. The Unit Rewards POC prepares an SF 44 for signature by unit PA and payee.
- b. ONLY the PA pays the source. PA's are strictly liable to the U.S. Government if they lose accountability of any funds, so they must ensure compliance with all DODFMR and local regulations regarding the proper safeguarding, transfer, payment, and accounting of funds entrusted to them. The PA needs to consult his/her Finance office on additional requirements associated with being a Rewards PA; to include guidance on completing an SF44.
- c. The company/battery/troop commanders will maintain cash accountability by maintaining payout reports.
- d. Every reward payout to a local informant will be accounted for by name and source number on a separate SF44.

3. Clearing Rewards POC/RAO/Comptroller/Finance

- a. After disbursing funds in the field the PA will immediately: contact the Unit Rewards POC notifying them of payment details and send supporting documentation (must include SF44 or equivalent) to the Unit Rewards POC and the MSC Comptroller.
- b. The MSC Comptroller will ONLY obligate the funds upon receipt of the SF44.
- c. PA must contact the Finance office every 30 days. A PA must clear Finance every 90 days or upon departure from theater (whichever comes first).

- d. The PA will clear with their Finance Company (where funds were drawn) with the completed SF44, receipts and any remaining currency. The Finance Office will prepare an SF1034 voucher for the total amount of all SF Forms 44 submitted. Finance will issue a DD1081 (return) clearing the PA. The PA will receive the SF1034 and supporting documentation upon final clearance.
 - 1. The PA, PRIOR to coming to finance, will clearly identify and mark any classified documentation, and will remove any unnecessary classified documentation not required by Finance. The PA will notify Finance prior to or immediately upon arrival to clear if he/she has any reason to believe there is a possibility that classified material appears within the clearing documentation
 - 2. While Finance is clearing the PA, all documentation will be closely scrutinized to ensure no classified documents are included in the payment file submitted to DFAS.
- e. If PA does not have any funds remaining, he/she may electronically clear through email. The supporting documentation can be sent to the responsible Finance Office and upon approval will clear the agent via a DD1081 (return). The PA needs to ensure no classified documents are improperly submitted electronically.
- f. The PA will provide a copy of the entire SF1034 voucher, with supporting documents, to the MSC Comptroller.
- g. The MSC Comptroller will forward ALL SF1034s/SF44s to the MNC-I C8 Special Programs Office.

NIPR: MNCISpecialPrograms@iraq.centcom.mil

SIPR: [MNCISpecialPrograms @s-iraq.centcom.smil.mil](mailto:MNCISpecialPrograms@s-iraq.centcom.smil.mil)

D. REPORTING PROCEDURES

- 1. Reports are a monthly requirement that is essential to ensure proper stewardship is being exercised within the Rewards Program. The roll-ups allow assessments on the effectiveness of the DoD Rewards Program (results versus dollars spent). Thus, it is imperative that there is some level of analysis of reward payouts to the capture/kill ratio. Improper or insufficient reporting by a unit will result in suspended funds. Funds will not be released until reconciliation is complete and corrective action has been made to ensure accurate reporting.

2. Monthly roll-up reports will follow format required below. All cells that are classified need to have a classification marking in the cell. This report will include Large Rewards, Small Rewards, Micro-Rewards, and Advertising Costs.
 - a. MSC
 - b. RAO. Name of the RAO
 - c. RAO Command
 - d. Unit Rewards POC
 - e. Unit Executing
 - f. DA 3953 Number: The 14 digit alpha numeric document number found in block number 2 and 19.
 - g. Amount of DA 3953
 - h. Date Information Provided
 - i. Date of Capture for Personnel or Weapons (if applicable)
 - j. Date of Payment
 - k. Amount of reward paid (cash, like-kind payment). Always report amount paid in US currency.
 - l. Monetary or Other Form of Payment. Type of payment made: USD, Dinars, or like-kind payment.
 - m. Description of information/assistance. To include, if applicable, the full name of target (HVI) captured and the organization to which they belonged. Language used should be concise and as uniform as possible. If a weapon cache, list each item with quantity first (“(U) 5 X RPGs, 100 x 107mm rockets”). Make sure that all acronyms are defined in the report (except for foreign weapon systems). Special attention will be given to rewards pay-outs that correspond to the capture of a foreign fighter and reconciliation efforts. Highlight all rewards payouts that fall under these two broad based categories.
 - n. Reward Recipient. Provide name or generic source number of recipient for tracking purposes. If a source number is used, the classification needs to be (U) not (S/NF). S/NF should be used

when a recipient's actual name is included in the report. Units must be able to provide name of source upon request. Do not confuse this with the names of HVIs or insurgents captured; there need not be any classification for the HVI individuals.

- o. Assessment of the Significance of Information or Assistance. The following Significance Codes will be used: Benefit "OP" = operational and "FP" = force protection; significance "1" = high, "2" = medium and "3" = low. A single reward may have both an OP and an FP benefit (e.g. "OP2/FP2").
 - p. Number of HVI's/Anti-Iraqi Forces (AIF) Captured or Weapon/Material found.
 - q. Expenses related to advertising or administration of the program (listed on a separate tab)
3. Report Administration. Upon receipt of a certified DA3953, the Unit Rewards POC will make an entry to the report. This will account for the issuance of the DA3953. For a bulk fund, this line will be a holding line representing the remaining balance of the bulk fund. Each individual payment must be portrayed on the report. The DA 3953 column will represent the commitment being entered in the financial systems
- a. Upon payment of a Small Reward or Large Reward, the remaining information will be filled in, completing the report entry. For the Micro Reward bulk funds, each payment will have its own unique line on the report. The DA 3953 amount for this payment entry will reflect the amount of that particular payment. As each payment is entered in the report the DA 3953 amount will be decremented on the ORIGINAL report entry for the DA 3953, thus leaving the remaining balance of the fund. The amount paid column will represent the obligations occurring as disbursements are made in the field
 - b. Closing a DA3953. If a DA 3953 is closed out with less disbursed than the amount certified, the DA 3953 amount will be adjusted to reflect the amount disbursed. If the DA 3953 is cancelled without any payment made then the line will be deleted from the report. For Micro Reward Bulk funds, the original entry can be deleted once the DA 3953 is closed out and the full amount of disbursements is reflected on the report via separate entries.
4. Reporting Process:

- a. The Unit Rewards POCs must submit their reward reports to the MSC rewards POC NLT 1200 on the first of the month. Prior to submission, the Unit Rewards POC will ensure all Reward DA3953's are accounted for on the spread sheet.
 - b. The MSC Rewards POC will consolidate the respective roll-ups and will submit them to MNC-I C2X Rewards POC NLT 1200 on the second of the month. For each monthly report, MSC Rewards POC will reconcile with the MSC G8 to ensure that all Rewards DA 3953s have accurate financial data.
 - c. MNF-I detachments will provide monthly and quarterly roll-ups to MNC-I C2X for reporting purposes.
 - d. The MNC-I C2X Rewards POC will reconcile reports with MNC-I C8 to ensure all rewards DA 3953s are accurately represented.
 - e. The MNC-I Rewards POC submits a summary of all rewards paid by MNC-I to the MNF-I Rewards POC by the fourth day of each month.
 - f. Quarterly Reporting Procedures: Quarterly rewards reports are due to USCENTCOM J8 on a quarterly basis in addition to the monthly reports that are due to MNF-I. The reporting format is the same as the monthly requirement and is due on the seventh day of the month following the quarter being reported. MNC-I C2X will submit the quarterly report. Additionally, an annual report is due to CENTCOM on 1 November, which consists of a roll-up of the entire previous fiscal year.
5. The MNC-I C8 Rewards Resources Manager submits a status of funds report to USCENTCOM'S Resource Management on the 1st of each month.
- E.** All Rewards POCs will maintain a file with an individual case number for each reward authorized. The information is essentially the same as required for the monthly roll ups, so there is no additional work. Files will be maintained for one year and will include the following:
1. Name of the person authorized to receive award.
 2. Name of person or weapon whose capture was aided by the information provided by reward recipient.
 3. Date of capture.

4. Brief summary of information or assistance provided by the recipient with an assessment of the significance and benefit of the information or assistance.
 5. Amount of reward authorized and whether the reward was provided as a monetary payment or in some other form. If the reward is greater than \$10K, provide the reference that directed payment (pre-nomination packet and request for payment).
 6. USCENTCOM Message that authorizes the named RAO.
7. (U//FOUO) SPECIAL CATEGORIES:
- A. Coalition Forces (CF).
1. Non-US Forces are not authorized to operate independent Rewards Program using funds derived from the U.S. DoD Rewards Program. By statute, U.S. Armed Forces are only authorized to pay a reward to a coalition partner's informant/source if it is found to be beneficial to U.S. Armed Forces IAW 10 U.S.C.127b. Payments to a coalition partner's informant/source must remain transparent, and properly receipted with prudent internal controls to minimize the potential of fraud, waste, and financial mismanagement by Allied Government personnel.
 2. Until 01 Oct 09, rewards payments may be made through Allied Force Governmental Representatives as part of the payment chain. When Allied Force personnel are included in the payment chain, subordinate commands must ensure these personnel are briefed and trained concerning proper receipting procedures, local unit procedures, and on the DoD Rewards Program overall.
 3. Nomination will be processed by the RAOs as any other rewards program nomination.
 4. Intelligence agencies may request rewards funding by submitting a request through the MNF-I POC to include a letter of justification and DA 3953. MNF-I will provide approval to MNC-I C8 after a legal review.
- B. Pre-Approved Target Categories.
1. There are seven broad pre-approved categories established by USCENTCOM, MNF-I, and MNC-I (all pre-nominations can be found on the MNC-I Portal link). Any level of command is authorized to pay a reward for these categories. The approving commander then requests payment by staffing the request through the respective HQ to MNC-I

C8 for procurement of funds. The payment process for HVIs is just like any other request for payment.

2. Any pre-approved authorization for payment is also authorized to advertise that amount.
 3. Units should see an enhanced efficiency of HVI reward payments through the use of the pre-nominated category. Experience with the Rewards Program shows that rapid payment of rewards increases the legitimacy of the program to the Iraqi population.
 4. All subordinate units that use the DoD Rewards Program can pay rewards up to the designated amounts in dollar currency or like-kind payment. All pre-approved categories will be paid from MNC-I or DoD reward funds, not from funds held by the units. Once the respective RAO approves a payout, the local comptroller's office will coordinate with MNC-I C8 for procurement of funds.
 5. Subordinate commands may pre-approve categories within their delegated authorities (subordinate command rewards managers will forward all pre-approved categories to USCENTCOM).
8. (U//FOUO) ADVERTISEMENT:
- A. MSC and Unit Level Information Operations
1. The Iraqis or CF do not currently have a fully functioning national mechanism to connect informant information to the local CF for action. As such, units must develop a mechanism to advertise the Rewards Program and receive information. Absent separate guidance or restrictions from higher headquarters, it is the unit's responsibility to coordinate with their respective IO, PSYOP, Effects, and Public Affairs in order to properly advertise the Rewards Program within the bounds of their PSYOP authority. This approach to advertising will, once established, greatly enhance the Rewards Program within the ITO. All advertising related cost can be paid with DoD reward funds. Advertising and other related expenses must be annotated and calculated into the monthly and quarterly roll-ups. This information must be accurate since is it reported to Congress.
 2. Regional Concept. Unit campaigns should advertise criminals on a regional level by various methods. Generally, units should advertise 10 criminals on a revolving monthly basis to maximize the advertising efforts and provide the flexibility to adjust to target audiences.

B. Requesting Advertisement Funds From Rewards:

1. Requesting advertising money requires a standard justification and cost analysis memo from the Rewards POC. After the SJA review, submit to the appropriate echelon based on amount requested (respective unit G8, MNC-I C8, or USCENTCOM CCJ8) for procurement of funds. Unit comptrollers and MNC-I C8 generally only have enough on-hand funds to cover local advertising (leaflets, handbills, posters, and radio). Satellite TV is expensive and such requests will generally need to be sent to USCENTCOM for funding. Also, standard PSYOP approval authorities still apply. Thus, all SAT TV, any restricted content messaging, and any products which cross MSC boundaries may require approval from Commander, MNC-I or higher. Consult unit IO, PSYOP, Effects, or PA for procedures.
2. Once the advertising funding is justified, the unit Comptroller, MNC-I C8, or USCENTCOM CCJ8 will transfer the necessary funds into the respective accounts for developing products within MNC-I or the respective unit.
3. Phone Tip Line
 - a. A local tip line should be established at the MSC level which synchronizes rewards advertising with a mechanism for Iraqis to contact CF with information leading to the capture of a respective HVI, weapons cache, or any other information that assists CF. Reward funds can be used to purchase cell phones and any other related items/materials in order to create a mechanism for informants/Iraqis to call in their tips. This can be done at any level and is fully supported by MNF-I and MNC-I. MND-B has established this mechanism and can share this process with other units.
 - b. The Iraqi National Tips 130 Hotline program is not advertised as, nor setup to support, the Rewards Program. However, Tips does have some crossover with the Rewards Program because the 130 number is well known and advertised. There is no established process to coordinate the respective HVI that units have pre-nominated with an appropriate phone number or unit for the Tips facility to contact. Therefore, units should assign a specific cell phone at unit level for lower rewards (i.e. local HVIs). In appropriate cases, the Tips line may be useful, but it is up to the unit to coordinate with National 130 Tips line in order to develop a mechanism for contacting CF within the AO. Note that Tips 130 is established as an Iraqi run program for good Samaritans to call in anonymous terrorist related tips. Rewards are almost by definition

not Iraqi, not anonymous, and not necessarily appealing to good Samaritans.

9. (U//FOUO) PROPONENT:

A. The proponent of the SOP is the MNC-I C2X

B. Point of contact for this SOP is at: DSN 318-835-1334

- 10. (U//FOUO) MNC-I DOD REWARDS PORTAL:** MNC-I C8 and C2X have endeavored to make this program as user friendly as possible, including the creation of the MNC-I DOD Rewards Portal, which captures relevant laws, briefs, policies, procedures, and SOP's. MNF- I also will hold a Rewards Working Group VTC on the last Saturday of every month at 1500. All are encouraged to attend by coordinating with the MNC-I Rewards POC.
<http://corps.res.s-iraq.centcom.smil.mil/sites/staff/c2/c2x/homesite/default.aspx>

IRAQI SECURITY FORCES FUNDING

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1. **PURPOSE:** As Iraq transitions towards self governance, Congress has appointed Iraqi Security Forces Funds (ISFF) to train, equip, and maintain the Iraqi Security Forces (ISF). The Commanding General, MNSTC-I, is the statutory custodian of the ISFF and retains the responsibility for training and equipping the ISF. At the request of MNSTC-I, MNC-I C8 assists in the administration of the ISFF.
2. **GENERAL GUIDANCE:**
- A. MNC-I's goal is to move the ISF to a position of self-sustainment. A self-sustaining ISF will set the conditions to allow the neutralization and denial of violent extremists while protecting the nation's borders, maintaining security, and increasing police primacy. MNC-I's goal is to build the ISF's capacity to the point of Full Operational Control (FOC). FOC is defined as the point at which the ISF sustains itself with the capability to execute acquisition, budget, dispersal, consumption, and disposal with limited assistance from Coalition Forces. Before the ISF obtains FOC, ISFF funding provides an important interim resource by which MNC-I units may continue to advise, partner, mentor and assist the ISF by supplying certain basic operational needs.
 - B. MNC-I's ISFF program is made up of the following distinct categories which can be used to meet ISF requirements:
 1. Quick Response Fund (QRF)
 - a. QRF Requirements between \$2,000 and \$50,000
 - b. QRF Requirements greater than \$50,000
 2. Combat Service Support to the Iraqi Security Forces (CSS to ISF)
 3. Foreseeable or recurring (non-QRF) requirements of the ISF
 - C. All other ISFF requirements are funded directly by MNSTC-I. MNC-I C8, Special Programs, will assist with the coordination for requirements that are funded directly by MNSTC-I.

3. CHANGES FROM THE 15 MAY 2008 MAAWS:

- A. *Termination of the Iraqi Security Forces Monetary Incentive Fund (ISFMIF) and the Law and Order Task Force Incentive Fund (LAOTFIF):*** ISFMIF and LAOTFIF were monetary incentive programs where ISFF funds were used to reward members of the ISF for superior performance and exceptional duty. However, recent changes in the statutory language pertaining to the ISFF prohibit the continuation of these programs. According to the language of the 2008 Supplemental Appropriations Act, Public Law 110-252, Iraq Security Forces Funds *may not be used to provide salaries, wages, or bonuses to personnel of the Iraqi Security Forces*. Thus, ISFMIF and LAOTFIF no longer exist. The DoD Rewards Program is the only available option to reward ISF members, and only for those qualifying actions under the Rewards Program.
- B. *Transition Team Implementation Funds (TTIF):*** TTIF, a former MNC-I program (not a formal subdivision of the ISFF) has been terminated. Portions of the TTIF program have been merged into the new MNC-I QRF program.

4. QUICK RESPONSE FUNDS (QRF):

A. References

1. MNC-I FRAGO 247, 27 Aug 05, Procedure for Requesting Non-MTOE Equipment, Services and Life Support Funding for ISF.
2. MNF-I FRAGO 351 MOD 1, Aug 05, Funding Responsibilities for the ISF.
3. MNC-I FRAGO 380, 17 Oct 07, QRF Procedure for Requesting Equipment and Services Using Support Funding for ISF.
4. Information Paper, MNSTC-I SJA, Subject: The Iraqi Security Forces Fund (1 March 2008; updated November 2008).
5. MNF-I Memo 11-1, Chapter 11.5, Support to Iraqi Security Forces.
6. MNF-I Strategic Planning Directive – Coalition Support to Iraqi Security Forces and Transition Teams, 20 May 2006.
7. Fiscal Year 2008 OSD QRF Budget Justification.
8. Duncan Hunter National Defense Authorization Act for Fiscal Year 2009, P.L. 110-417.

B. Description

1. QRF is a formal subdivision of the ISFF (the ISFF is broken down into several formal budget activity groups, see Reference 4). By law, QRF may only be used to meet ***short-notice and emergent requirements*** of the Iraqi Security Forces. Also, no QRF expenditure may exceed the \$1M simplified acquisition threshold (see Reference 7). Each fiscal year, MNSTC-I will transfer a limited amount of QRF to MNC-I for obligation and expenditure. MNC-I will distribute QRF to the MSCs based on the number of transition teams in their AOR.

2. As a general rule, life support and logistic supply for the ISF are an MOD and/or MOI responsibility. The expenditure of QRF should be the absolute last resort, and only when the mission will fail without direct intervention. This intervention should be limited to essential support, such as the unanticipated need to provide food, water and fuel, in order to prevent a collapse of operational effectiveness during the conduct of kinetic operations. Support of a training event is not considered “essential support” as the MOD/MOI should plan for and fund these events. All QRF requests must be for short-notice and emergent requirements (Note: The standard is emergent, not “emergency”). A requirement is generally short notice and emergent provided the need for the requirement unexpectedly arose within the previous 90 days. QRF may not be used for foreseeable or recurring requirements; funding for these types of requirements are addressed in paragraph 6, ***Foreseeable or Recurring (non-QRF) Requirements of the ISF.***
3. Contractual performance of QRF-funded support cannot exceed 90 days in duration, and bulk-funded QRF is no longer permissible. The following are examples of projects that may be funded with QRF (all requirements must first be short-notice and emergent):
 - a. Minor construction and infrastructure repair of any building used exclusively by the ISF. Fiscal year 2008 ISFF, which remains available thru 30 September 2009, may be used for minor construction and infrastructure repair. Fiscal year 2009 ISFF, which also remains available thru 30 September 2009, may not be used for minor construction and infrastructure repair as a result of the 2009 National Defense Authorization Act.
 - b. Emergency or mission critical equipment used by the ISF, to include modes of transportation.
 - c. Training equipment used exclusively by the ISF.
 - d. Force protection and barrier material.
 - e. Emergency life support not to exceed a one-time 90 day period.
4. As a general rule, QRF cannot be used for:
 - a. Humanitarian relief and non-ISF reconstruction efforts.
 - b. Direct/indirect benefit to U.S. or Coalition Forces.
 - c. Entertainment of any kind.
 - d. Cash hand outs of any type.

- e. In conjunction with or commingled with OMA or any other appropriated or non-appropriated funds.
 - f. Any expense that does not directly benefit the ISF.
 - g. The payment of wages, salaries, bonuses, or awards to members of the ISF.
 - h. Benefit to the Sons of Iraq (Sol) or similar organization.
 - i. Recurring requirements.
5. Field Ordering Officers may execute approved QRF requirements costing less than the \$25,000 micro purchase threshold. See FAR 2.101. For the purposes of this section, an “approved QRF requirement” means that the requirement: (1) complies with the QRF criteria; and (2) has been approved by the designated approval authority before the FOO purchase is executed. Note that a purchase does not necessarily qualify as a valid use of QRF simply because the item(s) appear on the “MNC-I/JCC-I Master FOO Purchase Authorization List.” Each item must still comply with all the QRF criteria contained in the MAAWS (i.e., must be short-notice and emergent) before the FOO process is used.

C. QRF Requirements Between \$2,000 and \$50,000:

1. Upon receipt of QRF dollars from MNSTC-I, MNC-I C8 will distribute the funds to the MSCs based on the number of transition teams in the AOR. Separate units and Brigades will submit QRF requirements directly to MNC-I C8 for validation and fund certification (see para. 2, below). This QRF funding may only be used for requirements with a dollar value between \$2,000 and \$50,000. MSC Commander’s will set the policy and procedures for QRF distribution and approval within their AOR. However, the approval authority for the use of these funds may be delegated no lower than the Battalion Commander level. The approval authority may approve requirements costing less than \$2,000 on an exception basis. Exceptions will be used sparingly, and must contain a detailed justification of the requirement.
2. Units that report directly to MNC-I will submit packages to the MNC-I C8, Special Programs Section for approval and certification (e.g. CJOSTF, IGFC, Coalition Training Teams).
3. Each QRF purchase between \$2,000 and \$50,000 requires:

- a. Letter of Justification detailing the short-notice and emergent nature of the requirement (signature authority to be determined by MSC).
 - b. Approval Memorandum (approval authority determined by MSC, but no lower than BN CDR).
 - c. If the cost of the requirement is above the \$25,000 micro-purchase threshold, vendor quotes are needed to establish that the price is fair and reasonable.
 - d. Legal review from servicing Judge Advocate to ensure the proper use of QRF.
4. The purpose of the \$2,000 minimum for QRF expenditures is to ensure that the GOI pays the bill for the day-to-day expenses of the ISF. The \$2,000 to \$50,000 thresholds are **per requirement** thresholds, not per item. So, if a Transition Team needs five - \$500 parts to make emergency repairs to an ISF facility, which is a \$2,500 requirement and can be processed as a regular QRF expenditure; it does not require an exception. Multiple QRF requirements may be processed on a single PR&C. However, project splitting is prohibited – separating procurements that are related to the same requirement in order to satisfy the QRF funding limitations is prohibited.
 5. For all QRF purchases \$50,000 or below, MSCs will submit a monthly report detailing the QRF requirements that were funded in their AOR. This report is due to the MNC-I C8 by the 10th of each month.

D. QRF Requirements greater than \$50,000 but less than \$1,000,000 (must be submitted to MNC-I and approved by MNSTC-I):

1. MNC-I and the MSCs will not fund QRF requirements costing more than \$50,000 – these requirements must be funded by MNSTC-I. QRF requirements costing greater than \$50,000 but less than \$1,000,000 will be submitted by the MSCs to the C4 ISF Cell and will follow the general staffing procedures outlined in MNC-I FRAGO 380 (Reference 3). MNC-I OSJA will provide the legal opinion to determine if the requirement meets the criteria for QRF funding. Once the package is staffed, it will be sent to the MNC-I CoS for final endorsement, and if endorsed, it will be forwarded to MNSTC-I for final approval and fund certification. As noted above, MNC-I will not fund any QRF requests over \$50,000. Final approval authority rests with MNSTC-I.
2. MNC-I FRAGO 380 is only used as a reference for staffing procedure. If there are any substantive differences between this document and FRAGO 380, this document will govern. For example, any references to Transition Team Implementation Funds (TTIF) in FRAGO 380 are no longer valid. Any

questions on staffing procedures should be referred through the chain of command to the MNC-I C8.

3. All QRF packages costing more than \$50,000 will include:
 - a. Letter of Justification signed by an O6.
 - b. PR&C; with all blocks completed except: 2, 19-24, 26, and 34-36.
 - c. Statement of Work.
 - d. Three independent bids or a sole source justification.
 - e. Letter from the local representative of the MOD or MOI stating why they cannot fund this requirement.
 - f. An approval recommendation from the Commander, Iraqi Assistance Group.
4. If the unit has a requirement that is mission critical which may potentially result in the loss of life or limb, and the unit is unable to obtain a letter from the MOI or MOD within 14 days from the time the support may be needed, then the unit should immediately provide a memorandum addressing this fact. The memorandum must include a sufficient explanation for why the GOI cannot provide the requested support.

5. COMBAT SERVICE SUPPORT TO IRAQ SECURITY FORCES (CSS to ISF):

A. References

1. MNF-I FRAGO 06-371 (12 July 2006), and MOD 1 to MNF-I FRAGO 06-371 (5 October 2006).
2. MNC-I FRAGO 279, 30 July 2006 (DTU).
3. MNC-I FRAGO 215, 11 January 2007 (DTU).
4. Memorandum of Agreement between MNSTC-I and MNC-I Regarding Combat Service Support to the Iraq Security Forces, dated Dec 08.
5. 2005 Emergency Supplemental Appropriations Act, P.L. 109-13.
6. 2006 DoD Emergency Supplemental Appropriations Act, P.L. 109-148.
7. Fiscal Year 2008 OSD QRF Budget Justification.
8. Consolidated Appropriations Act 2008, P.L. 110-161.
9. 2008 Supplemental Appropriation, P.L. 110-252.
10. MNC-I OPORD 09-01 Annex Q, Appendix 8, Tab E

B. Description

1. The CSS to ISF program is in support of last resort requirements and a strong justification is required. If upon review the provision of supplies to the ISF does not meet the criteria identified in this section the individual authorizing the distribution of supplies may be held pecuniary liable for payment.
2. Through the CSS to ISF program, MNC-I and subordinate units may provide the ISF with on-hand supplies and equipment necessary to remedy life, health, and safety deficiencies directly related to, and with the potential to significantly impact, near-term kinetic operations. Support may include the provision of ammunition and operational rations. Emergency CSS should be viewed as a last resort to be used only after it has been determined that the ISF are unable to independently procure the needed supplies or equipment. Items provided must be in support of kinetic operations and for support of life, health and safety issues. Transition Teams will need to have an awareness of upcoming events and Iraqi Army (IA) unit readiness. In any case involving medical materials, refer to Tab E, Appendix 8, Annex Q of the MNC-I OPOR 09-01 (U): Health Logistics Support to Non-DoD Units/Organizations.
3. No equipment or supplies may be provided to the ISF through the CSS to ISF program if the need of the ISF unit for the items is identified more than two weeks in advance of a kinetic operation. If a need is identified more than two weeks in advance of an operation, MNC-I on-hand supplies and equipment shall not be provided to the ISF unit through the CSS to ISF program. Instead, the unit shall seek ISFF funding through the QRF or foreseeable and recurring requirements process.
4. Units may use the CSS to ISF process to transfer supplies with an individual acquisition cost of up to \$30,000. MSCs may submit requests for exception to the \$30,000 cap to MNC-I C4. MNC-I will coordinate requests for exception with MNSTC-I for their approval.
5. Equipment or supplies requiring an export license under US law shall not be provided to the ISF under the CSS to ISF program. This includes any type of firearm.
6. MSCs will continue to submit monthly CSS to ISF Reports to the MNC-I C4 ISF Cell ***no later than the 10th of every month***. All of the IA Divisions, AF and components of MOI are accounted for on the CSS to ISF Report. When listing the division, MOD or MOI is placed in the first column of the spreadsheet. The second column contains the division number or the unit/Iraqi Police Service/aspect of the Iraqi Police unit that is being supported. This report is critical and will directly feed into procedural arrangements for OMA reimbursement.

7. All items listed in the report are listed by Class of supply or service. The classes of supply are listed I-X on the spreadsheet. When listing the items in each section, verify the class in which it belongs. Some items may fall under more than one class. Choose the one best suited for the item at hand. If you are unsure of the scope of a supply class, see class of supply chart at the end of this section.
8. Reimbursement will be coordinated directly with MNSTC-I and enforced through the CSS to ISF MOA, and DoDI 4000.19. The MOA is subject to annual modification, as necessary.
9. Procedural arrangements between MNSTC-I and MNC-I for reimbursement include:
 - a. MNC-I will continuously review its direct costs incurred in providing the requested support to ascertain that MSCs are in line with the annual cost estimates.
 - b. MSCs will promptly report revisions to estimated costs and MNC-I will advise MNSTC-I of these changes.
 - c. MNSTC-I will provide a completed Military Interdepartmental Purchase Request (MIPR) for specific supplies, equipment, or services to MNC-I for acceptance and identification of the MNSTC-I accounting data for billing purposes.
 - d. MNC-I will accept the MIPR as reimbursable and establish MSC Account Processing Codes (APCs).
 - e. MNC-I will bill MNSTC-I via Standard Form (SF) 1081, and MNSTC-I will reimburse MNC-I on a monthly basis for charges incurred through the CSS to ISF program.
 - f. MNSTC-I will charge the ISFF appropriation, and MNC-I will adjust the OMA appropriation by the 12th of each month.

6. FORESEEABLE OR RECURRING (NON-QRF) REQUIREMENTS OF THE ISF:

A. References

1. DFAS-IN Manual 37-100-09, Chapter A0-2092, Iraq Security Forces Fund, Army (General Appropriation Description and Instructions).
2. Tab D to Appendix 1 to Annex C, MNC-I OPORD 07-01, Coalition Forces Support of the ISF Logistics and Sustainment.
3. Consolidated Appropriations Act 2008, P.L. 110-161.
4. 2008 Supplemental Appropriation, P.L. 110-252.

5. Duncan Hunter National Defense Authorization Act for Fiscal Year 2009, P.L. 110-417

B. Description

















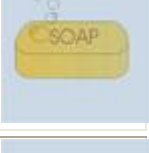




1. MNC-I, MNSTC-I, and the MSCs must ensure that the ISFF program complies with the statutory requirements of the ISFF appropriation, and the restrictions of the ISFF formal budgetary subdivisions. Any violation of the statutory language or of the formal subdivisions may result in an Anti-Deficiency Act violation.
2. QRF is NOT appropriate for all ISF requirements. QRF is only for short-notice and emergent requirements of the ISF, costing less than \$1M. For those ISF requirements where QRF is not appropriate, such as **foreseeable or recurring requirements**, MNC-I and MNSTC-I will ensure that the proper sub-division of ISFF is used to fund the requirement. Examples of foreseeable and recurring requirements include: Maintenance and janitorial contracts, black and grey water removal, generator maintenance, and other severable service operations and maintenance contracts. Foreseeable requirements include any requirement or deficiency identified or known about by the command for more than 90 days.
3. All ISFF packages for recurring or foreseeable requirements of any value shall include:
 - a. Letter of Justification signed by an O6.
 - b. PR&C; with all blocks completed except: 2, 19-24, 26, and 34-36.
 - c. Statement of Work.
 - d. Three independent bids or a sole source justification.
 - e. Letter from the MOD or MOI stating why they cannot fund this requirement.
 - f. Plan detailing how these costs, if recurring, will be transferred to the Government of Iraq.
 - g. An approval recommendation from the Commander, Iraqi Assistance Group.
4. Funding for foreseeable or recurring requirements should be viewed as a last resort to be used only after it has been determined that the ISF are unable to independently procure the needed supplies, equipment or services. The 2009 NDAA states that the "US Government **shall** take actions to ensure that










Iraq funds are used to pay the costs of the salaries, training, equipping, and sustainment of the Iraqi Security Forces.”

5. The MSCs will provide these requirements to the MNC-I C8, Special Programs Section on a quarterly spend plan beginning in January 2009. The spend plan is due on the last month of each quarter (DEC, MAR, JUNE, SEP) and will report requirements for the upcoming quarter. Completed spend plans will be forwarded to the MNSTC-I Deputy J8 for the appropriate subset of ISFF funding. When submitting a spend plan to MNC-I, MSCs will include a plan detailing how these costs will be transferred to the Government of Iraq in the future. The spend plan will include the following columns/information in excel spreadsheet format:
 - a. MSC (or separate unit) providing support.
 - b. POC at the unit providing support.
 - c. Ministry receiving support.
 - d. GOI unit receiving support (IA, IP, NP, Border Patrol).
 - e. Requirement or project description.
 - f. Total cost of the requirement.
 - g. Justification.
 - h. Explanation for why the MOD or MOI cannot fund the requirement.

(See the next page for the supply chart to be used as a guide for reference materials.)

Supply Charts

CLASSES	SYMBOLS			SUBCLASSES
Class I - Subsistence				A - Nonperishable C - Combat Rations R - Refrigerated S - Other Non-refrigerated W - Water
Class II - Clothing, Individual Equipment, Tools, Admin. Supplies				A - Air B - Ground Support Materiel E - General Supplies F - Clothing G - Electronics M - Weapons T - Industrial Supplies
Class III - Petroleum, Oils, Lubricants				A - POL for Aircraft W - POL for Surface Vehicles P - Packaged POL
Class IV - Construction Materials				A - Construction B - Barrier
Class V - Ammunition				A - Air Delivery W - Ground
Class VI - Personal Demand Items				
Class VII - Major End Items: Racks, Pylons, Tracked Vehicles, Etc.				A - Air B - Ground Support Materiel D - Admin. Vehicles G - Electronics J - Racks, Adaptors, Pylons K - Tactical Vehicles L - Missiles M - Weapons

				N - Special Weapons X - Aircraft Engines
Class VIII - Medical Materials				A - Medical Materiel B - Blood / Fluids * See Note 1 Below
Class IX - Repair Parts				A - Air B - Ground Support Materiel D - Admin. Vehicles G - Electronics K - Tactical Vehicles L - Missiles M - Weapons N - Special Weapons X - Aircraft Engines
Class X - Material For Nonmilitary Programs				

* Note 1: In any case involving medical materials refer to Tab E, Appendix 8, and Annex Q of the MNC-I OPOR 09-01 (U): Health Logistics Support to Non-DoD Units/Organizations.

LOGCAP

CONTENTS

1. Program Background
2. Basics of LOGCAP
3. Possible LOGCAP Services
4. Restricted LOGCAP Services
5. Frequently Asked Questions (FAQs)
6. Points of Contact

1. Program Background

- A. The Logistics Civil Augmentation Program (LOGCAP) is a U.S. Army initiative for peacetime planning for the use of civilian contractors in wartime and other contingencies. These contractors will perform selected services to support U.S. forces in support of Department of Defense (DoD) missions. Use of contractors in a theater of operations allows the release of military units for other missions or to fill support shortfalls. This program provides the Army with additional means to adequately support the current and programmed forces. LOGCAP is primarily designed for use in areas where no bilateral or multilateral agreements exist. However, LOGCAP may provide additional support in areas with formal Host Nation Support (HNS) agreements, where other contractors are involved, or where peacetime support contracts exist.
- B. The LOGCAP contract is a Task Order type of indefinite delivery/indefinite quantity contract that permits the government to contract for specific services to be performed in the future. It provides great flexibility in both quantities and delivery scheduling, allowing the Procuring Contracting Officer (PCO) to order supplies and services based on specific requirements. Task Order contracts are used when precise quantities of supplies or services cannot be predetermined. LOGCAP is the main services contract in Iraq. LOGCAP is a performance-based contract, meaning it is structured by defining a service requirement in terms of performance objectives and providing contractors the latitude to determine how to meet those objectives. Simply put, it is a method for acquiring what is required and placing the responsibility for how it is accomplished on the contractor.
- C. The LOGCAP contract is funded with Operations and Maintenance Army (OMA) funding. USARCENT provides funds to MNC-I C8. MNC-I C8 is responsible for ensuring that funds are available prior to the initiation of all additional validated work. LOGCAP is funded with OMA dollars. **All construction and capital investment thresholds apply.**

- D. There are two methods for seeking validation of LOGCAP requirements. The first is by following the validation procedures in Appendix J. The second is to forward all requirements to MNC-I C4 for approval. The decision as to which method to follow primarily depends on the dollar value of the request, though certain items, regardless of value, require validation. (Refer to Appendix J) MNC-I C8 works closely with USARCENT and LOGCAP Support Office (LSOs) to ensure both validation of requirements and certification of funding occurs prior to initiation of new work.
- E. Team LOGCAP- Forward (TLF) is the Army Sustainment Command's deployed organization in Iraq responsible for management and oversight of LOGCAP. TLF will have a direct support role to the designated requiring activity (MSC). TLF will also coordinate with the MSC to ensure LOGCAP support is properly integrated with theater support contracts being planned for and executed in the operational area.
- F. The priority to source Basic Life Support in Iraq is 1) Troop labor, 2) JCC-I direct contracting, and 3) LOGCAP. LOGCAP is the alternative of last resort, and it is generally the most expensive alternative. Overtime the use of LOGCAP has become the preferred solution. Given the MNF-I Commander's "Iraqi First" initiative, the inherent benefit of using local vendors, cost savings and direct contracting capacity, both current LOGCAP support and new requests need to be assessed carefully to ensure no other alternative exists. Convenience is not a viable reason.

2. Basics of LOGCAP

- A. The LOGCAP Basic (Umbrella) Contract was developed to have a contractor in place and to provide support services for contingency operations. The LOGCAP contract provides a variety of services from base camp set-up to Morale, Welfare, and Recreation services. If the service is not available in the LOGCAP Contract, then this service is unavailable given LOGCAP is the solution of last resort.
- B. The LOGCAP contract is a services only contract. Under the LOGCAP contract, the contractor cannot provide materials to a unit or be used to circumvent the Army supply system. In other words, the contractor can provide vehicle maintenance services, but may not be used to provide repair parts to an Army unit. In the course of providing the vehicle maintenance services, the contractor can order repair parts that support these services.
- C. The LOGCAP program has financial limitations. The LOGCAP contract is meant to utilize OMA funds for expenses incurred in executing the mission in Iraq. All OMA restrictions remain in place regarding procurement and

construction thresholds. LOGCAP must follow other MAAWS threshold requirements as well. Users should be familiar with validation procedures; Appendix J. Expenses are defined as those costs incurred to operate and maintain the organization including services, supplies, and utilities, and in certain cases, minor construction.

- D. A legal review must accompany all requirements \$10,000 and greater. (USARCENT Policy)
- E. The LOGCAP program is not to be utilized for investments. Investments are the costs that result in the acquisition of major end items that benefit future periods and generally are needed for long-term usage. Investments are generally funded with OPA (Other Procurement, Army) money for vehicles, heavy equipment and all other centrally managed items and MILCON for construction projects. Therefore, only work that is considered an "expense" can be performed under the LOGCAP contract. Investment costs will be identified through the requirements validation process and must be specifically identified during the development of the LOGCAP Contractor Project Planning Estimate (PPE). In most cases it is necessary to get a legal review of projects to ensure they can be funded given the constraints of fiscal law. This restriction also applies to capital leases of equipment.
- F. The contractor provides products or services for monetary compensation. A contractor furnishes supplies, services, or performs work at a certain price or rate based on the terms of a contract. In a military operation, a contractor may be used to provide life support, construction/engineering support, weapon systems support, and other technical services.
- G. The local LOGCAP program is managed at the Major Subordinate Command (MSC) level. To guide the process, MSCs are provided a funding target which they will manage. Validation thresholds still apply. Funding targets represent funds necessary to operate LOGCAP supported bases. All new requests must be routed through MSC's as they determine and establish funding priorities. MNC-I C8 will provide monthly execution data to MSCs. MSCs need to review this data to assess execution rates. LOGCAP funding is finite. Each approved Administrative Change Letter (ACL) represents new work not part of the contract. In order to fund newer work and remain within funding levels, units need to reduce current costs.
 - 1. MSCs are required to report execution status to MNC-I C8.
 - 2. LOGCAP funding targets are for the duration of the task order assigned. The task orders will continue to fluctuate over the life of the task order until the task order is definitized. MSCs need to account for

these variations and ensure that sufficient authorized funding target remains. Upward adjustments to targets will only be supplied through the MNC-I C8 LOGCAP Budget Officer.

3. Changes to funding targets are handled by MNC-I C8. Adjusting base population figures will be coordinated through the MSC G8 or appointed representative in the MNC-I C8. All requests are subject to scrutiny and funding availability.
- H. Group PPR/PPEs are not authorized as all costs must be tied to individual sites. PPR/PPEs must be broken out by site.
- I. Units may not split requirements to avoid validation thresholds. Absence of a prohibition does not generate authority.
- J. The type and quality of support that a contractor provides is similar to that provided by a military support unit, (i.e. Sustainment Command/BDE, Division Engineers, etc.) when considered from a customer perspective. However, there are some fundamental differences between contractors and military personnel.
1. Contractors are hired to perform only the tasks specified in the contract. "Other duties as assigned" does not apply in a contract environment.
 2. Contractors and their employees are not combatants, but civilians accompanying the force. This status must not be jeopardized by the ways in which they provide contracted support. The Government has an obligation to provide them with Force Protection for this reason.
 3. Contractor status as civilians accompanying the force in a combat environment is clearly defined in the Geneva Conventions and other international agreements. They are generally defined as persons who accompany the armed forces without actually being members thereof, and are responsible for the welfare of the armed forces. They are at risk of injury or death incidental to enemy attacks on military objectives; depending upon their duties, they may be the object of intentional attack. If captured, they are entitled to prisoner of war status.
 4. Contractor employees are subject to military law under the Uniform Code of Military Justice (UCMJ) when accompanying US forces or under federal law under the Military Extraterritorial Jurisdiction Act (MEJA). Should a contractor be suspected of a criminal act, consult with the MNC-I, Office of the Staff Judge Advocate, Military Justice Section. In addition, per the terms of the Security Agreement, contractors may be subject to Iraqi criminal jurisdiction.

3. Possible LOGCAP Services

Under the LOGCAP umbrella contract, the Contractor can provide the following services: Laundry, Shuttle Bus Services, Food Services, Base Camp Operations and Maintenance, Class III (fuel)-retail and bulk, Direct Support Equipment Maintenance, Transportation, Corps Logistics Services Support, Fire Fighting Services, and Hazardous Waste Management.

4. Restricted LOGCAP Services

- A. LOGCAP is **NOT** a supply contract, the LOGCAP Contractor cannot order equipment and material on behalf of various Government units.
- B. The LOGCAP Contractor **CANNOT** provide on-going support to a location that has exclusively foreign national soldiers.
- C. In some cases, the LOGCAP Contractor can perform low dollar temporary construction. The LOGCAP Contractor **CANNOT** do large scale construction projects. However, the LOGCAP Contractor can also provide emergency assistance if life or limb is in jeopardy. Any construction must comply with OMA threshold limits.
- D. The LOGCAP Contractor can only perform authorized work specifically described in the contract, its statement of work (SOW), or as directed by the Administrative Contracting Officer (ACO).

5. Frequently Asked Questions (FAQ)

A. Who pays for the equipment and material the contractor purchases to perform the service?

- 1. The contractor purchases the material and equipment needed to provide the service and the Government reimburses the contractor.
- 2. The cost for the equipment and material is included in the contractor's cost estimate.
- 3. The unit requesting the service pays, it's included in the overall cost.

B. If the unit / Government provides services, transportation or goods to the LOGCAP Contractor can the Contractor "double bill"? In other words, will the LOGCAP Contractor charge the Government for Government Furnished Equipment (GFE)?

1. No. The LOGCAP contract is cost plus. That means that if it doesn't cost the LOGCAP Contractor anything, they cannot charge the Government for it.
2. If you provide the LOGCAP Contractor with goods or service directly, you are actually saving the Government money since you don't have to pay overhead, direct costs, and the value of the GFE is not included when determining the Contractor's profit or award fee.

C. What happens to the material and equipment the contractor bought with our funds?

1. That property becomes GFE for the life of the contract or until the contractor declares the GFE as excess to their requirements.
2. If the service continues then the contractor retains the GFE in place and continues to use it.
3. The contractor must cross level or—transfer unused and/or excess material & GFE for use on another work order in order to reduce costs.

D. Can we take the equipment and material with us?

Not unless the contractor has declared the GFE as excess and the Property Administrator has determined that it is no longer required for use in theater operations.

E. Who tells the contractor what to do?

1. The Task Order PWS tells the contractor what is required; the contractor knows how to provide the service.
2. Contractor employees are supervised and receive direction from their internal management. Military personnel cannot supervise or direct contractor employees, with one exception: **By law only the ACO has the authority to direct the contractor.** The Combatant Commander has limited authority for security/safety issues in a hostile environment.

F. Can LOGCAP provide support to the Foreign Military?

1. Generally no, however, within the Iraqi theater, LOGCAP can support CF as long as U.S. presence is on the site. ISF may also be supported if approved through the JFARB process and if reimbursement is achieved from the proper funding source. The LOGCAP contract is a U.S. Army contract. The LOGCAP Contractor cannot provide recurring services specifically for Foreign Military personnel.

2. For new work requirements, the ONLY way the ACO can direct the LOGCAP Contractor to provide support to Foreign Governments is after the Foreign Government has executed an Acquisition Cross Servicing Agreement (ACSA) or a Standard North Atlantic Treaty Organization Agreement (STANAG) and submitted the STANAG through the Multi-National Cell to the ACO via the LOGCAP Budget Officer. Most of the Coalition Forces have executed one of the two agreements and are therefore eligible to use LOGCAP services.

G. Can LOGCAP be used to purchase anything needed to support the mission?

1. No, the contractor purchases what is required to provide the service. They cannot be used to subvert the normal Army Supply System or Regulations.
2. The PWS can have the contractor provide supply support services as referenced in Section 3 and the LOGCAP Basic Contract. These services will be provided IAW Army Regulations.

6. Points of Contact For additional information on LOGCAP, contact the POCs at the phone numbers listed below. **All numbers are DSN with prefix 318 unless otherwise indicated.**

POC	Phone Number
LOGCAP Deputy Program Director	312 987-5130, 1, 3004#
LOGCAP Support Detachment OIC	312 987-5130, 1, 3080#
LOGCAP Support Ops Officer	312-987-5130, 1, 3043#
LOGCAP Plans Officer	312-987-5130, 1, 3064#
LOGCAP Training Officer	312-987-5130, 1, 3017#
DCMA Commander	318-585-2468
DCMA Theater ACO	312-328-1005, 1, 70165
LOGCAP PCO	732-427-5130, 1, 3040
LOGCAP MND-N OIC	713-970-5130
LOGCAP MND-S OIC	713-445-4506
LOGCAP MND-B OIC	713-445-4854
LOGCAP MNF-W OIC	713-970-5989
LOGCAP CLSS/TTM OIC	281-669-2071
LOGCAP C4 LNO	318-485-5392
MNC-I C7 (Facilities)	485-5214
MNC-I C8 LOGCAP Budget Officer	318-485-2612
MNC-I C4 (AMC LNO)	433-2011
DCMA Commander	312 987-0566 1 3057#
- SJA	318-485-2094
- PARC	318-485-3143
- 266th FINCOM	318-485-2610

OTHER PROCUREMENT, ARMY (OPA)

CONTENTS

1. Introduction
2. Definitions
3. Investment/Expense Threshold
4. Seeking OPA Funding

1. INTRODUCTION.

OPA funds are used when purchasing a single piece of personal property or system of personal property (a) with a cost equal to or in excess of \$250K or (b) for centrally managed items. Regardless of whether the item purchased is through a direct contract or through the LOGCAP program (basically an OMA vehicle), the OPA threshold applies.

2. DEFINITIONS. DFAS-IN Manual 37-100-09, Appendix A, Para F: Definitions Used in Determining Expense and Investment Costs

A. System. There are two considerations for the definition of a system. The first consists of an automation capability which is centrally managed and must be considered by a Major Automated Information Systems Review Committee (MAISRC). The second is generic and could be any combination of components/items which work together to perform a function or to satisfy an approved requirement as defined above.

B. Centralized Item Management and Asset Control. The management in the central supply system or a DoD-wide/Service-wide acquisition and control system in which the manager has the authority for management and procurement of items of equipment. This includes such functions as requirements determination, distribution management, procurement direction, configuration control and disposal direction. Asset control includes the authority to monitor equipment availability and take such actions as necessary to restock to approved stockage levels.

C. Modification. The alteration, conversion, or modernization of an end item of investment equipment which changes or improves the original purpose or operational capacity in relation to effectiveness, efficiency, reliability, or safety of that item.

D. Maintenance. The routine, recurring effort conducted to maintain an end item of investment equipment at its intended capability or designed performance level.

E. Construction. The erection, installation, or assembly of a new facility; the addition, expansion, extension, alteration, conversion, or replacement of an existing facility; or the relocation of a facility from one installation to another.

F. Real Property Maintenance. The various functions for the maintenance and repair of facilities and the accomplishment of minor construction financed by an operations appropriation.

G Facility Maintenance. The recurrent, day-to-day, periodic or scheduled work required to preserve real property in such condition that it may be used for its designated purpose.

H. Facility Repair. The restoration of real property to such condition that it may be used for its designated purpose.

I. System. The combination of a number of components that are functioning with the context of a whole to satisfy a documented requirement.

J. Requirement. This is the basic determining factor for all expense/investment criteria decisions. A requirement consists of the set of capabilities which are necessary to perform the mission. This set of capabilities directs the decision as to what is or is not part of a system, or what is an independent upgrade. Neither the capability nor the requirement will be fragmented to circumvent application of the expense/investment criteria.

3. INVESTMENT/EXPENSE THRESHOLD.

A. Expenses are costs of resources consumed in operating and maintaining the Services and are normally financed with O&M appropriations. See *DOD FMR, vol. 2A, ch. 1, para. 010201*. Common examples of expenses include:

1. Labor of civilian, military, or contractor personnel;
2. Rental charges for equipment and facilities;
3. Food, clothing, and fuel;
4. Maintenance, repair, overhaul, and rework of equipment; and
5. Utilities.

B. Investments are “costs to acquire capital assets” or which have costs that will benefit both current and future periods and generally have a long life span. Investments in the form of personal property or systems of personal

property greater than or equal to \$250,000 are financed with procurement appropriations.

C. Systems. Use of O&M to purchase a system of personal property constitutes a violation of the *Purpose Statute*, and may result in a violation of the *Antideficiency Act (ADA)*.

1. Agencies must consider the “system” concept when evaluating the procurement of items. The determination of what constitutes a “system” must be based on the primary function of the items to be acquired, as stated in the approved requirements document.
2. A system exists if a number of components are designed primarily to function within the context of a whole and will be interconnected to satisfy an approved requirement.
3. Agencies may purchase multiple end items of equipment (e.g., computers), and treat each end item as a separate “system” for funding purposes, only if the primary function of the end item is to operate independently.
4. Do not split requirements of an inter-related system of equipment merely to avoid exceeding the O&M threshold.
5. Example: An agency is acquiring 200 stand-alone computers and software at \$2,000 each. The computers are being purchased primarily to operate as independent workstations. The agency should use O&M funds for this acquisition.

4. SEEKING OPA FUNDING.

- A. MNC-I C8 does not receive OPA funds as part of its base funding program. OPA dollars are provided for validated requirements; all funds are provided by ARCENT or item is funded by the DA. An Operational Needs Statement (ONS), which is the process to validate new equipment and capabilities for warfighting units, is needed for all requirements seeking OPA funding. If the requirement is for non-tactical equipment (such as purchase of non-tactical vehicles which are centrally managed) the requirement must go through the appropriate MNC-I validation process as well.
- B. The first point of entry for ONS is the MNC-I C3 Force Management Division (FMD). If you are unsure whether a requirement is appropriate for an ONS, contact MNC-I C3 FMD or the MNC-I C8 JFARB cell, both will assist you in determining the appropriate means of satisfying your requirements.

C. For further information on the Requirements Validation Process, see Appendix J (Requirements Validation) of this SOP.

MILITARY CONSTRUCTION (MILCON)

CONTENTS

1. Introduction
2. MNC-I MILCON Funding Process
3. MILCON Fiscal Law Definitions

1. INTRODUCTION

- A. Congressional oversight of the Military Construction Program is extensive and pervasive.
- B. As a general rule, the government funds projects with total funded construction costs (as defined in DA PAM 420-11) less than \$750,000 with Operations and Maintenance (O&M) funds; projects with total funded construction costs between \$750,000 and \$2 million with Unspecified Minor Military Construction (UMMC) funds; and projects with total funded construction costs more than \$2 million with MILCON funds.
 1. Statutory Definition. *10 U.S.C. § 2801(a)*. The term “military construction” includes “any construction, development, conversion, or extension of any kind carried out with respect to a military installation.”
 2. Regulatory Definitions.
 - a. *FAR 36.102*. The term “construction” refers to the construction, alteration, or repair of buildings, structures, or other real property.
 - b. Construction includes dredging, excavating, and painting.
 - c. Construction does not include work performed on vessels, aircraft, or other items of personal property.
 3. The term “military installation” means “a base, camp, post, station, yard, center, or other activity under the jurisdiction of the Secretary of a military department or, in the case of an activity in a foreign country, under the operational control of the Secretary of a military department or the SECDEF.” *10 U.S.C. § 2801(c)(2)*.

2. MNC-I MILCON FUNDING PROCESS

- A. The purpose of this section is to show a chronological order of how MILCON dollars are leveraged against base infrastructure requirements in Iraq. It will also detail the three different ways MILCON construction can be funded.

B. Discussion

1. A MILCON project is defined as any requirement that has \$750K or more in total funded construction costs. If the project **corrects** a life, health, or safety deficiency, the MILCON threshold for funded construction costs increases to \$1.5M.
2. CENTCOM's Contingency Construction Priority List (CCPL) identifies the funding priority of all projects in SWA.
3. MNC-I C7 submits an integrated priority list of Iraq projects to USARCENT. The list is prioritized using an algorithm that combines MNC-I leadership priorities and MSC priorities for MSC identified requirements.
4. USARCENT (Kuwait) combines MNC-I's prioritized requirements with those from Afghanistan and Kuwait and submits to USARCENT Rear in Atlanta. USARCENT Rear validates the list and submits to CENTCOM for their consideration.
5. MSCs will submit new MILCON projects to MNC-I C7 through the validation process as described in Appendix J (Requirements) as soon as requirements are identified so MNC-I C7 can maintain a current list of theater requirements that aligns with current strategies. This allows MNC-I to respond effectively and rapidly to short notice taskings and project calls.
6. In accordance with the US/Iraqi Security Agreement and supporting implementation mechanisms, major construction projects requiring MILCON funding are subject to GOI approval. Minor construction projects (<\$750K or <\$1.5m for LHS) may be subject to GOI consultation. As appropriate, MNC-I C7 will coordinate with GOI for approvals and consultation (staff assistance may be required from MNC-I C8 and MNC-I OSJA). NOTE: This staffing may add considerable delay before a project is validated or funded. Projects should be submitted as early as possible and may not begin without C-7 authorization.

C. Prioritized projects can be funded through one of three funding streams:

1. MILCON appropriation by Congress through the annual MILCON Appropriations Act (MCAA). Funds are appropriated to the Services and executed by USARCENT against CCPL priorities. Funds normally begin to flow six months after the MCAA passes.

2. Supplemental appropriation by Congress through the Supplemental Funding Legislation. Funds are appropriated to the Services and executed by USARCENT against CCPL priorities. Funds normally begin to flow three to four months after the bill passes.
 3. Contingency Construction Authority (CCA) is a fiscal authority that allows the use of Operations and Maintenance funds on projects that would otherwise require MILCON. This authority is granted by OSD on a case by case basis. It is important to note that CCA is not a source of funds, it is an authority to use O&M for specifically approved projects that would otherwise require MILCON. Therefore close coordination between the MNC-I C7 and MNC-I C8 is required.
- D. MILCON is the avenue to identify infrastructure improvements supporting OIF operations. These requirements can be funded through three different streams and are normally applied against CENTCOM's annually developed CCPL. MNC-I may validate the CCPL on a quarterly basis to maintain the most current list of MILCON requirements and posture itself to take advantage of all available funds; MSCs must submit new MILCON requirements through the validation process as specified in Appendix J.

3. MILCON FISCAL LAW DEFINITIONS

A. "SPECIFIED" MILITARY CONSTRUCTION PROJECTS

1. The SECDEF and the Secretaries of the military departments may carry out military construction projects authorized by law.
2. Source of Funding. Congress provides annual funding and approval for "specified" military construction projects in the Military Construction Appropriations Act. Congress funds the entire military construction program with lump sum appropriations. The Army's principal appropriations are the "Military Construction, Army" (MCA) appropriation, and the "Family Housing, Army" (FHA) appropriation. The conference report that accompanies the Military Construction Appropriations Act breaks down the lump sum appropriations by project.
3. Authorized Use.
 - a. Congress normally "specifies" military construction projects expected to exceed \$2 million in funded construction costs.
 - b. A military department may not carry out military construction projects expected to exceed \$2 million in funded construction costs without specific Congressional authorization and approval.

B. "UNSPECIFIED" MINOR MILITARY CONSTRUCTION (UMMC) PROJECTS

1. Source of Funding. Congress provides annual funding and approval for UMMC projects in the Military Construction Appropriations Act. Congress appropriates "Unspecified Minor Construction" funds to each military department in the conference report that accompanies the Military Construction Appropriations Act; however, the conference report does not break down these appropriations by project.
2. Authorized Use. The Secretary concerned may use these funds to carry out UMMC projects not otherwise authorized by law. An UMMC project is defined as a military construction project with funded construction costs of \$2 million or less. However, an UMMC project may have funded construction costs up to \$3 million if the project is intended solely to correct an immediate deficiency that threatens life, health, or safety.
3. Requirements for Use. Before beginning an UMMC project with an approved cost equal to or greater than \$750,000, the Secretary concerned must approve the project. In addition, the Secretary concerned must:
 - a. Notify the appropriate committees of Congress; and
 - b. Wait 21 days.

C. UMMC PROJECTS FINANCED BY OMA FUNDS

1. A General Prohibition on the use of O&M Funds is provided at *41 U.S.C. § 12*. Most installations use O&M funds to finance routine operations; however, *41 U.S.C. § 12* prohibits a federal agency from entering into a public contract to build, repair, or improve a public building that binds the government to pay a sum that exceeds the amount Congress specifically appropriated for that purpose.
2. In *The Honorable Bill Alexander, B-213137, 63 Comp. Gen. 422, 433 (1984)*, the General Accounting Office (GAO) interpreted *41 U.S.C. § 12* to:
 - a. Require specific Congressional authorization for military construction projects; and
 - b. Prohibit the use of other, more general appropriations for military construction projects.
3. Statutory Exception for UMMC Projects. The Secretary of a military department may use O&M funds to finance projects with less than:

- a. \$1.5 million of funded construction costs if the project is intended solely to correct a deficiency that threatens life, health, or safety.
 - b. \$750,000 of funded construction costs if the project is intended for any other purpose.
4. Project scope is critical. -- A “military construction project” includes all work necessary to produce a complete and usable facility, or a complete and usable improvement to an existing facility. The term “facility” means “a building, structure, or other improvement to real property.”
 5. Service Regulations. The term “construction” includes:
 - a. The erection, installation, or assembly of a new facility;
 - b. The addition, expansion, extension, alteration, conversion, or replacement of an existing facility;
 - c. The relocation of a facility from one site to another;
 - d. Installed equipment (e.g., built-in furniture, cabinets, shelving, venetian blinds, screens, elevators, telephones, fire alarms, heating and air conditioning equipment, waste disposals, dishwashers, and theater seats); and
 - e. Related site preparation, excavation, filling, landscaping, and other land improvements.

D. MAINTENANCE AND REPAIR

1. For fiscal law purposes, “construction” does not include repair or maintenance. O&M may be used when the repair to replacement ratio is less than 50%, and the funded project cost is less than \$5,000,000. Accordingly, the key question is whether or not this project is restoring function (maintenance) or is adding function or infrastructure that does not currently exist. You do not have to add the same equipment i.e., air conditioner that was built in 1965 for a building; you can use the current replacement equipment, even if that adds capacity as long as you are restoring the function (and not adding an enormously differently capacity)
2. Maintenance. *AR 420-10, Glossary, sec. II*, defines maintenance as the “work required to preserve or maintain a facility in such condition that it may be used effectively for its designated purpose.” It includes work required to prevent damage and sustain components (e.g., replacing disposable filters; painting; caulking; refastening loose siding; and sealing bituminous pavements).
3. Repair. Statutory Definition. *10 U.S.C. § 2811(e)*. A “repair project” is defined as a project to restore a real property facility, system, or

component to such a condition that the military department or agency may use it effectively for its designated functional purpose. Use of O&M funds to pay for repair costs is appropriate under *section 2811 and DoD FMR 7000.14-R, vol 2B, chapter 8, para 08105 and AR 415-15, para 2-3b; AR 420-10; Memo, Asst. Chief of Staff, Installations Management, subject New Definition of Repair (4 Aug 1997)* stating repair means to restore a facility or facility component to such a condition that the Army may use it for its designated purpose but that the facility must exist and be in a failed or failing condition in order to be considered for a repair project.

4. MNC-I Commander has the authority to approve maintenance and repair projects with total funded project costs up to \$5M if the repair to replacement ratio is less than 50%. Projects greater than \$5M require approval by the Assistant Chief of Staff for Installations and Management (ACSIM).

OFFICIAL REPRESENTATION FUNDS (ORF)

CONTENTS

1. Purpose
2. References
3. General

1. **PURPOSE:** To outline guidance criteria and administrative instructions concerning the Secretary of the Army Official Representation Funds (ORF).

2. **REFERENCES:**

A. Department of Defense Directive (DoDD) 7250.13, Official Representation Funds.

B. AR 37-47, Representation Funds of the Secretary of the Army, 12 March 2004.

C. MNF-I RM Policy Memo, Proper Execution of Official Representation Funds (ORF), dated 05 Dec 2004.

D. Memorandum, CFLCC, 15 April 2007 (expires 15 Apr 09), Subject: Official Representation Funds Policy.

3. **GENERAL.** The following procedures will be utilized regarding ORF.

A. Official Representation Funds may be used to extend official courtesies, on a modest basis, to authorized guests. AR 37-47, paragraph 2-2, authorizes the use of ORF for the following reasons:

1. Hosting authorized guests to maintain the standing and prestige of the United States at home and abroad.
2. Luncheons, dinners, receptions, and participation at DoD sponsored events held in honor of authorized guests.
3. Entertaining local authorized guests to maintain civic and community relations.
4. Receptions for local authorized guests to meet with newly assigned Commander(s).
5. Official functions, floral wreaths, decorations, and awards in observance of foreign national holiday and similar occasions taking place in foreign countries.
6. Official Representation Funds may be used to purchase gifts and mementos for presentation to authorized guests in connection with official courtesies.

B. Approval Authority.

1. Management and authority of ORF will be retained at MNF-I and MNC-I HQ levels. Authority may not be delegated to staff elements or subordinates units within these commands.
2. Authority to issue invitations to foreign authorized guests rests only with the CG's of MNF-I and MNC-I.
3. The Secretary of the Combined Joint Staff (SCJS)/Secretary of the General Staff (SGS) will receive and validate all requests for ORF. Before each event, the SJA will provide a legal review before the Resource Management office gives final approval and provides financial data.

C. Limitations.

1. The minimum ratio of authorized guests to DoD personnel must be met before ORF funds can finance the total cost of the official courtesy. For parties of less than 30 total persons, a ratio of 1 authorized guest to 4 DoD personnel (20 percent) is required. For parties of 30 or more persons, a ratio of 1 authorized guest to 1 DoD person (50) percent is required. If these minimum ratios are not met, see AR 37-47, para 2-5b for additional guidance.
2. Funds cannot be used solely for the entertainment of, or in honor of, DoD personnel except as specifically authorized by AR 37-47.
3. Funds will not be used for the presentation to or acceptance by, DoD personnel of mementos/gifts of any kind except as provided by AR 37-47.
4. Total value of gifts presented during official courtesies will not exceed \$335 per authorized guest. Individual meals will not exceed \$25 for breakfast, \$35 for lunch, and \$50 for dinner. (Per USARCENT guidance)
5. Funds cannot be used to purchase items not authorized in AR 37-47 unless an exception to policy is requested and approved by the Administrative Assistant to the Secretary of the Army prior to purchasing the gift. AR 37-47, paragraph 2-10b lists items for which no exception will be made.
6. Funds cannot be expended using a Bulk Fund PR&C due to the requirement for a legal review prior to purchasing items. However, an ORF FOO and PA may be advanced funds in a specific amount for a specific pre-approved ORF requirement.

D. Funding. The Resource Management office will:

1. Centrally manage funds for their headquarters, staff elements and subordinate commands.
2. Appoint, in writing, a Certifying/Approving Official (CAO) IAW AR 37-47, paragraph 3-1b.
3. Provide a fund cite for financial documents.

E. Custodian and Inventory Control.

1. The SCJS/SGS for each command (MNF-I, and MNC-I) will appoint, in writing, a Representation Funds Custodian (RFC).
2. The RFC is responsible for maintaining central files for all purchases and functions utilizing ORF within their command. The SCJS/SGS will ensure the RFC maintains a funds control register and guest/attendance sheets.
3. The RFC will maintain an inventory of all gifts on hand and will conduct a quarterly reconciliation.

F. Gifts/Mementos (See AR 37-47).

1. Property of the US Government (GORTEx jackets, boots, uniforms, or other equipment and supplies) may not be presented as a gift or memento to DoD personnel or foreign government officials.
2. Gifts may not be purchased with appropriated funds unless authorized by statute.
3. Presentation of a gift or memento to DoD personnel is strictly prohibited.
4. Gifts presented during official courtesies will not exceed \$335. Total gift cost includes the basic purchase price, plus preparation costs for presentation (e.g. affixing logos, engraving, mounting in shadow boxes, gift-wrap, etc).
5. The RFC is responsible for maintaining accountability of gifts. The RFC will conduct an inventory on a quarterly basis and when the RFC is replaced. The results of each inventory will be annotated in an inventory log book. This log will also account for each gift purchased, and when and to whom it was presented. The outgoing RFC will conduct a 100% inventory prior to relinquishing responsibilities to a new RFC. Official Representation Fund gifts and refreshments will be stored in a secure location with access only by the RFC. Biannually, the CAO and a non-interested officer will conduct an inventory of these items.
6. Giving gifts, mementos, souvenirs or tokens of appreciation not covered by reference b is considered to be a personal expense.

G. Management Controls. Official Representation Funds will be identified on the MNF-I Management Control Plan as an assessable item, it will be scheduled for a formal evaluation IAW AR 11-2. The Internal Control Sections of MNF-I, MNC-I and MNSTC-I will conduct and document an internal audit of their respective program annually. Results will be provided to the MNF-I ORF program manager NLT 1 July each year.

REQUIREMENTS VALIDATION PROCESS

CONTENTS

1. REFERENCES
2. PURPOSE
3. APPLICABILITY
4. CONCEPT
5. GENERAL PROCESS
6. RESPONSIBILITIES
7. RULES OF ENGAGEMENT
8. REQUIREMENT THRESHOLDS
9. ANNEX

1. **REFERENCES.**

- A. USARCENT Publication 1-06, Army Financial Management Operations in the CENTCOM AOR, 16 May 2007.
- B. MNC-I CoS Memo, Subject: Change to Requirements Validation Criteria and Staff Responsibilities, 19 Apr 2008
- C. Automated Information Systems Hardware Standards (AISHS), version 2.0, 1 April 2008.
- D. MNC-I FRAGO 176 Task 15, Use of Real Property, 01 August 2007.
- E. HQ CENTCOM Regulation 415-1, The Sandbook Standard, 17 December 2007.

2. **PURPOSE.** This SOP establishes MNC-I requirement validation standard business practices.

3. **APPLICABILITY.** This SOP applies to all MNC-I and MNF-I commands that are funded with MNC-I Title X OMA funds. **This validation process does not apply to CERP, I-CERP, ISFF, or Rewards funds.**

4. **CONCEPT.** While thresholds may vary (see paragraph 8 this section), all requirements \$100,000 or more must be formally validated by an Acquisition Review Board (ARB). Units that have a documented ARB process and are commanded by a General Officer may validate requirements up to \$249,999. The ARB process is further defined in the attached Annex. Units that do NOT have a documented ARB process or not commanded by a General Officer may only validate requirements up to \$99,999 and must submit all requirements for \$100,000 or more to the Joint Facilities Acquisition Review Board (JFARB). **All requirements \$250,000 or more and select command-interest items regardless of their value, must be submitted to the JFARB for approval.** Communications requirements have various thresholds and are governed by this policy. The requirement validation process starts with the requirement owner preparing and submitting a packet to the JFARB Cell where it is staffed, voted and recommended to the MNC-I Chief of Staff for final decision. The MNC-I Corps CG has established criteria to determine which items are

subject to a Corps requirements validation board. These items are located in paragraph 8 of this document.

5. **GENERAL PROCESS.** The below process describes a normal requirements validation sequence from start to finish. **Note that this process serves only to validate requirements; funding a validated requirement is decided through a prioritization process at the MSC or MNC-I level.**
 - A. **Identify Requirement.** Unit determines a requirement and prepares a requirement validation packet that is first validated at the unit level. The unit coordinates the requirement's Statement of Work (if applicable) with Joint Contracting Command – Iraq/Afghanistan to determine if they can service the contract and the Statement of Work is viable.
 - B. **Submit Requirement to MNC-I.** The unit will submit a completed packet electronically (one packet per e-mail) to the board portal. Prepare each packet in accordance with the stated requirement (see Annex to this Appendix).
 - C. **Board Review.** All packets are staffed to select Corps staff principles, Joint Contracting Command-Iraq/Afghanistan (JCC-I/A) for Procuring Contract Officer (PCO) review, and the Staff Judge Advocate for legal review. After review, the C3, C4, C6, C7 & C8 vote *concur with or without comment* or *non-concur with comment*. The board secretariat then prepares the packet for presentation to the Chief of Staff.
 - D. **Requirements Validation Decision Briefing (RVDB).** As needed, the secretary of the validation board (MNC-I C7) presents the Corps validation packets to the Chief of Staff for final decision.
 - E. **Decision Announcement.** After each RVDB, the board's approved minutes reflecting the Chief of Staff's signature will be posted on the MNC-I portal for review and action. **Any requirement that is not placed on contract within three months of approval MUST be re-validated.**
 - F. **Funding.** Seek funds through the MNC-I budget and spend plan process (Appendix A).
 - G. **Request for Cancellation.** Request for cancellation of a package, at any stage, is generated by the customer and sent to the appropriate board coordinator. This can be done via email or memorandum.
 - H. **Project Starts.** Any project requiring funds validated through the JFARB process may **NOT** begin prior to validation and funding. This includes troop labor construction of facilities that will later require O&M.
 - I. **Major Construction Projects and GOI Approval.** In accordance with the US/Iraqi Security Agreement and supporting implementation mechanisms, major construction projects requiring MILCON funding are subject to GOI approval. Minor construction projects (<\$750K or <\$1.5m for Life, Health and Safety) may be subject to GOI consultation. As appropriate, MNC-I C7 will coordinate with GOI for approvals and consultation (staff assistance may be required from MNC-I C8 and MNC-I OSJA). **NOTE:**

This staffing may add considerable delay before a project is validated or funded. Projects should be submitted as early as possible and may not begin without C-7 authorization.

6. RESPONSIBILITIES.

- A. **MNC-I Commanding General.** The CG establishes command policies and priorities for requirements validation procedures across the Corps.
- B. **MNC-I Chief of Staff.** The CoS will enforce command policies on requirements validation procedures and advise the CG of policy issues that require his attention. He also functions as the requirements validation board president and approves all requirements submitted by the validation board. By exception, the MNC-I Deputy Chief of Staff may act as the president on behalf of the CoS in his absence.
- C. **MNC-I C6, C7 & C8 JFARB Cell.** The MNC-I C6, C7 & C8 Joint Facilities Acquisition Review Board cells will host the JFARB packet request portal and act as administrators of the JFARB process.
- D. **SJA.** The Corps Staff Judge Advocate provides a legal opinion on all requirement validation packets before they are considered for decision.
- E. **MNC-I Staff.** Select primaries on the MNC-I Staff will, upon request, provide subject matter expertise and provide concurrence on select requirement validation packets.
- F. **JCC-IA.** Joint Contracting Command Iraq/Afghanistan provides a PCO review of the initial requirement.

7. RULES OF ENGAGEMENT.

- A. **Board.** MNC-I has one board for validating requirements. This board is conducted electronically with the goal of processing a complete packet within 10-12 days. See Annex to this Appendix for the board SOP.
- B. **Requirements Validation Decision Brief.** The Secretary of the requirements validation board (MNC-I C7) will present packets to the president of the board, as required.
- C. **Emergency/Out-of –Cycle Requirements Validation Packet.** A requirements validation packet that requires the immediate attention of the president of the board must be endorsed by the MSC Chief of Staff or Separate Brigade Commander. A sufficient rationale must be provided; otherwise it will be processed per the normal processing cycle.
- D. **Nonoccurrence.** All *non-concurrences* and *select concurrences with comment* will be highlighted to the CoS during the RVDB.
- E. **Exceptions to Policy.** All requirement requests that are outside established policy (e.g. Sand Book basing standards, FRAGO 300, etc) will be submitted via an O-6 signed exception to policy memo to the MNC-I Chief of Staff for decision.

8. REQUIREMENT THRESHOLDS.

Item Required	Validation Board
Force Protection items \geq \$250K for MSCs; \geq \$100K for O-6 or above Separate Commands	JFARB
LOGCAP services (new or expansion) \geq \$250K for MSCs; \geq \$100K for O-6 or above Separate Commands	JFARB
MWR items \geq \$250K for MSCs; \geq \$100K for O-6 or above Separate Commands	JFARB
Contractor Services \geq \$250K for MSCs; \geq \$100K for O-6 or above Separate Commands	JFARB
Requirements with 1 time or annual cost \geq \$250K for MSCs; \geq \$100K for O-6 or above Separate Commands	JFARB
All Non Tactical or Utility Vehicle requests (includes Gators and Polaris) regardless of cost	JFARB
All relocatable buildings (e.g. office, shower and living trailers) regardless of cost	JFARB
Electrical power generation equipment (including LOGCAP) \geq 10kw	JFARB
Leased Equipment/Utility Vehicles (MHE, Reefers, etc) \geq \$250K for MSCs; \geq \$100K for O-6 or above Separate Commands	JFARB
Purchase of Information Technology equipment which meets hardware standards (see MNC-I C6 AISHS) \geq \$250K for MSCs; \geq \$100K for O-6 or above Separate Commands	JFARB
Copy machines that do not require a service contract \geq \$250K for MSCs; \geq \$100K for O-6 or above Separate Commands	JFARB
Passive equipment (cables, connectors, crimpers, tool kits, etc) $>$ \$2,500 $<$ \$25K	C6 LoE
Passive equipment (cables, connectors, crimpers, tool kits, etc) \geq 25K	JFARB
Non-passive equipment $<$ \$25K included in, but not limited to, the MNC-I C6 hardware standards	C6 LoE
Non-passive equipment \geq \$25K, included in, but not limited to, the MNC-I C6 hardware standards	JFARB
Purchase of more than a 3-month supply of toner	C6 LoE
Construction/Repair costs \geq \$250K for MSCs; \geq \$100K for O-6 or above Separate Commands	JFARB
MTO&E items (ONS) (See Appendix P)	ONS

A. The Operational Needs Statement (ONS) is the process to document capability shortfalls within a command and identify a requirement for a material shortfall. ONS process is managed by C3 Force Management. MTO&E items should not be requested using the command's validation board procedures.

B. At the discretion of the MSC Commanders, O-6 Commanders may be granted approval authority for MSC purchases less than \$100K in the above categories.

C. Recommendations for changes to this SOP should be referred to the MNC-I C8.

9. ANNEX. Joint Facilities Acquisition Review Board (JFARB)

Joint Facilities Acquisition Review Board (JFARB)

1. PURPOSE:

- A. This appendix outlines the policies and procedures on the conduct of the MNC-I JFARB process. The policies apply to all Multi-National Corps–Iraq Headquarters, subordinate units and MNF-I units requiring MNC-I appropriated Operations and Maintenance Army (OMA), Other Procurement Army (OPA), and MILCON funds.
- B. The process described here is a part of the overall command requirements validation process. The MNC-I JFARB recommends approval and disapproval of specified projects, purchases, services, and leases. Final approval authority resides with the MNC-I Chief of Staff. Any requirements equal to, or greater than, \$10M will be forwarded to ARCENT Super Coalition Acquisition Review Board (SuperCARB) for validation.

2. PROGRAM OVERVIEW:

- A. The Joint Facilities Utilization Board, Joint Acquisition Review Board and the C6 Validation Board combined to form the JFARB, using the same internal processes. All requests can now be sent to MNC-I via a single entry point, the MNC-I C8 JARB Cell group mailbox on the SIPRNET. The exception to this policy is to submit your package to your geographical POC in the C7 for construction related projects. MNC–I C6, C7 & C8 chair the JFARB and are responsible for the overall administration and impartiality of the JFARB process.
- B. The JFARB cell receives completed packets from MNC/MNF-I staff sections, subordinate units or from MNF-I subordinate units. The JFARB cell processes the initial requirement from the unit and forwards to the appropriate staff sections for vote. Staff Requests for Information (RFIs) will be sent to the customer who submitted the packet or the point of contact identified in the letter of justification. Any packet with an unacknowledged RFI will be cancelled after ten days. After all votes are received, the JFARB cell forwards the packet through the JFARB secretary (MNC-I C7) to the CoS for decision.
- C. The JFARB voting members are the MNC–I staff sections: C3, C4, C6, C7 and C8. Other functional experts may be called upon to review specific JFARB packages; this may include C1 for MWR requirements, C2 for intelligence related acquisitions, Surgeon’s office for medical requirements, IO Effects for CMO/PSYOP initiatives or JCC-I/A for PCO review of specifications or minimum requirements needed in the Statement of Work for contracts they service. The JFARB members review initiatives from both their functional perspective as well as from an overall benefit to the command. Members are expected to apply seasoned military judgment in making a recommendation to the CoS.

- D. The Staff Judge Advocate (SJA) serves as a non-voting, technical member to the JFARB. All JFARBs require SJA legal review.
- E. See Appendix J for the submission criteria of a JFARB package to MNC-I when using OMA funds.
- F. The JFARB members will provide their recommendation to the JFARB cell which will consolidate the inputs and the MNC-I C7 will present all processed JFARB packages to the CoS for final decision. Packages with unfavorable legal opinions may be submitted to the CoS for consideration although every effort to resolve the unfavorable opinion should be met. Packages may be approved, deferred or disapproved. Those that are disapproved can be adjusted by the unit and resubmitted for reconsideration. Deferred packages require some additional information or the occurrence of some future event in order to be considered. **Approval of a JFARB submission simply means the requirement has been validated, not that funding is available.** Once a package is approved it must be funded through the MNC-I budget process by submitting the requirement on the unit's quarterly spend plan (Appendix A).
- G. Results of the JFARB vote, signed PR&Cs and status of JFARB packets are available on the SIPRNET at:
<http://mnci.res.s-iraq.centcom.smil.mil/sites/c8/JARB/default.aspx>
- H. Revalidation. JFARB requirements that have been approved by the CoS must be revalidated when:
1. Required funding exceeds approved funding by 25% or more.
 2. There is a change in approved scope.
 3. Approved period of performance will expire and the requirement is still needed. No approved period of performance will exceed 12 months.
 4. A contract supporting the requirement has not been awarded within three months of validation.
 5. For items that originally required ARCENT SuperCARB approval, any cost increase from the original SuperCARB amount requires new SuperCARB approval.
- I. The JFARB process requires board members to review packages within 48 hours and either provide their vote or request additional information, in order to vote. If a JFARB package is considered an emergency that cannot wait for the normal JFARB cycle, MNC-I will conduct an out-of-cycle JFARB. Emergency JFARB packages are defined as those requirements that must be expedited by all

parties involved, as their delay would constitute an unacceptable level of risk to the mission or safety of MNC-I personnel. These packets require an O-6 letter of justification explaining why the packet is an emergency. Emergency JFARB packets are reviewed and voted on within 24 hours.

- J. All requirements with an annualized cost equal to or greater than \$10M will be forwarded to ARCENT for SuperCARB approval. SuperCARB boards occur every Friday. Requests submitted by 1200 on Wednesday, normally are boarded by Friday of the following week. After the ARCENT board approves a SuperCARB they staff it for signature by the ARCENT DCG. The overall process takes approximately 2-3 weeks.
- K. If project location changes after a JFARB package is submitted, a new location map, environmental review, and mayor's endorsement must be submitted with a memo explaining why the change was made. If project location changes after validation, the requirement must be revalidated.
- L. Any project requiring funds validated through the JFARB process may **NOT** begin prior to validation and funding. This includes troop labor construction of facilities that will later require O&M.

3. RESPONSIBILITIES:

A. MSCs and Units Submitting Requirements.

1. Each 2-Star Commanded Headquarters, separate organizations and Joint Area Support Groups commanded by a general officer can establish an Acquisition Review Board (ARB) to validate all purchases, leases and contracts from \$100,000 to \$249,999. This will provide the capability to validate requirements costing \$100,000 to \$249,999 (see thresholds in Appendix J). Documented ARB processes must be on file with MNC-I C8 to support validation up to \$249,999. The PR&C/MIPR for the above requirements and an ARB approval document must be signed by the Chief of Staff or higher. The ARB will also review and endorse all requirements that must go to MNC-I for approval. The ARB approval must include a legal review. Copies of the ARB results must be submitted with unit spend plans before funding will be provided.
2. Using the criteria outlined above, develop JFARB packages for initiatives as required. A JFARB checklist is provided in Attachment 7.
3. Confirm that requirements cannot be filled through Standard Army Retail Supply System (SARSS), internally, or through other MNC-I resources.
4. Submit all requirements for validation to the C8 JFARB Cell via SIPRNET at: MNC-I_C8_JARB_CELL@S-IRAQ.CENTCOM.SMIL.MIL. The exception to

this policy is to submit your package to your geographical POC in the C7 for construction related projects.

5. Units should allow for validation time, funding time, and time for contracting to award the requirement. Typically, the unit should start the JFARB process at least 90 days prior to the need.

B. Non-Voting JFARB Members: **C1, C2, C9, Surgeon's Office**

act as functional experts to the board and review and endorse valid requirements within the purview of the respective staff section.

C. **C3.**

1. Provide a field grade officer to review JFARB requirement documents and be a voting JFARB member. Voting members must be prepared to review requirements from both a functional perspective, as well as provide the CoS an overall recommendation based on well-reasoned military judgment.
2. Ensure C3 AT/FP reviews all anti-terrorism and force protection requests.

D. **C4.**

1. Provide a field grade officer to review JFARB requirement documents and be a voting JFARB member. Voting members must be prepared to review requirements from both a functional perspective, as well as provide the CoS an overall recommendation based on well-reasoned military judgment.
2. Serve as a functional expert to review requirements for:
 - a. Non-Tactical Vehicles (NTV) and utility vehicles (lease vs. purchase).
 - b. Logistics Civil Augmentation Program (LOGCAP) requests for expansion of current services and all new services equal to or greater than \$250K.
 - c. Lease of Centrally managed MHE and mobile Reefers or the purchase of non-centrally managed MHE and stationary Reefers.
 - d. Cross leveling of CHUs and other RLBs.

E. **C6.**

1. Act together with C7 and C8 as an MNC-I staff lead and administrator of JFARB policies and procedures.
2. Provide a field grade officer to review JFARB requirements documents and be a voting JFARB member. Voting members must be prepared to review

requirements from both a functional perspective, as well as provide the CoS an overall recommendation based on well-reasoned military judgment.

3. Provide an action officer to serve as the coordinator of the JFARB.
4. Serve as a functional expert to review requirements including, but not limited to, communications equipment, communications security equipment, computers, printers, data storage devices, network-related equipment or services, software, or other information technology support.
5. Serve as a functional expert to review requirements from an overall IT perspective. This includes not only the validity of the requirement, but whether another alternative might provide the same capability with more efficiency, or at a lower cost.
6. The following communications and information systems requirements can be approved by senior mission commanders in the rank of Major General and the Commander of the Expeditionary Sustainment Command; compliance with thresholds in Appendix J, paragraph 8 is still required. Equipment models not listed in the C6's hardware standards require JFARB approval. MNC-I units, to include separate brigades, which are commanded by a Brigadier General and below require JFARB approval before purchasing the following equipment:
 - a. Computers (e.g. laptops, desktops)
 - b. Network Equipment (e.g. servers, routers, switches)
 - c. Printers (e.g. all-in-one, plotters, and copiers that touch the network)
 - d. Any ancillary communications equipment (e.g. VoIP phones, digital senders, scanners, KVMs, UPSs)
 - e. 51 inch and larger LCD/Plasma Televisions and projectors
 - f. Thumb drives, flash drives, and hard drives greater than 1TB
7. The following communications and information systems equipment require JFARB approval without exception:
 - a. Cellular phones (e.g. MCI, IRAGNA, ASIA-CELL, ATHEER) including scratch cards
 - b. Satellite phones (e.g. Iridium, INMARSAT)
 - c. COMSEC equipment (e.g. KG-175, KIV-19)
 - d. Satellite communications systems (e.g. BGAN)
 - e. Internet related services (e.g. MWR, Commercial Service)
 - f. Radios (e.g. Hand-held, vehicle mounted)
 - g. Modified table of organization and equipment items (e.g. AN/PRC-150, RT-1523)
 - h. VTC suite equipment (e.g. VTC codec, camera, monitor)
 - i. Cisco call managers (software and hardware)

- j. Modems that extend the LAN (pair gains)
 - k. Equipment and services which require IT service contracts
 - l. External Hard drives greater than 1TB
 - m. Flash memory to include USB thumb drives greater than 4GB
 - n. Blanket Purchase Agreements (BPA) pertaining to communications and information technology
 - o. Any software intended to run on government equipment
8. All submissions for requirements relevant to MNC-I C6 will be properly staffed and endorsed through the chain of command up to their MSC or DRU level. In addition, the MSC or DRU S6/G6/C6 must endorse the requirement.
9. Units are responsible for allowing adequate time and access to the required personnel to resolve possible issues/questions from the C6.
10. See Automated Information Systems Hardware Standards (AISHS), version 2.0, 1 April 2008.

F. C7.

1. Secretary of validation board; presents requirements to the MNC-I CoS. Act together with C6 and C8 as an MNC-I staff lead and administrator of JFARB policies and procedures.
2. Provide an action officer to serve as the coordinator of the JFARB.
3. Support administration of the JFARB cell; accepting, processing, recording CoS decisions and disseminating the results of the JFARB process to stakeholders.
4. Provide a field grade officer to review JFARB requirement documents and be a voting JFARB member. Voting members must be prepared to review requirements from both a functional perspective (construction/repair costs, generators, RLBs, and base closure/transfer status), as well as provide the CoS an overall recommendation based on well-reasoned military judgment. This recommendation will include current base closure/transfer status.
5. Serve as a functional expert to review requirements from an overall engineering perspective. This includes not only the validity of the requirement, but whether another alternative might provide the same capability with more efficiency, or at a lower cost.
6. Specifically, lead the processing of requirements for:

- a. Force protection construction items (e.g. sidewalls, overhead cover and barriers) equal to, or greater than \$250K for MSCs; \$100K or more for O-6 or above Separate Commands.
- b. Electrical power generation equipment (including LOGCAP) equal to or greater than 10Kw.
- c. All relocatable buildings (RLBs), trailers, and Containerized Housing Units (CHU) (including LOGCAP).
- d. Construction/repair projects with total project costs (including LOGCAP) equal to or greater than \$250K for MSCs; \$100K or more for O-6 or above Separate Commands. See Appendix H for the definitions of construction and maintenance and repair projects.
 1. New minor construction with total project costs \$250K or more. Funded construction costs may not exceed \$750K.
 2. Construction to correct a life, health, or safety deficiency where funded construction costs are less than \$1.5M.
 3. Repair projects:
 - a. Repair projects with total project costs \$250K or more. In addition, the repair to replacement ratio must be less than 50 percent and the funded project cost is less than \$5M.
 - b. Repair projects from \$5M to \$10M or that do not meet the repair to replacement ratio must be submitted to and validated by the JFARB and forwarded to US ARCENT for approval. This is not a fast process and is not recommended for urgent requirements.
- e. Military Construction (MILCON) projects: This includes projects seeking Contingency Construction Authority (CCA). See Attachment 2 for the MILCON programming process. See Appendix H, Military Construction for programming information.
- f. Land leases.
 1. Any lease that expands a Contingency Operating Base (COB) or Contingency Operating Site (COS) or renews an existing lease for a COB or COS.
 2. Any lease for property already occupied greater than 30 days due to operational requirements and is not associated with a base expansion or creation and the cost of the lease is greater than \$50,000.

3. See MNC-I FRAGO 176 Task 15 Dated 01 August 2007 – Use of Real Property (This task serves to supersede FRAGO 292 dated 22 March 2006 on Retroactive leases).
4. See Attachment 3 for the Land Lease approval process.

G. C8.

1. Act together with C6 and C7 as the MNC-I staff lead and administrator of JFARB policies and procedures.
2. Provide an action officer to serve as the coordinator of the JFARB.
3. Support the administration of the JFARB cell; accepting, processing, recording CoS decisions and disseminating the results of the JFARB process to stakeholders.
4. Provide a field grade officer to review JFARB requirement documents and be a voting JFARB member. Voting members must be prepared to review requirements from both a functional perspective, as well as provide the CoS an overall recommendation based on well reasoned military judgment.
5. Serve as a functional expert to review requirements from an overall acquisition perspective. This includes not only the validity of the requirement, but whether another alternative might provide the same capability with more efficiency or at a lower cost.
6. Specifically, lead the staffing of requirements for:
 - a. Force protection items (non-construction) equal to, or greater than \$250K for MSCs; \$100K or more for O-6 or above Separate Commands.
 - b. LOGCAP services (except construction/repair and generators) equal to or greater than \$250K for MSCs; \$100K or more for O-6 or above Separate Commands.
 - c. MWR items and service contracts equal to, or greater than \$250K for MSCs; \$100K or more for O-6 or above Separate Commands.
 - d. Service contracts equal to or greater than \$250K for MSCs; \$100K or more for O-6 or above Separate Commands.
 - e. Leased equipment (MHE, Reefers, etc) equal to or greater than \$250K for MSCs; \$100K or more for O-6 or above Separate Commands.

- f. All non-tactical vehicles (NTVs) or utility vehicle requests, including Gators and Polaris. Units must contact MNC-I C4 to request a GSA NTV to fulfill all NTV requirements. NTV lease requests will not be staffed unless a statement of non availability from the MNC-I C4 is provided with the package.
- g. Requirements with one time or annual cost equal to or greater than \$250K for MSCs; \$100K or more for O-6 or above Separate Commands.
- h. Renewal of existing generator leases.

H. SJA.

- 1. Provide a Legal Advisor to the JFARB as a non-voting member.
- 2. Review proposed initiatives from an overall legal and fiscal perspective.

I. JCC-I/A.

- 1. Provide a KO to the JFARB as a nonvoting member.
- 2. Serves as a functional expert to review acquisition packets (SOW and COR nomination packages) for completeness and thoroughness from an overall contract award perspective.

4. OPERATIONS AND MAINTENANCE ARMY (OMA) FUND LIMITATIONS FOR JFARB PACKAGES:

- A. OMA funds are appropriated by Congress to fund the operations and maintenance of U.S. Army units executing Title X responsibilities. As such, requirements that are not appropriate for OMA funding may still be JFARB'ed as part of the requirements validation process, approval subject to availability of the correct appropriation. If a requirement is clearly not appropriate for OMA funding, considerable effort may be saved by contacting the JFARB cell to seek guidance on the correct validation process to use for the requirement.
- B. Purchase of items that have an individual unit cost or system cost equal to or greater than \$250K must use OPA funding for the purchase. Additionally, in the case of acquisition of systems or items that are centrally managed within the Department of the Army, the DoD Financial Management Regulation Volume 2a, Paragraph 010201 provides amplifying guidance to make the determination of whether OMA funding can be used.

5. JFARB PACKAGE REQUIREMENTS:

A. JFARB packages should use existing documentation wherever possible to avoid additional effort. For example, the Statement of Work (SOW) required as part of the JFARB package will be the same as the SOW provided to the project execution agency. All documents must be legible.

B. A complete JFARB package must have the following information:

1. **Contact information** (included in the Letter of Justification (LoJ), or as a separate cover sheet):
 - a. The name of the requesting unit
 - b. The name of the Major Subordinate Command (MSC)
 - c. Point of Contact (PoC)
 - d. PoC phone number
 - e. PoC SIPRNET e-mail addresses
2. **O-6 equivalent or above endorsement.** This endorsement can be signed by any O-6 equivalent or above. If the letter of justification is signed by an O-6 equivalent or above a separate endorsement is not required.
3. **Funding document.** For OMA Projects, use a PR&C (DA Form 3953) or MIPR (DD Form 448) as appropriate.
 - a. **PR&C (DA Form 3953).** Signature authority is the MNC-I CoS for requirements equal to or greater than \$250K for MSCs; \$100K or more for O-6 or above separate commands. Signature block for PR&C (Block 34):

(Chief of Staff's Name)
(Rank), USA
Chief of Staff

DA Form 3953 Block 2. The document requisition number must be provided by the Theater Property Book Office regardless if a Theater Property Equipment memo is needed.

- b. **MIPR (DD Form 448).** MIPR signature authority is delegated to the G8/C8 comptroller. Leave DD Form 448 block 15 (authorizing officer) blank.
- c. **MILCON Projects.** Use a DD Form 1391, Military Construction Project Data form. In a MILCON project the DD 1391 replaces the separate funding documents to include the statement of work and independent government cost estimate. Submit photos and explanation (before and after affect, impact if not funded, cost and timeline) with any submission requiring a 1391.

- d. **LOGCAP Projects.** The Project Planning Estimate (PPE) serves as the funding document. All LOGCAP funding requests, except services must include:
 - 1. Stand Alone Estimate
 - 2. Capacity Based Estimate

- 4. **Letter of Justification.** The letter should fundamentally address what has changed. Specifically:
 - a. What is the intended purpose of the project (who is the project for and how and when will it be used)?
 - b. What is the operational need for the project (legitimate mission requirement)?
 - c. What is the impact if not funded (effect on the mission)?
 - d. How the mission is currently being accomplished?
 - e. Demonstrate compliance with Contingency Base Camp Standards, Figure 5.1, USCENTCOM Regulation 415-1 (Dec 07). Justification must be provided for any deviation from Sand Book standards. A copy of the Sand Book can be found on the MNC-I SIPR Portal at:
[http://mnci.res.s-iraq.centcom.smil.mil/sites/C7/Facilities/C7FacilitiesWorkspace/references/ccr%20-%centcom%20sandbook%20\(1%20dec%202007\).pdf](http://mnci.res.s-iraq.centcom.smil.mil/sites/C7/Facilities/C7FacilitiesWorkspace/references/ccr%20-%centcom%20sandbook%20(1%20dec%202007).pdf)
 - f. What alternatives were considered, and why were they insufficient to meet the requirement?
 - g. What is the method of execution? You must consider your method of execution in this preferred order: Troop labor, host nation support, local contracting, or LOGCAP. If you eliminate a more preferred method of execution you must state why you are not using the more preferred method.
 - h. Are there operation and maintenance costs involved with this project? Who will be accomplishing these O&M actions?
 - i. How will Anti-Terrorism/Force Protection requirements be addressed?
 - j. Are there sufficient utilities on site (power, water, etc.)? If not, how will the utilities requirements be met?
 - k. Are there any additional furniture and/or equipment needs?

I. Is site prep and/or demolition work included in the project (this should be a separate line item in the funding document)? If so, who will be accomplishing this work?

5. **Scope/Statement of Work (SOW).** The SOW shall clearly describe the work and quality requirements of the deliverables. JCC-I/A will review acquisition packets (SOWs and COR nominations) prior to the packets' submission to the JFARB. The SOW portion of a contract describes actual work to be done by the contractor by means of (1) specifications or other minimum requirements, (2) quantities, (3) performance dates (be careful with period of performance start/end dates in Sep or Oct as fiscal year issues may limit funding flexibility), (4) time and place of performance of services, and (5) quality requirements. A SOW plays a key role in the solicitation because it serves as the basis for the contractor's response. It also serves as a baseline against which progress and subsequent contractual changes are measured during contract performance. A separate SOW shall not be submitted for MILCON projects, as that is part of the DD Form 1391 data. **The SOW for projects that contain relocatable buildings will include the following:**

Location	Quantity	Dimensions (feet)	Cost \$K (Each)	Purpose
Liberty	30	12'X40'	\$40	ie: shower, office, living

6. **Cost Estimate.** Either an Independent Government Cost Estimate (IGCE) or vendor quotes. Cost estimates or quotes must be less than three months old.

a. An IGCE will include:

1. Capital lease analysis. Any project that utilizes leased equipment must complete a capital lease analysis.
2. A cost breakout by construction (including site prep and utilities), repairs, operation & maintenance (O&M), and personal property IAW DA Pam 420-11.

Construction	Repairs	O&M	Personal Property
\$	\$	\$	\$

b. A separate IGCE is not required for the following projects:

1. MILCON projects.
2. LOGCAP projects.

3. Direct, theater contract project packages.
 - c. Vendor quotes for theater contracts should include three sources to facilitate the contracting process. Less than three quotes may delay your source selection.
7. **Sole Source Justification.** If required must be approved by local contracting office.
8. **Base Camp Mayor Endorsement.** This memo must include:
 - a. A statement that the project is in line with the base camp master plan.
 - b. A statement that the project has been reviewed and found acceptable by the Base Camp Mayor and that the project does not conflict with any other planned projects. The Base Camp Mayor or designated alternate will sign this memo.
9. **Environmental Review.** If required, the statement must be included verifying that the project has been reviewed by the Environmental Compliance Officer (ECO). It must state there are no environmental issues related to the project or the real estate involved. If there are environmental issues, they must be listed and explained. An ECO is a senior NCO or officer who represents base commanders on any environmental matter, ensuring the base and tenant units are in compliance with all applicable environmental policies and regulations. This statement can also be included in the Base Camp Mayor endorsement.
10. **Legal Review Memorandum.**
 - a. Must identify any legal objections.
 - b. Must state that the funding source is appropriate for the request IAW the applicable section of Title 10, U.S. Code.
11. **Location Plan.** The location plan should be taken from the base camp master plan map, showing the project in relation to existing buildings, currently approved projects, projects in the process of being approved, and any future planned buildings.
12. **Troop Labor Justification Memorandum.** If required, this memorandum will be written by the unit providing the troop labor. The letter will identify the amount of labor and the length of time the troops will be allocated to complete the project for scheduling purposes.

13. **Land Leases.** All JFARBs for land leases will include the additional documentation:
- a. General lease instruction sheet also known as the lease application. This instruction sheet can be found at:
<http://mnci.res.s-iraq.centcom.smil.mil/Staff-Sections/C7/Facilities/C7FacilitiesWorkspace/JFUB/default.aspx>
 - b. Cost estimate from the Gulf Region Division (GRD) Real Estate Team.
14. **Over Head Cover (OHC) Certification.** All OHC requests as either part of a construction project or as the entire project must be from an approved design source and meet specific design requirements.
15. **RLB Analysis.** This must be completed for any RLBs included in the JFARB package. If multiple RLBs are to be included in a package, the analysis must be completed for each TYPE of RLB. An analysis is not required for leased RLBs. If RLBs are to be purchased, an O-6 signed memo, coordinated through MNC-I C-4, must be submitted stating that no other RLBs or CHUs are available for cross-leveling within theater.
16. **Contract Officer Review Memorandum (JCC-I/A serviced contracts only).**
- a. Must state the KO has reviewed the SOW for completeness and thoroughness from an overall contract award perspective. Final approval for the SOW will be issued by the actual procuring KO.
 - b. Must state the KO has reviewed the Contracting Officer's Representative (COR) nomination package—ensuring the package includes the nominee's qualifications (including training and contract administration experience). Any deficiencies shall be noted and the nominee shall immediately work to rectify. The KO will also ensure that the COR understands how to properly execute COR responsibilities.
17. **Theater Provided Equipment (TPE) Memorandum.** TPE memos are required for all requirements except leases and service contracts. Even if a TPE memo is not required, the Theater Property Book Office still provides the document requisition number required for a PR&C.
18. **All JFARB e-mail traffic will be conducted on SIPRNET.** Documents submitted on NIPRNET will not be accepted.
6. **POINTS OF CONTACT:** The point of contact for this document is the MNC-I JFARB Cell at DSN 485-2385/2386/3692 or via SIPRNET at (control enter to activate link): MNC-I_C8_JARB_CELL@S-IRAQ.CENTCOM.SMIL.MIL

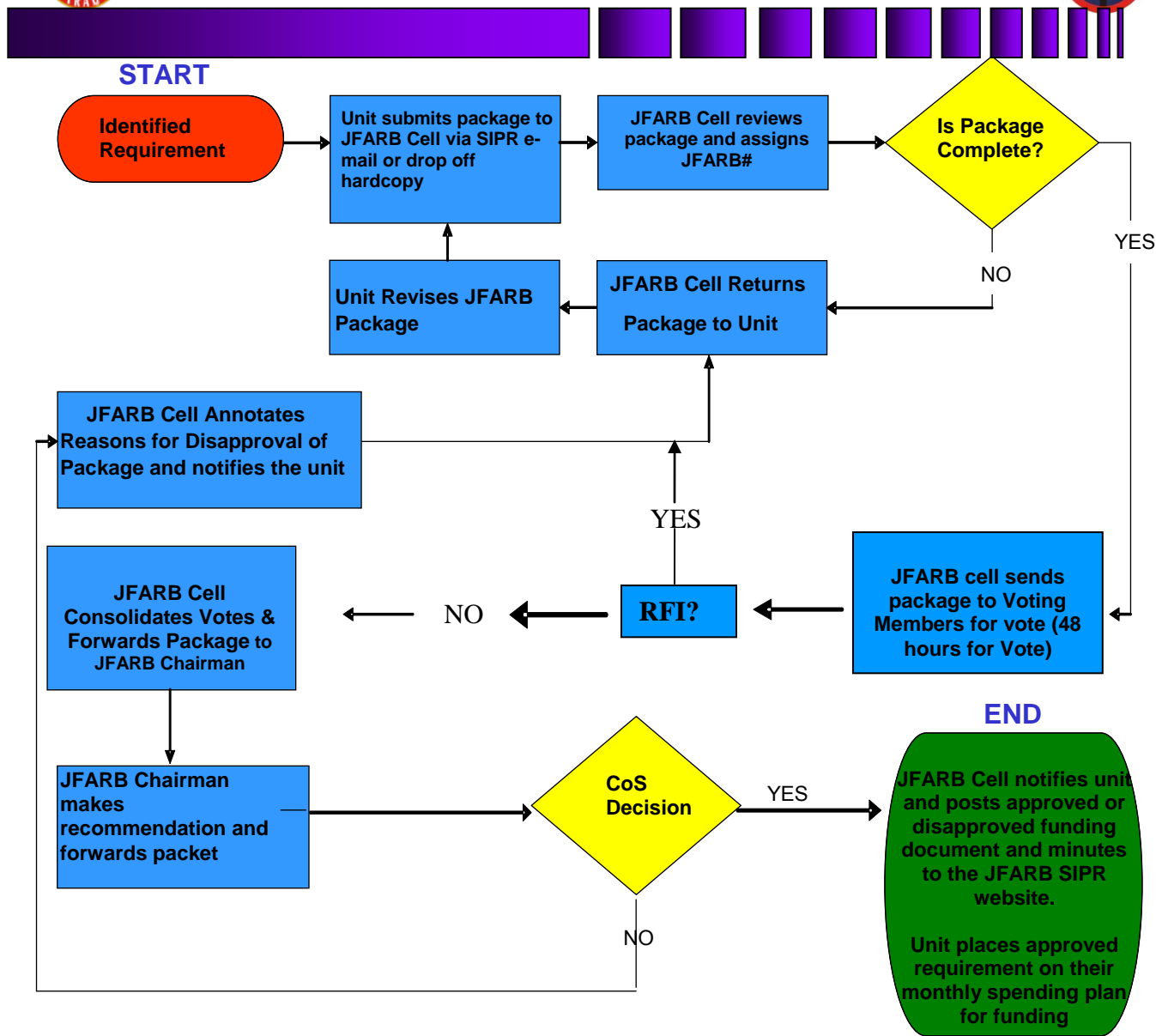
7. ATTACHMENTS:

1. MNC-I JFARB Flow
2. MILCON Programming Process
3. Land Lease Process
4. Material Handling Equipment Leases
5. Theater Provided Equipment Memo
6. Generator Purchase Memo
7. JFARB Checklist

Attachment 1



MNC-I JFARB FLOW



Attachment 2

C7 MILITARY CONSTRUCTION (MILCON) PROGRAMMING PROCESS

1. Planned MILCON Projects. See Appendix H for MILCON programs information.
 - A. C7 will no longer formally solicit the submission of MSC MILCON projects on a quarterly basis or put out the quarterly project call the first week of every calendar quarter. Instead, all MILCON requirements will be obtained via the normal JFARB process submitted by the MSC at anytime throughout the year.
 - B. MSC will provide a complete JFARB package as detailed, including a properly completed DD Form 1391 for each new individual MILCON project.
 - C. MSC will provide a prioritized list of all unfunded MILCON projects previously approved by the JFARB, as required.
 - D. The JFARB Cell will staff MILCON projects through MNC-I CoS like any other construction requirement.
 - E. Once the DD Form 1391s/MILCON JFARB packages have been reviewed and approved, the JFARB Cell will incorporate MILCON requirements into the MNC-I prioritized MILCON Project List.
 - F. Once all MILCON projects have been prioritized, approved by MNC-I CoS, and forwarded to meet a Higher Headquarters (HHQ) data call, the updated MNC-I prioritized MILCON Project List and new DD Form 1391s will be posted to the MNC-I C7 SIPRNET Portal website.
 - G. The JFARB will forward the MNC-I prioritized MILCON Project List with recommendations to MNC-I CoS for approval.
 - H. The JFARB will forward the approved MNC-I prioritized MILCON Project List to USARCENT C7.

2. Contingency Construction Authority (CCA).
 - A. Contingency Construction Authority is a fiscal authority that allows the use of OMA funding for projects that would otherwise require MILCON funding. Projects seeking CCA will be handled on a case-by-case basis. If a MSC wishes to seek CCA for a project, it should submit the request to the JFARB Cell at the earliest opportunity.
 - B. In addition to meeting all submission requirements detailed above, the CCA request packages must include a letter of justification (LOJ) which includes strong justification for the CCA request.
 - C. Contingency Construction Authority requests will be processed in the most expeditious manner possible.

Attachment 3

1. C7 JFARB PROCESS FOR LAND LEASES

A. Operational Property Acquisition

1. The unit acquires property either through emergency occupation or an operational planned need.
2. There are two types of property. The two types of property include public real property and private property. Refer to MNC-I FRAGO 176 Task 15 Dated 01 August 2007 – Use of Real Property.

B. Submit lease application to C7 Facilities using the General Lease Instruction Sheet located on the MNC-I C7 SIPR web site:

<http://mnci.res.s-iraq.centcom.smil.mil/Staff-Sections/C7/Facilities/C7FacilitiesWorkspace/JFUB/default.aspx>

C. C7 Facilities submits the lease application to GRD real estate team at:

CERGRD.RE@TAC01.USACE.ARMY.MIL.

D. GRD real estate team assists in providing a cost estimate for the lease and will send this information back through MNC-I C7, to the unit.

E. The unit will use the cost estimate for the lease to complete the applicable funding document (either a PR&C DA Form 3953 or MIPR DD Form 448) to include in the JFARB.

1. PR&C will be used to request funding for retroactive leases or if the unit needs to request funding from MNC-I C-8.
2. MIPR will be used to request funding for all other leases.

F. The JFARB is submitted to MNC-I C7 Facilities with all other applicable documentation.

G. Upon MNC-I CoS approval the unit will forward a signed copy of the funding document to GRD real estate team who will then process the lease.

H. For payment of leases refer to MNC-I FRAGO 176 Task 15 Dated 01 August 2007 – Use of Real Property.

2. PROCESS FOR LEASES NOT REQUIRING JFARB

A. Operational Property Acquisition

1. The unit acquires property either through emergency occupation or an operational planned need.

2. The two types of property include public real property and private property. Refer to MNC-I FRAGO 176 Task 15 Dated 01 August 2007 – Use of Real Property.
- B.** Submit lease application to C7 Facilities using the General Lease Instruction Sheet located on the MNC-I C7 SIPR web site:
<http://mnci.res.s-iraq.centcom.smil.mil/Staff-Sections/C7/Facilities/C7FacilitiesWorkspace/JFUB/default.aspx>
 - C.** C7 Facilities submits the lease application to GRD real estate team at:
CERGRD.RE@TAC01.USACE.ARMY.MIL.
 - D.** GRD real estate team assists in providing a cost estimate for the lease and will send this information back through MNC-I C7 who will then send it back to the unit.
 - E.** The unit will use the cost estimate for the lease to complete the funding document MIPR (DD Form 448) to include in the package.

Attachment 4

SAMPLE FOR MATERIAL HANDLING EQUIPMENT LEASES

MEMORANDUM FOR Chief of Staff, Multi-National Corps - Iraq, Baghdad, APO AE 09342

SUBJECT: Justification for Acquisition for Lease versus Purchase of **[Describe the equipment here such as Three (3) 10K Fork Lifts for Twelve (12) Months]**

1. First sentence for use with lease - The facts as outlined below demonstrate that at the end of a lease the total of the lease payments for each item (**[\$X,XXX.XX]**), and any back-side assessments (**[\$XXX or none anticipated]**), or settlement fees (**[\$X,XXXX for anticipated damages]**), will not exceed the fair market value of the item (**[\$XXXXX purchase price]**). **[There will be the following modifications _____ or there will be no modifications made to the vehicle to support military operations.]**
2. No installment purchase or lease-to-buy provisions are to be included in the lease agreement.
3. The following lease versus purchase analysis demonstrates the lease is in the best interest of the government.
 - a. Estimated length of the period the equipment is to be used and the extent of use within that period. - The lease is for **[number of]** months. The leased items will be used to **[transport the supplies to and from unit sites, delivery supplies, transport X number of personnel to and from location x to location y which are x miles apart]**.
 - b. Financial and operating advantages of alternative types and makes of equipment. - **[No other equipment except for a 10K forklift will meet the requirements of the mission.]**
 - c. Cumulative rental payments for the estimated period of use. - The total of all the lease payments for each of the **[XX NUMBER]** of item is **[\$XXXXX TOTAL AMOUNT OF THE LEASE FOR EACH PIECE OF EQUIPMENT]**. The cumulative total of the rental payments for all the items is **[\$XXXXXX TOTAL PRICE OF THE LEASE NOT INCLUDING DELIVERY, DAMAGE SET ASIDE, MANTANENCE]**.
 - d. Net purchase price. - The net purchase price for each item is **[\$XXXXX WHAT WOULD IT COST TO BUY THIS EQUIPMENT]** for a total for all the items of **[\$XXXXX TOTAL COST TO PURCHASE ALL THE VEHICLES]**.
 - e. Transportation and installation cost. – The anticipated lease payment includes any transportation cost. **[OR THE FOLLOWING – A delivery charge of \$XXX.xx is added to the lease price.]** If the item was purchased instead of

being leased transportation cost of approximately **[\$XXXX.xx OBTAINING FROM VENDOR IS ACCEPTABLE]** is anticipated.

- f. Maintenance and other service cost. - **[OPTIONS - Maintenance and service is included in the lease price for each piece of equipment. – OR – There is a separate maintenance and service charge of \$XXX.xx.]** If the items were purchased it is anticipated that the maintenance and service costs would be approximately **[\$X,XXX.xx per year and assuming an expected life of the equipment being X years, over the length of the expected life of the equipment maintenance and service costs would be approximately \$XX,XXX.xx for each vehicle].**
 - g. Availability of a servicing capability. – There are **[complete – no – limited]** facilities to provide service and maintenance for the items being leased; **[if true]** however these facilities are limited and must be shared. **[if true]** The lease will provide for the maintenance and servicing of the items without taxing the limited services available. **[This is the typical response. If your facts are different explain them here.]**
 - h. Potential obsolescence of the equipment because of imminent technological improvements. - This factor is not applicable to the lease or purchase of the requested item.
 - i. Availability of purchase options. – The command does not have ready access to other procurement-Army (OPA) funds required to purchase these vehicles. Obtaining such funds would require submission and approval of an operational needs statement (ONS). **[This is the typical response. If your facts are different explain them here.]**
 - j. Potential for use of the equipment by other agencies after its use by the acquiring agency is ended. – Due condition under the vehicles will operate, it is not anticipated that any items purchased would be of much service to any other agency after use by the requestor. **[This is the typical response. If your facts are different explain them here.]**
 - k. Trade-in or salvage value. – With the average depreciation at X% **[a new forklift will depreciate approximately 40-60% within the first 4 years - average depreciation is 1% per month, if high end vehicle use 1.25%, if low end equipment use .84% - use the same % depreciation for other equipment]** per month and the poor condition under which the items will operate, it is not anticipated that any items purchased would have any trade-in value and only nominal salvage value after use by requestor. **[This is the typical response. If your facts are different explain them here.]**
 - l. Imputed interest. – There are no known imputed interest costs. **[This is the typical response. If your vendor charges interest use the total amount of interest.]**
4. Based on the facts and analysis presented above, lease of the requested lease of **[DESCRIBE ITEMS]** for **[XX NUMBER]** months is in the best interest of the government.

5. Point of contact is _____, DSN 318-822-XXXX, email: xxxx.xxxxxx@iraq.centcom.mil.

NOTE: The United States Government is self-insured and provides full insurance coverage for all vehicles in its possession. Do not seek insurance or damage options from vendor.

*Note: **New Lease** is when there is no lease in place and one is to be started.

Renewal of lease is when one exists and the JFARB is to accept an option to extend the lease of the current equipment within the same scope

Continuation of services is when one exists and the JFARB is to start a new contract for the same level and scope of the existing contract but with new equipment.

Increase is when a lease is in place and it is going to be renewed with an expansion of services.

** Note: **Capital Lease** is a lease that transfers substantially all the benefits and risks of ownership to the Service. These leases are capitalized as a Service asset. The determination of whether a lease will be a capital lease is accomplished well in advance of the acquisition because of the possible budget scoring that may be required and need for OPA funding.

6. Leases are considered to be a capital lease when one of the four criteria below is met:

- A. Ownership of the property is transferred to the Service at or shortly after the end of the lease term.
- B. The property may be purchased at a bargain price at the end of the lease term.
- C. The lease term is greater than 75% of the estimated economic useful life of the asset.
- D. The present value of the minimum lease payments over the life of the lease is greater than 90% of the fair market value of the asset at the beginning of the lease term.

The Service should avoid capital leases. With a capital lease, there is a possibility that rental payments over the life of the lease may exceed the value of the property. Therefore, it may be more economically feasible to purchase the building or equipment rather than lease. Although we are in a contingency environment, the requirement to make financially sound decisions still exists.

Attachment 5



DEPARTMENT OF THE ARMY
ARMY FIELD SUPPORT Battalion – Logistics
CAMP ANACONDA
APO AE 09391

AFSB-IZL-TPE

Date: _____

MEMORANDUM FOR Chief of Staff, Multi National Corps-Iraq, Camp Victory, Iraq

SUBJECT: Acknowledgement of Theater Provided Equipment/Services Status

1. REFERENCE. Money As A Weapon System-MNC-1 CJ8 SOP, Appendix J, dated _____.
2. STATEMENT. The undersigned acknowledges that the procurement of the equipment, supplies and/or services acquired on TPE TEAM _____ DOC # _____ is for the express use of organizations in Iraq-Kuwait ISO Operation Iraqi Freedom and is designated Theater Provided Equipment (TPE). This acquisition will remain in Iraq and will not be removed without the expressed written consent of the AFSB TPBO.
3. POC is CW4 Cheryl Bartly at bartlyc@mmcs.army.mil 312-987-0567, ext. 6537 or Mr D.W. Rutherford at rutherfordd@mmcs.army.mil 312-987-0567, ext. 6574.

CHERYL M. BARTLY
CW4, QM
Theatre Property Book Officer

UNIT REPRESENTATIVE ON DA FORM 1687

J-1-23

Attachment 6

SAMPLE FOR GENERATOR PURCHASES

MEMORANDUM FOR Chief of Staff, Multi-National Corps-Iraq, Baghdad, APO AE 09342

SUBJECT: Justification for procurement of [Describe the generator/s here such as Three (3) 800kW generators]

1. PURPOSE: A brief description of why the generators are needed.
2. DISCUSSION: What are the generators going to be used for? Who, What, Where, and Why must be answered. What type of mission is being performed in the facilities being powered by the generators (e.g. TOC, LSA, and Hospital)? Why does the facility have to be powered by generator (e.g. is there prime power available, can a unit be cross leveled from another base)? Where will the generator be located (Building Number)?
3. EQUIPMENT: Detailed description of the generator being requested. The following information is required for each generator:
 - a. kW.
 - b. kVA.
 - c. Voltage.
 - d. Manufacturer.
 - e. Model Number. (This can be taken off of quote sheet from contractor.)
 - f. Cost of generator being requested. (If this is a replacement generator, the price to repair the existing generator must be included in the memorandum. If the repair cost is less than 75% of the procurement cost for the same generator, than justification must be supplied in this memorandum.)
 - g. If the generator will be powering more than one facility please list the building numbers and their mission.
 - h. If purchasing a transfer switch, specify whether it is manual or automatic
4. RECOMMENDATION:
5. POINT OF CONTACT: Rank, Name, Position, Phone number and Email.

JOHN A. DOE
06, SC
Duty Position

ATTACHMENT 7

JFARB CHECKLIST

X or NA	REQUIRED DOCUMENTATION
	POC Information
	MSC Endorsement (O-6 or above)
	Funding Document (PR&C, MIPR, LOCAP or 1391) *
	Theater Property Equipment (TPE MEMO) *
	Letter of justification
	Intended Purpose
	Operational Need
	Impact if not funded
	How is mission currently being accomplished?
	Shows compliance with Sand Book?
	O-6 exception to policy memo justifying deviation from Sand Book
	Were alternatives considered?
	Why alternatives were insufficient to meet requirement
	Method of execution
	Is follow-on O & M required/desired/included?
	How will it be accomplished?
	Are AT/FP requirements addressed
	Are there sufficient utilities on site
	Any additional furniture or equipment needs?
	Site prep or demo included in the project?
	How will it be accomplished?
	Statement of work
	Troop Labor Justification Memo signed by unit commander providing troops
	Overhead Cover Design Certification
	RLB Analysis to include cross-level availability
	Independent Government Cost Estimate \ LOGCAP PPE \ Vendor Quotes

	Base Camp Mayor endorsement
	Environmental Compliance review **
	Generators in project?
	Legal Review Memo
	Funds requested are appropriate type?
	Communication review Memo **
	Location plan including any related projects
	Include large scale base map with project site indicated and small scale area map with specific location in relation to other buildings
	Procuring Contract Officer review memo (JCC-I/A serviced contracts only)
	S6/G6 Letters of Endorsement **
	CG Memo must be included for Iridium requests **
	G3 Endorsement memo must be submitted for Iridium phones **
	Operational Needs Statement (ONS) from unit to DA must be included in packets for Iridium requests **
	Distribution list must be included for cell phones and PC life cycles **
	Letter of Exception to Policy must be included for cell phones (if being issued to individuals not on the distribution list IAW MNC-I), PC lifecycle (if 50% or higher for laptop replacements or over 33.3% for desktop replacements). **
	Sole Source Justification **

* PR&C -ONLY MNC-I Chief of Staff has approval authority. Blocks 31, 32 and 33 will be signed by The Theater Property Book Officer. The Theater Property Book Officer will also sign the TPE memo (this is how a PR&C receives a document number).

** As required

NOTE: The ten day staffing timeline does not begin until the package is 100% complete.

MANAGEMENT INTERNAL CONTROL PROGRAM

CONTENTS

1. Purpose
2. Responsibilities
3. Management Control Plans
4. Annual Statement of Assurance
5. Conclusion

1. **PURPOSE:** The DoD's Managers Internal Control Program (MICP) is designed to ensure that programs operate as they are intended, that areas needing improvement are identified and reported, and that timely corrective action is taken. Management controls are any rule, method, procedure, or device designed to ensure that what should happen does happen. In general, the program is implemented by scheduling conducting and documenting evaluations of management controls. Based on the results of these evaluations, management must identify and correct any material weaknesses, and must submit an Annual Statement of Assurance (ASA) through their chain of command. The Multi-National Corps – Iraq (MNC-I) Managers Internal Control Program is established to provide reasonable assurances that:

- A. Obligations and expenditures are in compliance with applicable laws;
- B. Funds, property, and other assets are safeguarded against waste, loss, unauthorized use, or misappropriation;
- C. Funding and expenditures are properly recorded and accounted for; and
- D. Programs are efficiently and effectively carried out according to applicable laws and management policies.

2. RESPONSIBILITIES:

- A. **Assessable Unit Managers:** MNC-I Assessable Unit (AU) managers are the commanders or senior managers of units or staff sections of the United States Armed Forces led by an O-6/GS-15 or above. Assessable Unit managers will:
 1. Appoint a Management Control Administrator (MCA) by sending an appointment letter to MNC-I's MCA.
 2. Ensure the unit MCA receives MICP training.
 3. Develop and submit a Management Control Plan (MCP) to the MNC-I MCA.
 4. Conduct appropriate management control evaluations; document and forward the documentation to the MNC-I MCA.
 5. Prepare and submit a Statement of Material Weakness, for their AU, if required per MNF-I/MNC-I published date.
 6. Submit an Annual Statement of Assurance (ASA) for your unit; and

7. Ensure management control is listed as an explicit responsibility under major performance objectives in each assessable unit manager's annual personnel evaluation support form.
- B. Assessable Unit MCAs: Assessable Unit MCAs will administer the managers internal control process and lead all management control activities for their unit. They will also complete MNF-I priority assessments and forward compiled assessments to the MNC-I MCA NLT the MNF-I/MNC-I published dates.
3. **MANAGEMENT CONTROL PLAN (MCP)**: MCP is simply a schedule of management control evaluations for each fiscal year. The schedule must communicate clearly to subordinate managers what areas are to be evaluated along with when and who will conduct the evaluation. During a period of turnover in which a transfer of authority will occur, evaluations must be conducted by the redeploying unit. The schedule should reflect the following types of evaluations:
- A. The Army has an inventory of management control evaluations. MCAs can locate this inventory on the Army's Management Control Program website (<http://www.asafm.army.mil/fo/fod/mc/amcec/amcec.asp>). Evaluations listed in this inventory must be conducted at least once every five years. MCAs should first determine which evaluations from the inventory are applicable to their assessable unit.
 - B. Command oversight processes such as staff assistance visits, internal and external audits, command inspections, and internal reviews are considered evaluations of internal controls.
 - C. MCAs should seek senior leader involvement to determine which functions need to be evaluated. Managers should focus on unique processes that are critical to their operations and are not already covered by the Army's inventory of evaluations. Keep in mind that all leaders and managers perform management controls. These controls range from the simple to the complex and from locking a door at the end of the day to formal audits of financial records. When these management controls are significant and recurring, managers should document them and place them on the management control plan.
4. **ANNUAL STATEMENT OF ASSURANCE (ASA)**: An ASA is a report that provides a broad assessment of management controls within the command or agency and identifies any material weaknesses in these management controls. An ASA from reporting organizations consists of the following:
- A. A cover memorandum signed by the head of the reporting organization. This memorandum includes the actual statement of assurance: either an unqualified statement ("I have reasonable assurance") or a qualified statement ("I have reasonable assurance except for"). The cover memorandum may also be used to address significant issues or concerns that relate to the effectiveness of management controls.

B. DA Form 11-2-R, which will provide a description of how the management control process was conducted in the reporting organization and the basis for the determination of reasonable assurance. You should describe how your determination of reasonable assurance was reached.

C. When writing the ASA, units must determine if they have a reasonable assurance, a management control weakness, or a material weakness.

1. Reasonable Assurance: A satisfactory level of confidence that management controls are adequate and are operating as intended. Inherently, a management judgment and reasonable assurance recognizes that there are acceptable levels of risk that cannot be avoided because the cost of absolute control would exceed the benefits derived.

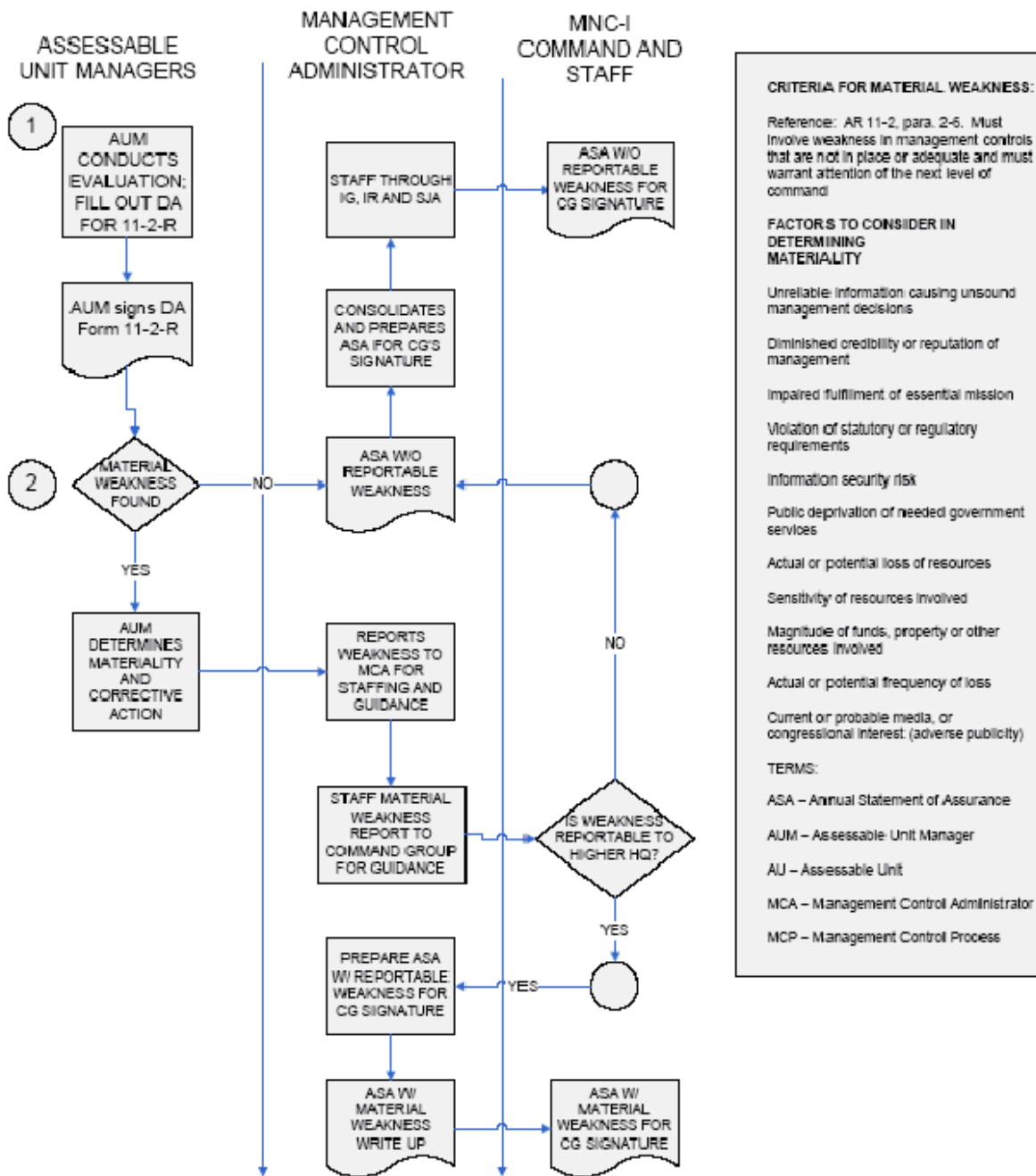
2. Management Control Weakness: The absence or ineffectiveness of management controls (e.g., management controls are not in place, or are in place but are not being used, or are in place and being used but are not effective).

3. Material Weakness: A management control weakness that warrants reporting to the next level of command, either for their action or for their awareness. To be considered material, a weakness must meet two conditions: it must involve a deficiency in management controls (i.e., management controls are not in place, are not being used or are inadequate), and it must warrant the attention of the next level of command, either because that next level must take action or because it must be aware of the problem.

5. **CONCLUSION**: MNC-I MCA will keep in contact with the assessable unit's MCA to ensure that they understand what is required of them throughout the Fiscal Year. For issues or concerns with your unit's MCP, please contact MNC-I C8 Internal Review Officer at DSN 485-2527. FIGURE 1 depicts Evaluation and Reporting Procedures.

Figure 1

**MANAGEMENT INTERNAL CONTROL PROGRAM
Evaluation and Reporting Procedures**



MNC-I CONTRACT REVIEW PROGRAM (CRP) STANDARD OPERATING PROCEDURES

CONTENTS

1. REFERENCES
2. INTRODUCTION
3. PURPOSE
4. RESPONSIBILITIES
5. PROCESS
6. KEY BODIES
7. TASKS TO SUBORDINATE UNITS
8. POINT OF CONTACT
9. ATTACHMENTS

1. **REFERENCES:**

- A. REQUIREMENTS VALIDATION (Appendix J)
- B. BUDGET PROCESS (Appendix A)

2. **INTRODUCTION:** The Multi-National Corps – Iraq (MNC-I) spends over \$4B a year in non-stock, Non-LOGCAP Operation and Maintenance Army (OMA) funding. The majority of this money goes towards service contracts that provide essential support for Operation Iraqi Freedom, including power generation; aviation and vehicle maintenance; IED detection and de-arming; unexploded ordnance clearance; intelligence, surveillance, and reconnaissance (ISR); information operations; life support services; and force protection.

3. **PURPOSE:**

- A. The intent of this program is to ensure that contracts greater than \$5 million with periods of performance greater than 6 months receive sufficient oversight, implement cost-effective management controls and satisfy customer needs. One of the primary functions of CRP is to identify and rectify funding shortfalls as well as identify excess funding available for higher priority requirements. CRP does not replace the requirements validation process.
- B. The MNC-I Contract Review Program (CRP) facilitates oversight and staff coordination among the requirements, budget, legal and contract management team. This data is instrumental in justifying funding requirements to the Army Budget Office.

4. **RESPONSIBILITIES:**

- A. **CRP Administration.** Implementation and management of the CRP initiative is the responsibility of the MNC-I C8 Acquisition Liaison Office (ALO). The ALO will:

1. Maintain policy and guidance for the CRP
2. Schedule monthly and quarterly reviews
3. Facilitate training of requirement owners
4. Facilitate template completion and updates
5. Advise requirement owners on acquisition activities and strategies

B. Requirement Owners. Requirement owners for the purposes of this program are the MNC-I, MNF-I, or Brigade staff personnel who are charged with the responsibility of overseeing the fulfillment of a requirement. Typical requirement owner duties include defining the requirement and writing the statement of work (SOW), developing and coordinating the requirements validation package, submitting funding requests for the requirement, working with the contracting office or program office to support contract award and contract oversight activities, and finally, maintaining oversight of the requirement and the funding, as long as the requirement exists.

With respect to CRP, requirement owners have the additional responsibilities of:

1. Completing and maintaining CRP templates
2. Briefing the Monthly Review Board
3. Tracking funding needs and execution of funds throughout the life of the contract
4. Interfacing with the customer being serviced by the contract to determine if the capability delivered is satisfying the mission need

C. Budget Staff. The MNC-I C8 budget staff assists with development of spend plan requests, Military Interdepartmental Purchases Requests (MIPRs), and Purchase Request and Commitment (PR&C) documents. Budget staff personnel also assist in formulating strategies for the incremental funding of large requirements.

D. Contracting / Execution Agency. Joint Contracting Command-Iraq (JCC-I) and their Regional Contracting Centers are responsible for the award of contracts that fulfill MNC-I and MNF-I mission requirements. Defense Contracting Management Agency (DCMA) supports the execution of contracts and provides technical training to CORs.

5. PROCESS (See Attachment 1). A contract enters the CRP upon approval of the requirement by the MNC-I requirements board (JFARB).

A. Upon validation of requirement:

1. Requirement owner is identified.
2. C8 ALO assigns a CRP number and sends the CRP reporting template to the requirement owner for completion.
3. C8 ALO coordinates training for the requirement owner.

4. Requirement owner completes the CRP Reporting Template (Attachment 2). Instructions are included at attachment 3.

B. Pre contract award. The requirement owner will:

1. Submit a monthly CRP Report.
2. Ensure funding is submitted on the unit spend plan, the funding document is certified and submitted with the requirement to contracting.
3. Determine the projected phasing of funds. Consider how long it will take to obligate funds when making this projection.
4. Determine the projected disbursements (i.e. burn rate) over the period of performance. One function of the CRP is comparing projected disbursements to actual disbursements as an indicator of contractor performance and facilitate oversight of funding status.

C. Post contract award, the requirement owner will:

1. Submit a monthly CRP Report.
2. Ensure adequate funding exists and track funds execution.
3. Report major cost drivers.
4. Report customer feedback and assess if the delivered capability is meeting expectations.

D. No later than three months prior to the end of the contract period of performance, the requirement owner will:

1. Submit a monthly CRP Report.
2. Assess the performance of the contract and recommend termination, continuation, or modification to the scope of the effort.
3. Submit a requirement renewal to the JFARB.

E. Accurate and timely reporting is essential to the success of the CRP. Failure to follow the reporting guidance and meet reporting suspense's may result in delays, or withholding of funding until an accurate assessment is made of the contract performance and funding status.

6. **KEY BODIES:**

A. **Requirements Validation Board.** MNC-I's requirement validation board, while not formally part of the CRP, is none-the-less critical to the success of the Corps' acquisition process. See the Requirements Validation SOP (Appendix J) for further guidance.

B. **Monthly Review Board (MRB).** MRBs are scheduled on or near the second Thursday of each month. MRB members are the MNC-I ALO (chair), the MNC-I C8 Budget Officer, a member of the MNC-I SJA Procurement and Contract Law staff, and a representative from JCC-I. This body review the status of each contract and provides recommendations to the contract management team, the

Comptroller (MNC-I C8), and the MNC-I Chief of Staff on execution and acquisition strategy topics.

- C. **Quarterly Contracts Review (QCR).** Once a quarter, on or near the second Thursday of the month, status of each contract and any recommendations from the MRB is presented to the MNC-I Chief of Staff for review.

7. TASKS TO SUBORDINATE UNITS: ALL MNC-I STAFF, MNF-I SEPARATE COMMANDS AND MNC-I SEPARATE BRIGADES

- A. Requirement owners for all contracts maintain oversight of their requirement to ensure it is being fulfilled and take appropriate actions to ensure the continued fulfillment of the requirement as long as it exists.
- B. Requirement owners communicate any problems to the cognizant contracting officer, contracting officer's representative (COR), or program office representative.
- C. Requirement owners oversee funding requirements and execution to ensure the right amount of funding is committed to the contract. Any excess funds are identified as soon as possible to the MNC-I C8 budget staff. Requirements for additional funding are submitted to the validation board, if necessary and coordinated with the MNC-I C8 budget staff to ensure uninterrupted performance of the contract.
- D. In cases where a single requirement is above \$5M, but there are two or more contracts that are used to fulfill the requirement, reporting is required, but the information can be consolidated into one set of templates.
- E. Requirement owners for contracts that meet the CRP reporting criteria submit and maintain the required templates. Requirement owners must be available monthly to brief the MRB on status and performance of their requirement.

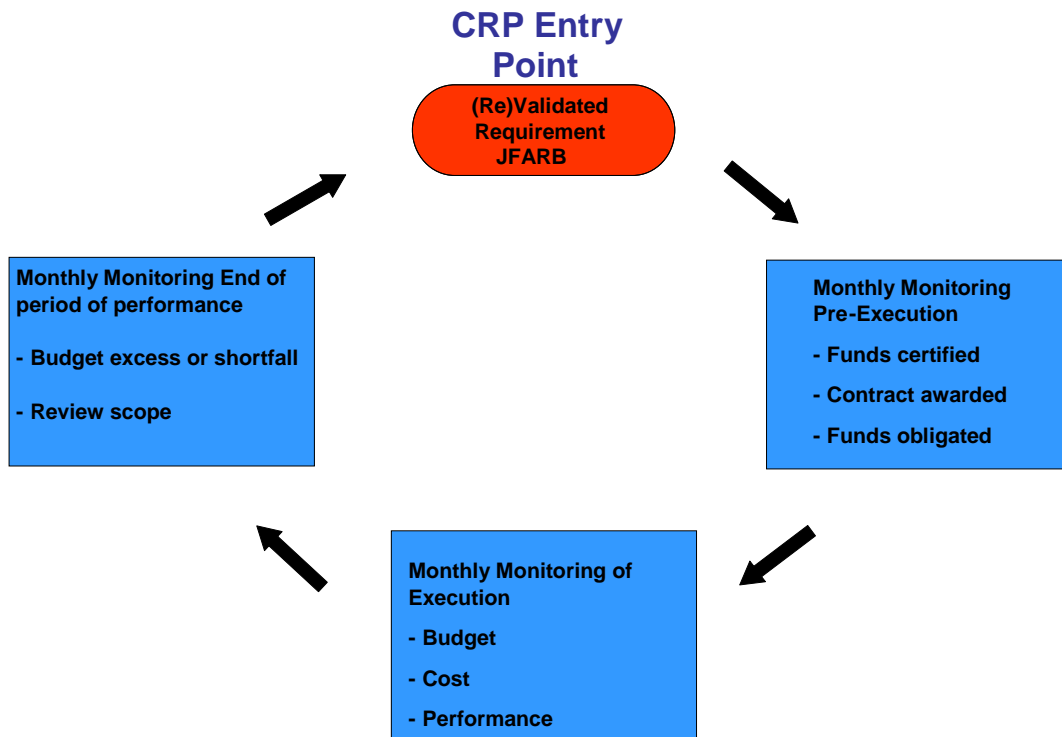
- 8. **POINT OF CONTACT.** To recommend changes to this SOP, contact the MNC-I C8 ALO at DSN 485-2386.

9. ATTACHMENTS.

- A. Attachment 1, CRP Process Flowchart.
- B. Attachment 2, CRP Reporting Template.
- C. Attachment 3, Instructions for CRP Reporting Template.



CRP Process Flowchart



Attachment 2. CRP Reporting Template



CRP Reporting Template



CP #:

Contract Title, Unit

Date

Organization: MNC-I Staff/Brigade
 Description of Product/Service: Description
 Function: Support Services, Information Operations, Force Protection
 Contractor: Company's Name
 Significant Sub-Contractor (>20%): Company's Name
 Servicing Contracting Office: Servicing Agency, Name, Phone Number, E-mail
 COR or Staff POC: Name, Org, Phone Number, E-mail
 Servicing RM: Name, Org, Phone Number, E-mail
 Total Contract Cost: Total Estimated Cost with Options
 Performance Period: Base and Options
 Contract Number: #####
 Type of Contract: BPA, T&M, CPIF, CPAF, FFP, FPIF, Other
 JARB/C6VB #: List all previous JARBs and \$\$ amounts
 Funding Doc #: VM or VP number from MIPR/PR&C



CRP Reporting Template



CP #:

Short Title, Unit (Current pop validated req. \$AMT)

Date

FY08 Budget					Overall Ratings							
FY08 portion of validated req					Mgt/Tng	Budget	Cost	Perf				
1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	A	G	G	R				
\$xM	\$xM	\$xM										
FY07 Obligated			FY08 Committed		Mgt/Tng -Resources assigned -Availability of Resources - Training -Experience -Expected Turnover	Budget Green - Sufficient funding for next 60 days Amber - sufficient funding for 30 days Red - Funding for < 30 days	Cost Green - Contractor at or under cost Amber - Contractor < 10% over cost Red - Contractor > 10% over cost	Perf Green - contractor meeting requirements Amber - Contractor marginally meeting requirements Red - Contractor not meeting requirements				
FY08 Obligated			FY08 Unvalidated									
Number of contractors in ITO: XXXX												
Budget Execution (in Millions \$)												
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Current Funding (cum)												
Projected Disbursements (cum)												
Actual Disbursements (cum)												
Variance (proj - actual)												
WAY AHEAD: When are you funded to (estimate based on burn rate)? Do you see the continued need for this requirement, i.e. a new Board (JFARB, C6VB) for the next fiscal year? When are you submitting a new JARB. (plan at least 60-90 days in advance.)												



Overall Ratings



- **Overall Ratings** – Assign a color rating to each of the 4 areas based on the color guidelines on the next slide.
 - **Rating Areas:**
 - Mgt/Tng – Reflects status of the government management team
 - Budget – Reflects funding status and identifies if there are issues with running out of funding before new funding can be approved and applied
 - Cost – Indicates if contract costs are within or exceed expectations. Higher costs may also drive a *budget* issue.
 - Perf – Reflects contractor performance and whether or not the government requirement is being adequately satisfied
 - **Guidelines:** Every contract is different so color definitions and rating guidelines should be used together



Rating Definitions



- G** No significant issues
- A** Issues exist but corrective actions in work that are expected to resolve the issue
- R** Significant issues that require leadership attention



Rating Area Considerations



- **Mgt/Tng**

- Resources Assigned: CO, COR, RM
- Availability: Part/Full-time
- Training
- Experience
- Expected Turnover

- **Cost**

- **Green** – Contractor at or under cost
- **Amber** – Contractor < 10% over cost
- **Red** – Contractor ≥10% over cost

- **Budget**

- **Green** – Sufficient funding for next 60 days
- **Amber** – Sufficient Funding for 30-60 days
- **Red** – Funding for less than 30 days

- **Perf** – Performance

- **Green** – Contractor meeting requirements
- **Amber** – Contractor marginally meeting requirements
- **Red** – Contractor not meeting requirements

Note: Will Vary depending on size of contract; use definitions on previous slide



Budget Guidelines

- **FY09 Budget – (When funding document is a PR&C)**

- **FY08 Obligated** – Funding was applied in FY06 and bar should indicate when funds are expected to run out
- **FY09 Committed** – PR&C has been signed for FY07 funding but not yet applied (obligated) on the contract (amount equal to amount on PR&C)
- **FY09 Obligated** – Contracting officer has modified the contract or task order to add FY07 funding
- **FY09 Unvalidated** – Unvalidated requirement for FY07 funding.

- **FY09 Budget – (When funding document is a MIPR)**

- **FY08 Obligated** – Amount of funding that has been MIPR'd to execution agency. If agency has returned funds then amount shown is only amount that agency will execute.
- **FY09 Committed** – Amount of funding validated through JARB or SuperCARB process that has not yet been MIPR'd to execution agency.
- **FY09 Obligated** – Funding MIPR'd to execution agency. If agency has returned funds then amount shown is only amount that agency will execute.
- **FY09 Unvalidated** – Unvalidated requirement for FY07 funding.



Budget Execution



- **Budget Execution**

- Funding Received (Cumulative): Amount of funding applied to the contract. This number should stay the same or increase. If \$1M is applied in Oct and another \$1M added in Jan then the amount would be \$1M for Oct, \$1M for Nov, \$1M for Dec, and \$2M for Jan.
- Disbursements or Invoices (Cumulative): This is the cumulative amount that has been spent. It uses the same logic as funding received but will likely not have months without a disbursement. Unless there is a known billing issue, it is recommend that invoices be used when available. Any administrative costs charged by the execution agency (USACE for example) should be shown as disbursements or invoices in the first month of the contract.
- Balance: Funding Received (Cumulative) – Disbursements (Cumulative). Equals amount of funding available at the end of the month.
- Note that this section should correlate with the **Budget Section**.

- **Way Ahead**

- Identify how long the funding will last (funded through) and when you will submit your next JARB/SuperCARB submission.
- Identify problem areas, especially those requiring leadership involvement.
- Address any ratings below Green that haven't already been addressed

TRANSFER OF AUTHORITY (TOA)

CONTENTS

1. Purpose
2. References
3. Procedures

1. **PURPOSE:** To provide guidance and procedures to ensure a complete financial handover takes place between incoming and outgoing units as a means to maintain fiscal control of distributed funds.

2. **REFERENCES:**

A. MNF-I FRAGO 512, 11 December 2004, Transfer of Authority—Financial Issues.

B. MNC-I FRAGO 009, 24 April 2006, CERP Standard Operating Procedures.

C. MNC-I FRAGO 125, 7 June 2006, OIF Rewards Guidance.

D. ARCENT PUB 1-06, 29 April 2008, Addendum to FY08 Budget Execution MOI.

3. **PROCEDURES:**

A. At TOA-120 day the following actions will be accomplished:

1. Incoming unit conducts pre-deployment site survey (PDSS) with outgoing unit.
2. Outgoing units provides necessary documentation and training recommendations for incoming G8 Mission Readiness Exercise (MRX) preparation.
3. Outgoing units provides copy of Money as a Weapons System (MAAWS), all applicable Standard Operating Procedures (SOP), Fragmentary Orders (FRAGO), and Theater specific policies and regulations.
4. Outgoing units ensures MNC-I C8s Resource Management homepage is accessible to incoming unit.
5. Incoming unit identifies requirements needed in advance of arrival to outgoing unit.

B. At TOA-60 days the following actions will be accomplished:

1. Outgoing units submits requirements validation requests (JFARB) for service and support contracts for incoming unit.

2. Outgoing unit requests MNC-I C8 assistance visit.

C. At TOA-30 days the following actions will be accomplished:

1. Outgoing and incoming units jointly develop and submit monthly spend plan.

2. Incoming G8 requests delegation of authority from MNC-I C8.

3. Outgoing and incoming units perform joint reconciliation to ensure complete and thorough handover of all financial source documents, recurring contracts, Division Acquisition Management Program Information and projects lists for all funding sources, which include but are not limited to CERP, IIG, ISFF, OMA, ORF, ICF, I-CERP and Rewards. These funding sources, their use and restrictions are identified in the MAAWS book.

4. Outgoing unit and incoming unit perform joint review of current and future validation requirements (JFARB, Super CARB, ONS) due within the next 90 days.

5. Incoming units will retain all hard copy files (PR&C, MIPR, Bulk fund, etc.) for funding accounts at unit level.

6. Outgoing and incoming units will conduct joint review of current and future spend plan requirements.

7. Outgoing and incoming units will conduct joint review of reoccurring contracts, to include current funding status, period of performance, and designation or a new Contracting Officer Representative (COR) as required.

8. Outgoing units in coordination with incoming units will provide a timeline to MNC-I C8 showing at a minimum dates for the following: When all files will be passed to MNC-I C8 or gaining unit, as applicable; cut-off dates for outgoing units to initiate new purchase requests and CERP and I-CERP Projects; last day of DbCAS entries for outgoing units (US Army only); and dates of report submissions to MNC-I C8.

9. Prior to RIP / TOA outgoing units must ensure 100% clearance of outgoing pay agents and field ordering officers prior to their departure from Theater.

10. Prior to RIP / TOA outgoing units must provide to MNC-I C8 a status of all fund balances and agreed to status of "transferred authority." This includes funding, cash, and account processing codes.

11. Outgoing units will provide to MNC-I C8 CERP Manager the following CERP documents: Files on all completed projects to include those funded with CERP, I-CERP, CHRRP, and IIG; complete source documentation, planned and in-progress CERP and I-CERP projects from outgoing to incoming Commander; and a complete status update IAW MNC-I FRAGO 009.
 12. Incoming U.S. Army units will inherit the Document Registers and all fiscal transactions in DbCAS / STANFINS that the outgoing unit has processed to date. This includes the current fiscal year and prior year actions.
 13. Incoming U.S. Army units will use the same Account Processing Code (APC) structure as the outgoing units for the remainder of the fiscal year. Changes to the APC structure for the next fiscal year should be submitted to MNC-I C8.
 14. Incoming units will retain all open and completed current fiscal year source document packets for OMA, ISFF, IRRF, CERP, I-CERP, and rewards at unit level.
 15. Incoming units will provide and updated list of Rewards Authorization Officers (RAOs) IAW MNC-I FRAGO 326 to the MNC-I ECC Rewards POC.
 16. Incoming units' pay agents must complete training provided by servicing finance unit before receipting appropriated and Iraqi funds IAW established policies.
 17. Incoming units will ensure that their Field Ordering Officers (FOO) and Project Purchasing Officers (CERP) complete training at PARC-Forces Contracting Office.
 18. Incoming unit must provide a Management Control Plan (MCP) Appointment letter IAW current MNC-I MCP Implementation Plan.
- D. At TOA-14 days the incoming unit provides in progress review update to MNC-I C8.
- E. At TOA-7 days the following actions will be accomplished:
1. Incoming and outgoing units submit Transfer of Authority letter (See Figure 1) to MNC-I C8.
 2. Outgoing unit will cease all Official Representation Fund (ORF) expenditures. Any requests after this point will be considered on a case-by-case basis by the MNC-I CoS.
 3. Outgoing units will ensure transfer of all ORF source documents from outgoing to the incoming ORF funds custodian.
 4. Outgoing units will report 100% review of all completed CERP and I-CERP files to MNC-I C8 NLT one week prior to RIP / TOA.

- F.** At TOA-2 days the MNC-I C8 will issue Delegation of Authority Memorandum to incoming unit comptroller.
- G.** At TOA-1 day the outgoing U.S. Army comptroller will send a signed Transfer of Fund Certification Authority Memorandum to the MNC-I C8. (FIGURE 1)

FIGURE 1

FICI-RM

date

MEMORANDUM FOR Commander, Multinational Corps – Iraq (Attn: C8)

SUBJECT: Transfer of Authority (Financial Management) between “Outgoing Unit” and “Incoming Unit”

1. IAW MNC-I CJ8 Money as a Weapon System (MAAWS), Appendix M, dated XX Jan 09, the “Incoming unit” has verified and accepts responsibility from the “Outgoing Unit” for the following OMA NonStock Fund amounts as of (date):
 - A. Funding Received via Resource Distribution Documents: \$xxx,xxx,xxx through RDD #xx. Dated xx xxx xx.
 - B. Commitments: \$xxx,xxx,xxx
 - C. Obligations: \$xxx,xxx,xxx
 - D. Disbursements: \$xxx,xxx,xxx
 - E. Available Funding: \$xxx,xxx,xxx
2. Special Funding Programs. The “Incoming unit” has verified and accepts responsibility from the “Outgoing Unit for all funds issued via RDD” for the following:
 - A. CERP
 1. Funding Received via Resource Distribution Documents: \$xxx,xxx,xxx through RDD #xx. Dated xx xxx xx.
 2. Commitments: \$xxx,xxx,xxx
 3. Obligations: \$xxx,xxx,xxx
 4. Disbursements: \$xxx,xxx,xxx
 5. Available Funding: \$xxx,xxx,xxx
 6. Project Tracker is updated with current project financial status
 - a. For closed projects ensure unused funds were deobligated
 - b. For ongoing projects validate commitments and obligations
 - B. I-CERP
 1. Funding Received via Resource Distribution Documents: \$xxx,xxx,xxx through RDD #xx. Dated xx xxx xx.
 2. Commitments: \$xxx,xxx,xxx
 3. Obligations: \$xxx,xxx,xxx
 4. Disbursements: \$xxx,xxx,xxx
 5. Available Funding: \$xxx,xxx,xxx
 6. Project Tracker is updated with current project financial status
 - a. For closed projects ensure unused funds were deobligated
 - b. For ongoing projects validate commitments and obligations

SUBJECT: Transfer of Authority (Financial Management) between “Outgoing Unit” and “Incoming Unit”

C. ISFF

1. Funding Received via Resource Distribution Documents: \$xxx,xxx,xxx through RDD #xx. Dated xx xxx xx.
2. Commitments: \$xxx,xxx,xxx
3. Obligations: \$xxx,xxx,xxx
4. Disbursements: \$xxx,xxx,xxx
5. Available Funding: \$xxx,xxx,xxx

D. CERP Bulk Cash:

1. All cash has been turned in to finance.
2. Latest monthly CERP report balances to the financial system.
3. All departing PPO's and PAY AGENTS have cleared their accounts through the G8/C8 and their finance office.
4. All gaining units must determine the requirement for PPO's and Pay Agents and receive appropriate training before drawing funds.

E. I-CERP Bulk Cash:

1. All cash has been turned in to finance.
2. Latest monthly CERP report balances to the financial system.
3. All departing PPO's and PAY AGENTS have cleared their accounts through the G8/C8 and their finance office.
4. All gaining units must determine the requirement for PPO's and Pay Agents and receive appropriate training before drawing funds.

F. REWARDS:

1. All cash has been turned in to finance.
 2. All departing Rewards and PAY AGENTS have cleared their accounts through the G8/C8 and their finance office.
 3. All gaining units must determine the requirement for PPO's and Pay Agents and receive appropriate training before drawing funds.
 4. Latest monthly / quarterly report balances to the financial system.
3. The “Incoming Unit” accepts responsibility for the following APCs for current year and will be responsible for resolving prior year issues as they arise (e.g. STANFINS queries, NULOs, prior year adjustments, etc...). They also confirm that necessary historical hard copy files are on hand.

SUBJECT: Transfer of Authority (Financial Management) between “Outgoing Unit” and “Incoming Unit”

EXAMPLE of Non Stock Fund APC Structure

	101st AA Div (25th ID) - TF Liberty
44A*	1 BCT, 1AD (3/2 BDE)
44B*	3 BCT, 4ID (Not used)
44C*	1 BCT, 101st (3/25 BDE)
44D*	3 BCT, 101st (not used)
44E*	101st CAB (CAB)
44F*	555 CSB (ME) (105th Eng)
44G*	(not used)
44H*	501st STB (25th ID & 149th BDE Garrison)
44J*	18 FA BDE (169th FA)
44K*	SEPARATE ELEMENTS (Separates)

4. The “Incoming Unit” is aware of the “Delegation of Authority” thresholds established by the MNC-I C8. (NOTE: Other theater policy memoranda are available on the MNC-I C8 website and in the *Money as a Weapons System* book.)
5. Outstanding issues that remain to be resolved (describe issue, what remains to be completed/resolved, and expected completion date).
6. The point of contact for this memorandum is “incoming Unit RM” at DSN 318-xxx-xxxx.

JOE M. SNUFFY
LTC, IN
Comptroller “Outgoing Unit”

MARY G. WHIZ
LTC, FI
Comptroller “Incoming Unit”

RESOURCE SUPPORT TO OTHER SERVICES AND SOF

CONTENTS

1. REFERENCES
2. INTRODUCTION
3. SPECIFIED RESPONSIBILITIES
4. ADDITIONAL SUPPORT TO OTHER SERVICES
5. SUPPORT TO SPECIAL OPERATIONS FORCES (SOF)
6. RESOLUTION OF FUNDING ISSUES

1. REFERENCES:

- A. Joint Pub 4-0, Doctrine for Logistics Support of Joint Operations
- B. CENTCOM Reg 415-1, The Sand Book, dtd 1 Dec 04
- C. Joint Pub 1-02, DoD Dictionary of Military and Associated Terms

2. **INTRODUCTION:** The Multi-National Corps – Iraq is funded with Operations and Maintenance Army (OMA) funding for sustainment costs. However, Commander USCENTCOM has also designated MNC-I as the Base Operating Support Integrator (BOS-I) and Senior Airfield Authority (SAA) on key facilities. In accordance with general funding constructs, MNC-I as the Army's Title X headquarters in theater is responsible for funding those tasks directed by a competent authority. This includes the provision of BOS for other services where directed by USCENTCOM, but does not include other operational costs for non-Army units. These costs are the responsibility of the Service incurring those operations and maintenance costs.

3. SPECIFIED RESPONSIBILITIES:

- A. Base Operating Support Integrator (BOS-I). The Commander, USCENTCOM has used his directive authority for logistics to designate the BOS-I for all principle bases in the CENTCOM AOR.
 1. Services are provided regardless of the branch of military service benefiting from those BOS-I services. When the BOS-I is ARCENT, those services are provided in Iraq by MNC-I through our MSC's and are provided to Army standard and in accordance with the CENTCOM Sand Book. Units requesting services above the Army standard may initiate those services through a direct contract funded by their Service.
 2. The role of the BOS-I is to provide, without reimbursement, those BOS functions described in the CENTCOM BOS-I matrix and in reference b. for DoD forces on the designated installation. Provision of those services is subject to the MNC-I validation process and available funding.

3. BOS-I functions are also referred to as Basic Life Support and includes messing, water, sanitation, utilities, and lodging among other things. Specifically excluded from BOS-I, and not included as Basic Life Support, are operational costs such as office space, office consumables, maintenance of vehicles, etc. These costs are a service operational cost and not included in the BOS-I responsibilities.
- B. Senior Airfield Authority (SAA).** In addition, the Commander, USCENTCOM has used his directive authority for logistics to designate the SAA for all principle air bases in the CENTCOM AOR.
1. The role of the SAA includes responsibility for the control, operation and maintenance of an airfield to include the runways, associated taxiways, and parking ramps as well as land and facilities whose proximity affects airfield operations. The SAA will also seek funding for airfield operations, maintenance and construction requirements.
 2. MNC-I will not fund, either directly or through reimbursement, responsibilities of other services that have been designated as the SAA for specific airbases.
- C. LOGCAP Executive Agent.** In accordance with Joint Doctrine, Services are responsible for the life support of their personnel. However, to achieve overall logistics efficiencies, the Geographic Combatant Commander may use his directive authority for logistics to direct one service provide a specific type of support to other Services in theater. ARCENT has been designated the theater EA for the provision of LOGCAP support. In this role, MNC-I provides LOGCAP support to other Services operating in the Iraq AOR. Reimbursement to the OMA appropriation for this support to other services is coordinated at the Service level.
1. In order to manage overall LOGCAP costs and to ensure consistency of support, all LOGCAP funding in the MNC-I AOR is centrally managed at the MNC-I level. Other Services are not authorized to increase support provided under LOGCAP without the specific approval of MNC-I, regardless of the source of funding for this increase.
 2. LOGCAP support provided to other (non-DoD) agencies will be provided on a reimbursable basis and coordinated with MNC-I C8.
- D. Special cases.** Inconsistencies exist with the discrepancy between other (non-Army) Services who are designated as BOS-I and who also receive LOGCAP support to fulfill a portion of those BOS-I responsibilities. Since the life support that is provided under LOGCAP is reimbursed at the service level, these problems are minimized. MNC-I continues to provide LOGCAP support on those bases, but other BOS-I support provided by separate contract are the funding responsibility of the designated Service. Additionally, LOGCAP support provided

will be IAW the standards established in Ref b. Further clarification of Sand Book standards is the responsibility of MNC-I C7 Facilities.

4. ADDITIONAL SUPPORT TO OTHER SERVICES: Unless specifically directed by competent authority, OMA funds will not be used to provide support to other Services. Each Service is responsible for budgeting and funding their own operations.

5. SUPPORT TO SPECIAL OPERATIONS FORCES (SOF):

A. Background. US Special Operations Command receives Major Force Program 11 (MFP-11) funding directly from OSD for Special Operations peculiar (SO-p) requirements. All other requirements (referred to as Service Common requirements) are the responsibility of the Services to provide to SOF in the same manner that they would provide to conventional forces. The definition of Special Operations peculiar (SO-p) does not provide definitive guidance as to what is the funding responsibility of USSOCOM and what is the responsibility of the supporting Service. To facilitate the adequate support to SOF, the guidance outlined below is to elaborate upon the MNC-I responsibility to fund SOF in the MNC-I AOR. The definition of SO-p is:

Equipment, material, supplies, and services required for special operations missions for which there is no Service-common requirement. These are limited to items and services initially designed for, or used by, special operations forces until adopted for Service-common use by one or more Military Service; modifications approved by the Commander, US Special Operations Command for application to standard items and services used by the Military Services; and items and services approved by the Commander, US Special Operations Command as critically urgent for the immediate accomplishment of a special operations mission. (Reference c.)

B. Operations and Maintenance. Within Iraq, there could potentially be SOF from all four services (Army SOF, Navy SOF, Air Force SOF, and Marine Corp SOF). As stated above and in CENTCOM orders, Service-common support for SOF is the responsibility of their parent Service who receives O&M funding to support the costs performing their mission requirements and supporting forces from their service. USSOCOM receives MFP-11 funding only to support SO-p requirements. Specific guidance as it applies to different Services SOF is outlined below.

1. Operations and Maintenance funding for Army SOF. MNC-I's responsibility to fund Army and select Joint SOF ground units (such as JSOTF-AP) is the same as the requirement to fund other Army units. This includes the provision of Base Operating Support, fuel, Class IX repair parts for service

common equipment, facility maintenance, non-tactical (administrative) vehicles, and common IT support.

2. Operations and Maintenance funding for other Services (non Army) SOF. MNC-I's responsibility to fund non-Army SOF (such as Air Force or Navy SOF) is the same as addressed in paragraph 4. "Additional Support to Other Services" above. This support is limited to non-operational costs which include BOS (where designated by CENTCOM). All other service common operational costs are the responsibility of the parent service (i.e. IT, NTV's or office expendables used by Air Force SOF is an Air Force funding responsibility).
3. Facility Repair and Maintenance. Maintenance is the work required to preserve and maintain a real property facility (RPF) in such a condition that it may be effectively used for its designated functional purpose. Repair is the restoration of a RPF to such a condition that it may effectively be used for its designated functional purpose. Repair does not include increases in quantities of components or extensions of utilities to areas previously not served; this would be classified as construction. Facility repair and maintenance is considered a Service Common requirement.

C. Facilities Costs. The rules regarding funding of SOF facilities costs have evolved over time. In summary, construction costs for facilities that provide life support and Base Operating Support infrastructure to SOF are the responsibility of the Services. Construction costs of SOF-peculiar operational facilities are the responsibility of USSOCOM. Maintenance and repair of facilities is a Service cost.

1. Construction. Construction is defined as the capital improvement of real property. It is the erection, installation, or assembly of a new facility. Construction includes the addition, expansion, extension, alteration, conversion, or complete replacement of an existing facility. This encompasses the relocation of a facility, installing permanent equipment in a building and the related site preparation, foundation and utility work associated with the setup of relocatable buildings. Generally, construction is funded with MILCON appropriation. But as defined in Title 10, sec 2805, projects with funded construction costs under \$750K (under \$1.5M if solely intended to correct a life, health, or safety risk) may be funded with the O&M appropriation. Additionally, Congress has approved Contingency Construction Authority (CCA) which allows construction that would otherwise be performed with MILCON appropriation to be funded with the O&M appropriation after appropriate approvals. MNC-I C7 Facilities is the proponent for MNC-I's CCA requests.
 - a. Regardless of the appropriation to be used (MILCON or O&M), the Services are responsible for providing construction as required to provide

life support and Base Operating Support to SOF. This includes Dining Facilities, power and sewage, latrines, living facilities, MWR, airfields and HLZs, taxiways, aircraft parking ramps, and other necessary life support requirements and base infrastructure. MNC-I is responsible for providing this construction support to SOF at the same standards and levels that are provided to other Service's forces. This means that if MNC-I is designated the BOS-I for a particular installation, we provide that support to SOF at the same level as is provided to other Army, Navy, or Air Force units. Based on the BOS-I matrix, if another service is designated as the BOS-I on a FOB, they must provide that support to SOF in accordance with their Service procedures and CENTCOM orders. Note: it does not matter whether SOF is the only occupant of an installation, MNC-I's responsibility is based on the construction required; this does not change if SOF is the only ones to benefit from that construction.

- b. Regardless of the appropriation to be used (MILCON or O&M), SOCOM is responsible for funding the construction of SO-p operational facilities for SOF. This includes equipment maintenance and storage for SO-peculiar equipment and aircraft hangars, as well as training sites that are exclusively for SOF use.
 2. Facility Maintenance and Repair. Maintenance is the work required to preserve and maintain a real property facility (RPF) in such a condition that it may be effectively used for its designated functional purpose. Repair is the restoration of a RPF to such a condition that it may effectively be used for its designated functional purpose. Repair does not include increases in quantities of components or extensions of utilities to areas previously not served; this would be classified as construction. Long-standing precedence is that facility maintenance and repair is considered a base sustainment cost and is the responsibility of the parent Service: ARCENT, MARCENT, NAVCENT, or CENTAF. In the case of maintenance and repair for Army SOF facilities, MNC-I is responsible as the Army Service headquarters in theater.
 3. Supported SOF organizations may submit construction requirements to MNC-I for consideration in the requirements validation process. If, during the validation process the project is determined to be a valid requirement but not appropriate for OMA funding, the validation documentation will reflect this decision. The supported SOF organization may then submit the project to their parent SOF component command for consideration for MFP-11 funding.
- 6. RESOLUTION OF FUNDING ISSUES:** Any issue regarding the appropriate use of OMA funding should be referred to the MNC-I C8. Attempts will be made to resolve issues at the lowest level possible and with minimal impact on the warfighter. As the Army Title X headquarters for Iraq, the final decision on the use of OMA funding to support other Services or SOF rests with the MNC-I Chief of Staff.

ACQUISITION AND CROSS-SERVICING AGREEMENTS (ACSA)

CONTENTS

1. Purpose
2. References
3. General
4. Key Elements
5. Types of ACSA
6. Uses of ACSA
7. Repayment of ACSA Obligations
8. ACSA Implementation
9. Requesting Support
10. Tracking and Reporting
11. Other Support Programs
12. ACSA Process Flowchart

1. **PURPOSE:** This section provides guidance on Acquisition and Cross Servicing Agreements.

2. **REFERENCES:**

- A. [10 U.S.C. Sections 2341-2350](#)
- B. [DoD Directive 2010.9](#), Acquisition and Cross-Servicing Agreements
- C. [CJCS Instruction 2120.01](#), Acquisition and Cross-Servicing Agreements

3. **GENERAL:**

- A. Acquisition and Cross-Servicing Agreements are bilateral international agreements that allow for the provision of cooperative logistics support under the authority granted in [10 U.S.C. Sections 2341-2350](#). They are governed by [DoD Directive 2010.9](#), "Acquisition and Cross-Servicing Agreements" and implemented by [CJCS Instruction 2120.01](#), "Acquisition and Cross-Servicing Agreements." ACSAs are intended to provide an alternative acquisition option for logistics support in support of exercises or exigencies.
- B. The Acquisition and Cross Servicing Agreement (ACSA) statute (formerly known as "NATO Mutual Support Act") was enacted to simplify exchanges of logistic support, supplies, and services between the United States and other NATO forces. It was subsequently amended in 1986, 1992, and 1994: to permit acquisition and cross-servicing agreements (ACSAs) with the governments of eligible non-NATO countries; to require equal-value exchanges (EVEs) of logistic support, supplies, and services; to allow ACSAs with United Nations organizations; and to authorize the loan or lease of equipment. Annual reports are required listing all ACSA transactions in the previous fiscal year and projecting requirements for the next fiscal year.

4. KEY ELEMENTS OF AN ACSA INCLUDE:

- A. All transactions must be cash reimbursement; equal value exchanges (EVEs) or replacement in kind (RIK).
- B. The logistics support which may be exchanged are: food, billeting, transportation, POL, communications services, training, ammunition, emergency medical services, and base operations.
- C. Categories of support which may never be exchanged are: guided missiles and kits, major end items, chemical or nuclear munitions, formal course training, official uniforms, or major construction projects.
- D. DoD units may not provide logistic support, supplies, or services without receiving reimbursement.
- E. You cannot use ACSAs to circumvent OMA thresholds (OPA & MILCON).

5. TYPES OF ACQUISITION AND CROSS-SERVICING AGREEMENTS (ACSA)

AUTHORITIES: Title 10 of the United States Code provides two legal authorities for foreign logistic support, supplies, and services: an Acquisition-only Authority and a Cross-Servicing Authority, which includes an acquisition authority and a transfer authority.

- A. **Acquisition-Only Authority.** [10 U.S.C. 2341](#), "Authority to acquire logistic support, supplies, and services for elements of the armed forces deployed outside the United States," authorizes elements of the U.S. Armed Forces, when deployed outside the United States, to acquire logistic support, supplies, and services from eligible foreign entities on a reimbursable basis. The authority is not reciprocal and does not require an approved ACSA in place. Acquisition-only authority may be used with the governments of NATO members, NATO and its subsidiary bodies, the United Nations Organization, any regional organization of which the United States is a member, and any other countries which meet one or more of the following criteria:
 - 1. Has a defense alliance with the United States;
 - 2. Permits the stationing of members of the armed forces in such country or the home porting of naval vessels of the United States in such country;
 - 3. Has agreed to preposition materiel of the United States in such country; or
 - 4. Serves as the host country to military exercises which include elements of the armed forces or permits other military operations by the armed forces in such country.
- B. **Cross-Servicing Authority.** [10 U.S.C. 2342](#), "Cross-servicing agreements," authorizes the Department of Defense, upon coordination with the Secretary of State, to conclude reciprocal agreements with foreign countries and regional and international organizations for the provision of logistics, support, supplies and services. A current listing of these agreements and countries and organizations eligible to negotiate them is maintained by the Director for Logistics, The Joint

Staff (J-4). [DoD Directive 2010.9](#) provides the official process for nominating countries for eligibility for such agreements as well as for concluding them.

- 6. PERMITTED AND PROHIBITED USES OF ACQUISITION AND CROSS-SERVICING AGREEMENTS (ACSA):** ACSA is for the transfer of logistics, support, supplies, and services only. Per [Section 4.5 of DoD Directive 2010.9](#), items that may not be acquired or transferred under ACSA authority include weapons systems; the initial quantities of replacement and spare parts for major end items of equipment covered by tables of organization and equipment, tables of allowances and distribution, or equivalent documents; and major end items of equipment. Specific items that may not be acquired or transferred under ACSA authority include guided missiles; naval mines and torpedoes; nuclear ammunition and included items such as warheads, warhead sections, projectiles, demolition munitions, and training ammunition; cartridge and propellant-actuated devices; chaff and chaff dispensers; guidance kits for bombs or other ammunition; and chemical ammunition (other than riot control agents). General purpose vehicles and other items of non-lethal military equipment not designated as Significant Military Equipment on the United States Munitions List promulgated pursuant to [22 U.S.C. 2778](#), may be leased or loaned for temporary use. Specific questions on the applicability of certain items should be referred to the Combatant Command's legal office for review and approval.
- 7. REPAYMENT OF ACSA OBLIGATIONS:** In addition to the use of cash and subject to the agreement of the parties, ACSA obligations may be reconciled by either Replacement-in-Kind or Equal Value Exchange. ACSA obligations not repaid by Replacement-in-Kind or Equal Value Exchange automatically convert to cash obligations after one year.

 - A. Replacement in Kind (RIK).** RIK allows the party receiving supplies or services under the ACSA to reconcile their obligation via the provision of supplies and services of an identical or substantially identical nature to the ones received. As an example, a country may provide extra water to the United States during a training exercise with the proviso that the United States will provide the same amount of water during a future exercise.
 - B. Equal Value Exchange (EVE).** EVE enables the party receiving supplies or services under the ACSA to reconcile their obligation via the provision of supplies or services that are considered to by both parties to be of an equal value to those received. As an example, a country may provide extra water to the United States during a training exercise in exchange for the United States providing extra ammunition.
- 8. ACSA IMPLEMENTATION:** [DoD Directive 2010.9](#) and [CJCS Instruction 2120.01](#) provide management guidance on initiating ACSA orders, receiving support, reconciling bills, and maintaining records. As this is a Combatant Command-managed program, organizations interested in acquiring logistics, support, supplies and services should work through the applicable logistics branch to receive further guidance on this topic.

A. ACSA Classes

- Class I Life Support
- Class II Clothing and Equipment
- Class III Fuels and Lubricants
- Class IV Fortification Material
- Class V Ammunition and Explosives
- Class VI Personal Items
- Class VII Major End Items
- Class VIII Medical Supplies, Minimum Amounts
- Class IX Repair Parts
- Class X Misc Supplies

B. The most common ACSA requests and reimbursements:

1. **Class I:** Water, food, billeting, power, latrines/port-a-potties, waste disposal, MWR, laundry, maintenance on billeting and common facilities, fire fighting, etc...
2. **Class II:** Clothing and Individual Equipment
3. **Class III:** Diesel and MOGAS
4. **Class IX:** Vehicle parts

9. HOW DOES A COALITION NATION REQUEST SUPPORT (SEE FIGURE 1):

- A. The coalition ACSA authority contacts their ACSA coordinator with the request. (There are ACSA coordinators in each of the MNDs)
- B. Complete CC Form 35 for the requested items.
- C. MND G3/G4 coordinates and approves.
- D. Obtain MNC-I C4 approval.
- E. Sent to MNF-I CJ 1,4,8 for log book tracking.
- F. MNF-I sends approved requests back to MND coordinator for execution.
- G. The MND ACSA coordinator then supports the request. Many requests require MNF-I and MNC-I help to execute.
- H. The supported nation and ACSA coordinator complete CC Form 35 when support is provided.
- I. The MND coordinator sends completed CC 35 to MNF-I for record keeping.
- J. MNF-I logs and tracks in permanent record and forwards to USARCENT C8.
- K. USARCENT C8 then seeks reimbursement from that coalition nation.
- L. A list of coalition members in theater with approved ACSAs is provided at FIGURE 2.

10. ACSA AGREEMENT WORLDWIDE TRACKING AND REPORTING SYSTEM (AGAT~S):

- A. Automated system for documenting ACSA transactions is available on the NIPRNET.

- B. Any transactions coordinated outside MNC-I and MNF-I CJ 1,4,8 must use manual CC 35s.
- C. All ACSA transaction forms, summary/tracking tools are maintained on CENTRIX R&S file plan; additionally, individual nation folders are maintained by MNF-I CJ 1,4,8 for the original documents.

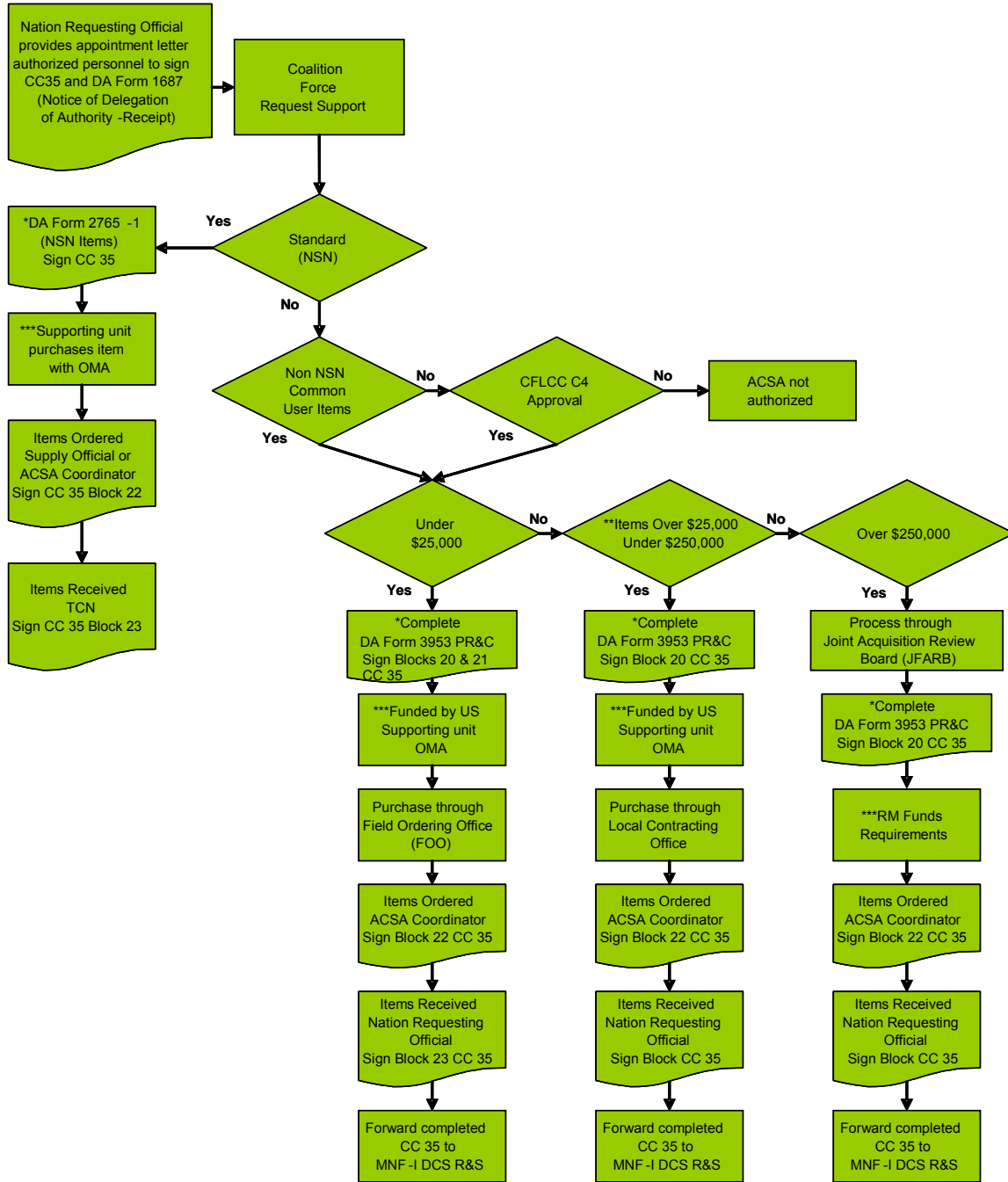
11. OTHER FUNDING SUPPORT PROGRAMS FOR COALITION FORCES: The DoD programs for supporting our coalition partners and building partner military capacity enable coalition partners to participate in US operations and conduct counterterrorist operations when they otherwise lack the financial means to do so. Their participation reduces the stress on US forces operating in the war on terror. Under various authorities, funding is provided to ensure key cooperating nations are reimbursed for support to US operations, to provide lift and sustainment support at no cost to coalition partners in Iraq, and finance train and equip programs that build the capacity of partner nations in the areas of maritime security, counterterrorism, intelligence cooperation, stabilization, and reconstruction, among others. Funding for and availability of the following authorities remains dependent on congressional authorization and appropriation of funds.

- A. **Global Lift and Sustain.** Section 127c of Title 10 United State Code authorized the Secretary of Defense to provide logistical support and services to coalition forces participating in combined operations with US forces globally. This authority is an important part of the DoD strategy to prosecute the war on terror as it allows the DoD to assist international partners and reduce the stress on US forces. This program allows the US to benefit from assistance of partners who are willing, but not capable of deploying strategically or providing for sustainment of forces, to participate in current and future GWOT operations other than operations in Iraq and Afghanistan.
- B. **Global Train and Equip.** The ability of the US to work with capable partners is critical to defeating terrorists and promoting stability around the world. Global Train and Equip is a responsive authority that enables DoD to expedite the training and equipping of partner nations. The DoD and DoS recognize this as the ideal authority to respond to critical needs and meet emergent threats and opportunities. The full authority needs to be exercised to facilitate DoD and DoS collaboration to increase allied and partner capabilities, build capacity, and develop mechanisms to share the risks and responsibilities of today's challenges.
- C. **Coalition Support Funds.** CSF's are used to reimburse coalition countries (primarily Pakistan and Jordan) for logistical, military, and other expenses incurred in supporting US military operations. Jordan operations along the Iraq-Jordan border are having a major impact curbing foreign fighters transiting through Jordan to Iraq and contribute directly to US operations in Operation Iraqi Freedom. These payments are made to cooperating nations in amounts as determined by the Secretary of Defense.
- D. **Lift and Sustain.** This authorization allows the DoD to provide airlift and sustainment support at no cost to coalition partners in US military actions in Iraq and Afghanistan. Lift and Sustain funds are used to finance the provision of logistics support. Funds are required so that coalition countries can continue to

support US military operations in Iraq and Afghanistan. Smaller coalition countries do not have the financial means or the funding to transport their forces to and from Iraq or to sustain their forces for extended deployments. Direct support for the US is critical to enabling forces from these countries to remain in theater. Many coalition countries will not be able to maintain their forces in Iraq without this support. Such a result could require the US to take on more responsibilities in the operational environment and thus adversely impact the US deployment and redeployment schedules.

FIGURE 1

ACSA PROCESS FLOWCHART****



* Nation Requesting Official signs CC35 Block 20 ACSA coordinator signs Block 21
 ** Some items between \$2500 and \$250,000 may require going through JFARB. Consult local contracting office.
 *** For reimbursement of OMA funds place the supporting units DODAAC in the remarks in block 25.
 *Earmark funds for purchase to reimburse supporting units (DODAAC)
 **** Lift and Sustainment determined at OSD level.

FIGURE 2

Countries currently in theater with approved DoS ACSA:

Australia



Romania



UK



NATO



ONS & JUONS

1. MNC-I Major Subordinate Command (MSC) commanders use an Operational Needs Statement (ONS) or a Joint Urgent Operational Needs Statement (JUONS) to document capability shortfalls within their commands and the need for a material solution to correct that shortfall or to improve an existing capability. An ONS is a request for HQDA validation/authorization and sourcing of a perceived requirement. A JUONS is an ONS that is Joint in nature. **MNC-I C3 Force Mod is the POC for ONS and JUONS submissions.**

A. ONS Categories:

1. Above MTOE Authorized Equipment.
2. Other than MTOE Authorized Equipment.
3. Commercial/Government off-the-shelf (COTs/GOTs) equipment not type classified.

B. Submit an ONS if:

1. COTs equipment not authorized by regulation, Army type classified, or found in one of the standard Army supply channels.
2. Above MTOE – you need an additional quantity above your approved MTOE/TDA.
3. HQDA controlled equipment that your unit does not have authorization/validation for (e.g. Force Feasibility Review (FFR)).
4. Any AMC, DLA, GSA, or program manager (PM) managed equipment requiring additional authorization (e.g. above CTA-50-900 authorization).
5. Standard Army equipment (with a valid LIN and NSN) and the requested equipment is NOT in a validated MEEL.
6. Standard Army equipment and the quantity is above MEEL authorized quantity.
7. Equipment listed in a validated MEEL, but the specific item requested is either in lieu of the MEEL item or is a newer version not specified in the MEEL.
8. A request for Validation/Authorization/Sourcing is needed.

C. The ONS should be limited to three pages. It may include descriptive back-up data if desired.

1. UNIT IDENTIFICATION CODE (UIC).
2. SHIP TO ADDRESS: Directs where a resource will be shipped to support the unit.
3. PROBLEM: Define the capability gap.
4. JUSTIFICATION: Reason for urgency; impact to mission accomplishment due to not having the requested capability.

5. SYSTEM CHARACTERISTICS: Pertinent operational, physical and logistical requirements.
 6. OPERATIONAL CONCEPT: State how the capability will be employed and whether the system is to meet an operational requirement or for evaluation purposes only. Note if it will replace any current item of equipment.
 7. ORGANIZATIONAL CONCEPT: State who will employ the system and at what organizational level.
 8. PROCUREMENT OBJECTIVE: State the total quantity of each item requested and funding strategy.
 9. SUPPORT REQUIREMENTS: List the associated items of equipment envisioned to support the requested capability.
 10. AVAILABILITY: If known, indicate whether commercial or other Service equipment, foreign or domestic, is available for off-the-shelf procurement.
 11. RECOMMENDATION: Recommend course of action to resolve problem.
2. A Joint Urgent Operational Need Statement is normally identified by a COCOM involved in an ongoing named operation.
- A. Requires rapid resolution in order to prevent combat-related loss-of-life and/or mission failure.
 - B. Must be joint in nature.
 1. Theater-wide COCOM need spanning multiple Services, or
 2. Is a Counter – Improvised Explosive Device (C-IED) requirement.
 - C. Outside of the scope of existing DoD acquisition and Service processes.
3. Funding options that exist for supporting approved JUONS efforts include:
- A. Using reprogrammed funds from existing Service/Agency/Joint Staff funding lines.
 - B. An annual supplemental appropriation.
 - C. Using some other authority (e.g. CbtRIF, CCIF, C2IP, etc...). All validated JUONS recommendations forwarded to the BODs will include a recommended funding strategy.
4. ANNEXES:
- A. JFARB versus ONS/JUONS.
 - B. ONS/JUONS FLOWCHART.
 - C. JOINT STAFF RAPID VALIDATION AND RESOURCING PROCESS.

ANNEX A



Summary: Example JFARB vs ONS/JUONS Requirements



JFARB Requirements

- *Force Protection items (T -Walls, Parking Barriers, Perimeter Fencing, escalation of force kits etc)
- All leases for Utility/MHE Vehicles (ATVs, Gators, reefers, Bulldozers, etc.)
- All leases for Non Tactical Vehicles (SUVs, Pick-Ups, Vans, Buses)
- *MWR items
- *Gravel/geotextile/concrete/mixers
- *Lumber/plywood
- *Contractor Services (firefighting, mechanical, electrical, radio station management, etc.)
- All trailers/tents/latrines
- *Power/HVAC capabilities
- *Office Furniture
- *PSYOPS products: billboards, TV, etc

ONS/ JUONS Requirements

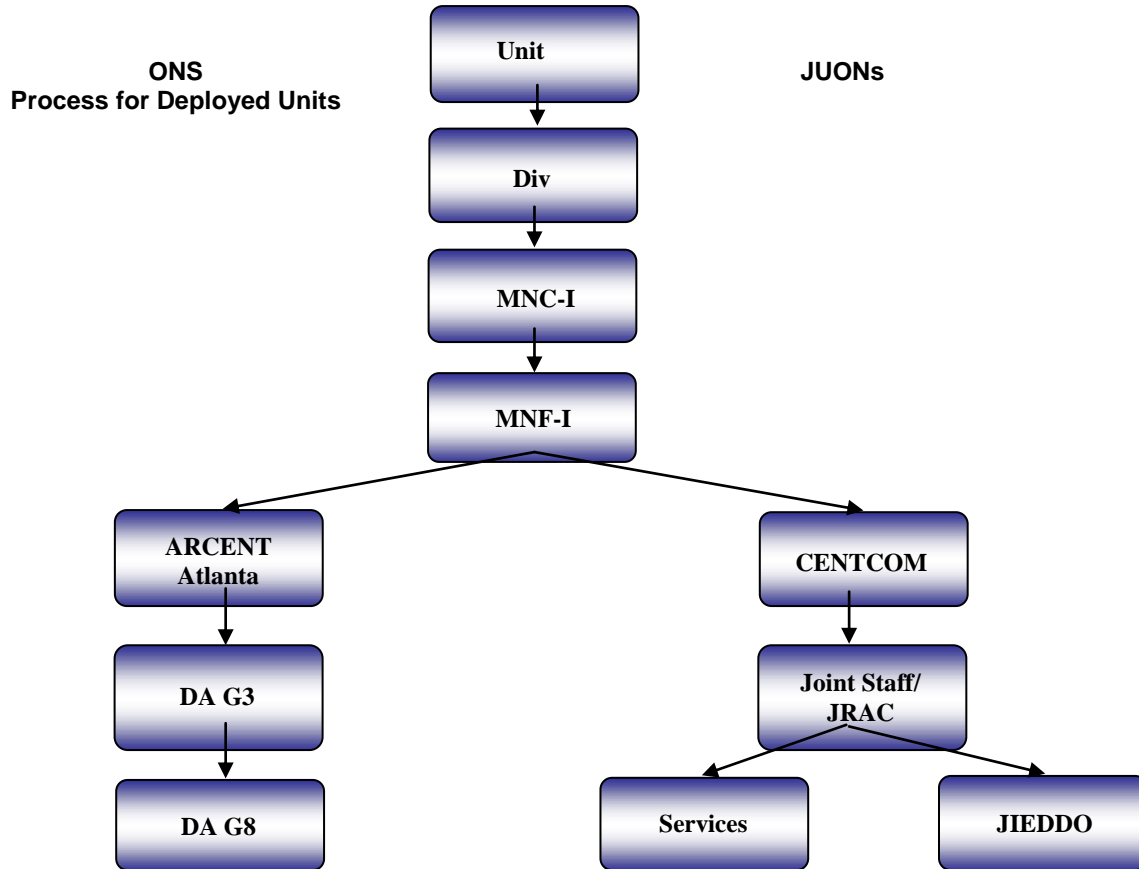
- Cooling Vests
- Ground Penetrating Radar
- Infrared Illuminators
- Tactical Communications
- Heavy Gun Lights
- Excalibur Munitions
- AN/PVS 22 Universal Night Sights
- Blue Force Tracker
- IZLID Infrared Lasers
- Mini-Green Dazzler
- AN/DVS -10 Night Sniper Scope & Mounts
- Small Unmanned Combat Air Vehicle (SUCAV)
- Ground Based observation & Surveillance System (G-BOSS)
- EOD Robots
- Gunner Protection System for Joint EOD Rapid Response vehicle (JERRV)

* Cost Dependent: JFARB required for requests \$250K or more at MND/MNF-W level and \$100k or more for separate commands

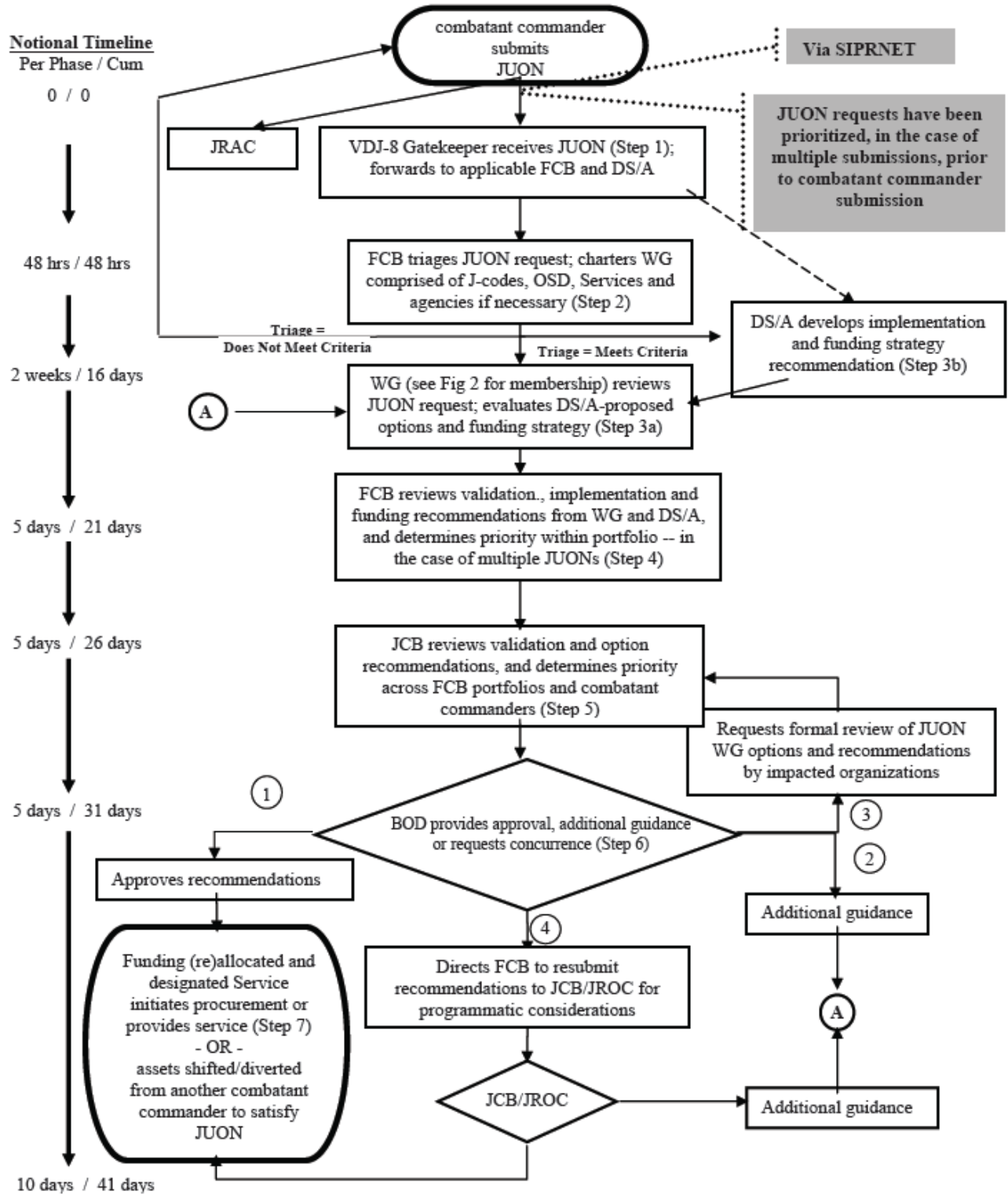
These lists are broad-based. Exceptions do apply on a case-by-case basis.

ANNEX B

ONS/JUONS FLOWCHART



ANNEX C



PROVINCIAL RECONSTRUCTION TEAM (PRT) / EMBEDDED RECONSTRUCTION TEAM (ePRT)

CONTENTS

1. Purpose
2. General Guidance/Uses
3. DoD Responsibilities
4. DoS Responsibilities
5. MSC Responsibilities
6. MNC-I C8 Responsibilities

The Provincial Reconstruction Team (PRT)/embedded Reconstruction Team (ePRT) is a priority joint initiative of the Department of State (DoS) and the Department of Defense (DoD). Their purpose is to support U.S. counter insurgency strategy, promote reconciliation, shape the political environment, support economic development, and build capacity of the Government of Iraq (GoI) to hasten the transition to Iraqi self sufficiency.

1. **PURPOSE:** To outline policy, procedures, and responsibilities to report monthly expenditures for PRT/ePRT requirements.
2. **GENERAL GUIDANCE/USES:** DoS is responsible for providing or reimbursing DoD for all operational support and life support for PRTs as per MOA between DoS and DoD for support to PRTs dated 22 Feb 07.
 - A. Operational support to include but not limited to necessary facilities, facilities services, basic utilities/services, logistic and infrastructure support.
 - B. Life support includes lodging, food, water, bath and sanitation, and any morale, recreation, and welfare facilities.
3. **DoD RESPONSIBILITIES:** Responsible for providing all medical support including necessary primary care to PRTs collocated with US military units. DoS will reimburse DoD for medical support, medical evacuation, and mortuary services provided to PRT members. DoD is responsible for providing the following on a non-reimbursable basis:
 - A. All in-theater air and ground transportation associated with support to PRTs.
 - B. Security for PRT members at assigned locations, while in transit, and at the intended destination, other than Region Embassy Offices (REOs).
4. **DoS RESPONSIBILITIES:** Responsible for funding repair and maintenance of all DoS equipment and vehicles. All maintenance support provided by DoD for DoS equipment and vehicles will be reimbursed by DoS.
5. **MSC RESPONSIBILITIES:** Each MSC will set up separate APCs to track all costs associated with PRT/ePRTs. MSCs will ensure all requirements are validated through the

Chief of Mission (DoS) or PRT leader. This ensures the following: 1) the DoS is aware and approves of the requirement(s) and 2) DoS acknowledges it will provide reimbursement for the DoD support. Resource Managers must ensure expenditures are valid as well. USARCENT will manage/execute the reimbursement process. MSCs will report each quarter's expenditures no later than the 5th of the following month to the MNC-I C8 Plans section. For example, the end of the 1st quarter report is due 5 January. In support of year end close, MSCs will submit their 4th quarter estimate to MNC-I C8 NLT 15 August.

6. MNC-I C8 RESPONSIBILITIES: Provide invoices to the DoS within two weeks after the quarter ends. MNC-I C8 will forward 4th quarter estimates to DoS no later than the 3rd week of August.

C8 Resource Management Functional Checklist

CONTENTS

1. Field Ordering Officer
2. Distribution and Execution of Appropriated Funds
3. Travel Operations
4. Travel Actions
5. MIPRs
6. Management Internal Controls
7. File Maintenance
8. CERP
9. Review and Reconciliation

C8 Resource Management Functional Checklist

FIELD ORDERING OFFICER

UNIT NAME _____

YES / NO / NA

- | | | |
|---|--|--------------------------|
| 1 | Does the RM have a local policy governing procedures to be followed by a Field Ordering Officer (FOO)? | <input type="checkbox"/> |
| 2 | Prior to certifying funds for a FOO, does the RM ensure a valid set of appointment orders have been signed by an appropriate contracting office? | <input type="checkbox"/> |
| 3 | Does the RM require the FOO to clear through the RM office once the appointment orders of the FOO have expired and the Paying Agent has cleared finance? | <input type="checkbox"/> |
| 4 | Does the RM deobligate the funds not used by the FOO in a timely manner? | <input type="checkbox"/> |

FINDINGS / ISSUES: _____

Evaluators Signature: _____

Date: _____

C8 Resource Management Functional Checklist

DISTRIBUTION AND EXECUTION OF APPROPRIATED FUNDS

		<u>YES / NO / NA</u>
1	Does the unit maintain current copies of higher HQs guidance? CFLCC Execution Guidance, MAAWs, Year End Guidance?	<input style="width: 80px; height: 20px;" type="text"/>
2	Does the unit have a current Resource Management SOP for use? Do their subordinate units have it?	<input style="width: 80px; height: 20px;" type="text"/>
3	Are certifying official limits being adhered to? Are documents exceeding unit's certification authority sent to MNC-I C8 or CFLCC for certification?	<input style="width: 80px; height: 20px;" type="text"/>
4	Does the unit maintain Resource Distribution Documents on file?	<input style="width: 80px; height: 20px;" type="text"/>
5	Is the unit maintaining an execution log? Does it track commitments against funding issued by the MNC-I C8 on RDDs? Is the unit staying within its funding allocation?	<input style="width: 80px; height: 20px;" type="text"/>
6	Are there any unauthorized purchases reflected in the Execution log or in the audit files? Any use of OMA for items that require a different funding source (OPA, ISF, CERP, MILCON)?	<input style="width: 80px; height: 20px;" type="text"/>
7	Is the unit only purchasing items after proper validation is received? Are validation board results maintained?	<input style="width: 80px; height: 20px;" type="text"/>
8	Is the unit submitting spend plans in a timely fashion?	<input style="width: 80px; height: 20px;" type="text"/>
9	Are spend plans submitted in the proper format with all required information? Is validation # annotated and justifications sufficient?	<input style="width: 80px; height: 20px;" type="text"/>
10	Does the unit maintain past Spend Plans to ensure that past items are not requested again?	<input style="width: 80px; height: 20px;" type="text"/>
11	Does the unit maintain a contract log in order to track incremental funding, date for renewal and next required validation?	<input style="width: 80px; height: 20px;" type="text"/>
12	Does the unit compare data from DBase against its execution log? Are reports being generated in order to reduce unobligated commitments? Does the unit have access to ODS?	<input style="width: 80px; height: 20px;" type="text"/>
13	Are Prior Year Fund requests properly requested to CFLCC? Do requests include Scope of Work and legal reviews?	<input style="width: 80px; height: 20px;" type="text"/>
14	Are NULOs researched and fixed in a timely fashion?	<input style="width: 80px; height: 20px;" type="text"/>
15	Does the unit maintain updated APC lists for all accounts? NSF, SF, Rewards, and CERP?	<input style="width: 80px; height: 20px;" type="text"/>
16	Is there supporting Documentation for all funding documents issued? Are audit files maintained for current FY and one previous?	<input style="width: 80px; height: 20px;" type="text"/>
17	Are past FY files sent to CFLCC? Is the unit maintaining the shipping records and packing lists?	<input style="width: 80px; height: 20px;" type="text"/>

FINDINGS / ISSUES: _____

Evaluators Signature: _____
 Date: _____

C8 Resource Management Functional Checklist

TRAVEL OPERATIONS

UNIT NAME _____

YES / NO / NA

- | | | |
|----|---|--------------------------|
| 1 | Are DD Forms 1610s submitted for review and approval at the earliest practical date? Is only necessary travel requested? | <input type="checkbox"/> |
| 2 | Are current financial management references on hand (JTR, DFAS REG)? | <input type="checkbox"/> |
| 3 | Are travelers required to make travel arrangements through authorized government travel agency? | <input type="checkbox"/> |
| 4 | Are DD Form 1610s prepared IAW the applicable travel regulations' and include justification, itineraries, and rental car justifications? | <input type="checkbox"/> |
| 5 | Are DD Form 1610s approved by a General Officer? | <input type="checkbox"/> |
| 6 | Are orders created to preclude alteration and are amendments and revocations prepared IAW regulatory guidance? | <input type="checkbox"/> |
| 7 | Is the DD Form 1588 or automated equivalent posted with TDY advance/settlement information, and reviewed to prevent duplicate payments and/or identify open advances? | <input type="checkbox"/> |
| 8 | Is use of the Government travel card mandated? Is split disbursement required on all vouchers? | <input type="checkbox"/> |
| 9 | Does the unit maintain a travel log of all TDY orders issued and their status? | <input type="checkbox"/> |
| 10 | Is a monthly reconciliation of outstanding advances conducted with accounting? | <input type="checkbox"/> |
| 11 | Is documentation retained for substantiating payments (i.e., receipts, orders)? | <input type="checkbox"/> |

FINDINGS / ISSUES: _____

Evaluators Signature: _____
Date: _____

C8 Resource Management Functional Checklist

TRAVEL ACTIONS

UNIT NAME _____

YES / NO / NA

- 1 Are DD 1610 travel requests signed in blocks 17 and 18 by appropriate individuals (e.g. supervisor and staff principal)?
- 2 If variation in itinerary is authorized on the orders, does a written justification signed by the approving official accompany the orders? (USARCENT 37-2, B-2)
- 3 What requirements are placed on blanket travel IAW local policy? (USARCENT 37-2, A-3)
- 4 Are estimated funding amounts on TDY orders reasonable (+ / - 15%)?
- 5 Are remarks (block 16 of DD1610) verified for accuracy and fiscal responsibility?
- 6 Where applicable, are all Format 400s with backup documentation on file?

EML/ML

- 7 Are requests for emergency leave properly completed on DA 31s (to include: unit commanders' approval, leave request not to exceed 30 days, for immediate family members only, SSN, American Red Cross message referenced - if used, destination, leave control number)?
- 8 Are proper fund cites posted on the DA 31s with certification signature?
- 9 Is a Customer Identification Code (CIC) denoted on each order?
- 10 Where applicable, are amended, rescinded or revoked orders (DA 31s) properly completed?
- 11 Are appropriate requesting documents used to generate travel orders for medical purposes?

FINDINGS / ISSUES: _____

Evaluators Signature: _____

Date: _____

C8 Resource Management Functional Checklist

MIPRS

UNIT NAME _____

YES / NO / NA

- 1 Do MIPRs have a complete address with names, email addresses, phone and fax numbers for both financial and technical POCs?
- 2 Are MIPRs accepted using a DD 448-2 or by stamping the face of the MIPRs with: 1) the type of acceptance, 2) amount, 3) date of acceptance, and 4) the name of the accepting Official? (USARCENT REG 37-1)
- 3 Are all commitment/obligation docs being filed and posted to dBCAS?
- 4 If an incoming MIPR is accepted as Reimbursable, does the RM request a reimbursable APC and customer number through ARCENT C8 in Atlanta? Is a ceiling set?
- 5 Are reimbursable APCs established in STANFINS with correct minor programs?
- 6 Has a dBCAS User ID been established to corresponding minor programs?
- 7 Do ceilings in dBCAS match the amount on the MIPRs?
- 8 Are incoming direct MIPRs' fund cites accurately posted to all applicable obligating documents? (USARCENT
- 9 If the reimbursable charges need to be transferred, how are the charges being tracked so they can be transferred?
- 10 Since obligations against reimbursables must not exceed the amount of the MIPR, are requests for increases noted in the files?
- 11 Can outgoing MIPRs be traced from the file to document register, dBCAS, and STANFINS? Are the MIPR numbers correct? Are the amounts correct?
- 12 For amendments, is the change in funding reflected correctly in block 9F and 14 of DD 448 while block 11 shows the total?
- 13 Does the MIPR have the legal statement on it regarding type of funds? (DCA or DFAS-IN 37-1, ch. 12)
- 14 Does block 14 include complete fund cite? (e.g. FSN, OA, ASN, EOR, APC, document number, etc.)?

FINDINGS / ISSUES: _____

Evaluators Signature: _____
Date: _____

C8 Resource Management Functional Checklist

MANAGEMENT INTERNAL CONTROLS

UNIT NAME _____

YES / NO / NA

- | | | |
|----|---|--------------------------|
| 1 | Is a Management Internal Control Plan (MICP) established and maintained to describe how key management controls will be evaluated over a five year period? | <input type="checkbox"/> |
| 2 | Are managers and MCAs trained on the MICP and do they understand their management control responsibilities? | <input type="checkbox"/> |
| 3 | Are explicit statements of management control responsibility included in performance agreements for commanders and managers down to assessable unit manager level? | <input type="checkbox"/> |
| 4 | Are management control evaluations conducted in accordance with the MICP and prompt action taken to correct any management control weakness detected? | <input type="checkbox"/> |
| 5 | Is the senior responsible official advised of potential material weaknesses detected through management control evaluations or from other sources? | <input type="checkbox"/> |
| 6 | Are monthly performance against monthly obligation plans evaluated and are monthly deviations of greater than +/-5% researched to determine the cause of the deviation? | <input type="checkbox"/> |
| 7 | Are periodic reviews being conducted, at least quarterly, to review and analyze budget execution? | <input type="checkbox"/> |
| 8 | Is there local management control guidance that defines management control responsibilities and required actions? | <input type="checkbox"/> |
| 9 | Has a MICP Officer been designate to be responsible to ensure that the management control process is effectively implemented within their organization? | <input type="checkbox"/> |
| 10 | Are Managers trained and understand their management control responsibilities? | <input type="checkbox"/> |
| 11 | Is there documentation on each completed management control evaluation retained and on file, subject to audit/inspection? | <input type="checkbox"/> |

FINDINGS / ISSUES: _____

Evaluators Signature: _____
Date: _____

C8 Resource Management Functional Checklist

FILE MAINTENANCE

UNIT NAME _____

YES / NO / NA

Document Register

- 1 Is USARCENT format used for the document register?
- 2 Do the documents in the register track with the documents in dBCAS and ASIMS and are they reconciled against spend plans to ensure obligations are on track?
- 3 Does the document register include pertinent data (e.g. POC, description, amount, commitments & obligations)?
- 4 Does the RM have local procedures for updating the document register? Are procedures followed?

ARIMS

- 5 Are files organized in a manner which facilitate easy identification and retrieval of documents?
- 6 Are classified documents filed in proper security containers?
- 7 Are suspense files organized in a manner which facilitate easy tracking of suspenses?

File Layout

- 8 Does each entry in dBCAS have a corresponding hard copy file? Is it in the document register?
- 9 Does each file include a Resource Mgt Action Log? Are the Logs up to date?
- 10 Have documents over the local RM certification level been signed by the appropriate certifying official?
- 11 Are files IAW RM File Layout in ARCENT RM Handbook?

Disposition

- 12 Are all open files (to include prior year) on hand?
- 13 Are all closed files locally stored for one fiscal year after year of closure? Are files organized in a manner which facilitate easy identification and retrieval?
- 14 Are locally stored closed files complete with all required documents?
- 15 Do obligations match disbursements on all closed files?
- 16 Are closed files which are no longer required to be locally stored shipped to ARCENT HQs for long-term storage?

FINDINGS / ISSUES: _____

Evaluators Signature: _____
Date: _____

C8 Resource Management Functional Checklist

CERP

UNIT NAME _____

YES / NO / NA

- | | |
|---|---|
| 1 Are CERP funds distributed on separate RDDs or MIPRs (for other than U.S. Army units)? | <input style="width: 80px; height: 20px;" type="text"/> |
| 2 Are projects that exceed \$500K contracted by warranted contracting officers? | <input style="width: 80px; height: 20px;" type="text"/> |
| 3 Are all CERP projects (over \$500K) coordinated with local governments, regional coordinators, Civil Affairs elements, and provincial reconstruction teams to prevent duplication of effort? | <input style="width: 80px; height: 20px;" type="text"/> |
| 4 Are commanders requesting CERP funds for the proper purpose? Are comptrollers reviewing and certifying all (unless bulk funded) CERP projects? | <input style="width: 80px; height: 20px;" type="text"/> |
| 5 Are CERP projects approved within authorized limits for brigade and division commanders? | <input style="width: 80px; height: 20px;" type="text"/> |
| 6 What measures are taken to ensure CERP funds are not co-mingled with OMA or other funds? | <input style="width: 80px; height: 20px;" type="text"/> |
| 7 When CERP projects are complete, are commanders issuing clearance letters stating "I have reviewed and approved the projects, and they are complete and adhere to the guidelines set forth in the CERP FRAGO?" | <input style="width: 80px; height: 20px;" type="text"/> |
| 8 Are comptrollers clearing Project Purchasing Officer and Paying Agent accounts? | <input style="width: 80px; height: 20px;" type="text"/> |
| 9 After receiving copies of DD 1081s, SF 44s, contracts (when applicable), vendor invoices, and commanders' clearance letters, are unit comptrollers preparing clearance letters as cover documents that state "The following | <input style="width: 80px; height: 20px;" type="text"/> |
| 10 Are all CERP commitments being input to dBCAS and, if appropriate, tagged for SI candidate? | <input style="width: 80px; height: 20px;" type="text"/> |
| 11 Is a separate document register for CERP funds properly maintained? | <input style="width: 80px; height: 20px;" type="text"/> |
| 12 Are unit comptrollers preparing monthly CERP Project Status Reports IAW local policy? | <input style="width: 80px; height: 20px;" type="text"/> |
| 13 What management and fiscal controls are in place to account for CERP funds? | <input style="width: 80px; height: 20px;" type="text"/> |

FINDINGS / ISSUES: _____

Evaluators Signature: _____
 Date: _____

C8 Resource Management Functional Checklist

REVIEW AND RECONCILIATION

UNIT NAME _____

YES / NO / NA

- | | | |
|---|--|--------------------------|
| 1 | Does the RM have local procedures for reconciliation? | <input type="checkbox"/> |
| 2 | Which ASIMS/ODS reports does the RM use to reconcile obligations and disbursements? Identify below. | <input type="checkbox"/> |
| 3 | Does the RM sign a monthly cover sheet that states a monthly reconciliation was completed? | <input type="checkbox"/> |
| 4 | Does the RM identify under disbursements for reconciliation? | <input type="checkbox"/> |
| 5 | Does the RM keep copies of the dBCAS reports: 1) "Obligations unequal to Commitments" and 2) "Commitments | <input type="checkbox"/> |
| 6 | Does the RM have copies of all obligating documents for MIPRs accepted as direct? Does the RM spot-check to ensure the MIPR is obligated in STANFINS for the correct amount? | <input type="checkbox"/> |
| 7 | Does the RM check for TDY or other travel obligations to ensure there are none without disbursements over 60 days old? | <input type="checkbox"/> |
| 8 | Does the RM identify and research aged open contract obligations to determine reasons for the lack of disbursement? | <input type="checkbox"/> |

FINDINGS / ISSUES: _____

Evaluators Signature: _____
Date: _____

MNF-I DEPARTMENT OF STATE MANPADS REDUCTION PROGRAM

CONTENTS

1. REFERENCES
2. PURPOSE
3. GENERAL GUIDANCE FOR REWARD PAYOUTS
4. POINTS OF EMPHASIS
5. TYPES OF REWARDS
6. RESPONSIBILITIES AND PROCEDURES
7. PROPONENT
8. MNC-I DOD REWARDS PORTAL

1. REFERENCES

- A. (U) 22 U.S.C. §2708b, Assistance in Preventing International Terrorism, International narcotics trafficking and other related acts.
- B. (U) MNF-I and DOS MOU DTD 18 September 2008.
- C. (U) USCENTCOM Message, 231721ZMAR07, Designation of MNF-I Rewards Authorization and Disbursement Officers.
- D. (U) Department of Defense Financial Management Regulation, Volume 5.
- E. (U) FRAGO M07-143 (MNF-I Rewards Program Update MOD 4), dated 9 August 2008.
- F. (U) FRAGO 08-506 (MNF-I Rewards Program Update), dated 09 October 2008.
- G. USCENTCOM Message, 121315ZJUN07, Delegation of DOD rewards authority to Brigade Commanders.

2. PURPOSE Under 22 U.S.C. Section 2708, the Memorandum of Understanding between Multinational Force Iraq (MNF-I) and the US Department of State (DOS) provides the authority and funds to purchase Man-Portable Air Defense Systems (MANPADS) in order to reduce the threat to Coalition and civilian aircraft from these weapons. This is an addition to the existing authorities under the MNF-I Rewards Program.

3. GENERAL GUIDANCE FOR REWARD PAYOUTS

- A. The MSC Rewards Points of Contact (POCs) will forward the complete MANPADS packets to MNC-I C2X Rewards POC.

- B. MNC-I C2X will review packets and photos for compliance with the program.
- C. MNC-I C2X will verify that the packet is approved and signed by a current Rewards Authorization Officers (RAO) and forward the completed and verified packet to the MNC-I C8 for review and determination if funds are available.
- D. The MNC-I C8 will then send packet to MNF-I CJ3. MNF-I CJ3 will review the packet and approve it for payment. The packet will then be returned to MNC-I C8 for fund certification. The approved and certified DA 3953 will be returned to the unit for payment.

4. POINTS OF EMPHASIS

- A. This appendix outlines the responsibilities and procedures for duty positions, reward approval, payment request, payment, reporting of rewards, and advertisement.
- B. All Brigade/Regiment/Division/Corps level Commanders, and Military Transition Team (MiTT) Team Chiefs who have been designated as RAOs throughout MNF-I's Area of Responsibility (AOR) can authorize payments for MANPADS in accordance with pre-set amounts. All purchases must be approved at the appropriate level.
- C. All reasonable efforts must be made to protect the reward recipient's confidentiality.
- D. Company/Battery/Troop Commanders must ensure they do not develop an ongoing working relationship with local nationals.
- E. The DOS Rewards program is authorized for use by MNF-I and its subordinate units. It should not be confused with Department of Defense (DOD) Rewards program funded by CENTCOM or other reward programs offered by other government agencies. This program can't pay for information leading to the identification of MANPADS or MANPADS components, only the physical acquisition.
- F. Funds from the DOS Rewards Program may be used to exclusively advertise the program. However, pre-approval from DOS is required. There is no requirement for the advertisement products to have an official US Government/DOS symbol. Advertisement products can, but don't have to, refer to coalition or allied headquarters as the agency offering the reward.

- G. MANPADS must be purchased with cash. Units will follow procedures when clearing finance as described in this appendix, and must clear their MSC Comptroller immediately after payment.
- H. Rewards may not be paid to US military members, employees, contractors, citizens of the US, or allied or Coalition Forces (CF) (ISF exempted).

5. TYPES OF REWARDS

- A. SA-7 or SA-14 type (Strela) up to \$5K.
- B. SA-16 type (Igla) or QW-series/Misagh-series type up to \$25K.

6. DUTY POSITIONS-RESPONSIBILITIES AND PROCEDURES

A. MNF-I Level

1. MNF-I CJ3 Rewards POC is responsible for overall management of the program, sets policy and procedures, coordinates training, acts as liaison with DOS, and is the approval authority for all MANPADS packets.
2. MNF-I CJ8 oversees the financial management of the program.

B. MNC-I Level

1. MNC-I C2X Rewards POC manages policies, procedures, and training under the DOS MANPADS program for MNC-I, maintains a current list of RAOs, Rewards POC and Paying Agents, and maintains the confidential ID List.
2. MNC-I C2X coordinates the collection, storage, and destruction of the MANPADS.
3. MNC-I SJA - reviews MOA between DOS and MNF-I, prepares a legal review memorandum for all packets as required by the MNC-I C2X rewards POC or the C8 Budget Analyst, and ensures that policies and procedures comply with applicable law, regulations, and policies.
4. MNC-I C8 certifies funds for all MANPADS packets, tracks execution of funding, reports status of funds to MNF-I on a monthly basis; and reports to MNF-I any shortages of funds.

C. MSC/DIV/BCT/BDE/MIIT

1. Commanders of RAOs are authorized by CENTCOM to provide the MNC-I C2X rewards POC with an electronic list of the personnel in those slots in order to update the CENTCOM RAO by name list. Units also need to submit a list of designated rewards POCs and paying agents. The list must include contact information such as e-mail addresses and phone numbers and date leaving AOR. Units can find this excel list on the MNC-I DOD rewards portal in order to verify currency/accuracy of this list.
 2. MSC Rewards POC manages policies, procedures, and training under the DOS MANPADS Program for its respective BDEs. The MSC/DIV Rewards Program Manager can provide implementation guidance based on the Commanders intent. The MSC Rewards POC is responsible for receiving MANPADS payment approval requests from subordinate units and submitting them to the MNC-I C2X Rewards POC and then forwarded to MNC-I C8 for verification of funds. The MSC Rewards POC processes and returns approved payment requests to subordinate units after they have been certified by the MNC-I CJ8 and coordinates with MNC-I CJ3 for turn in of the MANPADS.
 3. Other non-traditional units/elements (EDets, JIDC, SCID) can select an officer to be a CENTCOM authorized RAO if not already pre-designated by default. These names are submitted to the MNC-I Rewards POC for consideration and then submitted to CENTCOM. If their RAO is approved, then a Rewards POC needs to be appointed and the name sent to the MNC-I Rewards POC.
 4. Units may take steps to expedite approval and payment processes, but must follow the guidelines in this appendix regardless of procedures used.
 5. Units must maintain specific information for each payment as outlined in this appendix.
 6. Units must meet reporting requirements through their MSC to MNC-I C2X as outlined in this appendix.
- D. Rewards Point of Contact (POC) – An individual responsible for receiving MANPADS approval requests. The Rewards POC prepares the packets and ensures they have information as required in this appendix and forwards the complete packets up their chain of command for approval. Once the packet is approved and returned, the Rewards POC coordinates with the Paying Agent (PA) for payment. After payment is made, the Rewards POC sends a copy of the completed SF44 to MNC-I C8. Since MNC-I C8 does not see the disbursements in the accounting system until several weeks after the paying agent clears finance, a copy of the SF44

must be immediately forwarded by the PA to MNC-I C8 who will enter the obligation into the financial system. MNC-I C8 may withhold future funding until proper accountability of the SF 44 is achieved. The Rewards POC and the PA cannot be the same person.

E. Rewards Paying Agent (PA) – A service member trained by finance and authorized by his commander to carry rewards funds and make payment to the payee. The unit PA should keep sufficient funds on hand to facilitate same day or next day small rewards payments. The Rewards PA may also pay approved large reward payments. The Rewards POC and the PA cannot be the same person. There can be multiple PAs throughout the BDE or other non-traditional elements in order to facilitate timely and accurate disbursement of rewards funds.

F. Payment request and approval procedures

1. Any service member or unit may submit a reward request for payment to a source for a wanted weapon. All requests must be processed through the chain of command. The payment request must include the following:
 - a. Photographs of the system and all other relevant background information.
 - b. Request for payment memorandum that includes source number endorsed by the unit RAO.
 - c. DA3953 Purchase Request and Commitment (PR&C) requested by Rewards POC and approved by the respective RAO.
 - d. Paying Agent appointment letter and DD 577.
2. SJA review at the MSC level is required.
3. Unit submits completed packet up their chain of command to the MNC-I Rewards POC. The packet will be reviewed for completeness and compliance. The RAO's signature will be verified to ensure it is on the current RAO list and authorized to approve purchases.
4. MNC-I Rewards POC obtains MNC-I SJA legal opinion and sends the packet to MNC-I C8. Packets are reviewed and determination is made to determine if funds are available.
5. MNC-I C8 sends packet to MNF-I CJ3 for approval.
6. MNF-I CJ3 approves or disapproves packet.

7. MNF-I CJ3 returns packet to MNC-I C8 who certifies funds are available and returns the packet to unit for payment.

G. Payment request and approval procedures

1. Forms and equipment required:
 - a. DA 3953 – Purchase and Request and Commitment.
 - b. SF44 – Purchase Order – Invoice – Voucher (receipt).
 - c. Pay Agent Appointment Letter.
 - d. DD Form 577 Signature Cards.
 - e. Safe or strongbox for Rewards Paying Agent.
2. The MNC-I C8 receives approved packet from MNF-I CJ3.
3. The MNC-I C8 certifies funds are available by signing the DA 3953, and notifies the unit Rewards POC when the DA 3953 is ready.
4. The unit Rewards POC receives the certified DA3953 and contacts seller and the PA to set up payment.
5. The PA will take the DA 3953, a copy of the appointment orders, and DD 577 to the finance office and draw cash. The PA will receive a statement of Agent Officer's Accountability and a DD 1081 from finance. The finance office will maintain a copy of DD 577 and appointment order on file for each PA and each subsequent withdrawal of funds.
6. When the cash is issued, the Rewards POC will prepare the SF 44 for payment by the PA and ensures the payment is made then sends a copy of the completed SF44 to MNC-I C8.
7. The PA maintains copy of DA 3953 and DD 1081 and paid SF 44.

H. Cash accountability

1. The PA maintains copy of DD 1081, DA 3953 and paid SF 44s.
2. Funds are secured in accordance with DOD FMR volume five.

I. Closing out with finance/comptroller and responsibilities of the rewards POC.

1. SF 44s are made up of five copies.
 - a. The original copy is for paying agent to turn into finance.
 - b. The seller's copy goes to the Comptroller's office.
 - c. The receiving report copy goes to finance.
 - d. The memorandum copy is for the Rewards PA records.
 - e. Make an additional copy for Rewards POC.
2. The Rewards PA turns the DA 3953, SF 44, DD1081 and any remaining cash into the finance office every ninety days, prior to departure or at the end of the fiscal year for any funds drawn in the last quarter, whichever comes first.
3. The Rewards PA provides a copy of the SF 44 copy to the Rewards POC. The Rewards PA will clear the local finance office first and then provide a copy of the SF 44s and SF 1034 showing clearance of the finance office to the MSC Comptroller.
4. The Rewards POC will maintain a file of MANPADS payments.

J. Unit and MSC reporting requirements

1. All elements or units, specifically company/battery/troop commanders, must submit a spreadsheet detailing all MANPADS payments to the next higher Rewards POC on a monthly basis. Monthly roll-up reports will include the following information in excel spreadsheet format:
 - a. Unit
 - b. Source Number (or name of seller)
 - c. Date notified of weapon
 - d. Date weapon acquired
 - e. Date paid
 - f. Weapon type

- g. Quantity
- h. Amount paid (always report amount paid in US currency)
- i. Short description
- j. CENTCOM Message that authorizes RAO

2. The next higher Rewards POC will consolidate the respective roll-ups and submit them to MSC Rewards POC. These records will become part of the Rewards records.
3. MSC Rewards POC will provide monthly roll-up to MNC-I C2X POC. MNC-I C2X will provide copy of report to MNC-I C8 to reconcile obligations against monthly roll-up.
4. It is imperative that MSCs have full accountability of MANPADS payments.
5. Monthly roll-ups will allow MNF-I to assess the effectiveness of the DOS MANPADS Program (# of weapons versus dollars spent).

K. MNC-I/MNF-I/DOS reporting requirements

1. The MNC-I C8 submits a summary of all rewards paid by MNC-I to the MNF-I CJ3 Rewards POC on a monthly basis.
2. The MNF-I CJ3 submits a status of funds report to DOS fifteen days after the close of each financial quarter (January 15th, April 15th, July 15th and October 15th).

7. PROPONENT

- A. The proponent of this SOP is the MNC-I C8 Rewards Budget Analyst.
- B. Point of contact for this SOP is DSN: 485-3909.
- C. MNC-I Rewards POC is DSN: 835-1334.

8. MNC-I DOD REWARDS PORTAL

- A. MNC-I C2X has endeavored to make this program as user friendly as possible including the creation of the MNC-I DOD Rewards Portal which captures relevant laws, briefs, policies, procedures, and SOP's.

<http://corps.res.s-iraq.centcom.smil.mil/sites/staff/c2/c2x/homesite/default.aspx>

- B. MNF- I will hold a Rewards Working Group VTC on the last Saturday of every month at 1500. All are encouraged to attend by coordinating with the MNC-I Rewards POC.

REFERENCES

PUBLICATIONS - DEPARTMENT OF DEFENSE (DOD)

Defense Finance and Accounting (DFAS) – 37-1 – Finance & Accounting Policy Implementation

Defense Finance and Accounting (DFAS) – 37-100-FY – The Army Management Structure

Department of Defense (DOD) 7000.14-R – Financial Management Regulation

PUBLICATIONS – JOINT

Joint Publication (JP) 1-06 – Financial Management Supporting Joint Operations

PUBLICATIONS - DEPARTMENT OF THE ARMY (DA)

Army Regulation 37-47 – Representation Funds of the Secretary of the Army

Field Manual (FM) 1-06 – Financial Management Operations

PUBLICATIONS – US CENTRAL COMMAND

HQ CENTCOM Regulation 415-1, The Sandbook Standard

PUBLICATIONS - THIRD ARMY/ARCENT

USARCENT Publication 1-06 Army Financial Management Operations in the CENTCOM AOR

PUBLICATIONS – MULTI NATIONAL CORPS – IRAQ

MNC-I CoS Memo, Subject: Change to Requirements Validation Criteria and Staff Responsibilities

MNC-I Automated Information Systems Hardware Standards (AISHS), version 2.0

MNC-I FRAGO 176 Task 15, Use of Real Property

EMAIL ADDRESSES

MNC-I C8 JFARB CELL (SIPRNET) MNC-I C8 JARB CELL@S-IRAQ.CENTCOM.SMIL.MIL

WEBSITES

C6VB (SIPRNET) - <http://sps.iraq.centcom.smil.mil/C5/C6%20OPS/default.aspx>

MNC-I C7 (SIPRNET) <http://mnci.res.s-iraq.centcom.smil.mil/Staff-Sections/C7/Facilities/C7FacilitiesWorkspace/JFUB/default.aspx>

Sand Book (SIPRNET) [http://mnci.res.s-iraq.centcom.smil.mil/sites/C7/Facilities/C7FacilitiesWorkspace/references/ccr%20-%20centcom%20sandbook%20\(1%20dec%202007\).pdf](http://mnci.res.s-iraq.centcom.smil.mil/sites/C7/Facilities/C7FacilitiesWorkspace/references/ccr%20-%20centcom%20sandbook%20(1%20dec%202007).pdf)

MNC-I C8 JFARB CELL (SIPRNET) <http://mnci.res.s-iraq.centcom.smil.mil/sites/c8/JARB/default.aspx>

Air Force Home Page – <http://www.af.mil/>

Army Home Page – <http://www.army.mil>

Army Financial Management Homepage: <http://www.asafm.army.mil>

Assist Sec. of the Navy for FM & C: <http://www.finance.hq.navy.mil>

Comptroller General Decisions – <http://www.gao.gov/decisions/decision.htm>

Congressional Budget Office – <http://www.cbo.gov>

Contract Pricing Reference Guides – <http://www.gsa.gov/staff/v/guides/volumes.htm>

Cost and Economic Analysis Center – <http://www.CEAC.Army.mil/default.htm>

DFARs Web Page (searchable) – <http://www.dtic.mil/dfars>

DOD Home Page – <http://www.dtic.mil/defenseink>

FAR (GSA) – <http://www.arnet.gov/far/>

Federal Accounting Standards Advisory Board – <http://www.fasab.gov>

Federal Acquisition Virtual Library – <http://159.142.1.210/References/References.html>

Financial Management Regulations – <http://www.dtic.mil/comptroller/fmr/>

Financial Operations (Jumpsites) – <http://www.asafm.army.mil>

FORSCOM – Army Forces Command - <http://www.forscom.army.mil/>

GAO Home Page – <http://gao.gov/cgi-bin/ordtab.pl>

GAO Comptroller General Decisions – http://www.access.gpo.gov/su_docs/aces/

U.S. Army Publications – <http://www-usappc.hoffman.army.mil/gils/gils.html>

Joint Publications – <http://www.dtic.mil/doctrine>

Joint Travel Regulations (JTR) – <http://www.dtic.mil/perdiem/jtr.html>

Marine Corps Home Page – <http://www.usmc.mil>

Navy Home Page – <http://www.navy.mil>

OGC Contract Law Division – <http://www.ogc.doc.gov/OGC/CLD.html>

Office of Management and Budget (OMB) – http://www.accessgpo.gov/su_docs/budget/index/html

OFPP (Best Practices Guides) – <http://www.arnet.gov/BestP/BestP.html>

STARFIARS, STANFINS, and SARSS - <http://daynt6.daas.dla.mil/dodaac/dodaac.htm>

Third United States Army (TUSA/USARCENT) - <http://www.arcent.army.mil/>

U.S. Code – <http://law.house.gov/usc.htm>

United States Central Command (CENTCOM) - <http://www.centcom.mil/>

U. S. Army Forces Central Command (USARCENT) - http://www.centcom.mil/components/arcent_page.htm

MNC-I C8 CONTACT INFORMATION

MNC-I C8

Camp Victory South, Iraq

APO AE 09342

DSN 318-485-XXXX

C8	2373
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Operation and Maintenance (OMA)	2550
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