

MONEY AS A WEAPON SYSTEM (MAAWS)



USF-I J8 SOP 1 MARCH 2010

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

UNCLASSIFIED//FOUO



HEADQUARTERS
UNITED STATES FORCES - IRAQ
BAGHDAD, IRAQ
APO AE 09342-1400

March 7, 2010

To the Soldiers, Sailors, Airmen, Marines, Coast Guardsmen and Civilians of United States Forces - Iraq:

In fiscal year 2009 (FY09) we reduced Operations and Maintenance spending in Iraq by approximately 30%, while meeting our security mission. Our cost avoidance resulted in a savings of nearly \$5 billion. In FY10 USF-I is adequately funded to meet all our requirements to accomplish our wartime missions. I expect all leaders to be good fiscal stewards of our resources. We must scrutinize all requirements to certify that we are effectively utilizing resources to meet our requirements and to ensure the "health, life, and safety" of our service members.

It is our obligation to account for how we spend the nation's resources here in Iraq while accomplishing our mission in a fiscally responsible manner. Accurately gauging requirements, management controls and creating efficiencies must be part of everyday planning. The methodical and deliberate execution of FY10 funds will be critical to our success.

I am confident in your ability to successfully execute our nation's mission here in Iraq while considering cost and risk to mission as part of the decision-making process. Our Forces have and will continue to perform magnificently. We, as leaders, will continue to provide the resources to continue this work towards a secure and stable Iraq.

With respect and admiration,

A handwritten signature in dark ink, appearing to read "Ray", is positioned above the typed name of the signatory.

Raymond T. Odierno
General, US Army
Commanding

UNCLASSIFIED//FOUO

CHANGES

The following list contains sections where changes were made to the (MAAWS) Money As A Weapons System as of March 2010:

Introduction.....	7
A. OMA Guide to Budget Execution.....	A-1
Military Interdepartmental Purchase Request.....CHANGES TO DD- FORM 448.....	A-4-1
Quarterly Spend Plan.....RMDI35 PROGRAM CHANGES	A-5-1
Government Purchase Card.....GUIDLINE CHANGES	A-6-1
Coin Policy.....ADDED FEDERAL LAW STMNT	A-7-1
Special Interest Items.....FURNITURE LIMIT REQUIREMENT	A-8-1
Year End Close Procedures.....RECOMMENDATION YEAR END TIMELINE	A-9-1
Defense Travel System (DTS).....ADDITIONAL ANNEX ADDED	A-10-1
Prior Year Land Lease.....ADDITIONAL ANNEX ADDED	A-11-1
RMDI ³ S.....ADDITIONAL ANNEX ADDED	A-12-1
B. CERP.....METHOD OF PAYMENT CHANGES	B-1
Responsibilities, Program Execution, & Management.....	
.....PROJECT MANAGEMENT PROCEDURES	B-1-1
Micro Grants.....APPLICATION UPDATES.....	B-2-1
Project Purchasing Officer Instructions.....CLEARANCE MEMO STTMNT.....	B-3-1
Project Clearance Letter Sample.....REVISED COMM CLEARANCE LTR.....	B-4-1
Sample DA3953.....CONVERSION DOLLARS TO DINAR	B-6-1
Project File Checklist.....MICRO GRANT UPDATES.....	B-8-1
Funding Process Flowchart.....UPDATING CERP FLOWCHART	B-9-1
Request Packet Checklist.....UPDATED USF-I CERP REQUES PCKG.....	B-12-1
Standardized LOJ.....UPDATED LETTER OF JUSTIFICATION	B-13-1
Performance Metrics.....UPDATE TO PROJECT PERF METRICS	B-15-1
Quarterly Report Commander's Narrative.....CHANGES TO CONTRACTS.....	B-17-1
CERP Project Tracker Instructions.....CLARIFICATION OF SMALL SCALE PRJCTS.....	B-18-1
Memorandum of Agreement with Vendor.....UPDATED MEMO OF AGREEMENT	B-21-1
Using Budget Rates for Contracts in Local Currency.....NEW ANNEX ADDED	B-23-1
Enhanced PPO PA certification of attendance.....NEW ANNEX ADDED.....	B-24-1
Comptroller Clearance Memorandum.....NEW ANNEX ADDED	B-25-1
C. I-CERP.....	C-1
Project Tracker Column Titles.....WAIVER REQUIREMENT CHANGES	C-2-1
I-CERP Request Packet.....NEW ANNEX ADDED	C-6-1
D. Rewards.....POLICY,SCOPE, DUTY, POSITION CHANGES	D-1
E. ISFF.....	E-1
ISFF QRF Funding Request Checklist.....ADDITIONAL ANNEX ADDED	E-1-1
ISFF Standardized LOJ.....ADDITIONAL ANNEX ADDED	E-2-1
F. LOGCAP	F-1
G. OPA.....	G-1
H. MILCON	H-1
I. ORF	I-1
J. Requirements Validation Overview	J-1
K. Management Internal Control Program (MICP)	K-1
L. Contract Review Program (CRP).....DELETED	L-1
M. Transfer of Authority (TOA).....	M-1
N. Resource Support to Other Services and SOF	N-1
O. Acquisition and Cross Servicing Agreements...HANGES TO RSPNSBLTS, ACQSTN.....	O-1
P. ONS & JUONS.....	P-1
Q. Provincial Reconstruction Teams	Q-1
R. Resource Management Functional Checklist.....REVISED FM CHECKLISTS	R-1
S. Department of State Rewards..... DELETED.....	S-1
T. References and Web Resources.....	T-1

**Command changes made throughout MNC-I and MNF-I change to USF-I.
Significant Changes to the MAAWS**

Section	Title	Page	Change
APPENDIX A OMA			
2	OMA	A-4	Updated Annex list
A-1	TDY	A-1-1	Added DTS requirement
			Official travel outside AOR approval changed from “ <i>first GO in Chain of Command</i> ” to “ <i>USF-I Chief of Staff</i> ”
			Travel inside AOR/Outside ITO approval changed from “CoS” to “DCoS”
			Travel inside ITO approval changed from “CoS” to “DCoS”
		A-1-2	TDY submission package approval changed from “CoS” to “DCoS”
			Email address for voucher submissions updated
		A-1-4	Blanked Travel approval changed from “CoS” to “DCoS”
		A-1-5	AEA approval changed from “CoS” to “DCoS”
		A-1-6	Responsibility- approving official changed from “ <i>first GO in Chain of Command</i> ” to “ <i>USF-I Chief of Staff</i> ”
A-2	PR&C	A-2-4	WAWF requirement statement added to Step 8.
A-3	Bulk Funds		NO CHANGE REQUIRED
A-4	MIPR		NO CHANGE REQUIRED
A-5	Spend Plan	A-5-1	Add statement that only quarterly requirement identified in spend plan, entire requirement to be noted in comments.
		A-5-2	Change submission program from “ <i>Budget Briefcase</i> ” to “ <i>RMDI3S</i> ”
A-6	GPC		NO CHANGE REQUIRED
A-7	Coins	A-7-1	Add statement that MAAWS is base on federal law
		A-7-3	Add minimum requirements to monthly coin report
A-8	SII	A-8-1	Change Furniture limit requiring GO letter from \$5,000 to \$1,500
A-9	Close out		NO CHANGE REQUIRED
A-10	DTS		Complete Annex added
A-11	Prior Year Lease		Complete Annex added
A-12	RMDI3S		Complete Annex added
APPENDIX B CERP SOP			
<u>Par. 2.E.15</u>		B-3	Clarified the 90 day limitation on service contracts. Previously MAAWS stated service contracts were limited to 90 days. Units misinterpreted this rule to mean that they could write severable subsequent contracts for 90 day periods each. New verbiage clarifies that subsequent 90 day contracts may not be let for the same requirement merely to circumvent the 90 day limitation.
Par. 4.F		B-7	Revised the guidance on payment methods and available currency for CERP payments. Changed verbiage from should to must that all contracts with local vendors be written in Iraqi Dinar. Provided further guidance on when U.S. currency may be used instead of Iraqi Dinar.
Par.5.A.5.a (New)		B-8	Provided definition of cost sharing.
Par 5.A.5.b (New)		B-8	Changed requirement for cost sharing arrangement. Arrangement can no solely be stated in the Letter of Justification and now needs to be documented by a signed memorandum between the unit representative and an appropriate GOI official.
Par.5.A.6 (New)		B-8	New requirement that any funding request package for a project greater than \$950,000 requires a de-scoping plan should cost increases bring the total project cost over \$1M. De-scoping plan will include items are to be cut, yet still affirm intended benefits of the project are met.
Par.5.A.7 (New)		B-9	Provides guidance that commanders should consider factors other than cost (e.g. length of project and end of mission date) when considering

UNCLASSIFIED//FOUO

projects for approval. Paragraph references further changes included in Annex 1 to Appendix B which further discusses the issue.

<u>Section</u>	<u>Title</u>	<u>Page</u>	<u>Change</u>
Par.8.A.3.a (New)		B-16	Clarifies requirement for MSCs to provide a Commander's Narrative on a quarterly basis to USF-I J8. Revision requires the MSC Commander or a delegated authority within the command group to sign the letter. References Annex 17 to Appendix B for format and information required in the narrative.
Par.8.A.4		B-16	Clarified requirement for the Unique Requirement Identifier to be present on the DA 3953 prior to funding approval.
<u>ANNEX 1 to APPENDIX B</u>	<u>CERP Responsibilities Execution</u>		
Par.2.B.1 (New)		B-1-1	Provides guidance to commanders who will reach end of mission and redeploy without replacement by another unit on project approval. Recommends commanders consider risk factors to include project cost, project completion date, project duration and unit redeployment date.
Par.3.C.2		B-1-7	Requires that all CERP request packages submitted to USF-I for approval contain the CERP funding request package checklists located in Annexes 2 and 12 respectively for micro grant and all other types of projects respectively.
Par.3.F.1.a		B-1-11	Provides guidance on making payments via EFT and how to complete the EFT form.
Par.3.F.3		B-1-12	Reiterates direction provided in USF-I FRAGO 0045 concerning the use of cash to make payments. Cash payments may only be made if the vendor or recipient does not have access to a bank for EFT or LDA check or deposit. In addition, it clarifies that cash payments made in U.S. currency are only available for operational payments and requires the written approval from an O-5 commander or higher. The commander must justify the use of U.S. dollars as mission essential.
Par.3.G.7		B-1-15	Clarifies project file shipment procedures from USDs to USF-I J8.
<u>ANNEX 2 to APPENDIX B</u>	CERP Micro Grant		
Par.6.A		B-2-3	Clarifies the requirement that the micro grant application is included in the project record. Requires MSCs to utilize a micro grant application containing at a minimum the information found on the micro grant application in enclosure two of Annex 1 to Appendix B. Finally, the change clarifies the ability to bundle multiple micro grant applications into a single bulk funding request to ease the staffing process by obtaining the commander's approval one time for multiple payments.
Enclosure 2		B-2-9	Reduced the requirements for the micro grant application from four pages down to two. If micro grant is not bulk funded, the application can now double as the Letter of Justification and approval document if signed by the appropriate commander.
<u>ANNEX 3 to APPENDIX B</u>	CERP Project Purchasing Officer		
Par.15.B		B-3-8	Revised commander's clearance memorandum statement.
Par.15.G		B-3-9	New requirement for USD G8s to annotate any missing required project documents in the G8 closure memorandum.
<u>ANNEX 4 to APPENDIX B</u>	CERP Project Clearance letter	B-4-1	Revised commander's clearance memorandum statement.
<u>ANNEX 6 to APPENDIX B</u>	DA 3953 PRC	B-6-1	Included example conversion from U.S. currency to Iraqi Dinar
<u>ANNEX 8 to APPENDIX B</u>	CERP Project File Checklist	B-8-1	Updated project file checklist.
<u>ANNEX 9 to APPENDIX B</u>	CERP Funding Process Flow chart	B-9-1	Updated CERP funding process flow chart to reflect current command structure.
<u>ANNEX 12 to APPENDIX B</u>	CERP Request Packet	B-12-1	Updated USF-I CERP request package checklist. Clarified information detailing critical items on the DA Form 3953. Streamlined the required contracting officer representative documents for projects greater than \$500K.

UNCLASSIFIED//FOUO

<u>Section</u>	<u>Title</u>	<u>Page</u>	<u>Change</u>
<u>ANNEX 13 to APPENDIX B</u>	Letter of Justification	B-13-1	Updated Letter of Justification template. Provided statement in the second paragraph detailing verifying the unavailability of other funding sources. Revised period of performance/progress payment and performance metrics paragraphs to clarify the difference between the two. Included new requirement for relief in place or end of mission information.
<u>ANNEX 15 to APPENDIX B</u>	CERP Performance Metrics	B-15-1	Clarified that it is not necessary to have a separate document to discuss project performance metrics. Performance metrics may be included in the Letter of Justification.
<u>ANNEX 18 to APPENDIX B</u>	CERP Project Tracker Instructions		
Par.2.E		B-18-1	Clarified procedures for recording Commander Small Scale Projects on the CERP tracker.
Par.2.N		B-18-3	Clarified that the project status on the CERP tracker will only change from in process to complete if all obligations and disbursements are correctly recorded in the STANFINS and all required documentation is present in the project file at the MSC G8.
<u>ANNEX 21 to APPENDIX B</u>	Memo of Agreement w/Contractor	B-21-1	Updated Memorandum of Agreement example to include Line of Accounting.
<u>ANNEX 23 to APPENDIX B (New)</u>	Guidance on Using Budget Rates for Contracts written	B-23-1	Annex provides detailed guidance on the use of budget rates for contracts and MOAs written in local currency.
<u>ANNEX 24 to APPENDIX B (New)</u>	Enhanced PPO PA cert. of attendance	B-24-1	Sample enhanced PPO/PA training certificate.
<u>ANNEX 25 to APPENDIX B (New)</u>	Comptroller Clearance Memo	B-25-1	Sample Comptroller Clearance Memorandum.
<u>APPENDIX C IRAQI CERP</u>		C-2	Clarifies the use of I-CERP for brick and mortar projects, but may be used to purchase equipment provided the following three conditions are met: <ol style="list-style-type: none"> 1. The overall project falls under one of the authorized categories. 2. The majority of the project costs are associated with the reconstruction portion of the project. Reconstruction costs include costs associated with new construction as well as real property maintenance and real property repair costs as those concepts are applied in the US Army 420 series of engineer publications. 3. Any non-construction costs (e.g. supplies and personal property equipment) are directly related to making full use of the reconstruction project for its intended purposes.
<u>SECTION G OPA</u>			
G			NO CHANGE REQUIRED
<u>SECTION H MILCON</u>			
H			NO CHANGE REQUIRED
<u>SECTION I ORF</u>			
I			NO CHANGE REQUIRED
<u>SECTION J JFARB</u>			
Requirement Validation Process		J-1	Updated Reference H and References J and K.
JFARB Review Board			Numerous changes to reflect new USF-I organization structure.
ANNEX A		J-1-1 – J-1-48	Added Principal Assistant Responsible for Contracting as a non-voting, technical member of the JFARB.
			Clarified conditions for requirement revalidation and two PoPs cannot be validated simultaneously.

UNCLASSIFIED//FOUO

UNCLASSIFIED//FOUO

JFARB submission timeline: 90-120 days from required funding.

<u>Section</u>	<u>Title</u>	<u>Page</u>	<u>Change</u>
			Incorporated guidance regarding NTV and utility vehicle leases.
			Modification to the J6 information technology items and dollar thresholds.
			J8 assumed the JFARB Secretary responsibilities from J7.
			Clarification on construction to correct life, health or safety deficiencies where costs are less than \$1.5M.
			Significant modification to the JFARB package requirements to standardize the products and minimize the number of documents.
			<ul style="list-style-type: none"> a. Provided updated checklists for IT/Communications, Construction and Service Contracts b. Provided a Letter of Justification and Courses of Action Checklist c. Templates for Letter of Justification d. Eliminated Independent Government Cost Estimate Checklist except for SuperCARB requirements e. Eliminated separate Funding Strategy Memo, incorporated as Paragraph 8 in the Letter of Justification f. Outlined specific expectations for Courses of Action to comply with DCoS direction g. Added Determination and Finding direction when requiring agency needs supplies or services and obtains them from another servicing agency
Contract Review Board		J-2-1 –	Adjusted requirement threshold values for CRB briefing IAW
ANNEX B		J-2-5	FRAGO 0283
			Adjusted timelines for preparing and presenting CRB briefing.
<u>SECTION N</u>	<u>Other Services and SOF</u>		
N			NO CHANGE REQUIRED
<u>SECTION Q</u>	<u>PRTs</u>		
Q			NO CHANGE REQUIRED

TABLE OF CONTENTS

Introduction	11
Resource Management ROE	12
Resource Boards/Councils	13
Management Internal Control Program.....	13
Overview of Funds	14
Operation and Maintenance, Army (OMA)	15
Commanders Emergency Response Program (CERP)	16
Iraqi Commanders Emergency Response Program (I-CERP)	17
Rewards	18
Iraqi Security Forces Funding (ISFF)	19
Logistics Civilian Augmentation Program (LOGCAP).....	20
Military Personnel, ARMY (MPA)	22
Other Procurement, Army (OPA)	22
Military Construction (MILCON)	23
Official Representation Funds (ORF)	23
Other Types of Funds in Iraq.....	24
List of Appendices	27
Appendices	
A. OMA Guide to Budget Execution	A-1
Temporary Duty Travel	A-1-1
Purchase Request and Commitment	A-2-1
Bulk Funds – Field Ordering Officer/Paying Agent.....	A-3-1
Military Interdepartmental Purchase Request	A-4-1
Quarterly Spend Plan	A-5-1
Government Purchase Card	A-6-1
Coin Policy.....	A-7-1
Special Interest Items	A-8-1
Year End Close Procedures	A-9-1
DTS	A-10-1
Prior Year Land Lease	A-11-1
RMDI3S	A-12-1
B. CERP.....	B-1
Responsibilities, Program Execution, and Management ..	B-1-1
Micro Grants	B-2-1
Project Purchasing Officer Instructions	B-3-1
Project Clearance Letter Sample	B-4-1
Sample PPO Transfer of Accountability Memo	B-5-1

UNCLASSIFIED//FOUO

Sample DA3953.....	B-6-1
Sample SF44.....	B-7-1
Project File Checklist	B-8-1
Funding Process Flowchart	B-9-1
DD Form 577 for PPO	B-10-1
DD Form 577 for PA	B-10-2
Request for Increase of Funds.....	B-11-1
Request Packet Checklist.....	B-12-1
Standardized LOJ.....	B-13-1
Category Definitions and Potential Projects	B-14-1
Performance Metrics.....	B-15-1
Disbursing (Pay Agent) SOP	B-16-1
Quarterly Report Commander's Narrative.....	B-17-1
CERP Project Tracker Instructions	B-18-1
Elements of Resources for CERP/I-CERP	B-19-1
DD Form 250 Sample	B-20-1
Memorandum of Agreement with Vendor.....	B-21-1
Statement of Work Template	B-22-1
Guidance on Using Budget Rates for Contracts Written in local currency.....	B-23-1
Enhanced PPO PA certification of attendance	B-24-1
Comptroller Clearance Memorandum	B-25-1
C. I-CERP.....	C-1
Project Tracker Instructions	C-1-1
Project Tracker Column Titles.....	C-2-1
Story Board Format	C-3-1
I-CERP Checklist.....	C-4-1
DA FORM 3953 PRC Sample.....	C-5-1
I-CERP Request Packet	C-6-1
D. Rewards.....	D-1
E. ISFF.....	E-1
ISFF QRF Funding Request Checklist	E-1-1
ISFF Standardized LOJ.....	E-2-1
F. LOGCAP	F-1
G. OPA.....	G-1
H. MILCON.....	H-1
I. ORF.....	I-1
J. Requirements Validation Overview	J-1
Joint Facilities Acquisition Review Board (JFARB).....	J-1-1
USF-I J8 Contract Review Board (CRB)	J-2-1
K. Management Internal Control Program (MICP)	K-1

L. Contract Review Program (CRP) NO LONGER A PROGRAM	L-1
M. Transfer of Authority (TOA)	M-1
N. Resource Support to Other Services and SOF	N-1
O. Acquisition and Cross Servicing Agreements	O-1
P. ONS & JUONS	P-1
Q. Provincial Reconstruction Teams	Q-1
R. Resource Management Functional Checklist	R-1
S. Department of State Rewards NOW INCLUDED IN APPENDICES D	S-1
T. References and Web Resources	T-1

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 gain the maximum operational effectiveness. 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, and ensure the appropriate leadership in your organizations has access to a copy as necessary.

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 Fiscal Triad made up of resource managers, contracting, and finance teams, working closely with legal advisors to guide and assist... make sure you establish a rapport early on with them as teamwork and communication is indispensable to success.

Accountability and fiscal stewardship are paramount as we endeavor to satisfy OIF requirements and responsible drawdown of forces. Towards that end, USF-I has developed and refined several programs, processes and reporting procedures aimed at validating sustainment operations and responsible drawdown requirements. This edition of the MAAWS includes several key changes that provide Commanders financial flexibility while maintaining requisite review and analysis, and management and internal controls as we continue to build a "cost culture". In Responsible Drawdown of Forces, our biggest challenge is right-sizing requirements for the future U.S force posture in Iraq. Jointly, we've worked several issues with CERP to return to the basics of management controls and commander oversight. Initiatives such as enhanced PPO and PA training and staff assistance visits will continue to strengthen accountability of this highly visible and much needed authority.

As always, we are at your disposal to assist as you develop requirements and compete for funding.

Resourcing Requirements Responsibly!



PAUL A. CHAMBERLAIN
COL, FC
USF-I J8

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:

- **USF-I STRATEGIC STEWARDSHIP COUNCIL**
 - **PURPOSE:** Assess U.S. Government funding sources and maximize effects of all financial resources supporting the Campaign Plan.
 - **VOTING MEMBERS:** USF-I CoS, USF-I CoS, GRD CoS, USF-I DCS STRATEFF, USF-I DCS SPA, USF-I DCS STRATOPS, USF-I DCS CIS, USF-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:** USF-I Chief of Staff
 - Scheduled on a quarterly basis, but may meet more often as required.
- **JOINT FACILITIES and ACQUISITION REVIEW BOARD (JFARB) (USF-I FRAGO 062)**
 - **PURPOSE:** USF-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 USF-I CoS.
 - **VOTING MEMBERS:** Field grade officer from J3, J4, J6, J7, J8, SJA, JCC-I/A and others as required.
 - **CHAIR:** USF-I J6, J7 & J8
 - 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 USF-I ASA which is provided to USF-I.

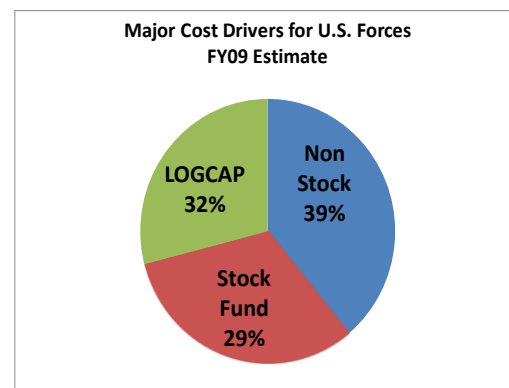
Refer to Appendix K for additional information on MICP.

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)

UNCLASSIFIED//FOUO

- 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:

- 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. USF-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 USF-I C8 by the 21st of the last month of the previous quarter (e.g. 21 Dec for 2nd quarter funding).

UNCLASSIFIED//FOUO

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 USF-I CERP Standard Operating Procedures (SOP). This document can be found at Appendix B.

➤ **PURPOSE.**

- USF-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 dependent 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 USF-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 three primary components: Reconstruction, Humanitarian Relief, Battle Damage, and Condolence Payments. The overall program coordinator is USF-I C8; however the J7 and J9 serve as program managers for their particular areas and functions.
Reconstruction. The Reconstruction functional program manager is USF-I J7. J7 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 USF-I J8.
- Humanitarian Relief. The J9 is the functional program manager who coordinates the economic benefits and humanitarian relief efforts within the CERP program. This includes monitoring of the Micro Grant program to ensure that the grant funds have been fully expended on the initiative that justified project approval.

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 USF-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.

UNCLASSIFIED//FOUO

- As much as possible use the existing processes at the province level (e.g. Provincial Reconstruction Development Committee reviews or Provincial Reconstruction Teams) 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 battle space. The Rewards program offers incentives for information and is a remarkably effective tool in preempting enemy operations and denying sanctuary and weapons. USF-I C2X is generally the first stop on the USF-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:**

UNCLASSIFIED//FOUO

- Consists of Micro (\$500 or less), Small (\$501 up to \$10,000), and Large (greater than \$10,000) Rewards.
- USF-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 be paid to members of the ISF only during periods when a valid DOD SECDEF waiver is in effect. The blanket waiver requires annual renewal.
- May not be paid for 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 USF-I J8.

Refer to Appendix D for additional information on REWARDS.



IRAQI SECURITY FORCES FUNDS (ISFF)

ISFF is a U.S. appropriated fund used to provide support to all elements of the Iraqi Security Forces (ISF), including the Iraqi Army, Iraqi police forces, special task forces, and border security. USF-I is responsible for training and equipping the ISF and is resourced to accomplish this mission.

- **PURPOSE:** As we continue to transition to Iraqi self governance, Congress appropriated ISFF to train, equip, and maintain the Iraqi Security Forces (ISF). The Commanding General, USF-I, is the statutory custodian of the ISFF and retains the responsibility for training and equipping the ISF. At the request of USF-I, USF-I C8 assists in the administration of the ISFF. USF-I's ISFF program is made up of the following distinct categories:
- Quick Response Funds (QRF) – requirements between \$2,000 and \$50,000
 - Quick Response Funds (QRF) – requirements over \$50,000 up to \$1M
 - Combat Service Support (CSS) to the Iraqi Security Forces (CSS to ISF)
 - Foreseeable or recurring (non-QRF) requirements for ISF

UNCLASSIFIED//FOUO

- **GENERAL GUIDANCE/USES:** Broadly, funds may be used for force protection, training, equipment, and sustainment requirements for the ISF.
- **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. J4 and/or J7 are generally the first stop for LOGCAP issues on the USF-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 (USF-I J7 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 USF-I J4, 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 LOGCAP costs, 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 bill payer.
 - Any new work meeting JFARB thresholds listed in Appendix J must be staffed and approved by the JFARB.
 - All approved LOGCAP requirements must be submitted to the LOGCAP USF-I J8 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 the LOGCAP program.

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). USF-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 major end-item investment for operational capabilities in Army units. The J4 or J6 is generally the first stop within the USF-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. USF-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.
 - 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. USF-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 J7 is the first stop on the USF-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 Joint Staff (SJS) is first stop on the USF-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; 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.

UNCLASSIFIED//FOUO

- **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 USF-I and is discussed in Annex C.
- **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.

APPENDICES

A. OMA Guide to Budget Execution	A -1
B. CERP	B -1
C. I-CERP	C -1
D. Rewards	D -1
E. ISFF	E -1
F. LOGCAP	F -1
G. OPA	G -1
H. MILCON	H -1
I. ORF	I -1
J. Requirements Validation Overview	J -1
J. JFARB	J-1-1
J. USF-I J8 Contract Review Board	J - 2
K. Management Internal Control Program (MICP)	K-1
L. Contract Review Program (CRP)..... NO LONGER A PROGRAM	L -1
M. Transfer of Authority (TOA)	M -1
N. Resource Support to Other Services and SOF	N -1
O. Acquisition and Cross Servicing Agreements	O -1
P. ONS & JUONS	P -1
Q. Provincial Reconstruction Teams (PRTs) (EPRTs)	Q -1
R. Resource Management Functional Checklist	R-1
S. Department of State Rewards.... NOW INCLUDED IN APPENDICES D	S-1
T. References.....	T-1

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 USF-I in support of Operation Iraqi Freedom.
2. **GENERAL GUIDANCE/USES:** USF-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. USF-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 USF-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 USF-I J4. J4 will coordinate with USF-I J8 prior to authorizing the RIC GEO manager to place the order.
- 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 USF-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 USF-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

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)

UNCLASSIFIED//FOUO

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
DTS	A10
Prior Year Land Lease	A-11
RMDIIS	A-12

TEMPORARY DUTY (TDY) TRAVEL

CONTENTS

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

1. PURPOSE. To outline United States Forces– Iraq (USF-I) Temporary Duty guidelines for USF-I and all Direct Reporting Units (DRU).

2. GENERAL.

- A. As of 1 January 2010 TDY Travel by the USF-I staff will be accomplished in DTS. DTS is available for any other units that want to take advantage of the system. Refer to the instruction in Appendix 10 (DTS) of the MAAWS for information on DTS. Non-DTS orders will follow the procedures in this section. 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): USF-I Chief of Staff must approve the TDY orders. Corps staff and units without a GO will be approved by the USF-I Deputy Chief of Staff (DCoS).
 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 USF-I Deputy Chief of Staff (DCoS).
 - 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. staff and units without a GO will be approved by the USF-I Deputy Chief of Staff (DCoS).
 - 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 USF-I DCoS must first bring the TDY request to the USF-I J8 Budget Execution Office to ensure funds are available. The request must include a completed USF-I Form 1222 (TDY Routing Slip) and a letter of justification signed by the O-6 in charge. The request must also include a day-to-day itinerary for conference and training TDYs. USF-I J8 will then forward the TDY request package to the USF-I DCoS for approval consideration. After the USF-I DCoS signs/approves the travel request, it will be returned to the USF-I J8 Budget Execution Cell for funds certification. After the USF-I J8 Budget Execution Office certifies the funds for the TDY request, USF-I J8 will notify the requesting organization that the TDY request is ready for pick-up. (See process flow FIGURE 1-1)**

3. 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: DRO-ArmyTravel@dfas.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 J1 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 UNITED STATES FORCES Iraq (USF-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 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.
 - 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

UNCLASSIFIED//FOUO

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 (J8/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, pilots, drivers, security, etc.) and those designated by the USF-I DCoS. All BTOs are approved by the USF-I DCoS.
- 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.

UNCLASSIFIED//FOUO

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 USF-I J8. ***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 USF-I DCoS 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.

4. 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.

5. 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 USF-I Chief of Staff 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.

6. 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.

UNCLASSIFIED//FOUO

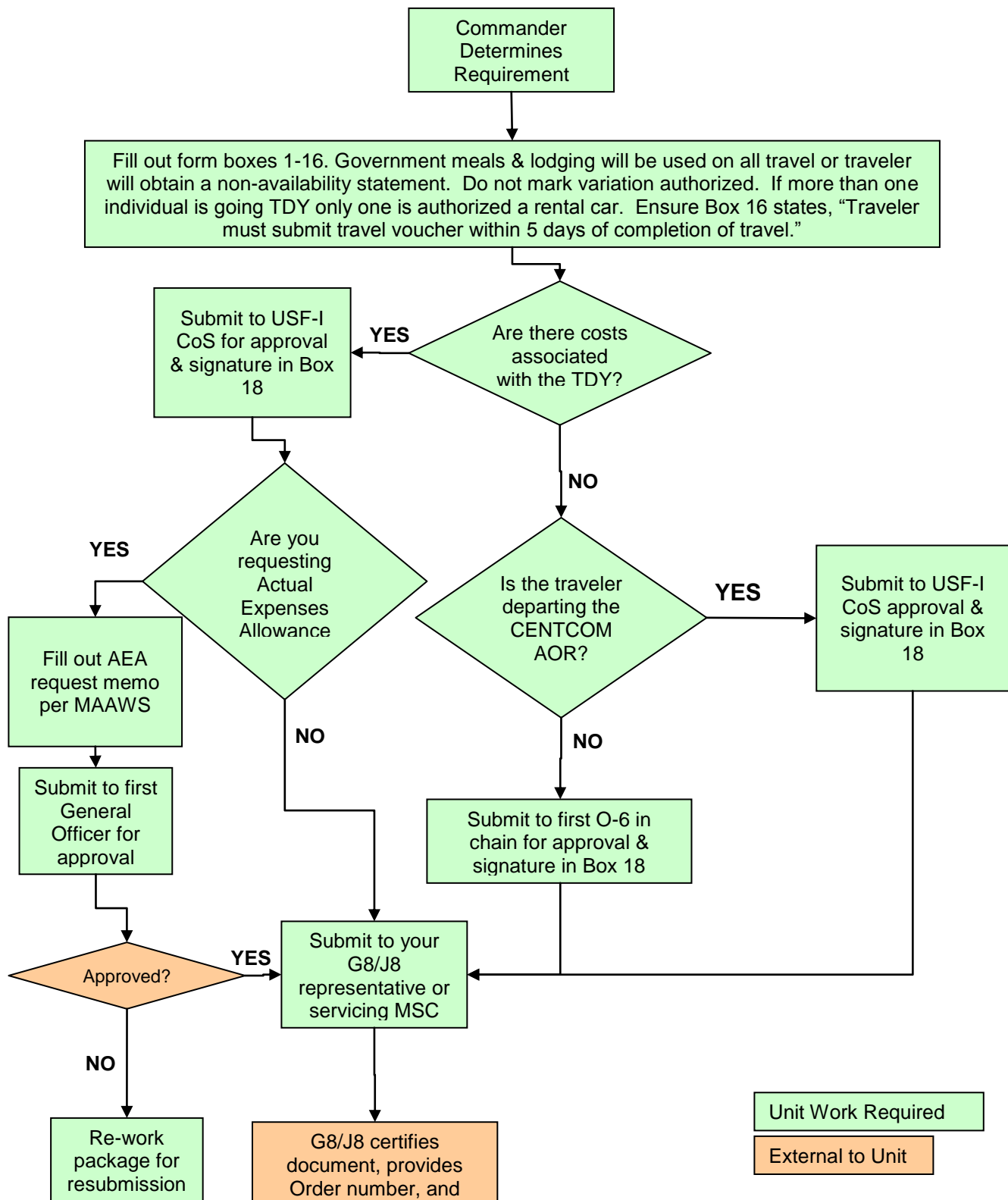
G. Travelers may scan their documents and email them to:
DRO-ArmyTravel@dfas.mil

UNCLASSIFIED//FOUO

A-1-7

FIGURE 1-1

DD FORM 1610 (TDY) Process Flow (Non-DTS)



UNCLASSIFIED//FOUO

FIGURE 1-2

REQUEST AND AUTHORIZATION FOR TDY TRAVEL OF DOD PERSONNEL (Reference: Joint Travel Regulations (JTR), Chapter 3) (Read Privacy Act Statement on back before completing form.)						1. DATE OF REQUEST (YYYYMMDD) 20081110	
REQUEST FOR OFFICIAL TRAVEL							
2. NAME (Last, First, Middle Initial) 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 (Include Area Code) (318) 485-0000	
8. TYPE OF AUTHORIZATION TDY OR TDY ICW R&R		9. TDY PURPOSE (See JTR, Appendix H) OPERATIONAL RISK MANAGEMENT CONFERENCE		10a. APPROX. NO. OF TDY DAYS (Including travel time) 12		5. PROCEED DATE (YYYYMMDD) 20081127	
11. ITINERARY EXAMPLE ITINERARIES: 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 <input type="checkbox"/> VARIATION AUTHORIZED							
12. TRANSPORTATION MODE							
a. COMMERCIAL				b. GOVERNMENT		c. LOCAL TRANSPORTATION	
RAIL	AIR	BUS	SHIP	AIR	VEHICLE	SHIP	RENTAL CAR
	X			X			X
						TAXI	
						OTHER	
						PRIVATELY OWNED CONVEYANCE (Check one)	
						RATE PER MILE:	
						<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 (Overseas Travel only)							
13. <input checked="" type="checkbox"/> a. PER DIEM AUTHORIZED IN ACCORDANCE WITH JTR. <input type="checkbox"/> b. OTHER RATE OF PER DIEM (Specify)							
14. ESTIMATED COST							15. ADVANCE AUTHORIZED
a. PER DIEM		b. TRAVEL		c. OTHER		d. TOTAL	
\$		\$		\$		\$ 0.00	
16. REMARKS (Use this space for special requirements, leave, excess baggage, accommodations, registration fees, etc.) 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.ARM.Y.MIL EXAMPLE AUTHORIZATIONS TO BE USED (USE AS NECESSARY, DEPENDENT ON TDY LOCATION): 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): 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 (Title and signature) JANE WATKINS, LTC, 99 SIG BN CDR				18. TRAVEL-APPROVING/DIRECTING OFFICIAL (Title and signature) JOHN C. ZALL, BG, CHIEF OF STAFF			
AUTHORIZATION							
19. ACCOUNTING CITATION COMPLETED BY SERVICING RESOURCE MANAGEMENT (RM) OFFICE							
20. AUTHORIZING/ORDER-ISSUING OFFICIAL (Title and signature) COMPLETED BY SERVICING RESOURCE MANAGEMENT (RM) OFFICE						21. DATE ISSUED (YYYYMMDD) RM INPUT	
						22. TRAVEL AUTHORIZATION NUMBER RM INPUT	

DD FORM 1610, MAY 2003

PREVIOUS EDITION IS OBSOLETE.

Adobe Designer 7.0

UNCLASSIFIED//FOUO

A-1-9

FIGURE 1-3



REPLY TO
ATTENTION OF

HEADQUARTERS
MULTI-NATIONAL CORPS - IRAQ
OFFICE OF THE COMPTROLLER
BAGHDAD, IRAQ
APO AE 09342

USFI-J8

Date: 21 DEC 2008

INVITATIONAL TRAVEL AUTHORIZATION
TRAVEL ORDER #:

Name: TRAVELER NAME HERE (Last four SSN: XXXX)

Passport Number: **0123456789** (Exp DATE HERE)

Status/Position: Sr. Special Advisor MNC-I C8

Address: 5151 Main St , Spring Valley, WI 54767 (Home: 715-778-4111)

PURPOSE OF TDY: Participate in workshop to finalize strategy on non-formal education in Iraq

You are invited to proceed from: Minneapolis, MN

In sufficient time to arrive at Damascus, Syria for approx: 37 days (25 Dec 08 – 29 Jan 09)

Proceed Date: 24 Dec 08

You are authorized to travel by: ☐ Rail ☒ Commercial Air ☒ Military Air

☒ Transportation has been arranged by the order-issuing agent.

☐ Transportation tickets are included with this order.

☐ To arrange your transportation call: DRO-ARMYTRAVEL@DFAS.MIL

☐ You may arrange your transportation. The following rules apply:

You must arrange your transportation with a travel office under contract to the U.S. Government (Commercial Travel Office "CTO") when the contract with the CTO permits the CTO to arrange transportation for travelers who aren't Government employees. If you're in a foreign country, except for Canada and Mexico, you may use a travel office not under contract to the Government if ticketing can't be secured from a branch office of general agent of an American-flag carrier.

If you purchase transportation from a travel office (travel agency) not under contract to the Government, reimbursement is limited to the cost to the Government on a constructive basis for transportation that would have been arranged by a CTO if available. If the contract between the Government and the CEO doesn't permit the CTO to arranged transportation for contractors/contractor employees or other who aren't Government employees, reimbursement for transportation may not exceed coach class air accommodations unless otherwise permitted in JFTR, par. 2204-A.

It is DOD policy that in using regularly scheduled air transportation:

- (a) Accommodations selected shall be the least costly service that permits satisfactory accomplishment of the mission of the traveler.
- (b) United States carriers must be used for all commercial foreign air transportation if service provided by those carriers is available; otherwise reimbursement for the cost of transportation isn't allowed.

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:

USFI-J8 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. USF-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.

UNCLASSIFIED//FOUO

FIGURE 1-5

[illegible]

DD FORM 1351-2, MAR 2008

PREVIOUS EDITION MAY BE USED
UNTIL SUPPLY IS EXHAUSTED.

Exception to SF 1012 approved by GSA/IRMS 12-91.
Adobe Designer 7.0

Reser

UNCLASSIFIED//FOUO

PURCHASE REQUEST & COMMITMENT (PR&C)

CONTENTS

1. Purpose

2. Procedures to Process PR&Cs

1. PURPOSE: This section provides detailed guidance to USF-I units and those units supported by USF-I J8 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. 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) requires JFARB approval. The USF-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., USD-C 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 J8 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. USF-I COS signs the PR&C (block 35) once validated.
 4. USF-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 USF-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. J1/G1 assists in developing MWR program requirements.

2. J2/G2 assists in developing COMSEC and OPSEC requirements.
 3. J3/G3 along with the Provost Marshall Office and Base Camp Mayors assists in developing force protection requirements.
 4. J4/G4 assists with the development of logistic services and base operations support requirements. J4 reviews unit and soldier equipment requests. Requests for unit or soldier equipment should be coordinated with USF-I J4, regardless of validation, in order to ensure that centrally managed items are distributed to ensure the greatest effect.
 5. J6/G6 will review all information management and automation, communication equipment, and communication lease and service requirements.
 6. J7/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 and 25-30. In block 7 the Transition of Authority date of the initiators unit must be included.
- 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:** (For FOO PR&Cs only) The initiator must insert a statement in box 15 of the PR&C notating the paying office that the funds are to be drawn from. The statement should read as follows: "The paying Agent must be funded and cleared through the following finance office only –List Finance Office Here Paying agents may only draw funds and clear through the paying agent listed in block 15 of the DA Form 3953.
- STEP 5:** The initiator obtains signed approval from their chain-of-command (blocks 34-36).
- STEP 6:** 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.

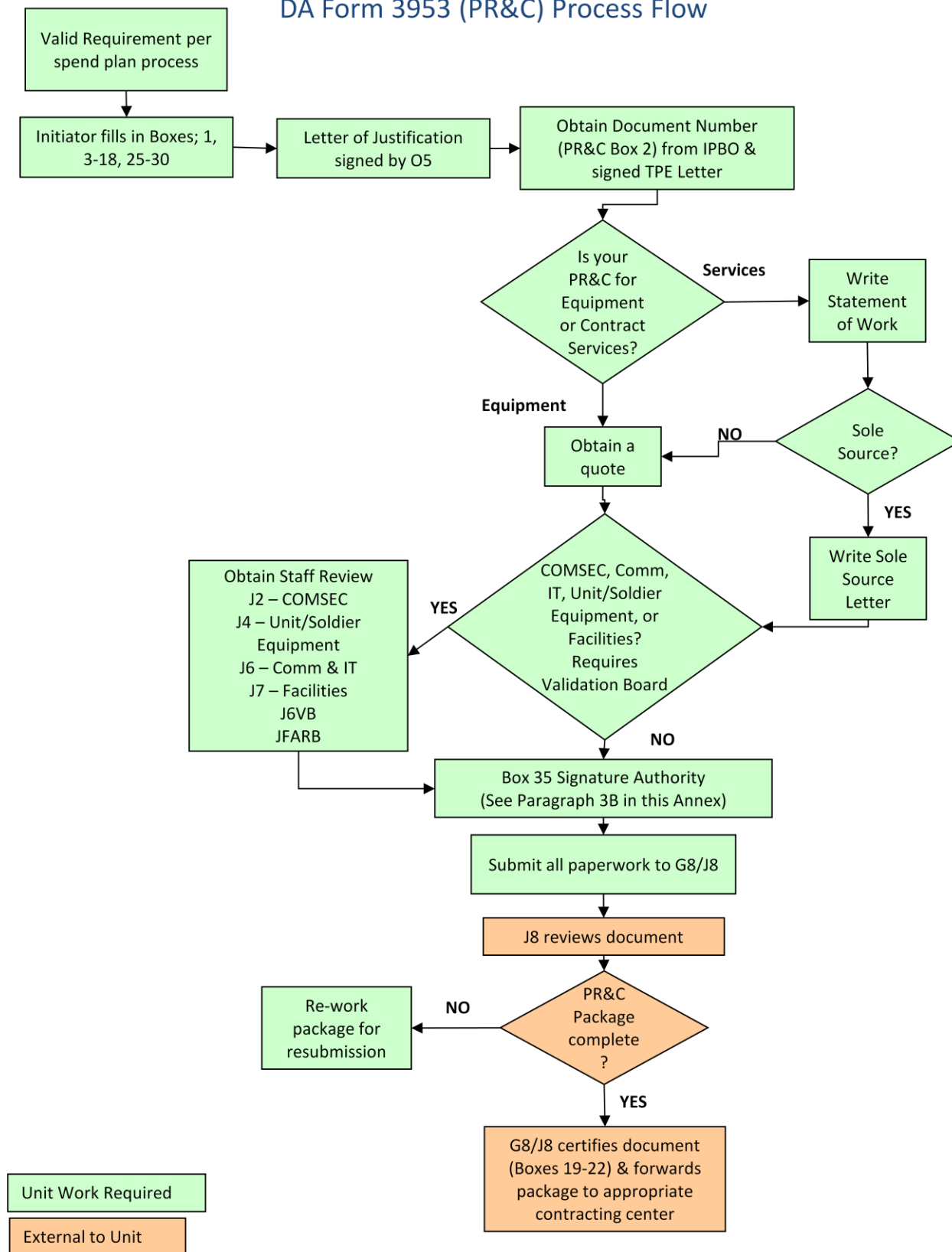
STEP 7: The RM will complete blocks 19-22 and forward the PR&C to the Contracting office. The Contracting Officer will:

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

STEP 8: 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. Wide Area Work Flow is currently required to be used in theater for electronic receiving reports (DD 250s). Electronic DD250s will be submitted through this web based application if unit has available connectivity. 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



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 AR 37-1 (the proposed tagline) & OACA (FBI)</small>		1. PURCHASE INSTRUMENT NO. RM ASSIGNS	2. REQUISITION NO. PBO ASSIGNS	3. DATE	PAGE 1 OF PAGES
4. TO: SUPPORTING CONTRACTING OFFICE HERE		5. 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		SPECIFIC REQUESTING UNIT ADDRESS HERE		9. NOT LATER THAN (Date)	
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		10. NAME OF PERSON TO CALL FOR ADDITIONAL INFORMATION UNIT POC NAME & E-MAIL HERE POC PHONE HERE	
14. ITEM		15. DESCRIPTION OF SUPPLY OR SERVICES		11. TELEPHONE NUMBER	
16. QUANTITY		17. UNIT		12. DATE	
18. ESTIMATED		19. ACCOUNTING CLASSIFICATION AND AMOUNT		20. TYPED NAME AND TITLE OF CERTIFYING OFFICER	
21. UNIT PRICE <i>a</i>		22. TOTAL COST <i>b</i>		23. DISCOUNT TERMS LEAVE BLANK	
24. PER UNIT COST		25. TOTAL COST		26. PURCHASE ORDER NUMBER LEAVE BLANK	
27. TYPE OF UNIT; Month, Feet, etc		28. DELIVERY REQUIREMENTS		29. DISCOUNT TERMS LEAVE BLANK	
29. 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		30. TYPED NAME AND GRADE OF INITIATING OFFICER Initiating officer name here		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. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
38. SIGNATURE		39. DATE		40. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
41. SIGNATURE		42. DATE		43. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
44. SIGNATURE		45. DATE		46. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
47. SIGNATURE		48. DATE		49. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
50. SIGNATURE		51. DATE		52. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
53. SIGNATURE		54. DATE		55. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
56. SIGNATURE		57. DATE		58. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
59. SIGNATURE		60. DATE		61. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
62. SIGNATURE		63. DATE		64. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
65. SIGNATURE		66. DATE		67. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
68. SIGNATURE		69. DATE		70. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
71. SIGNATURE		72. DATE		73. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
74. SIGNATURE		75. DATE		76. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
77. SIGNATURE		78. DATE		79. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
80. SIGNATURE		81. DATE		82. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
83. SIGNATURE		84. DATE		85. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
86. SIGNATURE		87. DATE		88. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
89. SIGNATURE		90. DATE		91. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
92. SIGNATURE		93. DATE		94. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
95. SIGNATURE		96. DATE		97. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
98. SIGNATURE		99. DATE		100. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
101. SIGNATURE		102. DATE		103. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
104. SIGNATURE		105. DATE		106. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
107. SIGNATURE		108. DATE		109. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
110. SIGNATURE		111. DATE		112. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
113. SIGNATURE		114. DATE		115. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
116. SIGNATURE		117. DATE		118. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
119. SIGNATURE		120. DATE		121. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
122. SIGNATURE		123. DATE		124. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
125. SIGNATURE		126. DATE		127. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
128. SIGNATURE		129. DATE		130. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
131. SIGNATURE		132. DATE		133. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
134. SIGNATURE		135. DATE		136. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
137. SIGNATURE		138. DATE		139. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
140. SIGNATURE		141. DATE		142. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
143. SIGNATURE		144. DATE		145. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
146. SIGNATURE		147. DATE		148. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
149. SIGNATURE		150. DATE		151. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
152. SIGNATURE		153. DATE		154. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
155. SIGNATURE		156. DATE		157. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
158. SIGNATURE		159. DATE		160. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
161. SIGNATURE		162. DATE		163. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
164. SIGNATURE		165. DATE		166. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
167. SIGNATURE		168. DATE		169. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
170. SIGNATURE		171. DATE		172. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
173. SIGNATURE		174. DATE		175. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
176. SIGNATURE		177. DATE		178. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
179. SIGNATURE		180. DATE		181. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
182. SIGNATURE		183. DATE		184. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
185. SIGNATURE		186. DATE		187. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
188. SIGNATURE		189. DATE		190. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
191. SIGNATURE		192. DATE		193. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
194. SIGNATURE		195. DATE		196. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
197. SIGNATURE		198. DATE		199. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
200. SIGNATURE		201. DATE		202. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
203. SIGNATURE		204. DATE		205. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
206. SIGNATURE		207. DATE		208. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
209. SIGNATURE		210. DATE		211. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
212. SIGNATURE		213. DATE		214. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
215. SIGNATURE		216. DATE		217. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
218. SIGNATURE		219. DATE		220. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
221. SIGNATURE		222. DATE		223. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
224. SIGNATURE		225. DATE		226. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
227. SIGNATURE		228. DATE		229. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
230. SIGNATURE		231. DATE		232. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
233. SIGNATURE		234. DATE		235. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
236. SIGNATURE		237. DATE		238. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
239. SIGNATURE		240. DATE		241. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
242. SIGNATURE		243. DATE		244. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
245. SIGNATURE		246. DATE		247. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
248. SIGNATURE		249. DATE		250. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
251. SIGNATURE		252. DATE		253. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
254. SIGNATURE		255. DATE		256. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
257. SIGNATURE		258. DATE		259. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
260. SIGNATURE		261. DATE		262. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
263. SIGNATURE		264. DATE		265. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
266. SIGNATURE		267. DATE		268. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
269. SIGNATURE		270. DATE		271. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
272. SIGNATURE		273. DATE		274. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
275. SIGNATURE		276. DATE		277. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
278. SIGNATURE		279. DATE		280. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
281. SIGNATURE		282. DATE		283. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
284. SIGNATURE		285. DATE		286. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
287. SIGNATURE		288. DATE		289. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
290. SIGNATURE		291. DATE		292. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
293. SIGNATURE		294. DATE		295. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
296. SIGNATURE		297. DATE		298. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
299. SIGNATURE		300. DATE		301. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
302. SIGNATURE		303. DATE		304. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
305. SIGNATURE		306. DATE		307. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
308. SIGNATURE		309. DATE		310. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
311. SIGNATURE		312. DATE		313. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
314. SIGNATURE		315. DATE		316. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
317. SIGNATURE		318. DATE		319. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
320. SIGNATURE		321. DATE		322. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
323. SIGNATURE		324. DATE		325. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
326. SIGNATURE		327. DATE		328. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
329. SIGNATURE		330. DATE		331. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
332. SIGNATURE		333. DATE		334. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
335. SIGNATURE		336. DATE		337. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
338. SIGNATURE		339. DATE		340. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
341. SIGNATURE		342. DATE		343. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
344. SIGNATURE		345. DATE		346. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
347. SIGNATURE		348. DATE		349. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
350. SIGNATURE		351. DATE		352. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
353. SIGNATURE		354. DATE		355. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
356. SIGNATURE		357. DATE		358. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
359. SIGNATURE		360. DATE		361. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
362. SIGNATURE		363. DATE		364. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
365. SIGNATURE		366. DATE		367. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
368. SIGNATURE		369. DATE		370. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
371. SIGNATURE		372. DATE		373. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
374. SIGNATURE		375. DATE		376. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
377. SIGNATURE		378. DATE		379. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
380. SIGNATURE		381. DATE		382. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
383. SIGNATURE		384. DATE		385. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
386. SIGNATURE		387. DATE		388. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
389. SIGNATURE		390. DATE		391. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
392. SIGNATURE		393. DATE		394. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
395. SIGNATURE		396. DATE		397. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
398. SIGNATURE		399. DATE		400. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
401. SIGNATURE		402. DATE		403. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
404. SIGNATURE		405. DATE		406. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
407. SIGNATURE		408. DATE		409. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
410. SIGNATURE		411. DATE		412. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
413. SIGNATURE		414. DATE		415. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
416. SIGNATURE		417. DATE		418. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
419. SIGNATURE		420. DATE		421. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
422. SIGNATURE		423. DATE		424. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
425. SIGNATURE		426. DATE		427. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
428. SIGNATURE		429. DATE		430. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
431. SIGNATURE		432. DATE		433. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
434. SIGNATURE		435. DATE		436. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
437. SIGNATURE		438. DATE		439. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
440. SIGNATURE		441. DATE		442. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
443. SIGNATURE		444. DATE		445. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
446. SIGNATURE		447. DATE		448. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
449. SIGNATURE		450. DATE		451. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
452. SIGNATURE		453. DATE		454. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
455. SIGNATURE		456. DATE		457. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
458. SIGNATURE		459. DATE		460. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
461. SIGNATURE		462. DATE		463. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
464. SIGNATURE		465. DATE		466. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
467. SIGNATURE		468. DATE		469. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
470. SIGNATURE		471. DATE		472. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
473. SIGNATURE		474. DATE		475. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
476. SIGNATURE		477. DATE		478. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
479. SIGNATURE		480. DATE		481. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
482. SIGNATURE		483. DATE		484. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
485. SIGNATURE		486. DATE		487. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
488. SIGNATURE		489. DATE		490. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
491. SIGNATURE		492. DATE		493. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
494. SIGNATURE		495. DATE		496. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
497. SIGNATURE		498. DATE		499. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
500. SIGNATURE		501. DATE		502. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
503. SIGNATURE		504. DATE		505. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	
506. SIGNATURE					

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 United States Forces - Iraq (USF-I) Field Ordering Officer (FOO)/Paying Agent (PA) guidelines.

2. REFERENCES.

- A. Joint Contracting Command (JCC) UNITED STATES FORCES – Iraq Acquisition Instructions
- B. 336th Financial Management Center Memorandum SUBJECT: Disbursing SOP # 19 - Policy for Paying Agents Making Disbursements for Detainee Labor
- C. ACEN-TSC-FMC Technical Guidance, Subject: Clearing Paying Agents, dated 10 November 2008.

3. GENERAL INFORMATION.

A. Field Ordering Officers (FOOs) 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 USF-I J8.

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 have pecuniary liability 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 USF-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 and appointment memorandum must be signed by the 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 pecuniary 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 site 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.

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 services provided by day laborers as long as the provided services do not exceed 5 consecutive days. In addition, the services being provided by the day laborers may not be services already provided for in the existing contract. The FOO should contact the supporting office to obtain existing contracts in order to insure this does not happen.)
- 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 USF-I FOO Authorization List. Contact J6 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. Field Ordering Officers and Paying Agents must consider the safety impact of their purchases. The Purchase Authorization list serves as a guide for appropriate items. Items purchased under the "FOO" program must not introduce hazards into the Soldier's living or work area. Product Safety must be considered. If you have questions regarding a purchase, call your program administrator.

X. 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 unit's 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

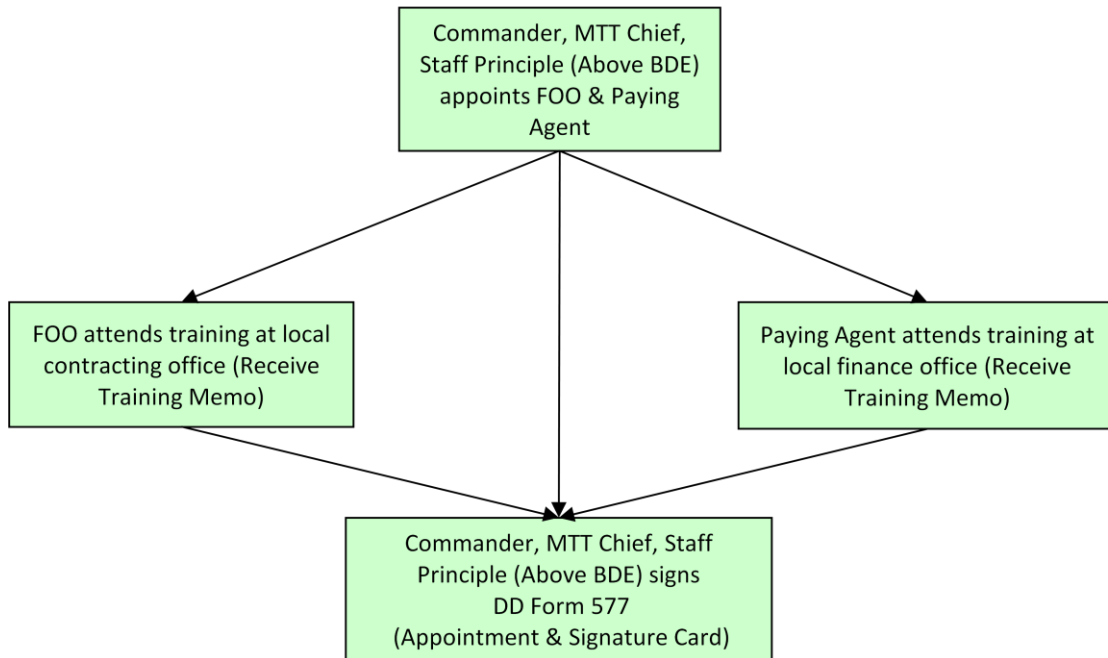


FIGURE 3-2

Bulk Fund Process Flow – Obtaining Funds

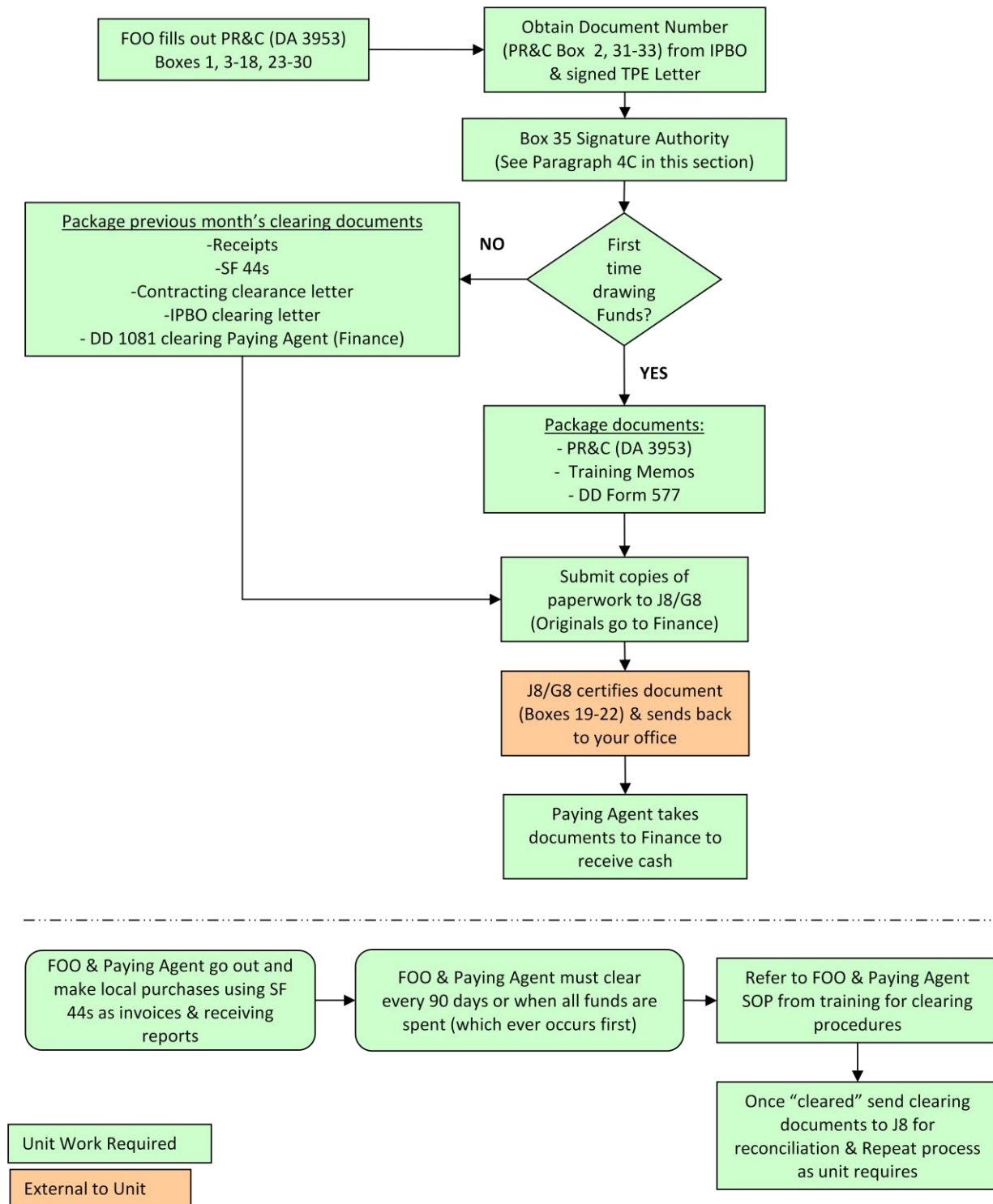


FIGURE 3-3

PR&C for Field Ordering Officer - Bulk Fund

Block 8: Leave Blank

PBO assigns document number

Required Date to Begin Purchases (Not ASAP)

PURCHASE REQUEST AND COMMITMENT <small>For use of the form see AF31-1 (http://www.afpc.afmcc.af.mil)</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: <i>(Check appropriate box and complete item)</i>					10. NAME OF PERSON TO CALL FOR ADDITIONAL INFORMATION Name of POC and alternate			11. TELEPHONE NUMBER Phone #	
12. LOCAL PURCHASES AUTHORIZED AS THE NORMAL MEANS OF SUPPLY FOR THE FOREGOING BY: X					13. REQUESTIONING DISCLOSES NONAVAILABILITY OF ITEMS AND LOCAL PURCHASE IS AUTHORIZED BY: AR 710-2				
EMERGENCY SITUATION PRIOR LONG USE OF REQUESTION CHANNELS FOR SECURING ITEM									
14. ITEM		15. DESCRIPTION OF SUPPLY OR SERVICE		16. 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. 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"/>									
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									
27. TYPED NAME AND GRADE OF INITIATING OFFICER Initiating Officer		28. SIGNATURE // S Initiating Officer				29. DATE Date		34. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE CDR	
30. TELEPHONE NUMBER Contact Information								35. SIGNATURE // S Approving Authority	
31. TYPED NAME AND GRADE OF SUPPLY OFFICER IPBO Name		32. SIGNATURE //Signature of PBO//				33. DATE Leave Blank		36. DATE Date	

DA FORM 335, MAR 91

EDITION OF AUG 76 IS OBSOLETE

LEAPRC200

SAMPLE

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	AMOUNT
<i>ITEMS MUST BE ITEMIZED</i>			
<i>OR ITEMIZED INVOICE ATTACHED</i>			
Hammer	2	\$3.00	\$6.00
Nails	50	\$0.02	\$1.00
AGENCY NAME AND BILLING ADDRESS*		TOTAL	
<i>Finance Office Name & Address</i>		\$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		DATE	
<i>Unit Receiving Official's Title</i>		<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		DATE	
BY, Seller's Signature Here			
<i>Signature</i>			
I certify that this account is correct and proper for payment in the amount of		DIFFERENCE \$	
\$ Value of Goods/Services in US Dollars.		ACCOUNT VERIFIED	
		CORRECT FOR	
Pay Agent Signature Here (Authorized certifying officer)		BY	
		Typed Paying Agent Name	
PAID BY	<input type="checkbox"/> CASH	DATE PAID	VOUCHER NO.
OR (Check 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
FPMR (41 CFR) 101-11.6

UNCLASSIFIED//FOUO

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 site 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 site 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). All MIPR packages must contain the following documents: Letter of Justification, Legal Review, PBO Memo, and a Price Quote.
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 USF-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. USF-I units cannot establish reimbursable accounts. When USF-I units accept MIPRs from other organizations the G8/J8 must forward both the MIPR and the Acceptance to USARCENT to establish the account. The G8/J8 must tell USARCENT what the reimbursement is for and what APC should be reimbursed. USF-I units will not accept MIPRs for third party contracts (e.g., NTV leases for non- USF-I organizations). All MIPRs submitted for equipment or supplies will be accompanied by a PBO memo assigning a document number to the

transaction. The unit receiving the supplies/equipment is required to ensure that items received are then added to their Property Book.

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
7. TO: UNIT BEING REIMBURSED HERE UNIT ADDRESS POC POC PHONE # POC EMAIL				8. FROM: (Agency, name, telephone number of originator) USF-I J8 - Budget Execution ATTN: Your budge rep's name here UNIT#42001 Camp Victory, Baghdad, Iraq APO AE 09342-2001 DSN (318) 485-3907 Email: 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 (Federal stock number, nomenclature, specification and/or drawing No., etc.)		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.		1			
2.	Fund increases are not authorized without prior approval from the USF-I J8 (Resource Management) Office. Exceeding funds provided, without approval, may result in recipient accepting the burden for the amount in excess of this MIPR.					
3.	Submit DD Form 448-2 within 3 working days and provide all copies of all billings or obligating documents to the address indicated in Block #8.					
4.	Please ensure the accounting classification, MIPR number, and APC are annotated on all obligating documents.					
5.	Send MIPR acceptance to: C8_BE@IRAQ.CENTCOM.MIL USF-I J8 (Resource Management) POC. Technical POCs: UNIT SUBJECT MATTER EXPERT HERE DSN: (xxx) xxx-xxxx Email: xxx@xxxx.com					
6.	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.	This is an Economy Act Order IAW CH.12, DFAS IN REG. 37-1 & USC 1535					
8.	Fiscal Year 2010 funds will expire 30 September 2010					
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 ROME/DFAS RO/FPT 325 Brooks Road, 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 G8/J8			
15. AUTHORIZING OFFICER (Type name and title)			16. SIGNATURE		17. DATE	

DD Form 448, JUN 72

PREVIOUS EDITION IS OBSOLETE.

Reset

Adobe Designer 7.0

FIGURE 4-2

ACCEPTANCE OF MIPR					
1. TO (Requiring Activity Address) (Include ZIP Code) SUPPORTING RESOURCE MANAGEMENT OFFICE LIST ADDRESS, PHONE NUMBER AND EMAIL ADDRESS			2. MIPR NUMBER MIPR NUMBER FROM DD 448		3. AMENDMENT NO.
			4. DATE (MIPR Signature Date)	5. AMOUNT (As Listed on the MIPR) \$1,000.00	
6. The MIPR identified above is accepted and the items requested will be provided as follows: (Check as Applicable)					
a. <input type="checkbox"/> ALL ITEMS WILL BE PROVIDED THROUGH REIMBURSEMENT (Category I) b. <input type="checkbox"/> ALL ITEMS WILL BE PROCURED BY THE DIRECT CITATION OF FUNDS (Category II) 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. a	QUANTITY b	ESTIMATED PRICE c	ITEM NO. a	QUANTITY b	ESTIMATED PRICE c
		\$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 (Check if Applicable)					
a. <input type="checkbox"/> ADDITIONAL FUNDS IN THE AMOUNT OF \$ _____ ARE REQUIRED (See Justification in Block 13) b. <input type="checkbox"/> FUNDS IN THE AMOUNT OF \$ _____ ARE NOT REQUIRED AND MAY BE WITHDRAWN					
13. REMARKS					
14. ACCEPTING ACTIVITY (Complete Address) 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. USF-I operates on a quarterly funding cycle. Units submit a spend plan to J8 for the next quarter's anticipated requirements. After funds are distributed the unit prepares the appropriate requisition forms and forwards to their G8/J8 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.

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. Forecast only the quarter's requirements and not the entire annual amount of large contracts. Put entire amount of requirement in comments.

Note: Iridium phones are centrally managed at USF-I J6. Units with an approved ONS and JFARB will submit their Iridium phone requirements to the Iridium phone manager at J6 for inclusion on the J6 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 units spend plans for the upcoming quarter is normally due to the USF-I J8 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 J8 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 USF-I J8 compiles a comprehensive spend plan and presents it to the USF-I Chief of Staff (CoS) for approval, disapproval, or deferral.
- H. If approved by the USF-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 **RMDI3S 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 J8 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 USF-I J8 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 USF-I J8 with respect to USF-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 USF-I Chief of Staff through J8 (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 J8 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 J8 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 J8 after consulting with the requirements owner.
3. Funds increases for requirements from prior fiscal years must be submitted to ARCENT for funding. USF-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

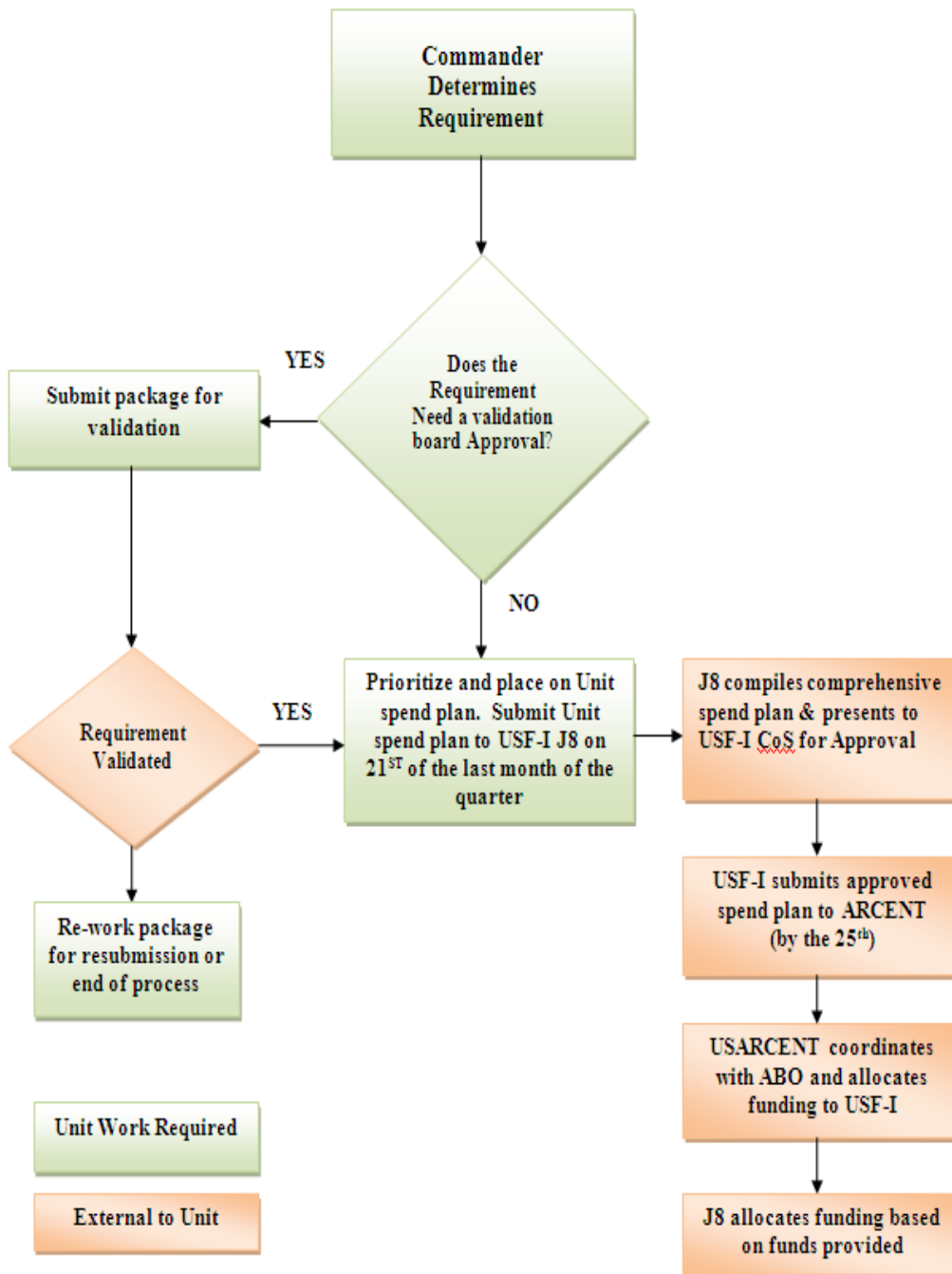


FIGURE 2



HEADQUARTERS
UNITED STATES FORCES - IRAQ
BAGHDAD, IRAQ
APO AE 09342

REPLY TO
ATTENTION OF

Unit office symbol

8 January 2009

MEMORANDUM FOR United States Forces-Iraq. ATTN: USF-I Chief of Staff

SUBJECT: Request for Out of Cycle Funding CJ081234 [or J6VB# C-08-240-03]

1. This is a request for \$500,000 to accomplish (what). Explain requirement so the USF-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 XXXXXX 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
2. References
3. Guidelines

1. **PURPOSE.** To outline USF-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

3. **GUIDELINES.**

- A. 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 circumvent 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
2. References
3. Applicability
4. General
5. Unauthorized Uses
6. Subordinate Unit Responsibilities
7. Accountability of Coins Awarded

1. PURPOSE. This policy governs the purchase and award of unit coin medallions by USF-I Commanders and Leaders as a device to recognize personal achievements.

2. REFERENCES.

- A. Title 10, U.S.C. 1125
- B. Title 5, U.S.C. 4503
- C. 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.

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 USF-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). This section of the MAAWs is like most of the MAAWs is based on appropriations law, and violations are not of policy, but federal law.

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. USF-I staff sections may request USF-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 USF-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.

	<u>Pre-Authorized</u>	<u>Needs USF-I CG approval</u>
Battalion	up to \$2,000 *	up to \$5,000*
Brigade	up to \$5,000 *	up to \$7,500*

- **Not to exceed \$7.00 per coin**

- 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. United States Divisions 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 USF-I approval. The stated limits cover all coins purchased by a unit 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 limits must be approved by the appropriate Commander (See Table 6-1). Submit requests to appropriate Commander (USF-I), (ATTN: J-8, Comptroller) for review and appropriate staffing.
 - D. All USF-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 USF-I Comptroller. The report at a minimum will address the following items: name of individual who received coin, date, and short description of event or action,
- 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 USF-I policy and procedures pertaining to the purchase of furniture and appliances.
2. **GENERAL.** USF-I is beyond the initial basing stage in Iraq and in beginning its initial phase for Reduction of Forces. 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.
3. **GUIDELINES.**
 - A. Initial requests for furniture purchase and exceptions to guidance over \$1,500 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 Deputy Chief of Staff, respectively. For USF-I staff sections and separate brigades, the justification letter must be signed by the USF-I SJA and Chief of Staff, respectively. None of the above mentioned items are authorized for personal use in living quarters without legal justification.
 - 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 USF-I policy and procedures pertaining to conducting Fiscal Year End Closeout
2. **REFERENCES.**
 - A. USARCENT FY10 Year End Guidance
 - B. USF-I FY10 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 closeout 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 USF-I J8 in June; it layouts the concept of operations and event timelines.
 - B. JCC-I/A will publish a timeline with suspense 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 owner's 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, USF-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 PIO 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 USF-I J8.

Figure 9-1
FUND Overview

As of: 20000 3 Sep 08

<p>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>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>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>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

PR&Cs

Commits w/o Obs

Last Report

Total PR&Cs -	149
PR&Cs Obligated -	19
PR&Cs Remaining -	130
Total UnOBL Value -	\$20,079,762

PR&Cs

Commits w/o Obs

This Report

Total PR&Cs -	130
PR&Cs Obligated -	15
PR&Cs Remaining -	115
Total UnOBL Value -	\$20,723,001

PR&Cs

Commits ≠ Obs

Last Report

Total PR&Cs -	2
PR&Cs Obligated -	0
PR&Cs Remaining -	3
Total UnOBL Value -	\$35,578

PR&Cs

Commits ≠ Obs

This Report

Total PR&Cs -	3
PR&Cs Obligated -	1
PR&Cs Remaining -	2
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

As of: 20000 3 Sep 08

CERP Open PR&Cs

PR&Cs Commits w/o Obs	Last Report		This Report	
	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
PR&Cs Commits ≠ Obs	Last Report		This Report	
	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.				

Figure 9-2
Recommended Year end close timeline

Year end Close tracker of Master Events list		
15 Days prior	NLT Date	Event description
16-Jun	1-Jul	Last day to submit FY09 JFARB > \$10M to J8
21-Jun	6-Jul	Approved 4 th Quarter Spend Plan released back to units
26-Jun	11-Jul	Start running weekly RMT/ODS funds status reports
16-Jul	31-Jul	All Spend Plan PR&Cs >\$11.5M submitted to contracting
16-Jul	31-Jul	Cut-off for Task Orders (Multiple Award IDIQ)
17-Jul	1-Aug	MSCs and Separates provide UFR list to J8
31-Jul	15-Aug	Year End TRIAD #1 with JCC-I/A, RMs and FMs
31-Jul	15-Aug	Cut-off for Spend Plan PR&Cs \$1M - \$11.5M (to be submitted to contracting)
3-Aug	18-Aug	Validate all obligations by reconciling doc registers, ODS, and files
4-Aug	19-Aug	MSCs begin weekly status reporting of Open Contracts and MIPRs to J8
10-Aug	25-Aug	Cut-Off for Spend Plan PR&Cs \$25K < \$1M (to be submitted to contracting)
12-Aug	27-Aug	MSCs weekly status report of Open Contracts and MIPRs to J8
14-Aug	29-Aug	RMs begin internal daily status of funds tracking
16-Aug	31-Aug	Review/reconcile ULOs and NULOs (ARCENT to obligate NULOs up to 28 Sep)
17-Aug	1-Sep	Last date to submit FY09 JFARBs < \$10M to J8
17-Aug	1-Sep	Submit all remaining FY09 CC-35s to J4
17-Aug	1-Sep	Cut-Off for Task Orders (Single Award IDIQ)
19-Aug	3-Sep	MSCs weekly status report of Open Contracts and MIPRs to J8, ID excess \$'s
20-Aug	4-Sep	FLASH report due (Subsequent dates 11, 18, 25 Sep NLT 1300Z)
21-Aug	5-Sep	Year End TRIAD #2 with JCC-I/A, RMs and FMs
26-Aug	10-Sep	ORF / ICF Managers submit final FY09 requirements
26-Aug	10-Sep	MSCs consolidate and minimize Rewards and CERP bulk funding
26-Aug	10-Sep	MSCs weekly status report of Open Contracts and MIPRs to J8, ID excess \$'s
27-Aug	11-Sep	Cut-Off for all BPA Calls/Orders
27-Aug	11-Sep	Close out all inbound MIPRs, return any excess funds to originator
27-Aug	11-Sep	FLASH report due
28-Aug	12-Sep	Year End TRIAD #3 with JCC-I/A, RMs and FMs
31-Aug	15-Sep	All Reimbursables Closed
31-Aug	15-Sep	Cut-Off for all Micro Purchases (Below \$25K)
2-Sep	17-Sep	MSCs weekly status report of Open Contracts and MIPRs to J8, ID excess \$'s
2-Sep	17-Sep	Last use of GPC Cards for FY09
3-Sep	18-Sep	FLASH report due
4-Sep	19-Sep	Year End TRIAD #4 with JCC-I/A, RMs and FMs
5-Sep	20-Sep	Begin two STANFINS cycles per day (1 – AOR centric, 1 – CONUS centric)
6-Sep	21-Sep	Units submit FY10 Q1 Spend Plan to J8
8-Sep	23-Sep	FOO/PA turn-in and clearance deadline (includes OMA,CERP Bulk Funds,ICF,and Rewards) - Units provide rosters of all FOO/PA (Clear all Bulk Funds) (Note: Blackout through 6 OCT)
9-Sep	24-Sep	MSCs weekly status report of Open Contracts and MIPRs to J8, ID excess \$'s
10-Sep	25-Sep	Cut-off for non-emergency TDY orders
10-Sep	25-Sep	Begin three STANFINS cycles per day
11-Sep	26-Sep	FLASH report due
11-Sep	26-Sep	Submit any FY09 obligations that will not cycle thru in time to ARCENT
12-Sep	27-Sep	Final FY09 Stock Fund run (only 'walk thru' call-ins to ARCENT)
10-Sep	25-Sep	FLASH report due
12-Sep	27-Sep	TRIAD #5 with JCC-I/A, RMs and FMs
13-Sep	28-Sep	Final Theater RMT input—all further input done by ARCENT (1800 EST)(0200 Iraq time on
14-Sep	29-Sep	Review SOF after each STANFINS cycle until release by USF-I J8
21-Sep	6-Oct	Release of approved FY10 Q1 Spend Plan to J8 (RAD dependant)
25-Sep	10-Oct	Final FY09 CSS to ISF Report due to USF-I C4
27-Sep	12-Oct	Annual Unit Coin Purchase Reports due to J8
30-Sep	15-Oct	Closeout FY09 bulk funds that were retained by approved exception to policy
15-Oct	30-Oct	All obligating documents supporting MODs due to J8

Defense Travel System (DTS)

CONTENTS

1. Purpose
2. References
3. General

1. PURPOSE. To outline United States Forces – Iraq (USF-I) Temporary Duty guidelines for DTS use.

2. REFERENCES.

- A. Training for DTS use is available at: <http://www.defensetravel.osd.mil> left side of the page click on the link for training.

3. GENERAL.

Implementation of DTS will allow travelers to be paid in 2-3 days, as opposed to weeks. As of 1 January 2010 TDY Travel by the USF-I staff will be accomplished in DTS. In addition to the instruction in Appendix A (TDY) of the MAAWS the following steps will need to be done to use DTS.

The traveler will have to:

1. Have a valid Government Travel Card
2. Be released in DTS by home station unit (call or E-mail ODTA)
3. Send USF-I, J8 Full name and SSN
4. USF-I, J8 will receive person in DTS and put them in Iraq DTS
5. Once received into Iraq DTS traveler will log on to: <http://www.defensetravel.osd.mil>
 - a. Create order in DTS
 - b. Print one copy of the order before digitally signing the order
 - c. Have the hard copy of the order signed in block 20 by the USF-I, Chief of Staff.
 - d. Upload the signed copy 1610 as a substantiating records into the DTS order (fax or upload)
 - e. Digitally sign the order in DTS and it will be forwarded to J8 for review / approval

DTS will not be used for the following types of travel orders. These types of TDY orders will continue to be completed using the manual method outlined in the MAAWS:

1. TDY in conjunction with R&R leave
2. Group Orders
3. Invitational Travel Orders
4. Blanket Travel Orders

LAND LEASE PAYMENTS

1. **PURPOSE:** To outline the USF-I policy and procedures pertaining to the payment of land leases. Contact USACE/PIO for specific guidelines on land lease procedures.
2. **REFERENCES:**
 - A. (U) GRD Real Estate Standard Operation Procedure for Processing Real Estate Claims dtd 12 Apr 09.
3. **GENERAL:** Current year lease payments will be paid through the normal current year funding process. Prior year lease payments require USF-I J8 funds certification and ARCENT obligation. The following is the standardized process required to validate and pay Iraqi land owners for rent owed for current and/or prior years. See Figure 1. This process crosses multiple staff sections and organizations, and often is not processed timely. Many leases have remained unpaid for years. It is incumbent on the Requirements Owner (RO) to not lose track of where the request is located. Claims officers, Gulf Region Division (GRD) for CORPS of Engineers, J8, J7, SJA, and the submitting unit are all involved in the lease payment process. J8 on its SharePoint portal keeps a log of all prior year leases, and the list is updated by GRD and is the agreed upon master log of where the lease is currently being staffed. Ultimately a land lease payment is a claim against the U.S. government and is process through the claims process. The property must first have no open damage claims against it before the lease process can be completed. Record keeping is also critical so duplicate payments are avoided for the same property.
4. **GUIDELINES:**
 - A. Property owner initiates claim through the unit's claim officer. The claims officer will determine if qualifies under the Foreign Claim Act or rent. Documentation will contain:
 1. Original signed claim (SF 95)
 2. The Unit level Claims officer (SJA) will provide a Memorandum of Opinion.
 - C. Requirement Owner will complete package for submission for SJA legal review. Package will contain:
 1. One DA3953 (PR&C) per fiscal year. It is permissible to have multiple leases listed on one PR&C. Each must be listed separately and clearly identify (see Figure 2):
 - i. Fiscal Year
 - ii. Lease number
 - iii. Land area name
 - iv. Lot number
 - v. Period of lease
 2. Letter of Justification
 3. Unsigned lease

4. Memorandum of Opinion verifying the claim to be paid as a lease.
- D. After SJA performs a legal review, the package is returned to the Requirement Owner. If the total is greater than the JFARB (>\$99,999 separates & >249,999 for Divisions) threshold then the requirements requires JFARB approval. Refer to Appendix J for JFARB process and more information.
- E. If the package does NOT require JFARB approval, the requirement owner will submit package to their Resource Manager for current year PR&C certification. If it is prior year, USF-I J8 for certification. J8 will certify the PR&C and forward a copy to ARCENT.
- F. Once certified, the package is returned to the RO for SJA Coordination.
- G. PIO will then do a final review and determine the final lease amount and payment type.
- H. The final lease is added to the package and forwarded to SJA for coordination.
- I. The RO will contact the claimant make arrangements for the land owner and PIO to sign the lease.
- J. Signed lease is added to package and forwarded to PIO
- K. Package is forwarded to USF-I J8 for obligation. Package at this time will include:
 1. Final signed lease
 2. One DA3953 (PR&C) per fiscal year. It is permissible to have multiple leases listed on one PR&C. Each must be listed separately and clearly identify the complete lease number and lot numbers. See Figure 2.
 3. Letter of Justification
 4. Memorandum of Opinion
 5. Any other supporting documentation
- L. Current year PR&Cs will be obligated by the regular obligating office. Prior year obligation will be forwarded to ARCENT for obligation.
- M. After obligation by ARCENT, J8 will notify the RO funds are available for payment. The RO will coordinate with Finance for either cash or EFT payment, and make payment to the claimant/landowner.
- N. After payment, RO will forward payment documentation to J8 and PIO to close out the lease file.

FIGURE 2

PURCHASE REQUEST AND COMMITMENT For use of this form, see AR 37-1; the proponent agency is OASA(FM)		1. PURCHASE INSTRUMENT NO.		2. REQUISITION NO.		3. DATE		PAGE OF PAGES	
4. TO:		5. THRU:		6. FROM:					
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)		11. TELEPHONE NUMBER	
<input type="checkbox"/> 12. LOCAL PURCHASES AUTHORIZED AS THE NORMAL MEANS OF SUPPLY FOR THE FOREGOING BY		<input type="checkbox"/> 13. REQUISITIONING DISCLOSES NONAVAILABILITY OF ITEMS AND LOCAL PURCHASE IS AUTHORIZED BY				10. NAME OF PERSON TO CALL FOR ADDITIONAL INFORMATION			
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.)									
<input type="checkbox"/> 12. LOCAL PURCHASES AUTHORIZED AS THE NORMAL MEANS OF SUPPLY FOR THE FOREGOING BY		<input type="checkbox"/> 13. REQUISITIONING DISCLOSES NONAVAILABILITY OF ITEMS AND LOCAL PURCHASE IS AUTHORIZED BY				10. NAME OF PERSON TO CALL FOR ADDITIONAL INFORMATION			
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				
1	FYXX Land Lease Payment (AREA NAME) XX Lease # Lot#	XX	MO	(monthly rent)	(total)				
2	(DD MMM YY to DD MMM YY) FYXX Land Lease Payment (AREA NAME) XX Lease # Lot#	XX	MO	(monthly rent)	(total)				
SUBTOTAL (if more than one page)					SUBTOTAL amount PR&C total (last pg)				
TOTAL									
LIN : NSN :									
25. THE FOREGOING ITEMS ARE REQUIRED NOT LATER THAN AS INDICATED ABOVE FOR THE FOLLOWING PURPOSE									
27. TYPED NAME AND GRADE OF INITIATING OFFICER		28. SIGNATURE		29. DATE		34. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE		35. SIGNATURE	
30. TELEPHONE NUMBER									
31. TYPED NAME AND GRADE OF SUPPLY OFFICER		32. SIGNATURE		33. DATE					
20. TYPED NAME AND TITLE OF CERTIFYING OFFICER 21. SIGNATURE 22. DATE 23. DISCOUNT TERMS 24. PURCHASE ORDER NUMBER 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									
19. ACCOUNTING CLASSIFICATION AND AMOUNT FUND CERTIFICATION 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.									

EDITION OF AUG 76 IS OBSOLETE

APD PE v2.02ES

DA FORM 3953, MAR 1991

RESOURCE MANAGEMENT DOCUMENT INTEGRATED INFORMATION INTERFACE SYTEM (RMDI³S) CONTENTS

1. Purpose
2. References
3. Responsibilities

1. **PURPOSE:** To provide guidance and establish procedures in funding and requirement requests via the RMDIIS document management system. USF-I operates on a quarterly funding cycle. Units submit requests quarterly and on an emergent basis via out of cycle requests. Each requirement requires several documents for submission, funding, contracting and final payment.

2. **REFERENCES:**

- A. USF-I FRAGO 0062 to USF-I OPORD 10-01, dtd 29 Dec 09.

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

- A. Commander determines requirements for their units and directs unit RM to request for funding via the RMDIIS document management system.
- B. Units coordinate with RMDI3S action officer to gain access and submit spend plan to J8. Access instructions are located on the USF-I Web Portal under the J8 tab or see USF-I FRAGO 0062.
- C. Spend plans will be submitted through RMDI3S IAW MAAWS, NLT 21st of the last day of last month of each quarter.
- D. Unit must determine if the requirement necessitates JFARB, approval, (see Requirements Validation, Appendix J), prior to submission of funding request via the spend plan. The requirement may be forecasted for consideration at the beginning of the quarter without prior JFARB approval for J8 visibility and tracking purposes. Once approved include validation number in updated RMDIIS requirement line.
- E. **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
- F. **THE REQUIREMENT OWNER IS RESPONSIBLE FOR HIS REQUIREMENT FROM START TO FINISH.** All documents required via RMDIIS are the sole responsibility of the requirement owner.

- G. Budget Analysts reviews required documents and prepares it for certification. Ensuring all documents are properly signed and attached to the requirement in RMDIIS
- H. Certifying Official will review and certify applicable funds previously allocated for the requirement.
- I. Unit RM will contact the attending contracting officer to make the purchase and obtain a copy of the contract in order to ensure compliance.
- J. Cost Analyst at the J8 and unit levels will be able to extract financial and non-stock fund purchase data reports for the Commander.

4. RMDIIS CHECKLIST:

- A. Requirement Submission: The J8 RMDIIS web portal is the resource for proper requirement submission. See spend plan section for funding consideration requirements.
- B. Validation: Refer to Requirement Validation section for proper validation procedures. (see Requirements Validation, Appendix J)
- C. Required document submission for PR&C, FOO and MIPR requirements shall be directed by the RMDIIS document management tool.
- D. Out of Cycle Requests will be submitted in accordance with spend plan out of cycle requirement procedures outlined in the spend plan section.
- E. Contracting requirements are prescribe by the Joint Contracting Command Iraq/Afghanistan (JCCI/A). Refer to JCCI/A procedures for contracting requirements. All required documents will be input via the RMDIIS document management tool.
- F. Vendor payments will be accomplished via DFAS and FMCO units.

User Level Access to RMDI³S









User	 Customer; Brigade or Higher	 Budget Analyst	 Certifying Official	 Cost Analyst	 Comptroller	 Program Manager	 Program Director	 Contracting Officer
Description	Unit- to Match the spend plan requirement and submit the documents to fund the items. Restricted access to only View Approved Spend Plan data. Based on UIC	Capabilities should have input raw data if missing or correct and to review submitted Documents.	To review and certify that the money has been allocated for the requirement. Should have ability to view and Commit the Funds from the working Spend Plan.	to have the capability to extract reports and view RM Offices business on the working Spend Plan.	to have the capability to fund items of a high but limited threshold with the RM offices scope of view.	to have the capability to view, pull reports, and certify amounts at a high Dollar threshold of any RM Office.	Only one user will have this access and this is the MNC-I Comptroller as the Program Director access will have the capability to certify amounts over \$10 million dollars. They will carry the abilities as the same of the Program Manager.	To have the Capability to Review and constant update of the status of the funded requirement until the Requirement has been completed funded items that are forwarded to the Contracting Office.
Submit documents	●							●
Submit Spend Plan	●							
RM Specific access	●	●	●	●	●			
Reporting Access				●	●	●	●	●
Certifying ability; must establish a business rule based on amount allowed/limit*				●	●	●	●	
RDD ability; to create or increase Initial_Funding field					●	●	●	
RAD ability; to feed Monetary Amounts to RM Offices				●		●	●	
Input into RM Fields		●			●	●	●	
Input into Contracting Fields						●	●	●
Reject Function: ensure Customer is notified and Budget Analyst		●	●		●	●	●	

FIGURE 1

COMMANDERS' 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: "Commanders' Emergency Response Program (CERP) Guidance," dated 16 Jan 2009
 - 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, January 2009, Commander's Emergency Response Program (CERP) and its annexes.
 - E. Department of Defense Financial Management Regulation Volume 5, Chapter 2, October 2008, "Disbursing Officer, Officers and Agents"; Chapter 3, February 2009, "Keeping and Safeguarding Public Funds"; Chapter 11, March 2009 "Disbursements"; Chapter 33 April 2005, "Accountable Officials and Certifying Officers"; and Volume 10, Chapter 8, December 2009, "Commercial Payment Vouchers and Supporting Documents."
 - F. MNC-I, Acquisition Instructions for Ordering Officers, April 2006

- G. Disbursing Policy # 3 – Funding and Clearing of Paying Agents (PA), 21 July 2009
- H. 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
- I. USF-I FRAGO 09-0045, Implementation of E-Commerce and Reduction of Cash In Theater, 27 Dec 2009

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. Major Subordinate Command (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.
 - 1. MSCs are defined as any United States Division and Combined Joint Special Operations Task Force-Arabian Peninsula (CJSOTF-AP)
- B. The United States Forces – Iraq (USF-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 and reconstruction 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. Sustainable projects that 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 trucks 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 (exceptions: 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 institutions.
13. Purchasing goods or services from any US trade-sanctioned nation.
14. Stipends for trainees of CERP-funded education or training programs.
15. Service agreements/contracts that address an urgent humanitarian need are limited to a 90 day period of performance unless approved by the USF-I Deputy Chief of Staff (DCoS). The agreement/contract cannot be extended beyond 90 days nor can a new agreement/contract be let to address the same or substantially similar requirements. This prohibition does not apply to contract guards such as Sons/Daughters of Iraq."

3. PROGRAM MANAGEMENT

- A. The USF-I Deputy Commanding General for Operations [DCG-O], has theater oversight of CERP, shall publish guidance identifying objectives/goals, and coordinate reports to higher authorities. The USF-I DCG-O 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-governmental organization, or other aid or reconstruction resources are not reasonably available before CERP funds are used.
- B. The overall program coordinator is the USF-I J8. 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 (J7 & J9) when developing CERP distribution proposals.
- C. The CERP program has three primary components: Humanitarian Assistance, Condolence/Battle Damage payments, and Reconstruction.

1. Humanitarian Assistance. USF-I J9 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. USF-I J9 will measure effects of the CERP program on the local populace.
2. Condolence or Battle Damage payments. The Condolence/Battle Damage payments functional program manager is the USF-I J8.
3. Reconstruction. The reconstruction functional program manager is the USF-I J7. It is primarily responsible for reconstruction reporting, policy, monitoring of reconstruction projects, and overall tracking of reconstruction efforts.

4. PROGRAM OVERVIEW

- A. CERP 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, embedded Provincial Reconstruction Teams (e-PRTs), 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 Provincial Reconstruction and Development Committees (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.
 3. For those projects that incur operating or sustainment costs and are equal to or greater than \$50K, signed documentation by the applicable Iraqi Government official (either local, provincial, or national) acknowledging responsibility and his/her commitment to sustain this project must be obtained. When possible, the documentation must include the estimated annual sustainment cost (operations and maintenance). The 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 budget for and fund operating costs or maintain the investment then do not fund the project. The documentation can be in the form of a Letter of Sustainment signed by a Gol official or a Sustainment MOA signed by the Gol official and the Unit Representative. The vendor will not be included in the Sustainment MOA; a separate MOA will be used to contract for services and supplies.
4. If a Sustainment MOA is used, the following two clauses must be inserted into the document word for word.
 - 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."
 5. Commanders should consult with the Gol on all major construction projects.
- C. USF-I MSCs have approval authority for projects less than \$500K. This authority may be delegated in writing to Brigade and Battalion Commanders at the MSC discretion. The USF-I DCG-O approves projects equal to or greater than \$500K and up to \$1M.
- 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. No contract for services will exceed 90 days unless approved by the USF-I DCoS. An example of a service contract would be a project to rebuild a school which included purchasing computers and 90 days of internet service for the computers.
- 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 for reconstruction projects or when the technical complexity or the scope of the

project exceeds the abilities of the PPO. It is recommended that warranted Contracting Officers be used when possible. 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 standards as agreed upon in the Memorandum of Agreement (MOA) (see example MOA at Annex B-21). The Statement of Work (see example SOW at Annex B-22) will be referenced in the MOA and contain the standards to which the vendor must adhere.

F. Methods for payment are as follows:

1. All new CERP contracts and MOAs with local vendors will be written and paid in Iraqi Dinar. U.S. dollars will only be used for operational payments. Operational payments are defined as condolence or battle damage payments. Operational payments using US dollars must be approved in writing by an O-5 or higher commander certifying the use of US dollars as mission essential. **Please reference Annex B-23 for USARCENT's guidance on the utilization of foreign currency budget rates to determine proper obligation amounts for contracts and MOAs written in Iraqi Dinar.**
2. Acceptable forms of payment in order of priority are: 1) Electronic Funds Transfer (EFT); 2) Limited Depository Account (LDA) checks; 3) paying agent stored value card (when available); 4) Iraqi dinar in cash.
 - a. The payment method used will be the first available method in order of preference as defined above.
 - b. The contract or MOA will include the payment method.

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 CERP funding limitations is prohibited.
 1. Projects equal to or greater than \$500K require approval by the USF-I DCG-O. In addition, 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 Gol and for the sustainment of any completed facilities, including the commitment by the Gol to sustain projects.
 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 obligated less than \$1M of appropriated CERP funds, but which now requires additional funding which will take the total appropriated CERP amount over \$1M must be approved by SECDEF before additional CERP funds can be obligated.
4. Projects are capped at \$2M. The SECDEF may waive this funding limit if he/she determines that the project is required to meet urgent humanitarian relief or reconstruction requirements that will immediately assist the Iraqi people. He/She 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. This must be addressed in the letter of justification and detailed in a separate cost sharing arrangement memorandum.
 - a. To determine whether a contribution from the GOI qualifies as cost sharing, determine the total value of the CERP project if the USG were to execute the project without any contribution from the GOI. In order to be considered cost sharing, the GOI contribution must reduce this overall project cost. Sustainment costs agreed to be paid by the GOI does not constitute cost sharing. Commanders and PPOs should attempt to structure cost sharing arrangements in such a manner that GOI contributions are up front where possible. This tactic will ensure large projects have GOI buy-in prior to the expenditure of US funds.
 - b. The cost sharing arrangement must be in the form of a memorandum and must be signed by the unit representative and a GOI official who has the authority to approve the expenditure of GOI funds for the applicable project. In addition, the memorandum will specifically detail which project aspects will be funded by the GOI and the amount associated with each of those aspects.
6. Projects greater than \$950K should include a project descoping plan that may be executed in the event of cost increases which would bring the total cost of the project over \$1M. The descoping plan should identify facets or components of the project that may be removed or down sized to decrease cost, while still meeting the overall intent of the project. Because CERP funds are intended for small-scale projects, the SECDEF has historically been opposed to projects greater than \$1M and a descoping plan hedges against potential project cancellations for projects with original cost close to \$1M as a result of cost increases.

7. In order to meet operational objectives and complete projects prior to the completion of the drawdown of U.S. forces in Iraq Commanders should consider factors other than cost when approving projects. See Annex 1 for further guidance on other factors to consider for project selection and suggested approval authorities.

B. CERP approval threshold matrix

Item	Limit	Approval Authority	Can be delegated?
Project Approval	<\$500K	MSC Cdr	Yes
Project Approval	≥\$500K up to \$1M	USF-I DCG-O	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 per **incident; not to exceed \$10K per event	BDE Cdr	Yes
Condolence/Battle Damage Payments	Up to \$10K per incident; not to exceed \$50K per event	First G.O. in Chain of Command	No
Condolence/Battle Damage Payments	>\$10K per incident; >\$50K per event	USF-I DCG-O	No
Battle Damage Payments (when IA/IP actions caused damage)	Dollar amount of damage	USF-I DCG-O	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. in Chain of Command	No
Iraqi Hero Payment (non IA/IP Civ)	Up to \$10K	MSC Cdr (All Separate BDEs must seek approval from USF-I DCoS)	No
Micro Grants	Up to \$5K	BDE Cdr	Yes
Micro Grants	>\$5K up to \$10K	MSC Cdr	No
Micro Grants	>\$10K	USF-I DCG-O	No

****Incident is defined as each injury or death that results from a single event.**

6. REQUESTS FOR CLARIFICATION/EXCEPTION

- A. Utilize the chain of command to send requests for clarification to the USF-I J8 or to the respective functional program managers as identified above.
- B. If a request for exception to this policy is required; submit to the USF-I DCoS through USF-I J8, who will staff for 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 (I-CERP, 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.

B. Special Uses for CERP

1. **Condolence**

- a. CERP authorizes payments for death or injury in amounts generally up to \$2.5K. This means for each death and each injury 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 typically receive a maximum of \$5K in payment - \$2.5K for each death (\$5K). Extraordinary cases may be approved by the 1st GO in the chain of command for payments up to \$10K per incident not to exceed \$50K per event. This authority cannot be delegated. See approval threshold matrix for details on payment amounts.
- 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 (FCA) prior to using CERP for condolence payments and make a good faith effort to determine that a claim under the FCA is not currently pending. This verification must be noted in the Letter of Justification. 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 to as such. In addition, condolence payments are only for Coalition/US Force-caused incidents.

2. Battle Damage Payments

- a. CERP authorizes payments for battle damage in amounts generally up to \$2.5K. This means for each incident of property damage CERP funds can be used to pay the family. For example, the head of household could receive a \$2.5K for the damage to their vehicle when it is hit by US forces. Extraordinary cases may be approved by the 1st GO in the chain of command for payments up to \$10K per incident and not to exceed \$50K per event. This authority cannot be delegated. See approval threshold matrix for details on payment amounts.
- b. Battle damage for Iraqi Army (IA)/Iraqi Police (IP) caused damage may be approved on a case by case basis by the USF-I DCG-O. This authority cannot be delegated.

3. 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 Force-caused incidents. 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 (MoI) 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 MoI/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) on a case by case basis and only in extraordinary circumstances. This authority cannot be delegated.
- d. All claims must be reviewed by a claims attorney in order to determine whether CERP funds will be used for payments.

4. Former Detainee Payments

- a. Payments to individuals upon release from USF-I non-Theater Internment Facilities are authorized. The detainee is eligible to receive \$6 per day, but must be present in the detention facility for at least twenty-four hours in order to qualify for this payment.
- b. Detainees transferred to a TIF are ineligible for payment.
- 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.

5. 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 US dollars. See Annex 16 for CERP Disbursing Policy.
- 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. The PPO and PA will provide copies of obligating documents (e.g. SF 44, DD Form 1341-6, or MOA with the vendor) to the MSC Comptroller before clearing the Finance Office. After clearing with Finance, the PA must forward the final 1081 to the MSC G8.
6. **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 requirement 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 Tracker. 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 Tracker 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 Tracker 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 Tracker: 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 Tracker. 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.
7. **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.
8. **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 USF-I DCG-O.

C. Special Execution of CERP

1. Bulk Funding.

- a. MSC's are authorized to draw bulk funds for Commander's Small Scale Projects, Micro Grants, Condolence, Battle Damage, Former Detainee, and Iraqi Hero Payments. Bulk funds are lump sum withdrawals from Finance made to a PA. Bulk funds will not be obligated until obligating documentation is received (contract or MOA, SF44, or other appropriate obligating document). The purpose of 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 bulk funds at any single time is limited to \$50K per Battalion. The authority to draw 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 bulk funds at a time. The USF-I DCoS may approve up to \$50K in additional bulk funds for a Battalion to meet specific operational needs.

- b. Bulk funding matrix.

Item	Limit	Approval Authority	Can be delegated?
Bulk Funding Withdrawal per Battalion	Up to \$50K	MSC Cdr	Yes
	>\$50K	USF-I DCoS	No

- c. Bulk funding is not intended to circumvent the CERP approval process. The Commander must approve each project prior to disbursements of bulk funds. Condolence, battle damage, former detainee, Iraqi Hero, Micro Grants, and Commander's Small Scale Projects are the only instances where multiple payments can be consolidated for bulk funding. Each category of payment MUST be on a separate funding document (PR&C) and documented individually in the CERP Project Tracker. For example, you cannot combine battle damage and Iraqi Hero payments on the same document.
- d. Clearing of all bulk fund accounts will be completed every 30 days. The Battalion Commander (or Squadron Commander) or his/her Executive Officer can approve exceptions for up to 45 days. The Brigade Commander can approve up to 60 days. Exceptions must be approved in writing and presented to the local Finance office NLT 30 days after the PA draws the funds. Failure to adhere to these clearing timelines will result in the PA's authority being revoked by Finance. See Annex B-16, Disbursing Standard Operating Procedures (SOP) #3, 21 Jul 2009.
- e. All bulk funds must be closed prior to Transfer of Authority (TOA).

2. **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 other projects and not redundant in that area and that they support the Battle Space owner's desired effects.
3. **DD Form 448, Military Interdepartmental Purchase Request (MIPR).** Resource Managers will not accept any CERP MIPRs and will only issue MIPRs as a last resort. MIPRs will only be sent for specific projects and each project will be listed on the DD Form 448 along with specifics on what is being funded (i.e. plan and development for CERP project XXX). Resource Managers must follow-up on all MIPRs issued and ensure a DD Form 448-2 (MIPR Acceptance) is received for all MIPRs. MIPRs will be committed when sent. If the MIPR is accepted as reimbursable, it can be obligated upon receipt of DD448-2. If the MIPR is accepted as a direct, the obligation will occur when the contract is awarded. MIPRs should be reconciled at least quarterly and funds withdrawn when it becomes apparent the recipient will not execute the funding in a timely fashion. For additional guidance on processing MIPRs please see Annex A-4 of the MAAWS.

8. REPORTING

A. Overview

1. The overall success of CERP reporting is based on checks and balances. The two main systems that track CERP information are the CERP Project Tracker (a Resource Manager's tool) and the Army Standard Financial System (STANFINS). The CERP Project Tracker (Annex B-18) meets Office of the Secretary of Defense, Comptroller's (OSD-C's) revised reporting guidance. All MSC G8s and separates that initiate CERP projects will submit their CERP Project Tracker NLT the 3rd of each month to the USF-I J8 Special Programs CERP manager. CERP funded projects must be captured in this spreadsheet and reconciled throughout the life of the project. Through a coordinated effort of Commanders, CERP Program Managers, civil affairs personnel, engineers, effects coordinators, PPOs and Resource Managers, reporting systems will remain up-to-date and accurately reflect the status of projects. USF-I provides the CERP Project Tracker report monthly to higher commands; it ultimately reaches the office of the Secretary of Defense and finally Congress for review and 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 the problem is rectified.
2. USF-I J8 has the responsibility for submitting the tracker 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). See Annex B-18 for more details of the CERP Project Tracker.

3. The USF-I DCoS 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, USF-I will notify USD(C) 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. USF-I J7, J8, and J9 will participate in staff synchronization and planning to complete the CERP Quarterly Narratives, with the assistance of the MSCs.
 - a. MSCs will submit a Commander's Quarterly Narrative Report to USF-I J8 NLT the 3rd of January, April, July, and October. The report will be formatted and provide required information as detailed in Annex 17. The Commander's Narrative must be signed by the MSC Commander or a representative from the MSC Command Group. Information provided by each MSC is vital as it is the basis for the USF-I Commander's Quarterly Narrative which serves to communicate critical information on the use of CERP in Iraq to the Army, OSD, and Congress.
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 and is critical to the measurement and recording of civil capacity efforts. At a minimum CERP and I-CERP projects will be entered into the IRMS database during the approval/funding phase and the corresponding Unique Requirement Identifier (URI) will be annotated on the DA Form 3957 prior to funds certification. MSC CERP Managers are responsible for updating the IRMS database 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 USF-I BUA Report feature to USF-I J7. 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 Tracker report is required before submitting. Access and reference material for IRMS is found through the web page: <https://irms.pco-iraq.net>.

B. MSC Comptroller Requirements.

1. MSC Comptrollers must maintain a document register for CERP, and I-CERP.
2. USD Comptrollers will maintain their own Resource Manager Tool (RMT) records.
3. Obligations shall be recorded in the official accounting records at the time a legal obligation is incurred. An amount shall be recorded as an obligation only when supported by documentary evidence of the transaction. In accordance with DoD FMR Vol 3, Chapt 8, the office that incurs an obligation shall provide, within 6 calendar days of the date the obligation is incurred, a copy of the obligating document(s), via electronic mail, fax, or other documented means, to the office responsible for recording the obligation.
4. MSC'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. MSC's are required to update all projects status in the CERP Project Tracker 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 STANFINS. 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.
5. MSC Comptrollers must submit a monthly CERP Project Tracker report (see Annex B-18 to USF-I J8 NLT the 3rd of every month (data reflects information from the end of month cycle)
6. MSC Comptrollers must submit a list of all service members assigned as PPOs or PAs with the Quarterly CERP Narrative. However, if significant changes occur (i.e. TOA/RIP), the list should be updated as soon as feasible. The list will contain: last name, first name, rank, unit, MSC, assigned as a PPO/PA, date assigned, rotation date, and whether the member received the Enhanced PPO/PA training.
7. Additionally, MSC Comptrollers are required to provide enhanced CERP PPO and PA training to all new PPOs and PAs before transfer of authority (TOA)

and before they assume PPO and PA duties. The enhanced training team should consist of one judge advocate, one warranted contracting officer, one finance officer or NCO, and one CERP manager either from G8 or G9. These team members should be well versed in CERP procedures and regulations.

8. MSC G8 must brief each new commander at the battalion and brigade level before TOA IOT make sure the chain of command understands the enormous responsibility of the CERP PPO and PA and can ensure compliance with CERP rules.
9. MSC G8 must develop a memorandum to be given to all PPOs and PAs upon successful completion of the enhanced CERP PPO and PA course. Division memorandum of completion of course will be part of all future CERP project packets. Memorandum must state when the enhanced training was completed and who conducted the training.
10. MSC G8 will inspect each BCT quarterly and randomly select CERP projects to review for adherence to this SOP.

9. ANNEXES (Annexes highlighted in blue represent new annexes or ones that have had changes since the 26 January 2009, with Change 2 version of the MAAWS)

- 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. Sample PPO Transfer of Accountability Memo
- 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 for PPO and PA
- 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) #3, 21 Jul 09
- 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
- B-20. Example DD Form 250
- B-21. Example Memorandum of Agreement with Vendor
- B-22. Example Statement of Work
- B-23. Guidance on Using Budget Rates for Contracts Written in Local Currency
- B-24. Enhanced PPO/PA Course Certificate
- B-25. Comptroller Clearance Memorandum

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 Commanders' 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. United States Forces – Iraq (USF-I) Deputy Commanding General for Operations [DCG-O]. The USF-I DCG-O has Theater oversight of CERP, shall publish guidance identifying objectives and goals, and shall coordinate reports for submission to higher authorities. The USF-I DCG-O will approve any essential individual CERP project of \$500K or more (on an exception basis). For projects of \$500K or more, the USF-I DCG-O 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/her dollar threshold (less than \$500K). The MSC Commander must ensure proper management, reporting, and fiscal controls to account for funding. The MSC Commander will ensure that I-CERP, local, national, donor nation, non-government organization, or other aid or reconstruction resources are not reasonably available before any CERP funds are used.
 1. Brigades and Battalions that will reach End of Mission (EOM) and redeploy without replacement by another unit run the risk of not completing assigned CERP projects on time.
 - a. If the MSC assigns responsibility for execution of a CERP project to a unit scheduled to reach EOM the MSC Commander should be the approval authority for projects with risk factors determined to be high risk.
 - b. Risk factors include the number of days remaining until unit redeployment, the project duration, estimated project completion date, and cost. The overall risk level of a project is determined by the highest risk category of any of the risk factors associated with the project. Table B-1-1 provides

the level of risk assigned to CERP proposals based on these considerations.

Table B-1-1: Risk Factors for CERP Projects Assigned to Units Scheduled for EOM

Risk Factor	Low Risk	Medium Risk	High Risk
Days Until Unit Redeployment	> 180 days	150-180 days	< 150 days
Estimated Project Duration	< 100 days	100-150 days	> 150 days
Estimated Project Completion Date	Prior to 1 May 2011	1 May 2011 - 1 July 2011	After 1 July 2011
Project Cost	< \$50K	\$50K - \$200K	\$200K - \$500K

- c. Brigade Commanders should be the approval authority and consider the days remaining until unit redeployment, the project execution duration, estimated project completion date, and cost for medium risk projects.

C. Brigade/Battalion Commander.

1. The Battalion Commander (or higher) will appoint his/her Project Purchasing Officer (PPO) and Paying Agent (PA) (if payment method is other than EFT) using the DD Form 577, dated JAN 2004 (see Annex B-10). The DD Form 577 specifies the maximum amount that the PPO may contract, or amount the PA may draw from the Finance Office in block 14 (see Annex B-10). 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 overextended and projects are assigned commensurate with the PPO's skill set. **The BDE Commander must ensure that no one individual serves as both PPO and PA.**
2. Additionally, Commanders must ensure that CERP funds are safeguarded with proper security measures IAW Reference E, Chapter 3. Commanders may be subject to UCMJ, if funds are lost due to negligence.
3. The Battalion Commander or his/her designated representative must approve the Project Purchasing Officer's (PPO) ledger every 30 days. A Battalion Commander memorandum that approves the PPO's ledger will be required before Finance will clear that project's Pay Agent.

- 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 is responsible for the CERP Project Tracker due to USF-I J8 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 USF-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).
1. 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.
 2. The PPO's authority to procure services and supplies is granted by the Chief of Contracting Office IAW policies and procedures outlined in training received by the appropriate contracting office. The PPO shall not make purchases without a letter of obligation delegation authority signed by the Chief of the Contracting Office.
 3. PPOs must attend the MSC's Enhanced PPO/PA course prior to appointment as a PPO.
 4. There will only be one PPO for each project. A project cannot be transferred to another PPO without receiving a transfer of authority memo from the MSC G8 (see sample Transfer of Accountability memo at Annex B-5).
 5. In most instances, the PPO will contract with vendors for services and supplies to complete individual CERP projects via a Memorandum of Agreement (MOA). He/she also manages the project, maintains project files IAW this SOP, and maintains a project ledger for each project. The project ledger must include the current status of the project, date project started, name of vendor, vendor POC and contact information, total cost of project, and total funds paid to date. The PPO may be subject to pecuniary liability, and could face administrative actions or criminal prosecution for making any prohibited purchases.
 6. A PPO may not be designated as a PA during the same period of time.
 7. The optimum number of projects a PPO can manage is nine, and the maximum number is 12. The Battalion Commander can authorize in writing the PPO to manage up to 15 projects and the Brigade Commander can approve waivers above 15 projects.
- G. Paying Agent (PA).

1. Both the PPO and PA are required to be present when making payments to vendors.
 2. The PA is a direct representative of the servicing Finance Office's Disbursing Officer (DO) and receives and disburses CERP project expenditures. 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.
 3. All funds shall be delivered, transported, and safeguarded consistent with this reference, and all 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.
 4. The optimum number of projects a PA can manage is five, and the maximum number is seven. The Battalion Commander can authorize in writing the PA to manage up to nine projects and the Brigade Commander can approve waivers above ten projects. The PA is responsible for keeping a project ledger that shows how much funding is authorized for each project and how much has been paid to date.
 5. The PA must clear his account every 30 days. The Battalion Commander (or Squadron Commander) or his Executive Officer can approve exceptions for up to 45 days. The Brigade Commander can approve up to 60 days. Exceptions must be approved in writing and presented to the local Finance office NLT 30 days after the PA draws the funds. Failure to adhere to these clearing timelines will result in the PA's authority being revoked by Finance.
 6. PAs must attend the MSC's Enhanced PPO/PA course prior to appointment as a PA for CERP payments.
 7. PAs will be the rank of E-7 or higher. This rank requirement may be waived for E-6s by the first O-5 Commander in the chain of command.
- H. Contracting Office. The contracting office (currently Joint Contracting Command Iraq and Afghanistan (JCC-I/A)) conducts formal training classes for PPOs, provides certificates of training in writing, and awards contracts for all CERP projects \$500K or greater. JCC-I/A is responsible for providing a warranted contracting officer to teach the enhanced PPO and PA training as required by each MSC. It is the Warranted Contracting Officer's responsibility to ensure that the PPO is trained correctly. The Chief of Contracting Office provides written

obligating authority to the PPO. If the PPO does not conduct his duties IAW this standard operating procedure and other guidance as directed by the Contracting Office, then the PPO's authorization will be terminated.

- 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. The supporting Finance Detachment will provide an officer or NCO to instruct the enhanced PPO and PA training as required by each MSC.
- J. USF-I J8. Develops annual CERP funding requirement based on the MSC input and the USF-I Commander's guidance, obtains annual program authority from USCENCOM and funds from USARCENT. USF-I J8 allocates funds and monitors MSC commitments, obligations, and disbursements. USF-I J8 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. USF-I J8 will receive all completed CERP project files, perform a file audit, retain the current and prior year files and then forward to USARCENT at the end of the following fiscal year. USF-I J8 will provide staff assistance visits quarterly to each MSC to assist with program issues and ensure compliance with MAAWS. USF-I J8 is the program coordinator for CERP.
- K. USF-I J7. 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 USF-I regarding ongoing reconstruction initiatives. The Reconstruction PGRB is vital for non-lethal enablers, engineers, and resource managers to update program status and reconstruction plans, disseminate new guidance, and provide 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.
- L. USF-I J9. 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. USF-I J9 will measure the effects of the CERP program on the local populace.
- M. USF-I J7 and J9. Participate in staff synchronization and planning with USF-I J8 to complete the CERP quarterly narratives and to develop USF-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. USF-I receives annual program authority from USCENTCOM and funding from USARCENT. Funds are requested on a quarterly basis or as needed. If additional program authority is required, USF-I J8 will coordinate with USARCENT G8 and USCENTCOM J8.
2. USF-I J8 develops a recommended funds distribution plan in coordination with USF-I J7 and USF-I J9. This distribution plan is based on desired effects, operational priorities and ability to execute the funding. All distribution plans are approved by the USF-I Deputy Chief of Staff.
3. USF-I J8 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 of 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 project \$50K or more which will incur future operating and sustainment costs requires a Letter of Sustainment from a GoI official or a Sustainment MOA signed by the GoI official and Unit Representative stating that the GoI accepts the follow-on maintenance and sustainment requirements of the project.
2. Units scope the proposed project by developing a Statement of Work (SoW) (see Annex B-22), and 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 must 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., United States Army Corps of Engineers) 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. Performance Metrics are required for any project with an estimated cost of \$50K or greater. Performance metrics speak to why the project is being done as they define the measured effects of the project (e.g. increased the availability of electricity to 10,000 Iraqi citizens by two hours per day). Performance metrics are essential to ensure that funds are applied to the projects that will yield the greatest benefit to the Iraqi people. Performance metrics will be included in the Letter of Justification. See Annex B-15 for additional guidance regarding performance metrics.
4. Commanders appoint a PPO to manage the project and a PA to process payments (once the project is approved) for the vendors.
5. Bulk funding is authorized to pay for Condolence, Battle Damage, Former Detainee, Iraqi Hero Payments, Commander's Small Scale Projects, and Micro Grants. 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. CERP request packets must contain each of the applicable documents listed in Annex B-12, including an UNSIGNED draft MOA for projects costing less than \$500K. Projects over \$500K will contain the CERP request packet checklists (Annex B-12) as part of the CERP request packet. Micro Grant projects will follow the funding request checklist found in Enclosure 1 of Annex 2 to Appendix B.
3. The SECDEF, USF-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 (see Annex B-11). 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 USF-I DCG-O, any cost increases exceeding 20% must be resubmitted and approved by the USF-I DCG-O. In addition, any project that began prior to FY 2009 which had obligated less than \$1M of appropriated CERP funds, but which now requires additional funding which will take the total appropriated CERP amount over \$1M must be approved by SECDEF before additional CERP 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. The PPO (for projects less than \$500K) or COR (for projects greater than \$500K) and PA (if payments will be made via method other than EFT) must sign the DA Form 3953. See Annex B-6 for details.
 - 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 or Iraqi CERP).
 - 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. The MOA must NOT be signed prior to the DA3953/DD1149 being certified by the Comptroller.
 - e. The DA 3953/DD1149 does **NOT** constitute an obligating document. The MSC Comptroller must wait until proper obligating documents have been

received prior to obligating funds in the financial system. For projects that require a contract or MOA, those instruments are the obligating documents. Funds may be obligated upon their receipt. In this case, the SF44 will be used as an invoice and/or disbursing document. For projects not requiring a contract or MOA, the SF44 will be used as the obligating, invoicing, and disbursing document.

2. Bulk Funds

- a. The approval of bulk funds does not change the approval process.
 - b. Condolence, Battle Damage, Former Detainee, Hero Payments, Commander's Small Scale Projects, and Micro Grants are the only instances where multiple payments can be consolidated with bulk funding.
 - c. Each category of payment must be on a separate funding document. DA 3953s prepared for a bulk draw of funds will be annotated by including the statement, "for bulk draw of funds" in block 15.
 - d. Note that once Commander's Small Scale Projects are disbursed, then each individual project must be identified in the CERP Project Tracker under the appropriate project category. 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 Project Tracker when funds are committed. As obligation and disbursements occur, the CERP Project Tracker 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 Tracker 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 will contract for services and supplies via a MOA in accordance with the training received from a warranted Contracting Officer and this SOP. The PPO will negotiate payment terms to include price/cost, payment method (IAW Reference I), and payment schedule. This will be documented in the MOA. The MOA should also reference the SOW as the agreed upon work standard for the project.

The PPO's obligating authority is limited to \$500K per requirement. A warranted Contracting Officer must execute contracts at and above \$500K. When this occurs, the PPO may be appointed as a Contracting Officer Representative (COR). 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, a fair price, and best value. If the PPO lacks the technical expertise to determine best value, his/her commander should seek technical assistance from USACE or other military engineers. (See Annex B-3, pages B-3-10 to B-3-12.)

3. Once the MOA is signed by the vendor and PPO, the PPO will forward a copy of the document to the MSC G8 for obligation in the accounting system.
4. The PPO manages the project to completion. It is the responsibility of the PPO and the PPO's Commander to ensure that he/she has the requisite skill set required to adequately supervise a project and ensure the requirements are fulfilled as outlined in the SoW. Lack of ability does not excuse failure to adequately perform his/her duties and responsibilities. Failure to perform adequately 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.
5. Project monitoring and progress payments. All projects must have progress monitored to ensure that payments are made commensurate with work accomplished and that engineering standards are met. Installment or progress payments based upon a completion percentage are recommended and should be stated in the MOA (i.e. payments made at 25%, 50%, 75% and 100% complete). The PPO should request assistance from either the organization's engineers or another engineer unit to assist in determining construction progress. All projects involving grants must be monitored to ensure grant funds are fully expended on the approved initiative.
6. In accordance with the payment schedule, the PPO will prepare an SF44 or DD250. This, along with an invoice from the vendor, 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.
7. 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 the G8 approves a FIM (prepared by the PPO or contracting office awarding the contract see Annex B-11) for the difference. The total requirement amount after the funds increase must be within the Commander's approval authority.

8. 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-used funds will be de-obligated and the CERP Project Tracker will be updated.

F. Project Payment. Advance payments are not authorized. Installment or in-progress payments based upon a completion percentage are recommended and should be stated in the contract. Payment methods will follow guidance set forth in Appendix B in paragraph 4, Program Overview.

1. EFT Payment

- a. Upon identification of the Vendor or Payee, the PPO will obtain the banking information necessary to complete an EFT payment (in Iraqi Dinar for local vendors). Contact the local finance office to obtain the EFT form.
 1. Upon completion of the EFT form the PPO should schedule a zero-payment to ping the vendor's bank account. PPOs should schedule this check prior to making payments to the vendor to ensure there are no errors on the EFT form. If there are errors on the EFT form, the system will notify the finance office within 24 hours of the EFT attempt by issuing an EFT reject (notification the payment is not able to post to the bank account). The finance office will notify the PPO of the reject to seek corrections and avoid delays for future payments.
 2. The EFT form must be filled out exactly as prescribed. There are two common errors which generate EFT rejects and should be avoided. First, the vendor name or company name does not match the name on the bank account. Second, the EFT form has an incorrect bank account number. For questions concerning the EFT form contact your local finance office.
- b. The PPO will prepare the DD250 (see example at Annex B-20), to certify that goods or services have been received. The PPO will submit to Finance and the Comptroller: DA200; EFT form (obtain an updated version from Finance); PR&C; Contract/MOA and scope of work; Invoice from vendor; and DD250.
 1. DD250, Receiving Reports, may be scanned or faxed; but if so must have the statement: "Certified copy of the original".

- 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 PPO once the payment has been sent to International Treasury Services.
 - e. EFT payment process from receipt of all required paperwork in the finance office to posting of the payment in the account should take 7-10 business days.
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. The use of cash payments (in Iraqi Dinar) will only be made if the vendor does not have a bank account to which an EFT or LDA check transfer may be made. US dollars may only be drawn for operational payments. Operational payments are defined as condolence or battle damage payments. Operational payments using US dollars must be approved in writing by an O-5 or higher commander certifying the use of US dollars as mission essential.
- a. The PA should contact finance prior to drawing funds to make an appointment and ensure sufficient funds are on hand. The PA will take the DA3953/DD1149 to the Finance Office, with copies of the PPO and PA Appointment records (i.e. military ID, PPO and PA DD577s, PPO delegation of obligating authority letter from the contracting officer, PA appointment orders, and Transfer of Authority memos if applicable) to draw cash for payment. 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. Both the PPO and PA are required to be present when making payments to vendors.
 - 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 required to clear the PA's DD1081 from Finance.
- e. The PPO and PA will clear with the MSC Comptroller by providing the SF 44 to the G8 before clearing the Finance Office.
- f. The PA will clear with Finance (where funds were drawn) and will need their completed SF44/SF1034/1351-6, receipts or original invoice, contract or MOA, and any remaining currency to clear their DD Form 1081. See Annex 17 for further additional Finance Disbursing Policies. 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.
 - i. 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.
 - ii. 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.

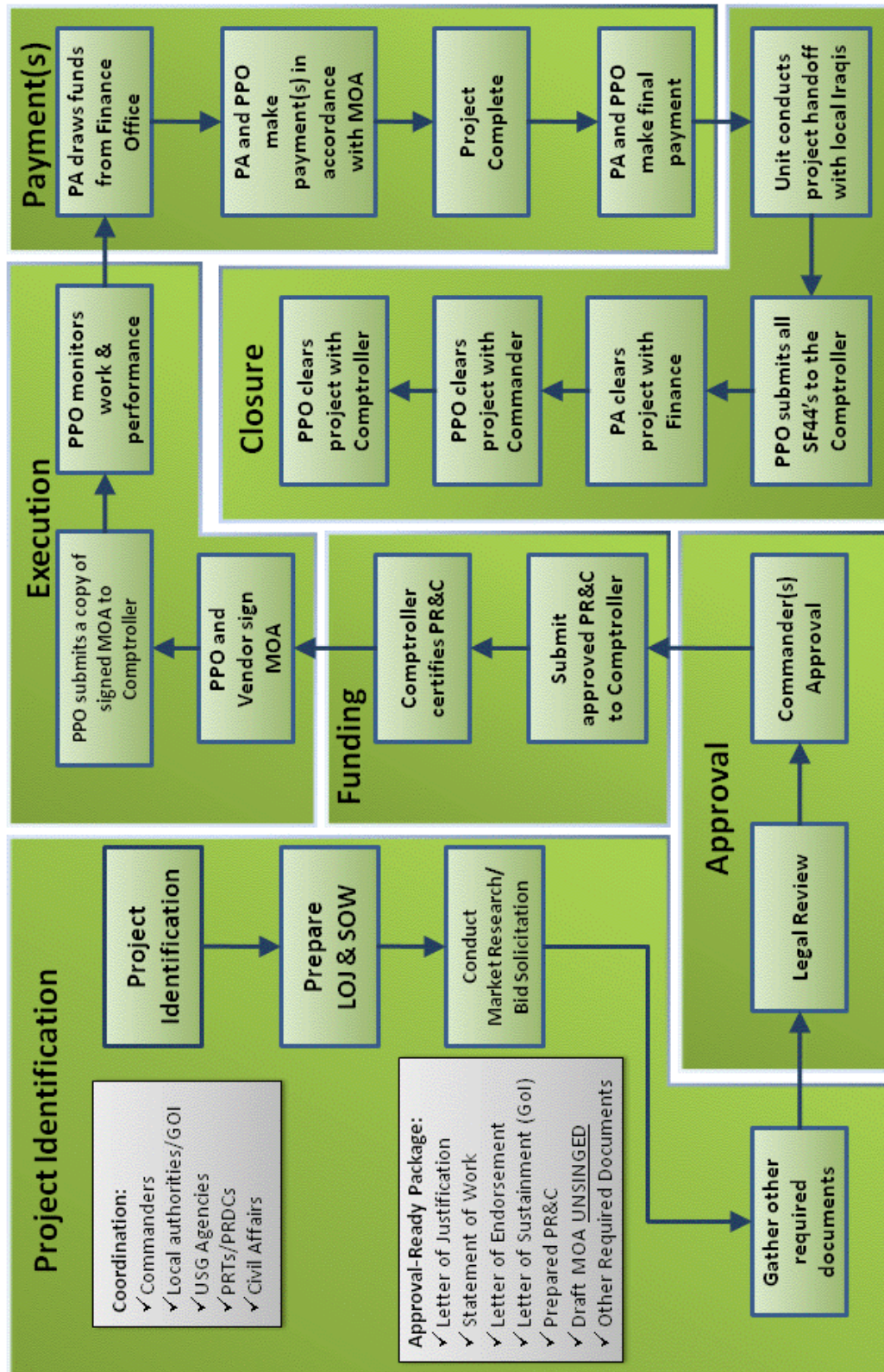
G. Project Closure

1. The PPO will reconcile all documents used during the project. All required documents in the project checklist must be included, (Annex B-8) and digitally preserved using the conventions in Annex B-8.
2. 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 USF-I MAAWS and applicable FRAGOs." The PPO will add the Commander's clearance memorandum to the project folder.
3. The PPO will then submit the completed project file to the MSC Comptroller's Office for review, reconciliation, and clearance.
4. 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.
5. 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.
6. Once the project is complete, the financial documents have been processed by finance, and all closure documents have been received by the G8, the project will be closed in the CERP Project Tracker. The "Project Status" field will be changed to "Complete" and obligations/disbursements will be updated in the CERP Project tracker. If the project is terminated prior to completion, the project status will be changed to "Terminated" and the obligations/disbursements will be updated. If funds were de-obligated, then the obligation field should also be corrected.
 - a. Closing bulk funds: Once funding has been obligated, units must input each individual project that was obligated into the CERP Project Tracker. In addition, for Commander's Small Scale projects the original project category entry of "Other Urgent Humanitarian and Reconstruction" Category will be removed and replaced by one of the OSD-Comptroller designated CERP categories for each individual project under the original bulk fund. For more information on entering bulk fund projects in the CERP tracker see Appendix B-18.

7. The MSC Comptroller's Office will provide completed project files to the USF-I J8 on a quarterly basis. USF-I will not accept files unless a completed checklist (see Annex B-8) is attached to each project file and all necessary documents are present. Ensure each box contains an up-to-date Document Register which identifies the document register number, funding type, and fiscal year for each project file. Each box must be clearly marked on the exterior with MSC, FY, APC, and document number sequence range contained within the box. USF-I J8 will randomly inspect your files upon receipt. If they do not have all required documentation they will be returned to the unit. 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. MSCs will use DHL Junior Jumbo boxes for document shipping. Please ship boxes to:

USF-I J8
Building 66A
Attention: Special Programs
Camp Victory, Baghdad, Iraq

CERP PPO/PA Process



CERP MICRO-GRANT PROGRAM PRACTICES AND PROCEDURES

CONTENT

1. PURPOSE
 2. REFERENCES
 3. KEY TASKS
 4. BACKGROUND
 5. CONCEPT OF OPERATIONS
 6. PROCEDURES
 7. EXECUTION
 8. LEGAL CONSTRAINTS AND REQUIREMENTS
 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) MNC-I FRAGO 0960 to OPORD 09-02 CERP Micro Grants Coordination and Improvements, 21 October 2009
 3. **KEY TASKS:**
 - A. MSCs must have a SOP which outlines the solicitation, selection, and monitoring processes/results of CERP-funded micro grants.
 - B. All micro grants will adhere to USFI-I policy.
 4. **BACKGROUND:** 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 USF-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 USF-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 GoI 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 must develop a SOP which outlines the solicitation, selection, and monitoring processes/results of CERP-funded micro grants including a written application to be completed for each grant applicant and included in the CERP project file. MSC applications may deviate from the prescribed application found in Enclosure 2 of this annex. However, at a minimum the information contained in Enclosure 2 must be included in the MSC's application as Enclosure 2 contains all information required by the DoD FMR for CERP micro grants and may serve as the Letter of Justification for each micro grant. In addition, it is acceptable to package multiple micro grant applications and prepare a single letter of justification for approval by the proper authority. Packaging of micro grants together is intended to ease the approval process and does not change the per requirement approval thresholds. Packaging of multiple micro grants is limited to the maximum limit placed on bulk funds of \$50K. 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 accessed by the information provided by the applicant on the application or in an interview by U.S. 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 USF-I DCG-O. Grants equal to or greater than \$10K are expected to be relatively few in number.
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, other business support programs, or for the capitalization of lending institutions.
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 Gol efforts with sufficient outreach in their community. Final selection of grant recipients, however, will remain with local commanders and USF-I 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. Grant applications, greater than \$10k and endorsed by MSC Commanders, will have the application documents submitted to USF-I J9 for staffing and final submission for funding to USF-I J8.
- C. Each **individual micro-grant must be entered into the CERP Project Tracker separately.**
- D. 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 Tracker

unique reference identifier (if unit uses IRMS) for each approved grant. The CERP Project Tracker 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.

E. All micro-grants will be closed out prior to TOA.

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.
6. Lending institutions

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 \$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. Restored authority shall be written and kept on file by the MSC G8. 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 USF-I policy IAW this instruction and referenced documents that govern the use of CERP.

10. Enclosures

- Encl 1. Micro Grant Funding Request Checklist**
- Encl 2. Micro Grant Application**
- Encl 3. Micro Grant Storyboard**
- Encl 4. Proforma Template**
- Encl 5. Command Endorsement Template**
- Encl 6. I-CERP Exception to Policy Memo**

Enclosure 1

CERP MICRO-GRANT FILE FUNDING REQUEST CHECKLIST

The checklist below is required for all packets before they can be approved. A copy of this checklist must be the first document in the file folder. Documents must be in this order. Sample documents attached or found on USF-I J9 SharePoint.

Micro-Grant Name: _____

Unit: _____

_____ Micro-Grant file check list

_____ Application for CERP Micro-Grants

_____ Storyboard (to include project photo or map location, purpose, project description, unit, PPO/PA, cost, estimated completion date, requestor, and contact information)

_____ Proforma (three year projection)*

_____ Legal review (BDE/BDE) (DIV)*

_____ Command Endorsement (BN/BDE)/(DIV*)

_____ Copy of DA3953 (Purchase Request and Commitment)

_____ DD Form 577 Appointment/Termination Record for PPO

_____ Delegation of Obligation Authority to PPO

_____ Certificate or memorandum for Enhanced CERP PPO/PA training (PPO)

_____ DD Form 577 Appointment/Termination Record for the Paying Agent (PA) and waiver from commander for E-6 Pas

_____ Certificate or memorandum for Enhanced CERP PPO/PA training (PA)

_____ Exception to policy letter (Only if I-CERP Funds requested) **

*Only for Micro-Grants over \$10,000

The MSC CDR signs, approving use of **I-CERP funds for Micro-Grants that promote small business development. The business rules and processes employed in the approval process and execution of I-CERP will mirror CERP.

Enclosure 2 - Application for CERP Micro-Grant (pg 1 of 2)

I. UNIT INFORMATION

1. Type of Submission:

- ☐ New Application
☐ Second or Subsequent Application
☐ Changed / Corrected Application

2. Type of Application:

- ☐ Cash Grant
☐ In-Kind Grant

3. Date Submitted:

4. Project Number (assigned by Unit):

5. Organizational Unit to which application is being submitted

a. Unit Name:

b. Unit Location / FOB:

c. Division Name:

d. Date Received by Unit:

e. Unit Application Identifier: (For Unit Use)

f. PPO Rank/Name:

g. PPO email/phone number:

h. PA Rank/Name:

i. PA email/phone number:

II. APPLICANT INFORMATION

1. Background Information a. Title: Full Legal Name:

b. Identification / Passport Number: (if available)

c. Company / Business Name (for which grant is being requested):

d. Applicants Residential Address

e. Applicants Company / Business Address:

Street 1:

Street 1:

City:

City:

Province / Muhalla

Province / Muhalla

Hayy:

Hayy:

Country: Iraq

Country: Iraq

Telephone Number

Telephone Number

Email:

Email:

2. Business Information:

a. Number of persons currently employed by business:

b. What Principle product or service produced / sold / marketed by the business:

c. On average, how many customers does your business service _____ per day, week, or month (Circle One)?

d. How long has the business been in operation?

e. As the owner, what do you do to contribute to the business?

3. Description of Requested Assistance (Provide Scope of Work or Itemized list of equipment needed):

4. Grant Amount Requested (Iraqi dinar):

Application for CERP Micro-Grant (pg 2 of 2)

5. Applicants Business Experience and Knowledge (include attempt to receive other funding, e.g. bank loans):

6. Anticipated Effects by Project (justification of awarding grant and intended community benefit):

7. Proposed Project

a. Start Date:

b. End Date:

8. By signing this application, I certify that the statements herein are true, complete and accurate to the best of my knowledge. I will also provide any additional required documentation as requested and agree to comply with any resulting terms if I accept an award. ☐ I AGREE

Signature or mark of Applicant:

Signature of Witness:

Date Signed:

Date Signed:

III. Grant Approval

1. Was background check on applicant completed? Y/N

Date:

2. Is the Application Approved?

☐ Yes

☐ No

3. Amount Approved:

_____ Iraqi Dinar (use budget rate found in MAAWS for conversion factor)

☐ Monetary

☐ In-Kind

Approved Limits:

Grant ≤ \$5,000: BCT Commander

\$5,000 < Grant ≤ \$10,000: MSC Commander (may be delegated to BCT Commander)

Grant > \$10,000 USF-I DCG-O

4. Signature of Authorized Commander (only required if using application as LoJ):

Date:

Enclosure 3

Storyboard Template

Project Title

City, Providence

Project Details

- **Unit:** (Originating Unit)
- **Project Location:** (City and Grid Coordinates)
- **Purpose of Project:** (Increase economic activity, employment, business activity to support humanitarian relief)
- **PPO/PA:** (Full name and rank)
- **Amount:** (\$ amount)
- **Completion Date:**
- **Requestor Contact Information:** (Name, home address, work address, cell phone number)

Place Project Photograph or Location Map Here

Project Description

Provide an executive summary of the project here. Include who was involved (CF and Gol) and how many people it will benefit.

UNCLASSIFIED//FOUO

Enclosure 4

PROFORMA TEMPLATE

PROFIT AND LOSS STATEMENT

	Current Year (Jan-Sep 2010)	First Year	Second Year	Third Year
Sales	215,000	260,000	375,000	485,000
Direct Cost				
Materials	86,000	97,500	140,625	181,875
Fuel	4,000	5,000	7,500	10,000
Direct Labor	24,000	40,320	57,600	70,668
Other Cost	2,500	2,500	3,750	5,000
Total Direct Cost	116,500	145,320	209,475	267,543
GROSS MARGIN	98,500	114,680	165,525	217,457
Fixed & Operating Costs				
Salaries	25,200	25,200	32,760	34,398
Other Operating Costs	14,500	16,600	20,750	25,938
Interest Expense	-	3,450	2,165	800
Rent	12,000	12,000	13,200	14,520
Total Indirect Cost	51,700	57,250	68,875	75,656
Profit Before Depreciation	46,800	57,430	96,650	141,801
Depreciation	14,000	20,000	20,000	20,000
NET PROFIT	32,800	37,430	76,650	121,801
CASH FLOW				
Cash Generated From Ops		57,430	96,650	141,801
Loan Repayments (Principle)		(15,365)	(16,634)	(18,001)
Increase in Working Capital		(9,800)	(26,450)	(25,300)
Net Cash Flow		32,265	53,566	98,500
Owner's Draw		24,000	26,000	28,000
Net Annual Flow		8,265	27,566	70,500

*** ONLY REQUIRED ON MICRO-GRANT REQUEST GREATER THAN \$10,000**

- 1) Enter your most recent month end financial data into the light blue cells in the column labeled "Current". Change column title to reflect the months being reported.
- 2) Enter your forecasted year end financial data into the light blue cells in the column labeled "First Year". **The forecast should show how the micro-grant will have an effect on the profitability and growth of the business/operation.**
- 3) Enter your forecasted year end financial data into the light blue cells in the columns labeled "Second Year" and "Third Year".

Data is only entered in the light blue cells. All white cells are calculations based on the other data

Enclosure 5

COMMAND ENDORSEMENT TEMPLATE

DEPARTMENT OF THE ARMY

(YOUR UNIT HEADER)

APO, AE 09322



REPLY TO
ATTENTION OF
AETV-THO-Z

27 JANUARY 2009

MEMORANDUM FOR Deputy Commanding General for Operations, USF-I, Camp Victory, Iraq 09342.

SUBJECT: Request for Approval of Two CERP Micro-Grants

1. I have reviewed and endorse the following CERP Micro-Grants: **Nahir Khalid Flaih (Chicken Hatchery and Shahab Khalif Hamad (Chicken Farm))**.
2. The purpose of these Micro-Grants is to help **local businesses that support the Agribusiness and food production in the province of Salah ad Din. These grants will create employment and provide support to disadvantaged entrepreneurs engaged in small business activities. (Add more as need to support your request.)**
3. These Micro-Grants exceed the USD-N Commander's approval level for Micro-Grants and require the USF-I Commander's approval.
4. **X/XX** IBCT will provide project oversight. FY10 CERP funds will be used.
5. The point of contact in our headquarters for this action is **CPT John Smith, USD-N CERP PM. He can be reached at SVOIP XXX-XXXX, email at john.smith@25id.army.smil.mil.**

(FULL NAME)

Major General, USA
Commanding

UNCLASSIFIED//FOUO

Enclosure 6

***EXCEPTION TO POLICY LETTER ***



DEPARTMENT OF THE ARMY

(YOUR UNIT HEADER)

APO, AE 09322

REPLY TO
ATTENTION OF

AETV-THO-Z

27 JANUARY 2009

MEMORANDUM FOR RECORD

SUBJECT: Exception to Policy for the use of I-CERP for Micro-Grants

1. The 172D Infantry Brigade requests an exception to policy to use I-CERP for a non-construction project that will promote small business development in the form of a micro-grant.
2. Al-Qabas Press, which is located in Karbala, currently provides printing services for the community. They produce items such as calendars, posters, books, and magazines. The firm seeks to expand their business by purchase of a refurbished printing press which will enable them to print larger jobs, and increase production by increasing efficiency. Production is projected to increase by more than 250% with this expansion. The press will cost \$38,000. It will be supplied by Dar AL-Shbab Company of Baghdad. This request is for \$25,000 to assist in the purchase, and allow the firm to make this investment. The owner will put in the remaining \$13,000 needed for the purchase. At least eight new jobs will be created.
3. In accordance with the MAAWS Appendix C page C-2, I-CERP may be used on an exception basis to promote small business development.
4. The point of contact for this memorandum is CPT John Smith at SVOIP XXX-XXXX or at john.smith@25id.army.smil.mil.

(FULL NAME)

RANK, AR

MSC Commander

UNCLASSIFIED//FOUO

B-2-14

PROJECT PURCHASING OFFICERS (PPO) ACQUISITION INSTRUCTIONS

CONTENTS

1. PURPOSE
2. STANDARDS OF CONDUCT
3. ROLE OF A PROJECT PURCHASING OFFICER
4. NOMINATION
5. PROHIBITED PURCHASES
6. PROJECT PURCHASING OFFICER LIABILITIES
7. FUNDING
8. RATIFICATION
9. PROJECT PURCHASING OFFICER TASKS AND RESPONSIBILITIES
10. PURCHASING OFFICER FOLDER.
11. SF44, PURCHASE ORDER – INVOICE – VOUCHER
12. PREPARATION OF STANDARD FORM 44
13. DISTRIBUTION OF STANDARD FORM 44
14. RECORD OF PURCHASES BY THE PROJECT PURCHASING OFFICER
15. LOST OR STOLEN SF44s
16. CLEARING PROCEDURES
17. TERMINATION FOR OTHER THAN CLOSE OUT
18. SUBJECT MATTER EXPERTS
19. SPECIFIC REQUIREMENTS
20. UCMJ

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 U.S. government employees/U.S. service members who, upon completion of training and receipt of written delegation, serve as an extension of warranted contracting officers. The Chief of the Contracting Office shall provide written obligation authority to the PPO on CERP-funded projects costing less than \$500,000. 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. A PPO is nominated/approved by his/her Commander (O-5 and above) on the DD 577 (see Annex B-10). 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.
- B. Prepare the DD 577 as instructed including the following:
 - a. In Block 8, Title, type Project Purchasing Officer
 - b. In Block 13, check Accountable Official
 - c. In Block 14, include at a minimum the following language:
 - i. Your aggregate amount of the purchase transactions shall not exceed \$_____ per project.
 - ii. You will receive training from a warranted JCC-I Contracting Officer prior to beginning your duties. You must receive appointment through JCC-I prior to obligating funds.
 - iii. You are directed to become familiar with the reference of any funding you are entrusted with and to abide by those references in the execution of your duties.
 - iv. You will avoid any activity that creates the appearance of a conflict of interest e.g. accepting gifts or gratuities from those that have or seek business with the DoD or from those whose business interests are affected by DoD functions.
 - d. In Block 15, include at a minimum:
 - i. DoDFMR, Vol 5, chapter 33, Vol 12 chapt 27
 - ii. Money as a Weapons System (MAAWS SOP)
- C. The PPO is not ready to assume duties until he/she has received enhanced PPO/PA training, a completed DD577, and written obligation authority from the Chief of Contracting Office.

5. PROHIBITED PURCHASES: When in doubt, call contracting, the servicing judge advocate, and/or comptroller. 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. CERP funds cannot be used for rewards.
- 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). The USF-I Deputy Commanding General for Advising and Training will provide Quick Response 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. Support to individuals or private businesses (except for condolence, former detainee, hero, battle damage, or micro grant payments)
- I. Conducting psychological operations, information operations, or other U.S., coalition, or Iraqi Security Force operations.
- J. 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 signing a Memorandum of Agreement (MOA) or making an SF 44 purchase.

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). USF-I DCG-O 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 or 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.
- F. Obligations shall be recorded in the official accounting records at the time a legal obligation is incurred. An amount shall be recorded as an obligation only when supported by documentary evidence of the transaction. In accordance with DoD FMR Vol 3, Chapt 8, the office that incurs an obligation shall provide, within 6 calendar days of the date the obligation is incurred, a copy of the obligating document(s), via electronic mail, fax, or other documented means, to the office responsible for recording the obligation. When service and supplies are contracted via a MOA, that instrument becomes the obligating document after being signed by the PPO and vendor.

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. This includes obligating the government by signing a MOA prior to having a certified PR&C. 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 JCC-I/A Form 715-1. 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. Must not further delegate his/her authority.
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 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. **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".
- B. **Date of Order:** The date the order is placed.
- C. **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).
- D. **Payee or Seller:** Business or trade name and address of the vendor must be correct in order to facilitate payment.
- E. **Furnish Supplies or Services:** Print your activity address.
- F. **Supplies or Services, Quantity and Unit Price:** Completed by the ordering officer. Ensure description is adequate enough that anyone can tell what was purchased.
- G. **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.
- H. **Date Invoice Received:** The date of receipt by the PPO of the properly signed Seller's Invoice (Copy 1).
- I. **Agency Name and Billing Address:** The address for the finance and accounting office supporting your command.
- J. **Ordered By:** The title ("PPO") and signature of the PPO will be used on all copies of the form.
- K. **Purpose and Accounting Data:** The fund cite shown on the DA Form 3953 will be written out in full in this block. Write legibly!

- L. **Received By:** When the delivery or pickup is made, the PPO or a designated official will complete this information. Note: The receiver of the goods or services will be an individual other than the PA.
 - M. **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.
 - N. **Authorized Certifying Officer:** PA signs when payment is made.
 - O. All other spaces are reserved for finance and accounting office use.
14. **RECORD OF PURCHASES BY THE PROJECT PURCHASING OFFICER:** The PPO will maintain a record of purchases made in checkbook register format. The register will show as a minimum, order number, name of contractor, date of purchase, and total cost of the transaction, with each entry being subtracted and a running balance maintained at all times.

15. 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 approve the projects executed under DRN ##### and certify they are complete and adhere to the guidelines set forth in the current USF-I MAAWS and applicable FRAGOs."
- 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 required in the project checklists (appendix B-8 or appendix B-2 for micro grants), 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". In addition, if any required documents are missing the Comptroller's clearance letter must highlight which documents are missing. An example format can be found in appendix B-25.

16. 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.

17. SUBJECT MATTER EXPERTS: PPO (if they are not qualified) should request engineer support and/or administrative assistance from the U.S. Army Corps of Engineers (USACE) 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.

18. 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.
- 19. 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.

UNCLASSIFIED//FOUO



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. I have reviewed and approve the projects executed under DRN APF2AD50170674 and certify they are complete and adhere to the guidelines set forth in the current USF-I MAAWS and applicable FRAGOs.
2. APF2AD50170674 was approved for \$90,900 on 17 Jan 05. The attached SF 44's (1034's) validate that we have paid out \$24,458.00 and have \$66,442.00 remaining to return to the Division Disbursing Officer.
3. POC for this memo is SFC Samuel Adams, 2AD Project Purchasing Officer, e-mail address DSN: 839-4395.

ROBERT G. SHAW
COL, AD
Commanding

UNCLASSIFIED//FOUO

B-4-1



UNCLASSIFIED//FOUO

DEPARTMENT OF DEFENSE

Unit Header

Attention of

Reply to

UNIT OFFICE SYMBOL

DATE

MEMORANDUM FOR RECORD

SUBJECT: Commander's Emergency Response Program (CERP) Transfer of Accountability

1. References:

a. USF-I MAAWS SOP

2. A CERP Transfer of Accountability (TOA) was conducted between (outgoing pay PPO/PA) and (incoming PPO/PA) from (start date) to (end date). The TOA included a review of all closed projects, open projects, and unapproved nominated projects.

3. Deficiencies or missing documents were identified and annotated in Appendix 1 of this document. The incoming unit assumes responsibility for maintaining all closed project records.

4. Historical project records were reviewed by incoming PPO/PA in order to provide them with the ability to reflect and assess the need for future projects of a similar nature.

5. The incoming unit assumes responsibility for all open projects listed in Appendix 2. A complete review was conducted of each project between incoming and outgoing project managers/ purchasing officers. All project documentation for each project has been transferred from outgoing unit to incoming unit with a total project value of \$ (total value of all transferred projects)

6. A list of unapproved nominated CERP projects has been provided to incoming unit for possible approval and execution. Nominated projects are listed in Appendix 3.

7. The outgoing unit remains pecuniary liable and administratively responsible for all CERP operations previously conducted prior to TOA. This document does not relieve outgoing unit personnel of any pecuniary liability or administrative action for actions conducted during the course of their CERP operations.

8. All open bulk funded PR&Cs of the outgoing unit have been closed and remaining funds turned in to finance. Incoming Project Purchasing Officers (PPO) and Pay Agents (PA), to include alternates, are on appointment orders. The incoming unit has adequate means for securing funds for pay agents.

Outgoing Project Purchasing Officer

Incoming Project Purchasing Officer

Outgoing Pay Agent

Incoming Pay Agent

MSC G8

Unit Commander

UNCLASSIFIED//FOUO

B-5-1

Appendix 1. Open Projects Listing.

1. The following projects were open at the time of the TOA between (outgoing unit) and (incoming unit). Details regarding each project were provided to the incoming project purchasing officer. The incoming project purchasing officer and unit assumes responsibility for the completion of all projects listed below to completion and assumes all terms of the contracts established with vendors by the outgoing unit.

Requisition Number	Project Title	Approved Amount	Disbursed Amount
--------------------	---------------	-----------------	------------------

Units should use a reconciled version of the USD-C CERP DOC REG to ensure that the fiscal information for each project account is accurately transferred to the incoming unit – Prior to TOA units must provide a copy of this memo to the USD-C G8 for certification.

Outgoing Project Purchasing Officer	Incoming Project Purchasing Officer
-------------------------------------	-------------------------------------

Outgoing Pay Agent	Incoming Pay Agent
--------------------	--------------------

MSC G8	Unit Commander
--------	----------------

Appendix 2. Unapproved Project Nominations.

1. The following projects are pending approval and funding at the time of the TOA between (outgoing unit) and (incoming unit). Details regarding each project were provided to the incoming project purchasing officer.

Requisition Number	Project Title	Approved Amount	Disbursed Amount

Outgoing Project Purchasing Officer

Incoming Project Purchasing Officer

Outgoing Pay Agent

Incoming Pay Agent

MSC G8

Unit Commander

UNCLASSIFIED//FOUO

PURCHASE REQUEST AND COMMITMENT For use of this form, see AR 37-1; the proponent agency is DASA/FM			1. PURCHASE INSTRUMENT NO.		2. REQUISITION NO.		3. DATE		PAGE 1 OF 1 PAGES	
4. TO: USD- CERP Account Manager (G8)			5. THRU: Respective CERP Program Manager (i.e BCT or USD- x)			6. FROM: Section: TF XXX CERP Manager				
It is requested that the supplies and services enumerated below or an attached list be										
7. PURCHASED FOR TF XXX, XYZ PRT			8. DELIVERED TO TF XXX, XYZ PRT						9. NOT LATER THAN (Date) 24 Dec 06	
The supplies and services listed below cannot be secured through normal supply channels or other Army supply sources in the immediate vicinity, and 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 CERP Program Manager - jane.smith1@2bct1cd.army.mil			11. TELEPHONE NUMBER 318-231-5022	
X 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			FUND CERTIFICATION The supplies and services listed on the 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 REQUISITION CHANNELS FOR SECURING ITEM										
14. ITEM	15. DESCRIPTION OF SUPPLY OR SERVICES	16. QTY	17. UNIT	18. ESTIMATED UNIT PRICE a		TOTAL COST b.		19. ACCOUNTING CLASSIFICATION AND AMOUNT		
0001	Commander's Emergency Response Program Education Category Repair Chora Boys & Girls Primary School 47,897,012 Iraqi Dinar Conversion Rate: 1197.4253 URI #			\$40,000.00		\$40,000.00		20. TYPED NAME AND TITLE OF CERTIFYING OFFICER		
								21. SIGNATURE		22. DATE
23. DISCOUNT TERMS										
24. PURCHASE ORDER NO.										
26. DELIVERY REQUIREMENTS ARE MORE THAN 7 DAYS REQUIRED TO INSPECT AND ACCEPT THE REQUIRED GOODS OR SERVICES? YES NO <input type="checkbox"/> IF YES, NUMBER OF DAYS REQUIRED										
25. THE FOREGOING ITEMS ARE REQUIRED NOT LATER THAN AS INDICATED ABOVE FOR THE FOLLOWING PURPOSE										
27. TYPED NAME AND GRADE OF INITIATING OFFICER CPT Dave Jones (PPO)		28. SIGNATURE		29. DATE 24 Dec 06		34. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE JOHN D. DOE COL Commander, TF XXX		35. SIGNATURE		36. DATE 25 Dec 06
30. TELEPHONE NUMBER 318-438-2250										
31. TYPED NAME AND GRADE OF SUPPLY OFFICER SFC Jim Brown (PA)		32. SIGNATURE		33. DATE 24 Dec 06						

UNCLASSIFIED//FOUO

B-6-1

**Attempt to get
Vendor's
Signature**

**Must be In
US\$; use
exchange rate
to determine
(Paying Agent)**

B-7-1

CERP PROJECT FILE CHECKLIST

The checklist below is required for all packets before they can be closed. A copy of this checklist must be the first document in the file folder. *(All items must be in this order)*

All Projects

- _____ CERP Project File Checklist (*this document*)
- _____ MSC Staffing Sheet (*ePRT/PRT Concurrence is included here*)
- _____ Legal review
- _____ Statement of Work/Bill of Quantities (not required for bulk funds)
- _____ Letter of Justification (LOJ) – see Annex B-13
- _____ Command Endorsement (not necessary if LOJ is signed by the appropriate approval authority)
- _____ Command Endorsement by battle space owner (if requestor is not the battle space owner)
- _____ Letter of Sustainment or Sustainment MOA from Gol (\$50,000 or greater)
- _____ Funds increase memorandum (if required)
- _____ Copy of DA3953 / DD1149

In addition to items required under the all projects section, for projects under \$500,000 (not on a JCC-I/A written contract) include:

- _____ Memorandum of Agreement (MOA) (not required for bulk funds)
- _____ DD Form 577 Appointment/Termination Record for the Project Purchasing Officer (PPO)
- _____ Certificate or training memorandum from the Enhanced CERP PPO/PA training (PPO)
- _____ Chief of Contracting Office written obligating authority to PPO
- _____ DD Form 577 Appointment/Termination Record for the Paying Agent (PA) and waiver from O-5 or above commander for E-6 PAs
- _____ Certificate or training memorandum from the Enhanced CERP PPO/PA training (PA)
- _____ 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

In addition to items required under the all projects section, for projects \$500,000 or greater (contract written by warranted contracting officer) include:

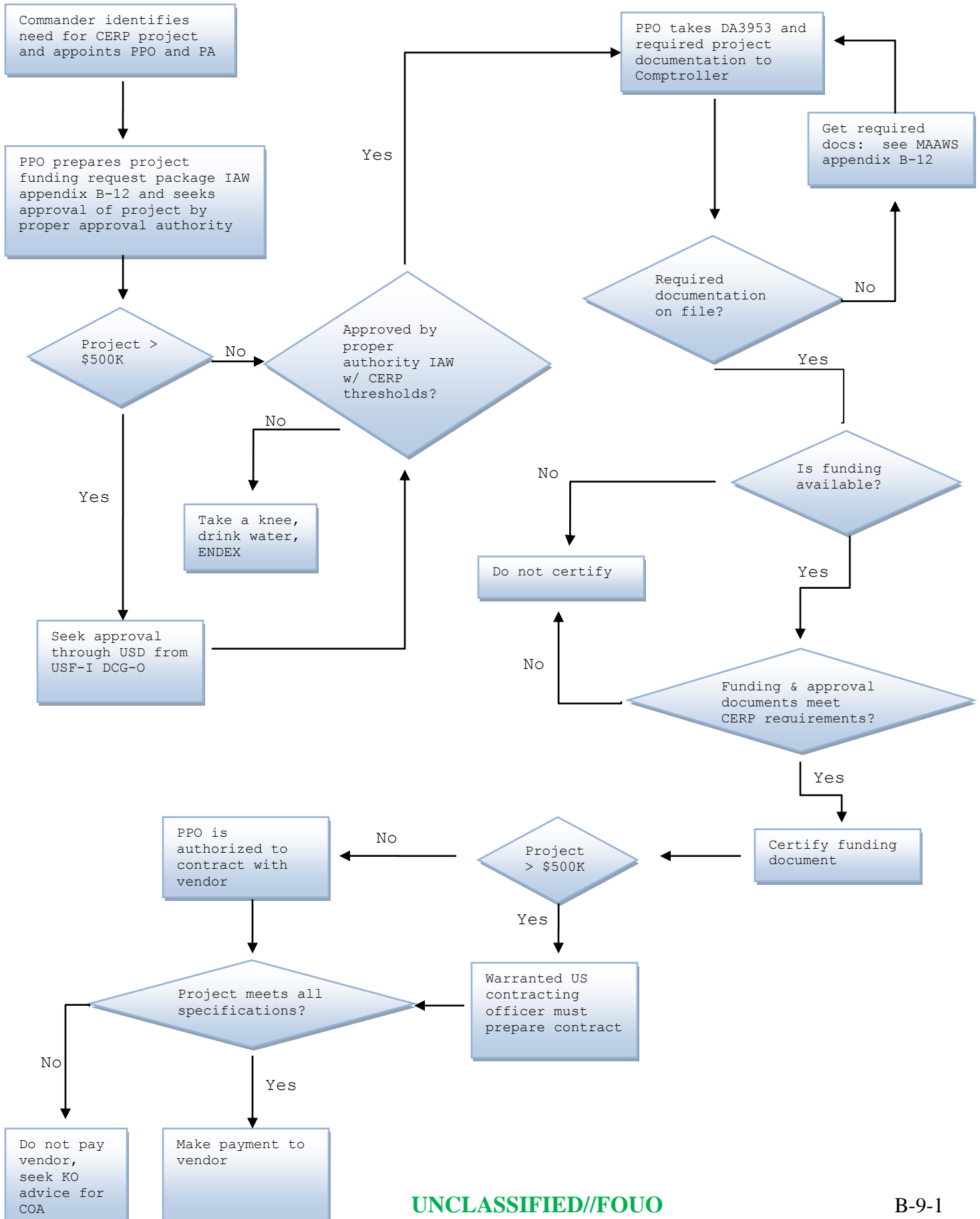
- _____ Contract with all modifications
- _____ Appointment letter from Contracting Officer to Contracting Officer Representative (COR) (if applicable)
- _____ Copy of DD Form 250 Receiving report
- _____ Copy of SF44(s), SF1351(s), or SF 1449(s) or SF1034(s) (as needed)
- _____ Vendor invoice

Special requirements:

- _____ For **electricity projects**, submit a statement of cost analysis for collection of revenues to ensure operation and maintenance of the system for long term use (see MAAWS page B-14-2)
- _____ For **construction projects**, submit a statement of land use or availability (e.g. deed, lease, easement, or other right to land documentation)
- _____ For **road and bridge projects**, include a statement of approval from the local State Commission for Roads and Bridges
- _____ For **Micro Grants**: micro grant application, storyboard, and proforma (for micro grants > \$10K),

Project Closure

- _____ Commander's clearance memorandum
- _____ MSC Comptroller clearance memorandum
- _____ Screen out all classified documents
- _____ Close out project in Iraq Reconstruction Management System (IRMS)



UNCLASSIFIED//FOUO

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 (First, Middle Initial, Last) BCT CDR NAME	2. TITLE BCT CDR	3. DOD COMPONENT/ORGANIZATION BCT, DIVISION
4. DATE (YYYYMMDD) DATE	5. SIGNATURE	

SECTION II - TO: APPOINTEE

6. NAME (First, Middle Initial, Last) PPO NAME	7. SSN XXX-XX-XXXX	8. TITLE PROJECT PURCHASING OFFICER
9. DOD COMPONENT/ORGANIZATION BCT, DIVISION		10. ADDRESS (Include ZIP Code) UNIT LOCATION, (FOB, PRT)
11. TELEPHONE NUMBER (Include Area Code) PHONE NUMBER		12. EFFECTIVE DATE OF APPOINTMENT (YYYYMMDD) DATE
13. POSITION TO WHICH APPOINTED (X one) <input type="checkbox"/> CERTIFYING OFFICER <input checked="" type="checkbox"/> ACCOUNTABLE OFFICIAL <input type="checkbox"/> OTHER (Specify)		

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

PURPOSE: To perform duties as Project Purchasing Officer for the Commanders Emergency Response Program from Day/Month/Year to Day/Month/Year. Date received appropriate training from Joint Contracting Command: Day/Month/Year

Your aggregate amount of the purchase transactions shall not exceed \$_____ per project.

ii. You will receive training from a warranted JCC-I Contracting Officer prior to beginning your duties. You must receive appointment through JCC-I prior to obligating funds.

iii. You are directed to become familiar with the reference of any funding you are entrusted with and to abide by those references in the execution of your duties. You will ensure that CERP funds will be managed in accordance with the current MAAWS and SOP.

iv. You will avoid any activity that creates the appearance of a conflict of interest e.g. accepting gifts or gratuities from those that have or seek business with the DoD or from those whose business interests are affected by DoD functions.

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;

DoDFMR, VOL 12, Chapter 27 – CERP, Current MNC-I MAAWS SOP, current MND-__ CERP SOP

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 (First, Middle Initial, Last) PPO NAME	17. SIGNATURE
---	---------------

SECTION IV - TERMINATION OF APPOINTMENT

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

DD FORM 577, JAN 2004

PREVIOUS EDITIONS ARE OBSOLETE.

Reset

UNCLASSIFIED//FOUO

B-10-1

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 (First, Middle Initial, Last) BCT CDR NAME	2. TITLE BCT CDR	3. DOD COMPONENT/ORGANIZATION BCT, DIVISION
4. DATE (YYYYMMDD) DATE	5. SIGNATURE	

SECTION II - TO: APPOINTEE

6. NAME (First, Middle Initial, Last) PA NAME	7. SSN XXX-XX-XXXX	8. TITLE PAYING AGENT
9. DOD COMPONENT/ORGANIZATION BCT, DIVISION	10. ADDRESS (Include ZIP Code) UNIT LOCATION (FOB, PRT)	
11. TELEPHONE NUMBER (Include Area Code) PHONE NUMBER	12. EFFECTIVE DATE OF APPOINTMENT (YYYYMMDD) DATE	
13. POSITION TO WHICH APPOINTED (X one) <input type="checkbox"/> CERTIFYING OFFICER <input type="checkbox"/> ACCOUNTABLE OFFICIAL <input checked="" type="checkbox"/> PAYING AGENT		

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

Under the provisions of MAAWS, dated 26 JAN 2009, **NAME**, is appointed as a CERP Paying Agent to MAJ Timothy Lancaster, Commanding Officer, of the 208th Financial Management Company, (**USE CURRENT FINANCIAL MANAGEMENT COMMANDER**)

MAXIMUM ADVANCE: \$ **XXX, XXX (DECIDED BY BCT CDR)**

SPECIAL INSTRUCTIONS: The Paying Agent is authorized to disburse funds for official government purchases in accordance with the MAAWS, dated xx xxx xxxx. The Paying Agent will make authorized purchases using the Standard Form 44. Funds will not be entrusted to others or intermingled with other (non-CERP Appropriated) funds. The Paying Agent will receive a copy of the CERP SOP and will understand all instructions prior to drawing funds. Funds must be secured at all times.

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;

DoDFMR, VOL 12, Chapter 27 – CERP

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 (First, Middle Initial, Last) PA NAME	17. SIGNATURE
--	---------------

SECTION IV - TERMINATION OF APPOINTMENT

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

UNCLASSIFIED/FOUO



HEADQUARTERS
MAJOR SUBORDINATE COMMAND
LOCATION, IRAQ
APO AE 00000

REPLY TO
ATTENTION OF

OFFICE SYMBOL

1 Jan 09

MEMORANDUM FOR MSC Comptroller

SUBJECT: Request for Increase in Funds for CERP Project XXXXX

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

UNCLASSIFIED/FOUO

B-11-1

USF-I CERP REQUEST PACKET

The purpose of this checklist is to ensure that proper actions have been taken prior to submitting USF-I Approval Packets, thereby decreasing the amount of time from submittal to approval and provide clear expectations on projects submitted. Documents should be readable, clearly marked, and in the order listed on this checklist.

Project Title _____

Point of Contact _____

Location _____

Estimated Cost _____

Package contains:

All Projects:

____ Legal review

____ Statement of Work/Bill of Quantities (not required for bulk funds)

____ CERP Standard Letter of Justification

____ Purpose

____ Statement indicating no other means of funding was available

____ Justification

____ Coordination summary

____ Goods and services

____ Performance period

____ Location (province, city, district, and grid coordinates)

____ Iraqi employment opportunity (long term and temporary)

____ Estimated Cost

____ Statement of cost sharing with the GoI (\$750,000 or greater)

____ Project performance metrics (\$50,000 or greater)

____ Impact if not funded

____ Point of contact information

____ Command Endorsement (not necessary if LOJ is signed by the appropriate approval authority)

____ Command Endorsement by battle space owner (if requestor is not the battle space owner)

____ Letter of Sustainment or Sustainment MOA from GoI for construction or equipment projects (\$50,000 or greater)

____ DA Form 3953 (Bottom of block 15 will contain PPO (or COR) and PA names and email address; blocks 27, 28, and 30 will contain PPO (or COR) information; blocks 31 and 32 will contain PA information (if applicable); block 34 will contain the USF-I DCoS' signature block and blocks 35 and 36 will be left blank for projects over \$500K.

UNCLASSIFIED//FOUO

For projects under \$500,000 (not on a contract) include:

- ____ Unsigned Memorandum of Agreement (MOA) (not required for bulk funds)
- ____ DD Form 577 Appointment/Termination Record for the Project Purchasing Officer (PPO)
- ____ Certificate or training memorandum from the Enhanced CERP PPO/PA training (PPO)
- ____ Chief of Contracting Office written obligating authority to PPO
- ____ DD Form 577 Appointment/Termination Record for the Paying Agent (PA) and waiver from commander for E-6 PAs
- ____ Certificate or training memorandum from the Enhanced CERP PPO/PA training (PA)

For projects \$500,000 or more (contract written by warranted contracting officer) include:

- ____ Certificate or training memorandum from Contracting Officer Representative (COR) training from JCC-IA/RCC

Special requirements:

- ____ For **electricity projects**, submit a statement of cost analysis for collection of revenues to ensure operation and maintenance of the system for long term use
- ____ For **construction projects**, submit a statement of land use or availability
- ____ For **road and bridge projects**, include a statement of approval from the local State Commission for Roads and Bridges



REPLY TO
ATTENTION OF:

UNCLASSIFIED//FOUO

DEPARTMENT OF THE ARMY
ORGANIZATIONAL NAME/TITLE
ADDRESS
APO AE XXXXX

Office Symbol

DATE

(< \$200K) MEMORANDUM FOR RECORD

(\$200K - \$500K)

MEMORANDUM THRU Commander, [BCT], Address

FOR Chief of Staff, United States Division XXX, APO AE 093XX

(>\$500K)

MEMORANDUM THRU Chief of Staff, United States Division XXX, APO AE 093XX

FOR Deputy Commanding General for Operations, United States Forces-Iraq, Baghdad, APO AE 09342

SUBJECT: Letter of Justification for [Proposed CERP Project Name, URI#]

1. **PURPOSE:** This should be a short description of the project and where the project is located.
2. **FUNDING:** [Include a statement that no other means of funding the proposed project are available.] 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 paragraph.
3. **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 AND RECONSTRUCTION standard for CERP projects, how it will have an IMMEDIATE effects, and the category the project falls within.
4. **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).

UNCLASSIFIED//FOUO

B-13-1

XXXX-XX-XX

SUBJECT: Letter of Justification for [Proposed CERP Project Name, URI#]

5. **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.
6. **PERIOD OF PERFORMANCE AND PROGRESS PAYMENTS:** This should give the timetable for execution of the project including when it will be completed and turned over to GoI. State whether or not the MOA will authorize periodic progress payments to the contractor. (See the paragraph titled Project Monitoring and Progress Payments on page B-1-9.
7. **LOCATION:** Include Province, District, City and an 8 digit grid coordinate (MGRS) if applicable.
8. **EMPLOYMENT:** List the number of people employed during the performance period (short term) and the number employed after completion (long term).
9. **PROJECTED COST:** Estimated cost of the project.
10. **COST SHARING** (only required if project is greater than \$750K): List cost sharing agreement with GoI.
11. **PERFORMANCE METRICS** (for project > \$50K): Using the situation that needs improvement as the baseline, state specific units of measure and the methodology that will be applied to measure the conditions, before and after the project is completed. The performance metrics should add to the credibility of the project and show how the project meets its intended purpose. For example, a performance metric for an electricity improvement project may read, "Increase the availability of electricity to 5,000 citizens by two hours per day."
12. **IMPACT IF NOT FUNDED:** Possible negative outcomes if the project is not funded.
13. **RELIEF IN PLACE (RIP) OR END OF MISSION (EOM):** This paragraph is only required if the project will not be completed prior to RIP or EOM. Provide the designation of the unit assigned responsibility for executing the project. If the project will not be completed prior to relief in place or EOM then include those details to include the date the unit assigned responsibility will redeploy and what the plan is to transition the execution of the project to a new unit. If the project will not be transitioned to a new unit prior to RIP or completed prior to EOM then the project should not be done.
14. **POINT OF CONTACT:** All contact information of the individual who will answer questions that arise during the staffing process.

XXXXXX XXXXXXXX
XXX, XX
Commanding

CERP Category Definitions and Potential Projects

Agriculture: 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 operation and is not compensable under the Foreign Claims Act.

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

1. Streets, roads
2. Parks
3. Demolition of old buildings/structures
4. Trash removal

UNCLASSIFIED//FOUO

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

UNCLASSIFIED//FOUO

- 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
- 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 building 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 building repair
- Jails or temporary holding facility repairs
- Public service facility improvements
- Support to divergent political party development

Temporary Contract Guards for Critical Infrastructure: Sons/Daughters of Iraq 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.), 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 (should always be listed under this category regardless of the location of the well)
- 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**: 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 used 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.** The performance indicator and the desired benefit to the Iraqi people will be described in the Letter of Justification.
2. **GUIDANCE**: Example factors to consider when evaluating proposed projects include:
 - 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 population.
 - C. Name and stability of the local partner.
 - D. Statistics that characterize the security environment. For example: Serious incident reports or crime / violence statistics.
 - E. Number of the local population engaged in the project. For example: Number of the locals working on the project site.
 - F. Number of locals benefitting. For example: Local populace that is affected, cost benefit or per capita analysis.
 - G. Execution ability of the project. For example: In terms of completion, operation and sustainment of the project.
 - H. 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).
 - I. 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 CENTRAL
COALITION FORCES LAND COMPONENT COMMAND
HQ 1ST SUSTAINMENT COMMAND (THEATER)
18TH FINANCIAL MANAGEMENT COMMAND (PROVISIONAL)
CAMP ARIFJAN, KUWAIT
APO AE 09366

ACEN-FMC

21 July 2009

MEMORANDUM FOR All Financial Management Organizations within the Central Command (CENTCOM) Area of Responsibility (AOR)

SUBJECT: Disbursing Policy # 3- Funding and Clearing of Paying Agents (PA)

1. References:

- a. Field Manual (FM) 1-06 Financial Management Operations, Sep 06, (FM 14-100, Appendix C, 7 May 97).
 - b. AR 340-21, The Army Privacy Program.
 - c. Department of Defense Financial Management Regulation, (DoDFMR) Volume 5, Disbursing Policy and Procedures, Chapter 2, Disbursing Offices, Officers and Agents, Oct 08; and Chapter 3, Keeping and Safeguarding Public Funds, Feb 09; Chapter 6, Irregularities in Disbursing Officer Accounts, Jan 04.
 - d. Defense Finance and Accounting Service-Indianapolis (DFAS-IN) Regulation 37-1, Finance and Accounting Policy Implementation, Nov 08.
 - e. Memorandum, U.S. Army Finance Command, SFFM-FC-OD, 3 Aug 03, acceptance of Electronic Images of Standard Form 44s.
 - f. Memorandum, Defense Finance and Accounting, 4 Dec 2007, Subject: Legal Use of Scanned Documents.
 - g. Money As A Weapon System (MAAWS)-(MNC-I), Standing Operating Procedures, 26 Jan 09 and Money As A Weapon System (MAAWS)-(USFOR-A) Standing Operating Procedures, 15 May 2009.
2. Purpose: To prescribe policies and procedures for paying agents. Specific guidelines and instructions relating to the performance of their duties. Outline procedures in the event of death or incapacitation of paying agent.
3. Scope: The provisions outlined apply to all paying agents appointed to a Disbursing Officer (DO) operating within the CENTCOM Area of Responsibility (AOR).

ACEN-FMC

Subject: Disbursing Policy # 3 –Funding and Clearing of Paying Agents

4. Concept: Paying agents are authorized to receive and disburse funds 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 and be subject to administrative actions or criminal prosecution. Under no circumstances will finance accept any classified documents from paying agents.

5. Appointments/Terminations. Individuals will be a Commissioned/Warrant Officer, E-7 or above or E-6 by exception with waiver signed by the Battalion Commander or higher. Finance will ensure the appointment of paying agent is recorded on a DD577, sections I thru III (this may be used as the order and signature card), signed by the BN CDR. To terminate the paying agent, the BN CDR will complete section IV of the DD577 and return to finance (See Table 1).

6. Classified Documents.

Responsibilities: Refer to Classified Documents Spillage Policy at the following link; <https://www.us.army.mil/suite/kc/15192110>. Registration is required and can be requested by visiting the provided link.

7. Funding and Clearing of Paying Agents (all paying agents will be funded and cleared in accordance with DODFMR Vol 5):

a. Funding the Paying Agent.

(1) Paying agents must attend a Pay Agent brief prior to receiving any funding from the finance. The briefing schedule is established by each FMCO at each location. Note: Finance will ensure the PA understands how to prepare a transaction ledger of expenses (See Table 2).

(2) Paying Agents must have the following in order to make an appointment with finance for funding:

(a) Agent appointment order/signature card (DD577)

(b) Field Ordering Officer appointment orders with signature card (DD577)

(c) Purchase, Request and Commitment (PR&C- DA 3953) with contract, if applicable

(d) Proper bag or container to secure funds

(e) Armed guard or security for funds over \$10,000

(3) Paying agents will make an appointment with the disbursing office that their orders appoint them to.

ACEN-FMC

Subject: Disbursing Policy # 3 –Funding and Clearing of Paying Agents

(4) Paying agents will report to their appointment on time. Deputy Disbursing Officer (DDO) or Disbursing Agent (DA) will verify documents and maintain the original orders with signature card, and copy of PR&C. DDO/DA will prepare the Agents accountability (DD1081) in duplicate and have agent sign both. DDO/DA will maintain one original and give one original to the agent. DDO/DA will ensure PA verifies all funds prior to signing DD1081.

b. Clearing the account.

(1) The Field Ordering Officer (FOO) must go to the Directorate of Contracting (DoC) to get the letter of clearance/termination prior to paying agent making an appointment to clear finance. This letter lets finance know that the contracting office has verified and validated all purchases made by the FOO and PA.

(2) The following documents are needed to clear finance (Paying agents should clear every 30 days):

FOO's Letter of Clearance/Termination from contracting (original and 3 copies)
PR&C, DA 3953 (4 copies)
SF 44's (original and 3 copies)
Transaction ledger of expenses
Note: CERP Projects must have a progress report or closure report

(3) The following steps will make it easier to clear finance.

(a) Make an appointment to clear on a day when the paying agent has plenty of time to clear. The DDO/DA will not stop the process of clearing once the appointment has begun unless problems arise during clearing of agent.

(b) Copiers are limited at the finance office so agent must ensure to bring appropriate number of copies of each document.

(c) When the paying agent clears the finance office, the agent will receive an Agents Accountability (DD1081); ensure that it is signed by both the agent and DDO/DA in the "On Return" block. One copy will be given to the paying agent and the DDO/DA will keep one copy for the clearing records.

(d) Paying agents must clear as soon as possible, recommended every 30 days. If not able to clear within 30 days, then the agent needs to have positive contact with the DDO/DA until cleared. Positive contact means providing status/updates via phone calls or emails. Paying agents must clear all accounts prior to any departure from theater.

(e) Paying Agents are required to immediately provide copies of all clearing documents to their Comptroller (G8) office after clearing Finance.

ACEN-FMC

Subject: Disbursing Policy # 3 –Funding and Clearing of Paying Agents

4. Irregularities. When balancing, if the paying agent notices any overages or shortages, **cease all operations**, and immediately contact the DDO/DA in which funding was received for further action to be taken. Specific guidance will be given to the paying agent at that time. In the event the paying agent cannot reach the DDO/DA, follow these guidelines:

(a) Organize all receipts and verify each transaction with the paying agent's transaction ledger of expenses.

(b) Count all of the paying agent's funds several times to verify that the total of all receipts and cash equals to the beginning balance. If not in balance, agent will take the next step.

(c) Prepare a memorandum for record that shows the date and time of the last moment the paying agent was in balance (ensure to include as many details as possible). In addition, list all purchases made after the last time the agent was balanced. If the paying agent suspects that anyone else may have had access to the funds, list their names, date, location and their time of possible access, as well as, their contact information. List any and all other circumstances surrounding possible access to funds or when irregularity occurred.

(d) Record the adjustment (entry will state "overage or shortage") in the paying agent's ledger to bring the agents account back in balance.

(e) **Do not**, under any circumstances, make-up the difference from any personal funds. The DDA/DO shall verify by actual count that the total amount of all cash and documents held as cash is in agreement with the amounts shown on the agent ledger (this will confirm an overage or shortage is present). If the loss is not resolved within 24 hours of discovery, then the DO/DA shall make a written report of the loss to the commander and request the commander to direct an immediate audit of all documents and cash held by the agent.

(5) Extraordinary Occurrences.

(a) Electronic Clearing. If circumstances arise which make it impossible for the paying agent to physically clear at the finance office, it is possible to clear the account through scanning documents to the finance office, however, if there are funds to be returned then the agent must return funds in person. If originals cannot be received, the DDO/DA will write the following statement at the top of the DD1081 "Paying Agent cleared with copies". Under no circumstances will the paying agent scan any classified documents to the finance office.

(b) In the event the agent is unable to clear due to injury, incapacitation or death:

1. The DO must notify the Theater Financial Command. The unit commander will designate an alternate paying agent whom will be named on agent orders to clear the account.

UNCLASSIFIED//FOUO

ACEN-FMC

Subject: Disbursing Policy # 3 -Funding and Clearing of Paying Agents

2. The commander will appoint three disinterested and qualified officers to inventory funds and vouchers in possession of the paying agent and prepare an inventory sheet and report disposition of funds to command. The command will maintain proper chain of custody of funds and documents.

3. Alternate paying agent will return their orders, inventory sheet, original paying agent orders, funds and vouchers to the DA as soon as possible to clear the account.

4. If all or partial funds/ documents cannot be recovered for clearing of the agent, the Theater Financial Command commander will appoint an investigating officer to conduct an investigation of a major loss IAW DODFMR, Vol 5, Chapter 6. Under no circumstances will the Finance Company appoint the investigating officer for a major loss. On the other hand, the Finance Company commander will appoint an investigating officer to conduct investigation of missing funds for a minor loss of funds.

8. POC for this action is the 18th Financial Management Command (PROV), Policy Section at 318-430-7728.

Encls

1. Paying Agent DD 577
2. Example Agent Ledger


MICHAEL W. MURFEE
COL, FC
Commanding

UNCLASSIFIED//FOUO

B-16-5

ACEN-FMC

Subject: Disbursing Policy # 3 -Funding and Clearing of Paying Agents

Table 1-Paying Agent DD577/Appointment Order

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, 3326, DoD Financial Management Regulation, Vol. 3, Chapter 33, and DoD 7000.15, DoD Accountable Officials and Certifying Officers. PRINCIPAL PURPOSE(S): To maintain a record of certifying and accountable officers' appointments, and termination of these appointments. The information will also be used for identification purposes associated with certification of documents under 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 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 Service Review Users 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 (First, Middle Initial, Last) NAME OF SIGNATURE IN BLOCK 5	2. TITLE BN CDR/TEAM CHIEF	3. DOD COMPONENT/ORGANIZATION BN, BCT
4. DATE (YYYYMMDD) DATE	5. SIGNATURE BN CDR (O-5 OR ABOVE FOR OMA, OFFUNDS AND CLAIMS) TEAM CHIEF (O-4 OR ABOVE FOR TIF ONLY)	
SECTION II - TO: APPOINTEE		
6. NAME (First, Middle Initial, Last) PAYING AGENT'S NAME	7. SSN PAYING AGENT'S SSN	8. TITLE PAYING AGENT
9. DOD COMPONENT/ORGANIZATION CO, BN, BCT		10. ADDRESS (Include ZIP Code) LOCATION OF UNIT (FOB & APO AE)
11. TELEPHONE NUMBER (Include Area Code) DSN/VOLP		12. EFFECTIVE DATE OF APPOINTMENT (YYYYMMDD) DATE
13. POSITION TO WHICH APPOINTED (If any) <input type="checkbox"/> CERTIFYING OFFICER <input type="checkbox"/> ACCOUNTABLE OFFICIAL <input checked="" type="checkbox"/> OTHER (Specify) PAYING AGENT		
14. YOU ARE HEREBY APPOINTED TO SERVE IN THE CAPACITY SHOWN ABOVE. YOUR RESPONSIBILITIES WILL INCLUDE: Under the provisions of DODFMR, Volume 5, part 03003, PAYING AGENT'S NAME is appointed as paying agent to MAJ Norman E. Kirby, Commander, 24th Financial Management Company.		
MAXIMUM ADVANCE: \$Dollor Amount		
SPECIAL INSTRUCTIONS: The Paying Agent is authorized to disburse funds for official government purchases in accordance with the regulations listed above in block 14. The Paying Agent will make authorized purchases using the Standard Form 44 or the DD 1351-b (optional for multiple good funds, rewards and desertion payments). The funds will not be entrusted to others or commingled with other funds. The Paying Agent will receive a copy of all applicable regulations and will understand all instructions prior to drawing funds. Funds and paid vouchers must be secured at all times as required by DODFMR, Vol 5, Chapter 3.		
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: DoDPMR, Vol. 5, chapter 33; DFAS-IN Regulation 37-1, Chapter 40; DSOP #2-Paying Agent MOI (14Oct07); DSUP #6-Solatium Payments (14Oct07); OSOP #16-CER* Payments (14Oct07); DSOP #17-Rewards Payments (14Oct07); MAAWS book (01June07)		
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 furnished with 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 (First, Middle Initial, Last) PAYING AGENT'S NAME		17. SIGNATURE PAYING AGENT'S SIGNATURE
SECTION IV - TERMINATION OF APPOINTMENT		
<input checked="" type="checkbox"/> The appointment of the individual named above is hereby revoked.		18. EFFECTIVE DATE (YYYYMMDD) DATE
19. NAME OF COMMANDER/APPOINTING AUTHORITY SAME AS BLOCK 1		20. APPORTEE INITIALS PAYING AGENT'S INITIALS
21. TITLE BN CDR/TEAM CHIEF		22. SIGNATURE SAME AS BLOCK 5

DD FORM 577, JAN 2004

PREVIOUS EDITIONS ARE OBSOLETE.

AFO FC-1.20

UNCLASSIFIED//FOUO

ACEN-FMC

Subject: Disbursing Policy # 3 –Funding and Clearing of Paying Agents

Table 2- Example Agent Ledger

Type of Transaction	Amount	Balance
Advance	500	500
purchase tiles	-200	300
purchase cartridges	-100	200
purchase stones	-50	150
total to turn-in		150

UNCLASSIFIED//FOUO

B-16-7

Quarterly Commander's Narrative

Contents

1. Purpose
2. Guidance and Format

1. **Purpose:** Each USD and CJSOTF will provide a Commander's Narrative for each quarterly report. The narrative must be signed by the Commander or a representative from the MSC Command Group. This narrative consists of the Division 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.

2. **Guidance and Format:**

A. The quarterly narrative is due to USF-I J8 on the 3rd of each month after the end of the quarter.

<u>Quarter</u>	<u>Suspense to USF-I J8</u>
1 st	3 Jan
2 nd	3 Apr
3 rd	3 Jul
4 th	3 Oct

B. The quarterly narrative will follow the below format and guidance:

1. Goals for Current Fiscal Year CERP Funding.
 - a. A review of the Commander's overall goals for CERP
 - b. Progress achieved against the identified goals using the previously identified metrics for at least three areas of emphasis
 - c. How progress of the identified goals was measured
2. Significant Events and Effects.
 - a. List significant issues/events that happened in the quarter
 - b. Your top four categories of CERP (by dollar expenditure) with metrics, effects, and examples.
3. Adequacy of Funding.
4. Gol Transfer Issues.

5. Impact of Security on monitoring CERP projects.
6. Projects Exceeding \$500K
 - a. List all newly approved projects from the reporting quarter > \$500K. Include project name, category, cost, and contributions each of these projects made to humanitarian relief and reconstruction efforts for the benefit of the Iraqi people.
 - b. List all projects > \$500K that were completed during the reporting quarter. Include project name, category, cost, date transferred to Gol, and contributions each of these projects made to humanitarian relief and reconstruction efforts for the benefit of the Iraqi people.
7. Effort to obtain Donor Funding. Describe any efforts you made to get donor funding and the results of those efforts.
8. Cost Shared Projects.
 - a. List all projects that had cost sharing.
 - b. Identify who shared the cost and how much.
 - c. Include Project name, category, and cost.
 - d. Include date turned over to Gol.
9. Impact of CERP Projects. Describe the impacts of CERP projects, individually or collectively, in assisting the U.S. carry out its strategy.
10. Status of efforts to transition Sol to Gol.

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 USF-I J8 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 the name of the MSC that owns the funds. 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.

E. Project Category - Input the CERP Category. Use list of CERP categories in Annex B-14 or paragraph 8, CERP Information Cells (Province). These are heavily scrutinized by our Higher Headquarters and the Department of the Army (DA). 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.

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. For micro-grant projects, list the name of recipient and the type of business.
- 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: MOA, 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. 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 terminated and the obligated amount adjusted to \$0.
- 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.

UNCLASSIFIED//FOUO

- 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). Projects are considered in process until they are either completed or terminated. Projects will only be considered complete when all obligations and disbursements are reflected in STANFINS as of the effective date of the report and all required closure documentation is in the project file to include project closure memorandums from both the MSC G8 and the commander.
- O. Projected Completion Date / Completion Date** - Input the projected project completion date (example: '20 Mar 09'), or date project was completed. If the project status is in process and the projected completion date has passed as of the effective date of the report then this date must be updated to reflect a new forecasted completion date.
- P. Date Project Was/Will Be Transferred to Gol** – Input the date (example: '20 Mar 09') the project was transferred to the Gol 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 Gol (Government of IRAQ)** - For projects \$500K or greater only. Describe the plan for transitioning this project to the Gol. Explain any commitment by the Gol for the sustainment of the project.

UNCLASSIFIED//FOUO

- T. Dollar Amount of funds provided by Gol for project** - For projects \$500K or greater only. Input the dollar amount of funds provided by the Gol 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 Gol or based on direct benefit to US mission, projects \$750k or greater** - Input whether project was approved based on cost sharing with Gol 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/CONCERNS:

- 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.

UNCLASSIFIED//FOUO

- 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.
 - F. Project status cannot be considered complete unless all requirements detailed in paragraph 2.N are met.
 - G. Projected completion dates for projects in process have passed. If all requirements needed to consider the project complete have not been met then the projected completion date should be a future date.
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.
6. **SPECIAL INSTRUCTIONS:** The following projects require special instructions. Follow the below guidance when inputting:
- A. **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 individual project will be entered into the tracker separately. The commitment amount for the line generated by the original commitment document will be reduced until it equals \$0. There should never be obligations or disbursements on the original bulk fund line. Each month, 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.

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

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).

UNCLASSIFIED//FOUO

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:

Project Status	Province	Projects greater than \$750K	Units	CERP Category
In process.	Anbar	Cost sharing arrangement with GoI	CJSOTF	Agriculture/Irrigation
Complete	Babil	Direct benefit to US Mission	USF-I	Battle Damage Repair
	Baghdad		USD-C	Civic Cleanup Activities
Terminated	Basrah		USD-N	Civic Support Vehicles
	Dahuk		USD-S	Condolence Payments
	Dhi-Qar			Former Detainee Payments
	Diyala			Economic, Financial, and Management Improvements
	Irbil			Education
	Karbala			Electricity
	Maysan			Food Production & Distribution
	Muthanna			Healthcare

UNCLASSIFIED//FOUO

	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

31EC - 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.

UNCLASSIFIED//FOUO

MATERIAL INSPECTION AND RECEIVING REPORT										Form Approved OMB No. 0704-0248			
The public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Executive Service and Communications Directorate (0704-0248). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.													
PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE ABOVE ORGANIZATION. SEND THIS FORM IN ACCORDANCE WITH THE INSTRUCTIONS CONTAINED IN THE DFARS, APPENDIX F-401.													
1. PROCUREMENT INSTRUMENT IDENTIFICATION (CONTRACT) NO. REQUISITION # FROM DA 3953, BLK 2				ORDER NO. ORDER #		6. INVOICE NO./DATE DATE		7. PAGE OF 1 1		8. ACCEPTANCE POINT N/A			
2. SHIPMENT NO.		3. DATE SHIPPED DATE		4. B/L N/A TCN		5. DISCOUNT TERMS							
9. PRIME CONTRACTOR CODE CONTRACTOR NAME COMPANY NAME ADDRESS, PHONE, EMAIL						10. ADMINISTERED BY CODE PPO RANK, NAME UNIT PPO							
11. SHIPPED FROM (If other than 9) CODE SHIPPED TO ADDRESS GRID LOCATION				FOB: N/A		12. PAYMENT WILL BE MADE BY CODE CERP PA RANK, NAME UNIT, CERP PAY							
13. SHIPPED TO CODE						14. MARKED FOR CODE							
15. ITEM NO.		16. STOCK/PART NO. DESCRIPTION <small>(Indicate number of shipping containers - type of container - container number.)</small>				17. QUANTITY SHIP/REC'D*		18. UNIT		19. UNIT PRICE		20. AMOUNT	
1		DESCRIPTION OF SERVICE OR ITEM				LS		LS		\$		\$	
2		DESCRIPTION OF SERVICE OR ITEM				LS		LS		\$		\$	
21. CONTRACT QUALITY ASSURANCE a. ORIGIN <input type="checkbox"/> CQA <input type="checkbox"/> ACCEPTANCE of listed items has been made by me or under my supervision and they conform to contract, except as noted herein or on supporting documents. DATE _____ SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE _____ TYPED NAME: _____ TITLE: _____ MAILING ADDRESS: _____ COMMERCIAL TELEPHONE NUMBER: _____													
b. DESTINATION <input checked="" type="checkbox"/> CQA <input type="checkbox"/> ACCEPTANCE of listed items has been made by me or under my supervision and they conform to contract, except as noted herein or on supporting documents. DATE _____ CERP PPO SIGNATURE _____ TYPED NAME: _____ CERP PPO RANK NAME UNIT, PPO TITLE: _____ MAILING ADDRESS: _____ ADDRESS _____ COMMERCIAL TELEPHONE NUMBER: _____ PHONE _____													
22. RECEIVER'S USE Quantities shown in column 17 were received in apparent good condition except as noted. DATE RECIEVER SIGNATURE DATE RECEIVED _____ SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE _____ TYPED NAME: _____ RECEIVER RANK NAME TITLE: _____ UNIT, POSITION MAILING ADDRESS: _____ ADDRESS _____ COMMERCIAL TELEPHONE NUMBER: _____ PHONE _____ <small>* If quantity received by the Government is the same as quantity shipped, indicate by (X) mark; if different, enter actual quantity received below quantity shipped and encircle.</small>													
23. CONTRACTOR USE ONLY													

DD FORM 250, AUG 2000

PREVIOUS EDITION IS OBSOLETE.

D-1111

UNCLASSIFIED//FOUO

B-20-1



REPLY TO
ATTENTION OF

UNCLASSIFIED//FOUO

DEPARTMENT OF THE ARMY
(YOUR UNIT HEADER)

OFFICE SYMBOL

DATE

MEMORANDUM OF AGREEMENT
BETWEEN
CONTRACTOR
AND
THE U.S. ARMY

SUBJECT: (PROJECT TITLE)

1. (YOUR UNIT) requests (VENDOR NAME), of (COMPANY NAME), (DESCRIPTION OF SERVICES BEING ACQUIRED).
2. The following outlines the terms of this agreement:
 - A. Purchase the necessary equipment in accordance with the statement of work.
 - B. Contract Cost: Amount USD or Iraqi Dinar if contracting with local vendor.
 - C. Line of Accounting from PR&C (DA3953).
 - D. Project will be completed NLT # days after receiving a written Notice to Proceed.
 - E. Payments will be made for goods and services received and the contractor must provide a receipt of the work or services performed to receive payment.
 - F. Purchase all new products and working products.
 - G. The contractor will be paid 100% only after the full purchase of supplies, full delivery to XXX, and QA/QC by Coalition Forces.
 - H. Contract is not effective until funding is approved a written Notice to Proceed is issued to the contractor.
 - I. Coalition Forces reserve the right to cancel the contract at any time for any reason. In the event that this occurs, payment will be made for percentage of work completed.
 - J. Under no circumstances will alteration to the SOW and/or BOQ be allowed without written approval by the PPO. NO ONE is authorized to make changes to the SOW and/or BOQ except the PPO. If a contractor accepts changes without this authorization, the

UNCLASSIFIED//FOUO

B-21-1

OFFICE SYMBOL

UNCLASSIFIED//FOUO

SUBJECT: (PROJECT TITLE)

contract may be terminated or the expense of the changes plus remediation charged to the contractor.

3. By signing below both parties agree to the terms in paragraph 2.

4. POINT OF CONTACT: The POC for this request is (PPO). POC can be reached at (VALID EMAIL) VOIP 778-7214.

PPO FULL NAME

CPT, AR

Project Purchasing Officer

VENDOR NAME

General Manager

COMPANY NAME

Phone Number

Email Address (if available)

UNCLASSIFIED//FOUO

B-21-2



REPLY TO
ATTENTION OF

DEPARTMENT OF THE ARMY
LETTERHEAD

OFFICE SYMBOL

DATE

MEMORANDUM FOR RECORD

SUBJECT: Statement of Work for (project name and URI)

1. GENERAL PROJECT DESCRIPTION: Brief description of project (e.g., renovate school by installation of new roof and new flooring). The project does not need to be re-justified here.
2. DETAILED SCOPE OF WORK: See bill of quantities.

LINE #	DETAILS	UNIT	QTY	UNIT PRICE (USD or Iraqi Dinar if contracting with local vendor)	TOTAL PRICE (USD or Iraqi Dinar if contracting with local vendor)
NOTE: THIS BID SHEET IS STRICTLY A GUIDLINE. Project materials and detailed description.					
#1					
#2				-	
#3					
#4					
#5					
#6					
#7					
#8					
#9					

3. GENERAL SPECIFICATION: The project is to be completed in accordance with the specifications of this office as reflected by the scope of work. The following items are a specific part of the timely and accurate execution of the contract. Failure to comply with the following may result in delays of payment or loss of contract. All Bids must include total number of workers, complete list of materials, number of days to complete project. Bid must include breakdown of labor and materials. Also need to include contractor name, address, email, phone number, point of contact and signature from individual with signature authority.

4. BID SELECTION PROCESS: All bids must be in English and denominations of US dollars or Iraqi Dinar if contracting with local vendors. **All bids must be presented in a format that includes itemized listings for labor, equipment, fees, and any other items to be included.** If absolutely necessary, our office will translate bids. All bids must be submitted by the specified date at the announcement of the proposed project. Bids that are received late will not be considered. Bids will be evaluated on several criteria including but not limited to the following:

- Cost of PROJECT
- Ability to complete job in specified time
- Amount of local laborers hired for the project

5. COORDINATION: The contractor is responsible for the execution of the contract to ensure work is completed in a time efficient manner. The contractor should also seek to fulfill the end users' request as to specific execution of the contract so far as compliance to the scope of work will permit. The representative of Coalition forces will resolve all conflicts between the end user and the contractor as to work schedule coordination. The contractor will be expected to work with representatives from Baghdad University for Quality Control issues.

6. CORRUPTION: Under no circumstances will this office, its employees or associates (including personnel, interpreters, Iraqi Military, other government employees etc.) seek to accept payment, gifts, individual discounts, favors or any other individual benefit or advantage. Contract Officer or others working with this office will not offer such. Neither should they offer or agree to supply such to any end user (e.g. school headmasters) or government official (e.g. NAC member). Contractor's who are shown to participate in any corrupt activity, including colluding on bids or prices, will not be awarded contracts and will be dropped from the list of approved contractors.

7. PAYMENT SCHEDULE: Payment will be made in full after inspection of the final product. If a partial payment is request by the Contractor, payments will be made only for goods and service rendered at the time of the partial payment. At no time will the sum of all partial payments made before the final payment exceeds the 75% of the contracted amount unless it is the final payment.

8. DURATION: The Contracting Officer shall allow the number days specified in bid for the Contractor to complete the work from the date of the signed Notice to Proceed/Work Agreement. For inclement weather the Project Officer may grant additional days when such situations would interfere or otherwise obstruct the contractor's ability to continue the work. The contractor shall submit written requests for additional days to the Project Officer. If additional unapproved days are taken by the contractor, a 1% penalty will be assessed for each day past the work completion deadline above.

9. SECURITY: The contractor is solely responsible for the securing of his own tools and equipment at the worksite.

10. PROJECT SCHEDULE: The Contractor shall provide the Project Officer a schedule identifying the completion dates of each stage. Failure to meet the schedule specified in the contract or memorandum of agreement will require the contracting office to penalize the contractor 10% of the contract value.

11. RIGHT OF CANCELLATION: On this project, the Coalition Forces reserve the right to cancel the contract at any time for any reason. In the event this happens, payment will be made for percentage of work complete.

12. ADDITIONS: The contractor must coordinate with proper government officials before the project is begun for his approval in the timeline of the project. If the timeline of the construction or sections are altered, the contractor must inform the project officer of these changes before beginning/continuing the project, or if construction has already begun, before moving any further with the project. The Project Officer will then confirm the new project timeline with the local Iraqi government.

13. POINT OF CONTACT: The POC for this request is PPO. POC can be reached via email [@us.army.mil](mailto:us.army.mil) (If possible do not use SIPR email or SVOIP).

PPO
SIGNATURE BLOCK

Guidance on Using Budget Rates for Contracts and Memorandums of Agreement Written in Local Currency

CONTENTS

1. PURPOSE
2. OVERVIEW
3. PROCEDURES
4. EXAMPLE

1. **Purpose:** The purpose of this guidance is to explain the requirements for recording obligation amounts when PPOs or Contracting Officers contract with local vendors in Iraqi Dinar.
2. **Overview:** All CERP obligating documents contracting with local Iraqi vendors will be written and paid in Iraqi Dinar in order to support the removal of the U.S. dollar from the battlefield and promote the use of local currency. USARCENT established FY10 Theater Army budget rates through coordination with OSD. These rates will be used to facilitate writing and paying FY10 contracts with local vendors in local currency. The USARCENT FY10 budget rate for the Iraqi Dinar is 1197.4253.
3. **Procedures:** the following procedures apply when CERP funds are used to contract with local vendors.
 - a. **Funding Requests:** The budget rate, 1197.4253, and the appropriate Iraqi Dinar amount will be annotated in block 15 of the DA3953. Iraqi Dinar amounts will be converted to U.S. dollars and annotated in blocks 18a and 18b of the DA3953. The converted U.S. dollar amount will be entered as the commitment amount by MSC G8s.
 - b. **Obligations:** MSCs will use the budget rate in paragraph 2 to establish and record obligations for contracts with local vendors.
 - c. **Payments:** Payments will be made in Iraqi Dinar.
 - d. **Recording Disbursements:** Finance SOP directs that they convert local currency payments using the daily exchange rate. Finance will use the foreign currency fluctuation account, established by USARCENT, to charge or credit variances between the disbursement and the obligation amounts caused by differences between the budget and daily exchange rates. **Under no circumstances will MSC G8s adjust obligations to compensate for variances caused by this disparity.**

1. The finance office may apply disbursement charges and credits for obligations incurred in FY10 and caused by the disparity between the budget and daily exchange rate to the following line of accounting:

21 0 2020.0000 8A 2084 136198 48CF 25CC VIRQ S09076 FLUXACCTIRAQ10

4. Example:

- a. Fund request package for a micro grant requesting 2,993,563.25 in Iraqi Dinar for a small business owner is forwarded to the MSC G8 for fund certification. DA3953 has amount of Iraqi Dinar and budget rate in block 15 and the U.S. total in the amount of \$2,500 in blocks 18a and 18b. When funds are certified the PA goes to the local finance office and draws 2,993,563.25 in Iraqi Dinar. PPO and PA make payment to the small business owner and record amount paid in Dinar on the SF 44. PA returns to the finance office and clears with the disbursing officer. Disbursing officer will use the daily exchange rate for the Iraqi Dinar (1170 since Jan 09) to convert the amount to U.S. dollars. Using 1170 as the daily exchange rate the total disbursement recorded is \$2,558.60. The disbursing officer will charge \$2,500 to the original CERP line of accounting and will charge the fluctuation account in paragraph 3.d.1.



UNCLASSIFIED//FOUO

HEADQUARTERS
UNITED STATES FORCES-IRAQ
BAGHDAD, IRAQ
APO AE 09342

REPLY TO
ATTENTION OF

USF-I J8

04 January 2010

MEMORANDUM FOR RECORD

SUBJECT: Enhanced CERP Project Purchasing Officer and Paying Agent Certificate of Training

1. The following personnel listed below successfully completed the PPO and PA training by the MNC-I Mobile Training Team at Camp Victory, Baghdad, Iraq on 19 Sep 2009.

<u>Rank</u>	<u>Last Name</u>	<u>First Name</u>	<u>Unit</u>
SFC	Johnson	Thomas	111 CA BDE
SGT	Thomas	Dave	1 / 2 Field Artillery
MAJ	Commander	Helluva	1 / 3 CAV

2. All individuals have completed the training requirements to serve as a PPO or PA. In accordance with the Money as a Weapon System (MAAWS) SOP, a PPO may not hold additional duties as a PA for any type of fund.

3. Before performing duties as a PPO or PA, the individuals must receive appointment from their commander on an Appointment Memorandum and DD Form 577. Additionally, a PPO cannot obligate the Government until receiving written delegation from a Warranted Contracting Officer.

4. The point of contact for this action/memorandum is Captain Jane Doe, USF-I J8 CERP Program Manager, at DSN 318-485-3025 or Jane.Doe@iraq.centcom.mil.

Jane Doe, CPT, FI
Budget Officer
United States Forces - Iraq J8

Michael Bolton, TSgt, USAF
Contracting Officer
Victory Regional Contracting Center

Bruce Wayne, CPT, SJA
Fiscal Lawyer
United States Forces-Iraq SJA

Robert Johnson, CPT,
Plans Officer
United States Forces-Iraq J7

John Smith, CPT, FI
Financial Management Officer
United States Forces-Iraq

UNCLASSIFIED//FOUO

B-24-1

UNCLASSIFIED//FOUO



REPLY TO
ATTENTION OF

HEADQUARTERS
UNITED STATES FORCES - IRAQ
BAGHDAD, IRAQ
APO AE 09342

FICI-RM

14 January 2010

MEMORANDUM FOR RECORD

SUBJECT: Clearance memorandum for CERP PR&C

1. The following CERP project and attached SF 44's are cleared, contractually sufficient, and within the scope of the appointed authority. **VA-022, ACERP092930022** was approved for \$23,300.00 in funding. Evidence of non-disbursement against **ACERP092930022** validates that \$23,300.00 was fully disbursed against this PR&C with the balance of \$0.00 being returned and de-obligated.
2. Documentation has been received and meets the requirement IAW USF-I MAAWS policies as follows:
 - a. ☒ All documentation present.
 - b. ☐ An exhaustive effort to retrieve missing project closure documentation was unsuccessful.
3. Questions regarding this clearance letter should be directed to SSgt John Doe, USF-I J8 Special Programs Resource Manager, DSN 318-485-1111.

JOHN Q. PUBLIC, CAPT, USAF
CERP/I-CERP PROGRAM MANAGER
USF-I, J8 SPECIAL PROGRAMS

UNCLASSIFIED//FOUO

B-25-1

IRAQI COMMANDERS' 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: "Commanders' Emergency Response Program (CERP) Guidance," dated 16 January 2009.
- B. Department of Defense Financial Management Regulation Volume 12, Chapter 27, January 2010, Commanders' 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. USF-I FRAGO 09-0045, Implementation of E-Commerce and Reduction of Cash in Theater, 27 Dec 2009

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

UNCLASSIFIED//FOUO

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 – projects 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 UNITED STATES DIVISION (USD) CG) include:
1. Roads
 2. Sewers
 3. Irrigation
 4. Micro Grants - non-reconstruction projects that promote small business development in the form of Micro Grants
- D. While I-CERP is intended for brick and mortar type reconstruction projects, equipment purchases may be included as part of an I-CERP project provided each of the following conditions are met:
1. The overall project falls under one of the authorized I-CERP categories in paragraphs 2B and 2C above.
 2. The majority of the project costs are associated with the reconstruction portion of the project.
 3. The equipment is part and parcel to the overall project and critical to achieving the projects intended effect .
- E. All 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 Teams (PRT) 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,

UNCLASSIFIED//FOUO

USDs 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.** USDs 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 USD boundary do not match, the United States Forces – Iraq (USF-I) Deputy Commanding General for Operations [DCG-O] 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 and greater or when the technical complexity exceeds the abilities of the individual Project Purchasing Officer (PPO).
- E.** All I-CERP financial documentation to include commitment, obligating, and disbursement documents will include the statement **“These funds are the property of the Government of Iraq”**. All I-CERP payments will be made IAW USF-I FRAGO 09-0045 (27 Dec 09). As such, I-CERP contracts, MOAs, and payments will be written and made in Iraqi Dinar only. Acceptable forms of payment in order of priority are: 1) Electronic Funds Transfer (EFT); 2) Limited Depository Account (LDA) checks; 3) paying agent stored value card (when available); 4) Iraqi dinar in cash. U.S. dollars will only be used if no other method is available and conditions detailed in paragraph 3.E.6 of USF-I FRAGO 09-00045 have been met.

F. I-CERP approval threshold matrix:

Item	Limit	Approval Authority	Can be delegated?
Project Approval*	Less than \$500K	USD Cdr	Yes
Project Approval*	\$500K or greater	USF-I DCG-O	No
Contract	\$500K or greater	Must be awarded by Warranted Contracting Officer	No
Micro-Grants*	Up to \$5K	BDE Cdr	Yes
Micro-Grants	>\$5K up to \$10K	USD Cdr	No
Micro-Grants	>\$10K	USF-I DCG-O	No

***Road, Sewer, Irrigation, and Micro Grant Projects require waiver/endorsement approving these by exception**

- G.** Commanders will coordinate and determine project needs with local Iraqi government agencies, civil affairs elements, engineers, and the PRTs to gain the greatest effect, ensure effect synchronization, and provide for documented Gol project acceptance with follow-on project maintenance and sustainment as required.
- H.** USF-I J8 will maintain a filing tracking system to manage the oversight of completed projects received from USDs and then forward to ARCENT IAW their guidance.
- I.** Project sustainment letters must be signed by the appropriate and responsible local Iraqi officials. If a project is over \$500K the Provincial Governor or relevant Iraqi Minister is required to sign the sustainment letter, but if the project is over \$50K and under \$500K, the equivalent to council member or mayor is required to sign the sustainment letter. The signing official for the sustainment letter for a project under \$50K is at the discretion of the USD CG.
- J.** The USD Comptroller's Office will provide completed project files to the USF-I J8 on a quarterly basis. USF-I will not accept files unless a completed checklist (see Annex C-4) is attached to each project file and all necessary documents are present. Ensure each box contains an up-to-date Document Register which identifies the document register number,

UNCLASSIFIED//FOUO

funding type, and fiscal year for each project file. Each box must be clearly marked on the exterior with USD, FY, APC, and document number sequence range contained within the box. Do not ship project files from separate funding sources (e.g. CERP, I-CERP, QRF, etc.) in the same box. USF-I J8 will randomly inspect your files upon receipt. If they do not have all required documentation they will be returned to the unit. In the event that completed project files become lost, the USD Comptroller will reconstruct the file with the following minimum information/documents: project description, accounting documents, and Commander's explanation/clearance letter. USDs will use DHL Junior Jumbo boxes for document shipping. Please ship boxes to:

USF-I J8
Building 66A
Attention: Special Programs
Camp Victory, Baghdad, Iraq

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. USF-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, USD Commanders may approve roads, sewers, and irrigation projects at the appropriate I-CERP approval level. Non-reconstruction projects in the form of micro-grants that create employment and promote small business development are also permitted with USD commander's approval.

- 5. REPORTING:** The overall success of I-CERP reporting is based on checks and balances. USDs will use the same processes currently used for CERP for monthly reporting requirements. Project data must be kept accurate in the I-CERP Project Tracker on a weekly basis to ensure timely concurrence from GoI on planned projects. Monthly reconciliation must be completed to ensure STANFINS matches the I-CERP Project Tracker. Monthly reports to USF-I J8 on program execution will use the same processes and requirements currently used for CERP.

UNCLASSIFIED//FOUO

- A. Each USD will provide the I-CERP report no later than the 10th of each month utilizing the I-CERP Project Tracker 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 differences between the reports are category descriptions and required information. The report will include the Unique Requirement Identifier (URI), unit, province, project document reference number, payment date, project title, project category, project description, was the project approved by Gol and by whom (position/title, organization), location of project, and amount committed, obligated and disbursed.
- B. Each USD will provide a quarterly I-CERP report to USF-I J7 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 Gol 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 URI; a detailed project description; photo or map of the completed project (if applicable); completion date; who in Gol 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 USF-I J7. J7 is primarily responsible for reconstruction reporting, policy, monitoring of reconstruction projects, and overall tracking of reconstruction efforts. J7 will ensure USD'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)**
- C-4 I-CERP Project Checklist to Appendix C Iraqi CERP (C-4-1)**
- C-5 DA Form 3953 Purchase Request and Commitment (PR&C) to Appendix C Iraqi CERP (C-5-1)**
- C-6 I-CERP Request Packet Checklist**

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 USF-I J8 or the USD providing funding to ensure projects are captured and correctly closed out in the I-CERP Spreadsheet. Instructions for reporting bulk funded micro grant projects on the I-CERP Project Tracker are the same as those detailed for reporting bulk funded projects on the CERP Project Tracker and are found in Appendix B-18, paragraph 6.
 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 USD.
 - D. **STANFINS Document Reference Number** - Input the Standard Financial System (STANFINS) document number.
 - E. **Project Category** - Input the I-CERP Category. Use the list of I-CERP Categories in Annex C-2.
 - 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 section B-18 under paragraph 8.
- 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 J/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.
- N. **Amount of Funds Disbursed** - This field should be updated each time the PA clears Finance. . 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.
- P. **Actual Percent Complete** - Input the percent complete. This needs to be updated as the unit receives project information. 100% complete should only be used when the project is complete, the financial documents have been processed by Finance, and the project closure memorandum from both the USD G8 and the commander have been completed.

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
 - Cleared with Finance (Project cannot be 100% until accomplished)
4. **RECONCILIATION:** The USDs G7/8 should perform a weekly I-CERP Project tracker reconciliation to STANFINS to ensure all projects have been input and that the dollar amounts match. By the 30th of each month, the USDs must ensure all projects are up-to-date and financial data is accurate. While the report is not due to USF-I J8 until the 10th of the following month, the information in the report will reflect financial data as of the last day of the previous month (e.g. October 31 or November 30). When the obligations between the I-CERP Project Tracker 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. 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
------------	-----	------	------------------------------------	------------------	---------------	---	-------------------------------------	----------

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
---	---------------------------	---------------------------	-----------------------------------	---------------------------	-------------------------

Actual % Complete	Contractor's Name
-------------------	-------------------

The only I-CERP Project Categories are listed below:

- Water Purification Plants
- Schools
- Health Clinics
- City Planning Facilities
- Protective Measures
- Roads*
- Sewers*
- Irrigation*
- Micro Grants*

* require waiver/endorsement from USD CG approving these by exception categories

Project Title (I-CERP Category)
City, Province

Project Details

- **Project Location & Grid Coordinates:**
- **I-CERP Category:**
- **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.

UNCLASSIFIED//FOR OFFICIAL USE ONLY

I-CERP PROJECT FILE CHECKLIST

The checklist below is required for all packets before they can be closed. A copy of this checklist must be the first document in the file folder. *(All items must be in this order)*

All Projects:

- ☐ I-CERP Project File Checklist (*this document*)
- ☐ USD Staffing Sheet (*ePRT/PRT Coordination is included here*)
- ☐ Legal review
- ☐ Statement of Work/Bill of Quantities (not required for bulk funds)
- ☐ Letter of Justification (LOJ) – see Section B-13-1
- ☐ Command Endorsement (not required if LOJ is signed by the appropriate approval authority)
- ☐ Letter of Sustainment or Sustainment MOA from Gol for construction or equipment projects (\$50,000 or greater)
- ☐ Time and Date receipt from GOI (Provincial Governor or relevant Iraqi Minister) including value of project in U.S. dollars
- ☐ Storyboard (for projects \$50,000 or greater)
- ☐ Funds increase memorandum (if required)
- ☐ Copy of DA3953 / DD1149

For projects under \$500,000 (not on a contract) include:

- ☐ Memorandum of Agreement (MOA) (not required for bulk funds)
- ☐ DD Form 577 Appointment/Termination Record for the Project Purchasing Officer (PPO)
- ☐ Certificate or training memorandum from the Enhanced CERP PPO/PA training (PPO)
- ☐ Chief of Contracting Office written obligating authority to PPO
- ☐ DD Form 577 Appointment/Termination Record for the Paying Agent (PA) and waiver from O-5 or above commander for E-6 PAs
- ☐ Certificate or training memorandum from the Enhanced CERP PPO/PA training (PA)
- ☐ 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

Additional Requirements on Case by Case Basis:

- ☐ For **construction projects**, submit a statement of land use or availability (e.g. deed, lease, easement, or other right to land documentation).
- ☐ For **road and bridge projects** include a statement of approval from the Ministry of Housing and Construction or the State Commission for Roads and Bridges (Not required if covered in the MOA)
- ☐ For **roads, sewers, irrigation, and micro-grants projects**: Exception approval memo signed by MSC CG

For projects \$500,000 or more (contract written by warranted contracting officer):

- ☐ Contract with all modifications
- ☐ Certificate or training memorandum from Contracting to Contracting Officer Representative (COR)
- ☐ Copy of DD Form 250 Receiving report

Project Closure

- ☐ Commander's clearance memorandum
- ☐ USD Comptroller clearance memorandum
- ☐ Screen out all classified documents
- ☐ Close out project in Iraq Reconstruction Management System (IRMS)
- ☐ Send completed storyboard for projects over \$50K to USF-I J7

UNCLASSIFIED//FOUO

PURCHASE REQUEST AND COMMITMENT <small>For use of this form, see AR 37-1; the proponent agency is DASA/FM</small>			1. PURCHASE INSTRUMENT NO.		2. REQUISITION NO.		3. DATE		PAGE 1 OF 1 PAGES		
4. TO: USD- I-CERP Account Manager (G8)			5. THRU: Respective I-CERP Program Manager (i.e BCT or USD-x)			6. FROM: Section: TF XXX I-CERP Manager					
It is requested that the supplies and services enumerated below or an attached list be											
7. PURCHASED FOR TF XXX, XYZ PRT			8. DELIVERED TO TF XXX, XYZ PRT						9. NOT LATER THAN (Date) 24 Dec 06		
The supplies and services listed below cannot be secured through normal supply channels or other Army supply sources in the immediate vicinity, and 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 CERP Program Manager - jane.smith1@2bct1cd.army.mil			11. TELEPHONE NUMBER 318-231-5022		
X 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			FUND CERTIFICATION The supplies and services listed on the 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 REQUISITION CHANNELS FOR SECURING ITEM											
14. ITEM	15. DESCRIPTION OF SUPPLY OR SERVICES	16. QTY	17. UNIT	18. ESTIMATED UNIT PRICE a		TOTAL COST b.		19. ACCOUNTING CLASSIFICATION AND AMOUNT			
0001	Commander's Emergency Response Program Education Category Repair Chora Boys & Girls Primary School 47,897,012 Iraqi Dinar Conversion Rate: 1197.4253 <i>"These funds are the property of the Government of Iraq"</i> URI # PPO: CPT Dave Jones dave.jones@2bct.army.mil PA: SFC James Brown jim.brown@2bct.army.mil			\$40,000.00		\$40,000.00					
						\$40,000.00		20. TYPED NAME AND TITLE OF CERTIFYING OFFICER			
								21. SIGNATURE			
								22. DATE			
						23. DISCOUNT TERMS					
						24. PURCHASE ORDER NO.					
						26. DELIVERY REQUIREMENTS ARE MORE THAN 7 DAYS REQUIRED TO INSPECT AND ACCEPT THE REQUIRED GOODS OR SERVICES? YES NO <input type="checkbox"/> IF YES, NUMBER OF DAYS REQUIRED					
25. THE FOREGOING ITEMS ARE REQUIRED NOT LATER THAN						25. THE FOREGOING ITEMS ARE REQUIRED NOT LATER THAN					
27. TYPED NAME AND GRADE OF INITIATING OFFICER CPT Dave Jones (PPO)		28. SIGNATURE		29. DATE 24 Dec 06		34. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE JOHN D. DOE COL Commander, TF XXX		35. SIGNATURE		36. DATE 25 Dec 06	
30. TELEPHONE NUMBER 318-438-2250											
31. TYPED NAME AND GRADE OF SUPPLY OFFICER SFC Jim Brown (PA)		32. SIGNATURE		33. DATE 24 Dec 06							

UNCLASSIFIED//FOUO

C-5-1

USF-I I-CERP REQUEST PACKET

The purpose of this checklist is to ensure that proper actions have been taken prior to submitting USF-I Approval Packets, thereby decreasing the amount of time from submittal to approval and provide clear expectations on projects submitted. Documents should be readable, clearly marked, and in the order listed on this checklist.

Project Title _____

Point of Contact _____

Location _____

Estimated Cost _____

Package contains:

All Projects:

_____ Legal review

_____ Statement of Work/Bill of Quantities (not required for bulk funds)

_____ I-CERP Standard Letter of Justification (to include paragraphs labeled exactly as listed below)

_____ Purpose

_____ Statement indicating no other means of funding was available

_____ Justification

_____ Coordination summary

_____ Goods and services

_____ Performance period

_____ Location (province, city, district, and grid coordinates)

_____ Iraqi employment opportunity (long term and temporary)

_____ Estimated Cost

_____ Statement of cost sharing with the GoI (\$750,000 or greater)

_____ Project performance metrics (\$50,000 or greater)

_____ Impact if not funded

_____ Point of contact information

_____ Command Endorsement (not necessary if LOJ is signed by the appropriate approval authority)

_____ Command Endorsement by battle space owner (if requestor is not the battle space owner)

_____ Letter of Sustainment or Sustainment MOA from GoI for construction or equipment projects

\$50,000 or greater (signed by proper local Iraqi official prescribed on page C-3, par I)

_____ DA Form 3953 (Bottom of block 15 will contain PPO and PA (or COR) names and email address as well as statement required on page C-3, par. E; blocks 27, 28, and 30 will contain PPO (or COR) information; blocks 31 and 32 will contain PA information (if applicable); block 34 will contain the USF-I DCoS' signature block; blocks 35 and 36 will be left blank for projects over \$500K)

For projects under \$500,000 (not on a contract) include:

- _____ Memorandum of Agreement (MOA) (not required for bulk funds) (contains required statement found on page C-3, par E)
- _____ DD Form 577 Appointment/Termination Record for the Project Purchasing Officer (PPO)
- _____ Certificate or training memorandum from the Enhanced CERP PPO/PA training (PPO)
- _____ Chief of Contracting Office written obligating authority to PPO
- _____ DD Form 577 Appointment/Termination Record for the Paying Agent (PA) and waiver from commander for E-6 PAs
- _____ Certificate or training memorandum from the Enhanced CERP PPO/PA training (PA)

For projects \$500,000 or more (contract written by warranted contracting officer) include:

- _____ Certificate or training memorandum from Contracting Officer Representative (COR) training from JCCI/RCC

Special requirements:

- _____ For **electricity projects**, submit a statement of cost analysis for collection of revenues to ensure operation and maintenance of the system for long term use
- _____ For **construction projects**, submit a statement of land use or availability
- _____ For **road and bridge projects**, include a statement of approval from the local State Commission for Roads and Bridges
- _____ For **road, sewer, irrigation, or micro grant projects**, approval from USD CG

REWARDS PROGRAM

CONTENTS

1. REFERENCES
2. PURPOSE
3. POLICY SCOPE
4. GENERAL PROGRAM GUIDANCE
5. TYPES OF REWARDS
6. PROGRAM EXECUTION
7. RESPONSIBILITIES AND PROCEDURES
8. REPORTING PROCEDURES
9. SPECIAL CATEGORIES
10. ADVERTISEMENT
11. PROPONENT
12. USF-I DOD REWARDS PORTAL

1. (U//FOUO) REFERENCES:

A. (U) 10 U.S.C. §127b, Assistance in Combating Terrorism.

B. (U) 11-1 Annex O to USF-I Orders and Procedures - USF-I DOD REWARDS & MANPADS REDUCTION PROGRAM SOP, dated 19 November 2009

C. (U) Department of Defense Financial Management 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) Defense Finance and Accounting Service (DFAS) Rome SOP, Dated Jan 09.

F. (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 qualifying persons as a reward for providing United States Government personnel with information or non-lethal assistance deemed 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, providing maximum flexibility for commanders to implement the Rewards Program in the field. This allows units to pay rewards for information helpful to US Forces (USF), in addition 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 which restrict reward payments to instances where the information leads to the capture of wanted individuals or seizure of weapons. The DoD Rewards Program is not an intelligence program and is not intended to replace any existing programs.

3. (U//FOUO) POLICY SCOPE: This Rewards Program SOP applies to all components and forces assigned to or supporting USF-I and operating in the Iraq Joint Operations Area (IJOA). The document outlines the responsibilities and procedures for program duty positions, payment requests and approvals, execution of the actual payment process, reward payment reporting, record keeping requirements, and reward advertising. The intent of the guidelines and procedures contained in this SOP is to implement management controls to guard against fraud and abuse within the program, while avoiding unnecessary restrictions, procedures or administrative burden on the battle space owner (BSO). The Rewards Program should be considered simply as a tool to aid in collecting information or otherwise obtaining non-lethal assistance leading to the capture of wanted persons or weapons. It does not mandate payments.

4. (U//FOUO) GENERAL PROGRAM GUIDANCE:

A. The DoD Rewards Program is the primary Rewards Program authorized for use by USF-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 USCENCOM.

B. While the DoD Rewards Program is not a weapons buyback program, it does allow payment for information leading to the capture of wanted weapons as outlined by DoD. For qualifying shoulder fired missile components, refer to MAAWS Appendix X for policy and procedures relating to the Department of State (DoS) Man-portable Air Defense System (MANPADS) Reduction Program.

C. CG, USF-I designates Brigade-level Commanders and Directors (AAB/BCT/BDE/RGT/Directors) as the Executive Agents for implementing the DoD Rewards Program. Executive Agents are also referred to as Rewards Authorization Officers (RAO). Transition Team (TT) Commanders are not considered Brigade-level equivalents for the purpose of executing their own autonomous Rewards Program. Instead they will fall in under the O6 BSO where assigned for all Rewards Program support and oversight.

D. Rewards program RAOs are ultimately responsible for evaluating the operational environment for all subordinate units to determine ways to execute the Rewards Program to optimize targeting of Anti-Iraqi Forces (AIF), their

surrogates, and their networks. This program should be part of a robust and comprehensive approach to include multi-media advertising and information products on wanted terrorists in order to maximize the program's full capabilities. Information programs (e.g. PSYOP, PA, etc.) should focus at the local level to enable greater acceptance by the local population.

E. RAOs must also take Iraqi cultural practices into consideration. Iraqis do not view rewards in the same manner as Americans. As a result higher reward amounts do not necessarily create greater incentives in the local populous to "turn in their neighbors." Large reward amounts primarily provide the Iraqi people with an expeditious means to leave the country. At the same time, Iraqis who suddenly come into possession of a sizeable amount of currency face increased risk of discovery and harm to themselves and their families. An Iraqi culture focus group advised that Iraqis believe an insurgent is "well connected" and therefore more dangerous when a large reward for his capture/kill is posted. Therefore, they hesitate to provide USF 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.

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

A. **MICRO-REWARDS:** payments in specified amounts up to \$500 per incident based on pre-approved reward criteria developed by the RAO. Payments may be processed through bulk funding of Paying Agents (PA) or via a single reward funded PR&C.

B. **SMALL REWARDS:** payments greater than \$500 up to \$10K for the capture/kill of High Value Individuals (HVI - i.e. terror cell leaders, terrorist financiers and smugglers) or the seizure of weapons caches. RAOs should follow the same guidelines as the Micro-Rewards for developing the reward value.

C. **LARGE REWARDS:** payments greater than \$10K for the capture/kill of HVIs, seizure of large weapon caches resulting in significant reduction of 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, etc.,).

6. (U//FOUO) PROGRAM EXECUTION:

A. In accordance with (IAW) command intent, RAOs and Rewards POCs at all levels will implement appropriate rewards program control measures to ensure proper execution of the payments process, and to ensure timely and accurate submission of the monthly DoD rewards roll-up report. Support at all levels for this requirement is critical to maintaining ongoing CENTCOM funding for the DoD Rewards Program in the IJOA.

B. In support of maximum flexibility in the speedy execution of micro-reward payments to intended recipients, the CG, USF-I authorizes brigade-level (AAB/BCT/BDE/RCT/Directors) RAOs to allow the drawing of bulk funds for micro-rewards execution within their command down to the company or Transition Team level. Retention of this authority is subject to timely and accurate reward payment reporting. The authority will be revoked brigade-wide for units failing to execute timely reconciliation of funds with their servicing finance office or for failing to submit timely, complete and accurate rewards roll-up reports during the monthly reporting cycle.

C. Company-level bulk funds held for the purpose of making micro rewards are typically funded at \$1K per month. This monthly amount may be increased by the Brigade-level RAO up to \$10K with coordination with the next higher RAO and Rewards POC. Any approved increase must be documented by written order from the Brigade-level RAO and submitted to the USF-I Rewards Program Manager (RPM). Although this exception-to-policy (ETP) process permits the holding of up to \$10K in bulk funding per company, it is not the intent to provide all company level commanders and team chiefs with this amount every month as theater funding levels will not support it. The \$10K threshold is a monthly maximum payout level and not a predetermined funding level.

D. Micro reward payments (up to \$500) do not require packet staffing but must be based on pre-determined rewards criteria developed by the RAO. Pre-determined reward criteria for all micro reward payments will use the following reward value criteria.

- a. The relative importance of the person captured or weapons cache seized.
- b. The number of intermediate steps required by U.S. forces between receiving the information and executing the capture and/or seizure.
- c. The number of personnel captured as a result of the information or assistance.
- d. If weapons and/or munitions are seized, consideration of the cache size and the composition (e.g., artillery shells, IED/EFP components, caliber of weaponry).

E. While not required in order to process reward payment requests, pre-nomination greatly reduces the time between approval and payment to the informant. Pre-nomination packets are packets which have completed the appropriate staffing processes and only await action on the target to pass through the payment process. Large and small rewards require forwarding of the pre-nomination packets (when prepared) and follow-on payment approval request packets to respective RAOs prior to payment. Units are authorized to put a system in place to expedite small reward payment request processing as long as all SOP guidance to include reporting requirements are met.

F. Full and timely accountability of **ALL** rewards paid to include micro rewards is mandatory. Rewards PAs and POCs must report each micro-reward payment made from a bulk fund during the same month the payment was made. PAs will **NOT** wait until clearing the bulk fund at the finance office before reporting the payment to the Brigade Rewards POC. The standard is for PAs to report payments the same day made to their Brigade Rewards POC along with providing a legible copy of the properly completed SF44 for every payment when made. If mission constraints prevent same day reporting, all payments will be reported per the above standard at the earliest opportunity following completion of the mission. Failure of even a single PA to report a rewards payment during the same month it was paid will lead to revocation of the authority to use bulk funds for micro rewards throughout the entire brigade.

G. Every subordinate unit's micro-reward bulk funds will be reconciled and completely zeroed out at the end of each month. SF44s accounting for all expended funds along with all funds will be returned to finance before any further micro-rewards funding is provided.

H. PAs unable to reconcile bulk funds on a monthly basis with the servicing finance office due to geographical constraints may submit a request for exception to policy (ETP). Requests for ETP must, at a minimum, include complete justification, certification of past compliance with reconciliation, and a plan of action to maintain timely and accurate reporting of rewards payments with a statement to indicate acknowledgement of understanding that **failure to maintain timely and accurate reporting will result in the loss of bulk funding authorization for the entire brigade.** Requests for ETP will be signed by the brigade-level commander and forwarded thru the MSC Rewards POC to the USF-I RPM for consideration and approval by the USF-I DCOS. (Tab F Example Exception to Policy Request). Exceptions to policy will be granted for no longer than 30 days for a total of 60 days maximum.

I. PAs will use the SF44 to record all reward payments, completing it in a fashion such that it remains unclassified. All reasonable efforts must be made to protect the reward recipient's identity and confidentiality. To remain unclassified, no payee name or signature will be annotated anywhere on the SF44. For

recipients assigned a valid source number, that number will be entered on the "seller" line of the SF44. Units must maintain recipients' names on separate reports for unit generated recipient numbers. Company intelligence support teams (ColST) and BN S2s' should maintain the local contact log (LCL) and ensure it is carefully protected within intelligence channels so that lists of contacts are not compromised. These logs should be classified as "SECRET//MCFI" to prevent disclosure of the lists to others outside of coalition forces.

J. While units may take steps to expedite the rewards nomination, approval, and payment processes the following guidelines must be followed regardless of the local procedures implemented:

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 USF-I.

K. 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.

L. Only funds from DoD Rewards Program can be used to 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). While local advertising products may include the National 130 Tip Line, units must closely coordinate through appropriate IO Channels and with the GOI Tip Line personnel in order to accurately disseminate and act on information. The DoD Rewards program is not intended to support the Iraqi National 130 Tip Line. These are two separate programs with similar intent. Ultimately, units are responsible for developing their own mechanisms, such as a locally generated tip line, to facilitate Iraqi nationals contacting the USF. 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.

M. 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 will 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.

N. Rewards may be paid in local currency 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. In kind payments do not include any item that can be used against US forces, such as weapons or two way radios. This is one way to limit the possible flow of funds or equipment 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.

O. 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.

P. Rewards can be paid to detainees for information that assists USF 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, or like-kind payment (such as cigarettes etc). Like-kind payment is the preferred method for all detainees receiving rewards.

Q. 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 12 August 2010. Although normally renewed, Paying Agents (PA) will ensure a current waiver is in place prior to making a reward payment to ISF members. Any rewards paid to ISF members must be documented and annotated as paid to the ISF in all reports to USF-I.

R. 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.

S. 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.

T. Rewards will not be given for information gathered by methods contrary to DoD policy (e.g., extortion).

U. All those eligible for rewards above \$10K must be advised that the payment process may take several weeks due to administrative requirements.

V. CG, USF-I designates the Deputy Chief of Staff (DCoS) as the approving authority to terminate or suspend a unit's authority to hold bulk funds for the purposes of paying micro rewards based on late, incomplete, or inaccurate reporting, failure to reconcile monthly roll-ups with rewards funding disbursed, or failure to strictly adhere to the USF-I Rewards Program SOP.

W. The USF-I Rewards Program Manager (RPM) is the primary and lead staff proponent for the USF-I Rewards Program.

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

A. DUTY POSITIONS AND RESPONSIBILITIES

1. USF-I Level

a. USF-I CG is the highest level RAO in the IJOA and has reward payment approval authority up to \$50,000.00. He or his designee endorses all large reward pre-nominations and non-preapproved payment requests above \$50K before forwarding to USCENTCOM for approval or endorsement. 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. The USF-I Rewards Program Manager resides within the USF-I J3 Directorate and is responsible for managing policies, procedures, and training under the DoD Rewards Program for USF-I. The USF-I Rewards Program Manager also processes all large reward payment requests requiring CENTCOM approval or endorsement; works with USF-I J8 to ensure distribution of funding to subordinate units is appropriate; ensures units are complying with fiscal requirements and submission of timely reports; consolidates subordinate unit nomination packets, reports and submits to USF-I as required; works with USF-I J8 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 from MSCs must balance with official accounting system data. Failure to ensure accurate reporting will result in the withholding of funds until accountability is achieved.**

c. USF-I SJA reviews all small, large, and pre-approved categories for all rewards packets and prepares a legal review memorandum for all reward packets processed through the USF-I Rewards Program Manager. SJA also ensures that policies and procedures comply with applicable laws, regulations, and policies of HQ.

d. USF-I J8 (Special Programs Office) certifies funds for USF-I separate reporting unit reward payment requests and all large rewards; receives and reconciles consolidated monthly MSC reward payment roll-up reports for monthly submission to the USF-I Rewards Program Manager and the quarterly submission to USCENCOM CCJ8; issues funding via Resources Distribution Documents (RDDs) to all MSCs and CJSOTF; tracks execution of rewards funding throughout USF-I; pays all large rewards from a centralized fund; reports status of funds to USCENCOM when requested and notifies USCENCOM 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; and uses financial systems' data to assist the USF-I J3 with reconciliation of the monthly reward payments report. **USF-I J8 will withhold unit level funding if monthly MSC reward reports do not balance with expenditure data in the financial system.**

2. MSC/DIV

a. Commanders: O6 Level and above 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 to USF-I for approval or endorsement to USCENCOM. 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 USF-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 USF-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 USF-I J8 and Rewards Program Manager. The MSC Rewards POC will verify that these reports contain all reward payments made throughout the MSC during the reporting month, and fully and accurately completed before sending to the USF-I Rewards Program Manager and J8. Every monthly report submitted to USF-I must first 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. AAB/BCT/BDE, Separate Brigades, and other non-traditional units.

a. Commanders: Currently, USCENTCOM has appointed all AAB/BCT/BDE/RCT level commanders, USF-I separate BDE commanders, and select O6 directors serving in command-like positions as RAOs for rewards up to \$10K. The list of recognized RAOs is updated monthly through coordination with USF-I Program Manager and USCENTCOM Program Manager. 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 USF-I, USCENTCOM, or OSD for approval.

b. Other non-traditional units/elements (AFOSI EDets/JCIU/JIDC) will select an officer to be a USCENTCOM authorized RAO if not already designated. Submit names of intended RAOs to the USF-I Rewards POC for consideration and submission to USCENTCOM for final approval.

c. AAB/BCT/BDE Rewards POC. RAOs will appoint a Rewards POC to manage the Rewards Program. The Rewards POC is responsible for receiving reward payment approval requests, as well as accurate reporting of reward payments to higher HQ. The Rewards POC and the Rewards 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

and references. Rewards POCs are responsible for compiling all reward payments made 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 request reward payment funding; 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. Every reward payment made during the reporting month will be accounted for on the roll-up report.

d. The Rewards PA is a service member appointed by the unit commander and trained by the servicing finance office for the performance of PA duties to draw funds in order to pay Micro, Small, and approved Large Rewards. The unit PA should keep sufficient funds on hand to execute same day or next day micro reward payments. Multiple PAs throughout the BDE or other non-traditional element are recommended 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. IAW standard Finance policy, the PA must be an E7 or above (E6 with waiver).

4. All MSCs/DIVs (including: AAB/BCT/BDE, Separate Brigades, and other non-traditional units) will provide the USF-I Rewards POC with an electronic list of the personnel in those slots in order to update USCENTCOM's RAO by name list. Units also need to submit a list of designated rewards POCs. The list must include contact information such as e-mail addresses and phone numbers. Units can find this excel list on the USF-I J2X Webpage in order to verify if data is current and accurate.

B. PAYMENT REQUEST AND APPROVAL PROCEDURES.

1. General Guidance: Any service member or unit may submit a reward request for payment for information that leads to the capture of wanted weapons or individuals as applicable. Otherwise, as outlined under Title 10, Section 127B in the USCENTCOM DOD Rewards Program guidance, units must ensure the requesting unit can tie the information to a "benefit" for U.S. Forces. Under 10 U.S.C. 127B, USF-I is only authorized to pay when that information or non-lethal assistance was "beneficial" to an operation or activity against international terrorism or to our force protection. Do not submit a request that does not articulate a specific benefit to our operations or force protection. Do not provide a report that shows that an informant simply provided intelligence that other informants or MSO Sources have already reported to CF (i.e. this is old news). All rewards payments require two (2) personnel to be present at the time of payment. The PA signs the Authorized Certifying Officer line of the SF 44. The

witness will sign and print their name in the “ordered by” section of the SF 44 after witnessing the payment to the approved payee and ensuring the correct recipient number is listed on the “seller” signature line. The PA will be present every time a rewards payment is made.

2. Reward payments are authorized to individuals who provide information or non-lethal assistance that benefits Allied Armed Forces participating in combined operations with U.S. Armed Forces, as well as U.S. Armed Forces. The term "Allied Forces" is defined as foreign government personnel participating with the U.S. Armed Forces in combined operations outside the United States against international terrorism.

3. Under TITLE 10, SECTION 127B, the USCENCOM DOD Rewards Program authorizes the payment of monetary funds or payments-in-kind to persons for providing U.S. Government personnel or government personnel of Allied Forces participating in a combined operation with U.S. Armed Forces with information or non-lethal assistance that is beneficial to:

a. An operation or activity of U.S. Armed Forces or of Allied Forces participating in a combined operation with U.S. Forces conducted outside the United States against international terrorism.

b. Force protection of U.S. Armed Forces or Allied Forces participating in a combined operation with U.S. Armed Forces.

4. Non-U.S. Forces are not authorized to operate an 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 with 10 U.S.C. 127b or Allied Forces. 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.

5. For Micro Rewards (up to \$500) there is no requirement for packet staffing, however the RAO will develop a pre-determined Rewards payout criteria in writing. A 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 when feasible – up to \$500. The criteria can be in the form of specific scenarios with the dollar value for each scenario. 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.

6. Small rewards (greater than \$500 up to \$10,000) – Units have the option of starting the process with a pre-nomination packet or with a follow on

payment approval request packet. While not required, a pre-nomination packet is a method to speed up the final payment process by taking care of some of the required staffing in advance, and permits the unit to advertise up to the pre-approved amount. All funding request packets whether pre- or post-nomination will include a supporting legal review performed by the assigned SJA. Forward the packets to the respective RAO for review and approval. This process can be similar to the large reward process described below. However, this is the pre-designated RAO program and they can implement this process as they see fit. Units are authorized to put a system in place to expedite Small rewards payments as long as OSD guidance and all reporting requirements are met.

7. Large Rewards: While units can request funding after the fact for a reward for providing information or non-lethal assistance that led to the capture/kill of an HVI, the preferred method is a two step process (pre-nomination before capture/kill and funding request after capture/kill).

a. Nomination Process: Units submit all pre-approval nomination requests (pre-nominations) for HVIs greater than \$10,000 to USF-I RPM. This initial step only nominates the target as eligible for a large reward and puts them on a master pre-nominated list consolidated at CENTCOM. Funds are not committed, obligated or disbursed until kill/capture is verified from source information and acted on by the unit. Pre-approved nominations permit the unit to advertise up to the pre-approved amount.

i. Forms required:

- Request for pre-nomination memorandums are endorsed by the Brigade-level Commander and MSC Commander.
- Target package should include photographs, if possible, and all other relevant background information.
- Legal review. SJA review at the unit level is not required; however, USF-I SJA recommends that MSC's SJAs/CJAs familiar with the HVI target folder include a legal review summarizing the intelligence/evidence supporting the kill or capture mission. The USF-I SJA will complete a legal review for all large reward nominations submitted to USF-I.

ii. During this staffing process, USF-I RPM will assemble and process a staffing packet through appropriate USF-I staff sections to include the J8 and SJA.

b. Funding request after capture/kill (to pay local nationals). (For HVIs and Material)

i. The steps outlined in this section are for the following case:

- An HVI is already on the CENTCOM pre-approved rewards list - as a Nomination process before capture/kill outlined in O.9.1.4.1. had been previously followed.

- An HVI is not on the CENTCOM pre-approved rewards list – has been captured, and payment is needed to be paid to local national for providing information for HVI.

- Large reward payout is provided for information leading to capture of material (ie Cache/IED).

ii. Once the source information has been verified and the target (HVI/Material) captured/killed or material seized (by USF/ISF), the unit submits a justification and payment request through the chain of command to the USF-I Rewards POC (or to the USF-I Rewards POC for Other units under USF-I). USCENCOM is responsible for providing additional funding to cover all current and future large reward payouts of pre-nominated targets. (*note: Targeting Package = information needed to place an HVI on a pre-approved list, and is completed prior to capture; Story Board = information listed after the fact of capture for a target not already pre-approved. A Story Board may be used to provide information for HVIs killed/captured or material seized*). Justification payment request approval packets must include:

- Payment Memorandum(s). Two separate request for reward payment memorandums endorsed by the unit RAO and/or MSC Commander. Include documentation of capture date.

- Targeting Package (or Story Board). All relevant capture data and/or mission information that led to the capture of pre-nominated target, non pre-nominated target, or cache via source information.

- Legal review. SJA review at the unit level is recommended but not required for packets submitted to USF-I. USF-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. USF-I SJA completes a legal review for all large reward nominations. (Same submittal process is sent through USF-I SJA for Other units under USF-I).

- *Include the original pre-approval letter that was signed by the BCT, DIV, or USF-I commander (if applicable).*

- *The legal review associated with the pre-nomination is required for Large Rewards when clearing Finance.*

- DA3953 – Purchase Request and Commitment (PR&C). Only CENTCOM designated RAOs may sign block 35 of the DA 3953 for rewards up to their approved reward limit. In the event that the respective reward nomination has already been approved through staffing actions by a respective

commanding RAO, then any pre-designated RAO below the specified RAO level can then sign the DA 3953 for rewards up to the pre-approved reward limit. Rewards of this type are now categorized as a “Pre-Approved” reward. Refer to the FRAGOs listed in Reference section of this SOP for up to date pre-approved reward categories.

- PA designation letter and DD 577.
- For Large Rewards requiring CG, USF-I signature - Final packet is scanned and sent to the USF-I Rewards POC for staffing and approval by USF-I CG. Staffing steps below:

- SJA
- J3 Program Manager
- J3 Director
- J8 (budget office)
- USF-I Deputy Chief of Staff
- USF-I Chief of Staff
- USF-I CG

iii. NOTE: For rewards within lower echelon commanders' approval authorities, the same process is followed, but only submitted to the highest commander authorized to approve the requested reward amount. Specified USF-I units outlined by the FRAGOs listed in the Reference paragraph of this SOP process rewards through J3 Program Manager directly. These units have lower echelon commanders who are CENTCOM designated RAOs, and simple staff Micro and Small Rewards through J3 Program Manager for assistance with their needed legal review and funding efforts through J8. These units' Micro and Small Rewards do not need to be staffed through the J3 Director or approved by the USF-I Commander since the rewards are signed by designated CENTCOM RAOs with reward approval limits up to \$10,000 and for pre-approved rewards above \$10,000 that are previously signed by an appropriate level RAO.

iv. USF-I J8 certifies DA 3953. If funds are not available, USF-I J8 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 USF-I J8, Special Programs.

v. Cliff Notes: All nomination packets requesting a reward payment (large or small) for information leading to either HVIs or Materials require the following before submitting to J8 for payment procedures: Payment Memorandum(s), Targeting Package (or Story Board), Legal review, DA3953, PA designation letter and DD 577.

8. Payment - Small Rewards

a. The PA prepares the SF 44 for payment. The SF 44 serves as a receipt for finance.

b. The PA is responsible for ensuring that the SF 44 is signed by the witness upon payment.

c. The PA pays the recipient. The PA is strictly liable to the U.S. Government if accountability of any funds is lost, so they must ensure that they comply with all DODFMR and local regulations regarding the proper safeguarding, transfer, payment, and accounting of funds entrusted to them.

9. Closing out with Finance Office / Comptroller

a. The Rewards Disbursing Agent clears finance every thirty days (not the 30th of each month) or, if applicable, near fiscal year end IAW published guidance. PAs with an approved ETP may hold funds for up to an additional 30 days.

i. PA gathers up all SF 44s and DD1081.

ii. SF 44s are reviewed by the appropriate Rewards POC to ensure they were not completed in a manner to contain classified information.

iii. Authorized local clearing official signs memo certifying that the PA properly completed the mission and that the SF 44s were properly completed.

iv. PA takes memo, SF 44s, and DD 1081 back to the drawing finance office to clear. Makes copies and retains same.

v. PA leaves finance office with copies of all documents to include the SF1034 generated by the finance office.

vi. PA sends documents through channels to fund certifying office (USD G8 or USF-I J8).

10. Payment Procedures – Large Reward Payments > \$10,000. All Large rewards will be paid from rewards funding at the USF-I J8 level, not from funds held by USDs. After the USF-I CG or OSD approves a payout; the respective

USD G8 will receive a DA3953 (PR&C) from the USF-I J8. Submit the following documentation:

- a. Memorandums of Endorsement signed by the Brigade and MSC Commander for first nomination packets not containing pre-approval.
- b. All relevant capture data and/or mission story board that led to the capture of pre-nominated target or cache via informant information.
- c. The original pre-approval letter that was signed by the BDE, USD, or USF-I commander (as applicable).
- d. Legal review. SJA review at the unit level is recommended but not required for packets submitted to USF-I. USF-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. USF-I SJA completes a legal review for all large reward nominations.
- e. DA 3953 – Purchase Request and Commitment (PR&C).
- f. PA designation letter and DD 577.

11. Disbursement Reconciliation

- a. To reduce administrative burden, USF-I J8, in cooperation with Defense Finance and Accounting Service (DFAS) and Theater Finance, has reviewed the current Rewards Program and identified ways to streamline the program. As in past efforts, measures to reduce administrative burdens must be balanced with the requirements to implement adequate controls and processes to ensure proper accounting of public funds.
- b. DFAS has determined that the use of a scanned or facsimile is acceptable for disbursement reconciliation provided appropriate use of internal controls.
- c. Acceptance of electronic copies will expedite processing through the accounting system, will be less disruptive to ongoing operations, and will limit pay agent's exposure while traveling to finance offices IOT clear disbursing documents.
- d. As a result, the USF-I CG approved electronic transmission of substantiating rewards payment documents to finance to reduce operational impact, to limit pay agent's exposure while traveling to finance offices, and to expedite rewards disbursements.
- e. Electronic processing requires digital scanning capabilities at forward locations. Units must purchase digital scanners in forward locations

where none currently exist. Units shall use existing validation and funding processes to purchase the necessary equipment.

8. (U//FOUO) REPORTING PROCEDURES:

a. Monthly reward payment reporting is an essential element in measuring effects achieved versus dollars spent, and to ensure proper stewardship of taxpayer funds used in the Rewards Program. To meet these requirements, all units participating in the USF-I Rewards Program will submit a detailed listing of all reward payments made during the reporting month. Payment reporting by participating units must be completed NLT 1700 hours on the 3rd day of each month to J8. MSC failure to submit the required monthly report on time or in sufficient detail will result in suspension from the rewards program. MSCs will not receive further funds until reconciliation is complete and any required corrective action taken to ensure accurate reporting. J8 will provide consolidated report to J3 NLT 1800 on the 5th day of each month.

b. Reward payment reporting via the USF-I SIPR Rewards portal is now mandatory. The USF-I Rewards portal is available at <http://j8.forces.intranet.s-iraq.centcom.smil.mil/rwds/default.aspx>. Participating units are responsible for ensuring they have access to the USF-I SIPR Portal. Units on a different Intranet domain should work with their supporting Tech Support Help Desk to coordinate "trusted domain" access into the portal. Users on domains where a trusted relationship is not possible will need to request an Extranet account IOT access the Reward Payment Reporting portal.

c. Reward POCs will enter all reward payment information by placing an electronic copy of all substantiating documentation into an individual folder on the portal, and then entering the required payment detail into the reporting form. Entries will be made at the lowest level in the reward reporting chain with access to the reporting portal. If the unit PA who executed the payment does not have access, the reporting will be done by the BDE Rewards POC. Monthly input is mandatory for continued MSC participation in the program.

d. Following upload of the substantiating documentation for the reward payment, each individual reward payment recorded on a SF44 will be entered as a separately reported payment into the portal using the standard entry form shown below:

e. The USF-I J8 Special Programs Office is responsible for reconciliation of the IJOA-wide consolidated reward payments report. Reconciliation involves a comparison of payments reported by the MSCs against data obtained from accounting system input. The primary purpose is to ensure that all reward payments obligated and/or disbursed during the reporting month appear on the monthly MSC report. The J8 will provide a copy of the reconciled monthly report to the J3 NLT the 5th day of the month.

f. Until full reporting is taking place by all reporting units on the USF-I SIPR Portal, the roll-up reporting via submission of spreadsheets will continue for all units until directed otherwise by the USF-I Rewards Program Manager. Monthly roll-up reporting via spreadsheet will follow the format indicated below. All cells containing classified information need to have a classification marking in the cell. This report will include Large Rewards, Small Rewards, Micro-Rewards, and Advertising Costs. Required columns:

1. MSC
2. RAO. Name of the RAO
3. RAO Command
4. Unit Rewards POC
5. Unit Executing
6. DA 3953 Number: The 14 digit alpha numeric document number found in block number 2 and 19.
7. Amount of DA 3953

8. Date Information Provided
9. Date of Capture for Personnel or Weapons (if applicable)
10. Date of Payment
11. Amount of reward paid (cash, like-kind payment). Always report amount paid in US currency.
12. Monetary or Other Form of Payment. Type of payment made: Dinars or like-kind payment.
13. Reward Subject, i.e., Material or HVI.
14. 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 ("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.
15. Number of HVIs/Anti-Iraqi Forces (AIF) Captured or Weapon/Material Seized.
16. Reward Recipient Name. Provide name or generic source number of recipient for tracking purposes. If a source number is used, the information in the cell is unclassified. Use S//MCFI 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.
17. Source Number. Should be the official OTS or SCI number.
18. 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").
19. Assessment of the Benefit of Information or Assistance. The following Benefit 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").
20. Reward Type. Micro/Small/Large/Pre-approved/Advertising.

21. Closing Date. Date payment reported.

22. Spreadsheet-Based Report Administration. Upon receipt of a fund certified DA3953, the Unit Rewards POC will add a new row on 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 entered in the financial system.

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.

23. Reporting Process:

a. USD Rewards POCs should set end of month internal reward submission deadlines sufficient to ensure subordinate units report all payments made in the reporting month while leaving sufficient time to reconcile issues and still meet the USF-I reporting deadline of 1700 on the third day of the month. Prior to submission, the Rewards POCs will ensure that all Reward DA3953's are accounted for on the spreadsheet.

b. The MSC Rewards POC will consolidate the respective roll-ups and will submit them to the USF-I J2X Rewards POC and to the USF-I J8 NLT 1700 on the third 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. USF-I direct reporting separate units will provide monthly and quarterly roll-ups to the USF-I J3 for reporting purposes.

d. The USF-I J2X Rewards POC will reconcile reports with USF-I J8 to ensure all reported rewards DA 3953s are accurately represented and that all

reward payments recorded as obligated or disbursed in the accounting system are accounted for on the MSC report.

e. The J8 will provide the consolidated and reconciled report to J3 by the 5th 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 USF-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. USF-I J8 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.

g. Other Reporting Requirements:

i. 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 should be little additional requirements. Files will be maintained for one year.

ii. IAW USF-I policy, O-6 and above BDE level commanders and above command positions are RAOs. All MSCs will provide the USF-I Rewards POC with an electronic list of the personnel in those slots in order to update CENTCOM's RAO by name list on a monthly basis. Units also need to submit a list of designated Rewards POCs monthly. The list must include contact information such as e-mail addresses and phone numbers. Units can find this excel list on the USF-I Rewards Portal in order to verify whether the unit's designated individuals are up to date.

9. (U//FOUO) SPECIAL CATEGORIES:

A. Iraqi Security Forces (ISF): A waiver is currently in effect to authorize member of the Iraqi Security Forces (ISF) to receive reward payments for information or non-lethal assistance that leads to the capture of a coalition wanted individuals or for confiscated weapons or munitions. To qualify for a Reward their actions must exceed normal duty. Any rewards paid to ISF members must be documented and annotated in all reports to USF-I. At a minimum, all documentation and reporting containing the reward recipients name, where that recipient is ISF, will have "(ISF)" following the name. A copy of the ISF payments waiver is accessible via the USF-I J2X Rewards Portal.

B. Coalition Forces (CF). Non-U.S. Forces are not authorized to operate an 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 with 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. Until 01 OCT 09, reward payments were allowed to 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.

C. MANPADS. The DOS MANPADS Reduction Program is a separate program than the DOD Rewards Program. However, nominations packet requirements and MSC end of month reporting procedures for the MANPADS Reduction Program are identical to those of the Rewards Program. Refer to USF-I Rewards Program and MANPADS Reduction Program SOP for more information.

D. Pre-Approved Target Categories.

1. There are eight broad pre-approved categories established by CENTCOM and USF-I. Copies of each are available on the USF-I Portal link): USF-I approval is not required for payments from any of the pre-approved categories. Any level of RAO is authorized to approve a reward for these categories. After RAO approval, the packet will go through channels to the USF-I J8 for fund certification. This process is just like any other request for payment on a current pre-nominated target, and still requires a Legal Review to ensure that the reward being paid meets the intent of the pre-approved category.

2. In addition to the above pre-approved categories, there are hundreds of HVIs throughout Iraq pre-approved for reward amounts up to \$200K under the USCENTCOM Rewards Program. Payment of rewards to a source who leads USF to the capture of one of these HVI's or any of the broad blanket pre-nominations stated above require no additional approvals if information proves credible.

3. Any pre-approved authorization for payment is also authorization to advertise that amount. This applies whether a pre-approved HVI or Soldiers Missing in Action.

4. Units should see an enhanced efficiency of reward payments through the use of the pre-approved target categories. Experience with the Rewards Program shows that rapid payment of rewards increases the legitimacy of the program to the Iraqi population.

5. Pre-approved categories allow the requesting units to simply submit a justification, with RAO endorsement that ties-in the pre-approved categories for

payment request. All subordinate units that use the USF-I Rewards Program can pay rewards up to the designated amounts in dollar currency or in-kind payment. All pre-approved categories will be paid from USF-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 USF-I J8 for procurement of funds.

6. Subordinate commands may pre-approve categories within their delegated authorities. Subordinate command reward managers will forward all pre-approved categories to USCENTCOM.

10. (U//FOUO) ADVERTISEMENT:

A. Information Operations

1. The Iraqis and USF do not currently have a fully functioning national mechanism to connect informant information to the local USF 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 it is 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.

3. IO community will provide monthly roll up of all expenses used for advertising purposes to the USF-I Rewards Program Manager.

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, USF-I J8, or USCENTCOM CCJ8) for procurement of funds. Unit comptrollers and USF-I J8 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, USF-I or higher. Consult unit IO, PSYOP, Effects, or PA for procedures.

2. Once the advertising funding is justified, the unit Comptroller, USF-I J8, or USCENTCOM CCJ8 will transfer the necessary funds into the respective accounts for developing products within USF-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 USF with information leading to the capture of a respective HVI, weapons cache, or any other information that assists USF. 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 USF-I. USF-C 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 USF 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.

c. Rewards Program should not be confused with the GOI Iraqi Most Wanted Program – which also has an established tips line for local nationals to call GOI/ISF about Security Incident Information. The Rewards Program is a USCENTCOM DOD program – not a GOI program.

11. (U//FOUO) PROPONENT:

A. The proponent of this SOP is the USF-I J8

B. Point of contact for this SOP is at: DSN 318-485-2380

12. (U//FOUO) USF-I DOD REWARDS PORTAL: USF-I J2X, J3, and J8 have endeavored to make this program as user friendly as possible, including the creation of the USF-I DOD Rewards Portal capturing relevant laws, briefs, policies, procedures, and SOP's. USF-I also holds a Rewards Working Group

VTC at the start of each quarter. All Rewards POCs should attend by coordinating with the USF-I Rewards Program Manager.

IRAQI SECURITY FORCES FUNDING

CONTENTS

1. PURPOSE
2. GENERAL GUIDANCE
3. TERMINATED PROGRAMS AND ISFF PROHIBITIONS
4. QUICK RESPONSE FUNDS (QRF)
5. FORSEEABLE OR RECURRING (NON-QRF) REQUIREMENTS OF THE ISF
6. VALID USES OF ISFF QRF AND NON-QRF
7. ISFF QRF AND NON-QRF PACKET REQUIREMENTS
8. COMBAT SERVICE SUPPORT TO IRAQI SECURITY FORCES (CSS-ISF)

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, USF-I, is the statutory custodian of the ISFF and retains the responsibility for training and equipping the ISF. USF-I J8 assists in the administration of the ISFF.

2. **GENERAL GUIDANCE:**

- A. USF-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. USF-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 USF-I units may continue to advise, partner, mentor and assist the ISF by supplying certain basic operational needs.

- B. USF-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. Foreseeable or Recurring (non-QRF) requirements of the ISF
 3. Combat Service Support to the Iraqi Security Forces (CSS to ISF)

3. TERMINATED PROGRAMS AND ISFF PROHIBITIONS:

- 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 USF-I QRF program.
- C. *ISFF Facilities Prohibition:*** ISFF is for the "Commander, United States Forces-Iraq...to provide assistance to the security forces of Iraq." That assistance includes "the provision of equipment, supplies, services, training, facility and infrastructure and repair, renovation, construction, and funding." However, Congress prohibited the use of ISFF funds available after 1 October 2009 "for acquisition, conversion, rehabilitation, or installation of facilities in Iraq for the use of the Government of Iraq."

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.
9. Supplemental Appropriations, P.L. 111-32 (24 June 2009), Section 306(a) (2), 123 STAT. 1869.

10. 2010 National Defense Authorization Act (2010 NDAA), P.L. 111-84, Section 1518.
11. MNC-I FRAGO 1510 Appendix 4 To Annex C [Elections Force Protection Material Support To The Government Of Iraq] To MNC-I OPOD 09-02.2.
12. USF-I FRAGO 201 ISF 0003 01 Procedure to Request Iraqi Security Forces Fund (ISFF) Quick Response Funds (QRF) and Foreseeable or Recurring (Non-QRF) ISO the ISF.
13. USF-I FRAGO 0286, 09-363 Fuel Support For ISF ISO Mission To Secure Areas Of Mutual Interest.

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).
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, **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.
4. 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 "USF-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. USF-I J8 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 USF-I J4 for validation and staffing, with approved requirements funded by the J8. 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 O-6 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. 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.

D. QRF Requirements greater than \$50,000 but less than \$1,000,000

1. QRF requirements above \$50,000 up to the statutory maximum of \$1,000,000 originating from USF-I elements other than DCG, A&T will be staffed through reporting chain of command to the USF-I J4 for review before presentation to the USF-I Deputy Chief of Staff (DCoS) for approval. O-6 or above endorsement is required on all QRF requests over \$50,000 up to the statutory maximum of \$1,000,000. Endorsed requests will go to the J4 to initiate USF-I staffing.
2. Approved QRF requirements up to the USF-I DCoS QRF funding authority of \$500,000 will be fund certified at the G8 level for USDs and at the J8 level for all others. Validated requirements in excess of the USF-I DCoS QRF approval authority will be forwarded to DCG, A&T for funding consideration from QRF funds at that level.
3. For all QRF purchases \$500,000 or below, MSCs will submit a monthly report detailing the QRF requirements that were funded in their AOR. This report is due to the USF-I J8 by the 10th of each month.

5. 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 OPOD 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
6. Supplemental Appropriations, P.L. 111-32 (24 June 2009), Section 306(a) (2), 123 STAT. 1869.
7. 2010 National Defense Authorization Act (2010 NDAA), P.L. 111-84, Section 1518.
8. USF-I FRAGO 201 ISF 0003 01 Procedure to Request Iraqi Security Forces Fund (ISFF) Quick Response Funds (QRF) and Foreseeable or Recurring (Non-QRF) ISO the ISF.
9. USF-I FRAGO 0286, 09-363 Fuel Support For ISF ISO Mission To Secure Areas Of Mutual Interest.

B. Description

1. USF-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**, USF-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. 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."
4. All non-QRF ISFF requests must be forwarded to DCG, A&T for approval. O-6 or above endorsement is required on all non-QRF requirements regardless of the dollar amount requested. Endorsed requests will go to the J4 to initiate

USF-I staffing. A Course of Action (COA) staff analysis is required prior to submission to USF-I. This COA will be signed off by an O-6 to include a strong justification for the recommended actions.

6. VALID USES OF ISFF QRF AND NON-QRF:

A. Valid uses of ISFF QRF and non-QRF include but are not limited to procurement of the following:

1. Short term placement of barrier materials related to force protection. Funding requests must include a plan for removal of the items and materials, and incorporate into the request the funding required to remove the force protection barriers at a date certain. .
2. Emergency or mission critical equipment
3. Mission critical communications equipment
4. Training.

B. As a general rule, ISF (to include QRF and non-QRF) may not be used to procure the following:

1. Projects that result in a direct and/or primary benefit to coalition forces.
2. Humanitarian relief efforts or civilian infrastructure reconstruction.
3. Construction, alteration, conversion, or repair any building, structure, or other improvement to real property including roads and utility components and infrastructure.
4. Infrastructure improvements or procurement of construction related materials (i.e. Wood, concrete, electrical wiring).
5. Entertainment, moral and welfare items for the ISF or the local population.
6. Cash hand-outs of any type.
7. Commingling with operations and maintenance funds or any other appropriated or non-appropriated funds.
8. Any expense that does not directly benefit the ISF.
9. Payment of wages, salaries, bonuses, or awards to members of the ISF.
10. Benefits to the sons of Iraq or similar organization.

7. ISFF QRF AND NON-QRF PACKET REQUIREMENTS:

A. ISFF QRF and non-QRF packets require specific documentation to substantiate the request. This documentation though seemingly administrative in nature is a large part of the checks and balances in the process used to meet congressionally mandated requirements, and to preclude waste, fraud, and abuse. Failure to provide all of the required documentation, and all of the required information, will result in delay or rejection of the request. ISFF QRF and non-QRF packets will contain the following documentation:

1. **Letter of justification** (LOJ) or endorsement signed by an O-6. The LOJ will clearly address:
 - The justification for project, i.e., what ISF problem is addressed.
 - The items or services requested to address the ISF shortfall.
 - The estimated cost required to satisfy the requirement.
 - The date USF became aware of the requirement. Provide the time frame in terms of approximate number of days if the specific date is undetermined.
 - Impact to the ISF if the requirement is not funded.
2. **Discussion of all efforts to work** with the Gol to satisfy the requirement through Gol channels and the results of those efforts.
3. A **separate memorandum** signed by a representative of the ISF will also satisfy the requirement.
 - To avoid the appearance of undue USF influence, separate memorandums from ISF representatives will not appear under USF letterhead or in standard us military MFR format.
 - The memo should be in the own words of the ISF representative, and be prepared on ISF letterhead or on a blank sheet of paper.
4. **Detailed Statement of Work (SoW)** or requirements statement. An independent government estimate (IGE) will suffice for requirements under the \$25,000 micro purchase threshold.
 - QRF is authorized for support contract requirements with a maximum duration of a single thirty (30) day period with up to two (2) thirty (30) day extension periods authorized not to exceed 90 days total. Support

contract requirements in excess of 90 days no longer qualify for QRF, and should target non-QRF instead. Life support standards requested will be in line with jointly agreed GoI and USF-I standards. The SoW must specify the absolute minimum support required in order to minimize coalition costs, and include a workable plan to transition ongoing contracts over to the GoI.

- Climate altering devices (i.e., air conditioning and heaters) are not an agreed to GOI life support standard and should only be included for dining and medical facilities. It is necessary to provide life support consistent with GOI standards to enable the GOI to continue this level of support.
5. **Independent bids** from three (3) different vendors for requirements in excess of \$25,000. This will provide contracting officers with a starting point to make reasonable efforts to execute a contract consistent with efficiency, economy, security, and force protection, giving responsible vendors within the local trade area the opportunity to compete for procurements resourced with ISFF.
 6. **Sole source justification.** For requests exceeding \$25,000 and for which a sole-source procurement is desired, a complete and signed sole source justification request form must be included in the request packet.
 7. **Independent government estimate (IGE)** documenting how the dollar amount requested was determined.
 8. **DA Form 3953 (Purchase Request and Commitment Form).** Leave blocks 1, 2, and 19-22 blank. Leave blocks 34-36 blank for requests over \$50,000. The O-6 or above signing the LOJ should sign blocks 34-36 for requests at or under \$50,000. To eliminate legibility issues introduced as a result of multiple occurrences of printing and scanning hardcopies of the 3953, the preference is to use an approved electronic version of the form, with all signatures applied using the DoD-issued CAC. When processing using digital signatures, the original electronic version of the form (not a scanned copy) must be provided at all echelons. No substitution via printing the electronic copy and then scanning is permitted. In addition, there will be no mixing of digital and hardcopy signatures. All digital or all hardcopy signatures are required on the form.
 9. **Appointment memorandum** for individual designated as the contracting officer representative (CoR), and documentation certifying completion of all required training required for CoR certification.
- B. Include the following additional documentation in non-QRF requirement packets submitted to the J4:

1. A **Course of Action (COA)** staff analysis prepared in standard COA risk assessment matrix format based on CENTCOM defined risk levels. The analysis will be endorsed an O-6 or higher and will include a strong justification to substantiate why the recommended solution is the preferred course of action over some other work around process or an existing Iraqi practice. The existing Iraqi practice should be included as one of the considered COAs.
2. **Documented Iraqi plan** to continue the project on their own, with maintenance, repairs, and general preservation during and after the RDOF.
3. A clear indication as to how the request fits into the scope of **ITAM (MOD – MOI) national priorities**.
4. A completed **funding request slide**.

8. **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 OPOD 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, USF-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 OPOD 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, USF-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 USF-I- J4.
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 USF J4 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 by USF-I J8 and enforced through the CSS to ISF MOA, this SOP, and DoDI 4000.19.
9. Procedural arrangements for reimbursement include:
 - a. USF-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.
- c. DCG (A&T) will provide a completed Military Interdepartmental Purchase Request (MIPR) for specific supplies, equipment, or services to USF-I J8 for acceptance and identification of the accounting data for billing purposes.
- d. USF-I J8 will accept the MIPR as reimbursable and establish MSC Account Processing Codes (APCs).
- e. USF-I J8 will cost transfer funds via Standard Form (SF) 1081 from QRF to OMA on a quarterly basis for charges incurred through the CSS to ISF program.

(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 OPORD 09-01 (U): Health Logistics Support to Non-DoD Units/Organizations.

QRF/ISFF (non-QRF) REQUEST PACKET CHECKLIST

The purpose of this checklist is to ensure that proper actions have been taken prior to submitting funds request packets to USF-I, thereby decreasing the amount of time from submittal to approval and provide clear expectations on projects submitted. Documents should be scanned to PDF, and should be readable and clearly marked. There is no requirement to provide documents scanned in any particular order. Submission via multiple files is encouraged. Forward the scanned copy obtained closest to the original source of the document. Do ***NOT*** print out and then rescan documents with the intent to place all documents into a single file in some specified order as this reduces document legibility. Packets submitted with repeatedly scanned documents will be returned

Project Title _____

Point of Contact _____

Location _____

Estimated Cost _____

Package contains:

All Projects:

_____ QRF/ISFF Standard Letter of Justification

_____ Purpose

_____ Requirement and Proposed Solution

_____ Justification

_____ Short Notice and Emergent (applicable to QRF only)

_____ GOI Efforts

_____ Performance period

_____ Location (province, city, district, and grid coordinates)

_____ Projected Cost

_____ Impact if not funded

_____ Point of contact information

_____ Signed or endorsed by O6

_____ Command Endorsements through Division

_____ Legal review from Brigade and Division SJA

_____ Statement of Work (SOW) / Statement of Requirements (SOR)

_____ Sole Source Justification Request

_____ Independent Government Estimate (IGE)

_____ Three vendor bids if over \$25K and sole source not requested

_____ Separate memorandum discussing of all efforts to work with the GOI to satisfy the requirement through GOI channels and the results of those efforts

UNCLASSIFIED//FOUO

- _____ DA Form 3953 (Purchase Request and Commitment Form)
- _____ Appointment memorandum for individual designated as the Contracting Officer Representative (CoR) or the Paying Agent
- _____ DD Form 577 Appointment/Termination Record for the Paying Agent (PA)
- _____ Certificate or training memorandum from Contracting Officer Representative (COR) training from JCCI/RCC

Additional documentation required for non-QRF requirement packets:

- _____ Course of Action (CoA) staff analysis
- _____ Documented Iraqi Plan to continue the project on their own
- _____ Fits into the scope of ITAM (MOD- MOI) national priorities
- _____ A completed funding request slides

Closing out with USF-I J8:

- _____ PA sends finance clearing memo, SF44, and DD 1081 to USF-I J8
- _____ CoR sends SF 1034 and Contract to USF-I J8

UNCLASSIFIED//FOUO

MEMORANDUM FOR Commander, Multi-National Corps – Iraq

Date

SUBJECT: Letter of Justification for QRF or ISFF *Project Title*.

1. PURPOSE: This should be a short description of the project and where located.
2. REQUIREMENT AND PROPOSED SOLUTION: Provide a detailed description of the Iraqi Security Forces (ISF) requirement and the proposed solution including items or services for which funding is requested to address the requirement.
3. JUSTIFICATION: The justification should provide a synopsis of how the project will benefit the specified ISF element(s), and how it supports US Forces command priorities. For ISFF (non-QRF) requirements, include a discussion of the results of the Courses of Action (COA) staff analysis, specifically explaining why the funding request is the best COA available, and how the requirement fits with A&T CG priorities.
4. SHORT NOTICE AND EMERGENT: For QF projects, clearly articulate how the project meets the Short Notice and Emergent requirement. Specify the date or timeframe of US Forces awareness of the requirement, and funding request initiation date if the LOJ date is more than 90 days after US Forces awareness.
5. GOI EFFORTS: The GOI must first attempt to resolve all requirements on their own prior to seeking any QRF or ISFF (non-QRF) funds. Use this paragraph to document all GOI efforts to address the requirement, and the results of those efforts. This section should also include a summary of the plan to transition responsibility for funding recurring requirements over to the GOI.
5. SPONSORING US UNIT: Identify the US Forces unit responsible for the project and the higher level supporting elements through division level.
6. PERFORMANCE PERIOD: Provide the timetable for execution of the project including when it will be completed and turned over to GOI.
7. LOCATION: Include Province, District, City and an 8 digit grid coordinate (MGRS) if applicable.
8. PROJECTED COST: Estimated cost of the project.
9. IMPACT IF NOT FUNDED: Potential negative consequences if the project is not funded.
10. POINT OF CONTACT: All contact information for the individual designated to answer questions surfaced during the staffing process.

JOHN Q. PUBLIC
COL, IN
Commanding

UNCLASSIFIED//FOUO

E-2-1

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 are unable to 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 Title 10 Operations and Maintenance Army (OMA) funding. USARCENT provides funds to USF-I J8. USF-I J8 LOGCAP Budget Officer is responsible for ensuring that funds are available prior to the initiation of all additional approved work. All appropriation law restrictions apply. **All construction and capital investment thresholds apply.**
- D. All new work (requests) must be validated through the requirements board process. The decision as to which validation board the request follows is driven

primarily by the dollar value of the request. (Refer to Appendix J) USF-I J8 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.

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. USF-I J8 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. 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 USF-I J8 LOGCAP Budget Officer.
 - 2. Changes to funding targets are handled by USF-I J8. Adjusting base population figures will be coordinated through the MSC G8 or appointed representative in the USF-I J8. 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 USF-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 is restricted from ordering equipment and material on behalf of various Government units.
- B. The LOGCAP Contractor is restricted from providing 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 is restricted from doing 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.

POC	Phone Number
LOGCAP Deputy Program Director	318-485-3795
DCMA Commander	318-585-2468
DCMA Theater ACO	312-328-1005, 1, 70148
LOGCAP PCO	318-485-3325
USF-I J8 LOGCAP Budget Officer	318-485-2612
USF-I J4	318-485-5590

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. USF-I J8 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 USF-I J3 Force Management Division (FMD). If you are unsure whether a requirement is appropriate for an ONS, contact USF-I J3 FMD or the USF-I J8 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. USF-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. USF-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. USF-I J7 submits an integrated priority list of Iraq projects to USARCENT. The list is prioritized using an algorithm that combines USF-I leadership priorities and MSC priorities for MSC identified requirements.
4. USARCENT (Kuwait) combines USF-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 USF-I J7 through the validation process as described in Appendix J (Requirements) as soon as requirements are identified so USF-I J7 can maintain a current list of theater requirements that aligns with current strategies. This allows USF-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, USF-I J7 will coordinate with GOI for approvals and consultation (staff assistance may be required from USF-I J8 and USF-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 J7 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 USF-I J7 and USF-I J8 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. USF-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. USF-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. 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. To purchase gifts and mementos for presentation to authorized guests in connection with official courtesies.
- B. Approval Authority.

UNCLASSIFIED//FOUO

1. Management and authority of ORF will be retained at the USF-I HQ level. Authority may not be delegated to staff elements or subordinate units within the command.
2. Authority to issue invitations to foreign authorized guests rests only with the CG of USF-I.
3. The Secretary of the Joint Staff (SJS) 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. (Per DODI 7250.13 dated 30 JUN 2009) 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 (USF-I J8) will:

1. Centrally manage funds for USF-I headquarters, staff elements and subordinate commands.

UNCLASSIFIED//FOUO

2. Nominate a Certifying/Approving Official (CAO) IAW AR 37-47, paragraph 3-1b. However, the appointment letter for the CAO must be signed by the USF-I Commander.
3. Provide a fund site for financial documents.

E. Custodian and Inventory Control.

1. The SJS for USF-I will nominate a Representation Funds Custodian (RFC). However, the appointment letter for the RFC must be signed by the USF-I Commander.
2. The RFC is responsible for maintaining central files for all purchases and functions utilizing ORF within USF-I. The SJS will ensure that 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 the amount authorized in DoDI 7250.13. As of the publication date of this version of the MAAWS, this amount is \$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 should be stored in a secure location that can only be accessed by the RFC and no more than one other person, an inventory control officer. If an inventory control officer is needed, he/she should be appointed by the SJS in writing. Bi-annually, the CAO and a non-interested officer will conduct an inventory of these items.

UNCLASSIFIED//FOUO

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 USF-I Management Control Plan as an assessable item. It will be scheduled for a formal evaluation IAW AR 11-2. The Internal Control Section of USF-I will conduct and document an internal audit annually. Results will be provided to the USF-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. ANNEXES

1. REREFERENCES.

- A. USARCENT Resource Management Handbook, 1 January 2005.
- B. USARCENT Publication 1-06. 16 May 2007.
- C. MNC-I CoS Memo dated 19 Apr 2008. SUBJECT: Change to Requirements Validation Criteria and Staff Responsibilities.
- D. Automated Information Systems Hardware Standards (AISHS), Revision 3.1, 25 July 2009.
- E. CENTCOM Risk Definitions, 14 Apr 09.
- F. MNF-I CG Memorandum for Distribution, Increased Employment of Iraqi Citizens through Command Contracts, 31 Jan 09.
- G. MNF-I FRAGO 09-133 (Responsible Drawdown, Reducing Contractors on the Battlefield), 20 Mar 09.
- H. MNF-I FRAGO M09-551 [USF-I CONTRACTOR CENSUS]
- I. USF-I Campaign Plan 09-02, Appendix 2 to Annex R (Financial Management), Joint Facilities Acquisition Review Board (JFARB) Process.
- J. USF-I FRAGO 0283, Contract Review Board (CRB) and Joint Facilities Acquisition Review Board (JFARB) FRAGO to USF-I Operations Order 10-01.
- K. USF-I FRAGO 0478, Joint Facilities and Acquisition Review Board (JFARB) Course of Action (COA) FRAGO to USF-I Operations Order 10-01.

2. PUPROSE

This SOP establishes USF-I standard business practices and requirements validation procedures.

3. APPLICABILITY

This SOP applies to all USF-I commands that are funded with USF-I Title X OMA and OPA 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). Each 2-Star Commanded Headquarters and the Theater Expeditionary Support Command can establish an Acquisition Review Board (ARB) to validate all purchases, leases and contracts from \$100,000 to \$249,999. If no ARB is conducted the unit must submit all requirements over \$100,000 to the Joint Facilities and Acquisition Review Board (JFARB). **All requirements valued at \$250,000 or more and select command-interest items**

regardless of their value, must have JFARB approval. For Separate Battalions, Brigades, and other GO/FO Commands, the approval level is \$99,999. Communications requirements have various thresholds and are governed by this policy. This requirements validation process starts with the requirements owner preparing and submitting a package to the appropriate JFARB Action Officer (AO) where it is staffed, voted and recommended to the USF-I Deputy Chief of Staff for final decision. The USF-I CG has established criteria to determine which items are subject to a 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 USD OR USF-I HQ LEVEL.

- A. **IDENTIFY REQUIREMENT.** Unit determines a requirement and prepares a requirement validation package 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 that the Statement of Work is viable.
- B. **SUBMIT REQUIREMENT TO USF-I.** The unit will submit a completed package electronically (one package per e-mail) to the appropriate staff section responsible for the request. Requirement owners will submit information technology request to the J6, engineer related request to the J7 and service related request to the J8 for staffing. Packages will be prepared by requirement owners in accordance with the stated requirement (Annex J-1-1).
- C. **CONTRACT REVIEW BOARD (CRB).** If a contract(s) up for renewal exceeds an annualized cost of \$3 million; or is a new requirement with an annualized cost over \$1 million, a representative from the requesting unit will brief the USF-I Deputy Chief of Staff to ensure sufficient oversight, implementation of cost-effective management controls and to ensure the satisfaction of customer needs. Prepare each package in accordance with the stated requirement (Annex J-1-2).
- D. **SUPER COALITION ACQUISITION REVIEW BOARD (SuperCARB).** In the event that a contract exceeds \$10 million, and following approval by the Deputy Chief of Staff at a Contract Review Board (CRB), and after completing the JFARB process, request packages will be forwarded for consideration and approval by ARCENT via a SuperCARB.
- E. **DECISION ANNOUNCEMENT.** Board minutes reflecting Deputy Chief of Staff's decision and signature will be posted on the USF-I portal for review and action by the requirement owner.
Any requirement that is not placed on contract within three months of approval MUST be re-validated.
- F. **FUNDING.** Seek funds through the USF-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 Action Officer. 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, USF-I J7 will coordinate with GOI for approvals and consultation (staff assistance may be required from USF-I J8 and USF-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 J7 authorization.

6. **RESPONSIBILITIES**

- A. **USF-I Commanding General.** The CG establishes command policies and priorities for requirements validation procedures across USF-I.
- B. **USF-I Deputy Chief of Staff.** The DCoS will enforce command policies on requirements validation procedures and advise the CG of policy issues that require his attention. He also functions as the requirement validation board president – the approval authority for all requirements validation board requests. By exception, the USF-I Assistant Chief of Staff may act as the president on behalf of the DCoS in his absence.
- C. **The JFARB consist of the USF-I J3, J4, J6, J7, J8, SJA, JCCI/A and select staff.**
 - a. The USF-I J6, J7 & J8 will host the JFARB package request portal and act as secretaries for the JFARB process.
 - b. The USF-I J3 and J4 are voting members that are required to review each package and provide recommendations for requests that fall within their functional area.
 - c. **SJA.** The USF-I Staff Judge Advocate provides a legal opinion on all requirements validation packages before they are considered for decision.
 - d. **USF-I Staff.** Select primaries on the USF-I Staff will, upon request, provide subject matter expertise and provide concurrence on select requirements validation packages.
 - e. **JCC-I/A.** Joint Contracting Command Iraq/Afghanistan provides a PCO review of the initial requirement.

7. **RULES OF ENGAGEMENT**

- A. **Board.** USF-I has one board for validating requirements. This board is conducted electronically with the goal of processing a complete package within 6 days. See Annex A to this Appendix for the board SOP.
- B. **Emergency/Out-of –Cycle Requirements Validation Package.** A requirements validation package that requires the immediate attention of the president of the board must be endorsed by

UNCLASSIFIED//FOUO

the USD Chief of Staff or Separate Brigade Commander. A sufficient rationale must be provided; otherwise it will be processed per the normal processing cycle.

C. **Non-concurrence.** All *non-concurrences* and *select concurrences with comment* will be highlighted to the USF-I DCoS during the JFARB.

D. **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 O6 signed exception to policy memo to the USF-I Deputy Chief of Staff for decision.

8. REQUIREMENT THRESHOLDS

Item Required	Validation Board
Force Protection items = or > \$250K for USD; \$100K for O6 or above Separate Commands	JFARB
LOGCAP services (new or expansion) = or > \$250K for USDs; \$100K for O6 or above Separate Commands	JFARB
MWR items = or > \$250K for USDs; \$100K for O6 or above Separate Commands	JFARB
Contractor Services = or > \$250K for USDs; \$100K for O6 or above Separate Commands	JFARB
Requirements with 1 time or annual cost = or > \$250K; \$100K for O6 or above Separate Commands	JFARB
Recurring Service Contracts with an annualized cost greater than \$3M or a new contract with an annualized cost greater than \$1M or construction requirements greater than \$1M	CRB/JFARB
Contracts ≥ \$10M	CRB/JFARB/SuperCarb
All Non Tactical <i>or</i> 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) equal to or greater than 10kw.	JFARB
Leased Equipment/Utility Vehicles (MHE, Reefers, etc) = or > \$250K for USDs; \$100K for O6 or above Separate Commands	JFARB
Purchase of Information Technology equipment which meets hardware standards(see USF-I J6 AISHS) = or > \$250K for USDs; \$100K for O6 or above (see Annex A, Section 3. Paragraph E. Sub-paragraph 6)	JFARB
Copy machines that do not require a service contract = or > \$250K USDs; \$100K for O6 or above	JFARB
Passive equipment (cables, connectors, crimpers, tool kits, etc) > \$2,500 < \$25K	J6 LOE
Non-passive equipment < \$25K included in, but not limited to, the USF-I J6 hardware standards	J6 LOE
Purchase of more than a 3-month supply of toner	J6 LOE
Construction/Repair costs = or > \$250K; \$100K for O6 or above Separate Commands	JFARB
MTO&E items (ONS) (See Appendix P)	ONS

Note.

- The Operational Needs Statement (ONS) is the process to document capability shortfalls within a command and identify a requirement for a materiel shortfall. ONS are managed by J3 Force Management. MTO&E items should not be requested using the command's validation board procedures.
- At the discretion of the USD Commanders, O6 Commanders may be granted approval authority for USD purchases less than or equal to \$100K in the above categories.
- Recommendations for changes to this SOP should be referred to the USF-I J8.

UNCLASSIFIED//FOUO

9. ANNEXES

- A. Joint Facilities and Acquisition Requirements Board (JFARB), J-1-1
- B. USF-I Contract Review Board (CRB) Standard Operating Procedures, J-2-1

Annex A

Joint Facilities and Acquisition Review Board (JFARB)

CONTENTS

1. PURPOSE
2. PROGRAM OVERVIEW
3. RESPONSIBILITIES
4. OMA FUND LIMITATIONS FOR JFARB PACKAGES
5. JFARB PACKAGE REQUIREMENTS
6. POINT OF CONTACT
7. ATTACHMENTS

1. PURPOSE:

- A. This annex outlines the policies and procedures on the conduct of the USF-I JFARB process. The policies apply to all United States Forces – Iraq Headquarters and subordinate units requiring USF-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 USF-I JFARB recommends approval and disapproval of specified projects, purchases, services, and leases. Final approval authority resides with the USF-I Deputy 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 and Acquisition Review Board is managed by the HQ staff elements from USF-I J6, J7 & J8. The J6, J7 and J8 lead the JFARB and are responsible for the overall administration and impartiality of the JFARB process.
- B. The JFARB cells receive completed packages from USF-I staff sections and subordinate units. The J6, J7 and J8 JFARB Action Officers (AO) process the completed requirement package submitted by the unit and forward it to the appropriate staff sections for validation recommendation. Staff Requests for Information (RFIs) along with the JFARB tracking number will be sent to the unit who submitted the package or the point of contact identified in the letter of justification. Therefore, a valid point of contact and e-mail address is required. Any package with an unacknowledged RFI may be cancelled after fifteen days. After all votes are received, the JFARB AO forwards the package through the JFARB secretary (USF-I J7) to the Deputy Chief of Staff (DCoS) for final decision.

- C. The JFARB voting members are the USF-I staff sections: J3, J4, J6, J7 and J8.
- D. The Principal Assistant Responsible for Contracting (PARC) or his /her delegate is a non-voting, technical member of the JFARB. JCC-I/A assesses the use of reach back potential and provides theater wide contract strategies vice tactical solutions. Contracting officers (KO) review contracting strategies, specifications or minimum requirements needed in the Performance Work Statement (PWS) for contracts they service.
- E. Other functional experts are required to provide analysis and documentation on JFARB packages that are within their functional area;
 - a. J1 for MWR requirements,
 - b. J2 for intelligence related acquisitions,
 - c. Surgeon's office for medical requirements,
 - d. J3 IO Effects for CMO/PSYOP initiatives, or

In addition to a general analysis, functional experts should consider whether there are more cost effective alternatives available to fulfill the requirement, and whether the requirement is right-sized and properly scoped to support a responsible drawdown. 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 DCoS.

- F. The USF-I Staff Judge Advocate (SJA) serves as a non-voting, technical member of the JFARB. All units will submit a legal review as part of their JFARB package unless that unit is directly supported by the USF-I SJA.
- G. Relevant USF-I staff sections will provide a recommendation to the JFARB voting member that is responsible for staffing the package. The staffing member will consolidate inputs and notify the USF-I J7 that the JFARB package is ready to be presented to the DCoS for a decision. Packages with unfavorable legal opinions may be submitted to the DCoS for consideration although every effort to resolve the unfavorable opinion should be met. Packages may be approved, deferred or disapproved. Packages that are disapproved can be modified 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 USF-I budget process by submitting the requirement on the unit's quarterly spend plan (Appendix A).
- H. JFARB results, signed PR&Cs and JFARB package statuses are available on the SIPRNET at:
<http://j8.forces.intranet.s-iraq.centcom.smil.mil/sites/jfarb/Pages/Default.aspx>

- I. Revalidation. JFARB requirements that have been approved by the DCoS must be revalidated when:
 1. Required funding exceeds approved funding by 25% or more.
 2. There is a change in approved scope. For example, the change in the number of items purchased regardless of whether there is a change in cost or any deviation of the requirement from when it was approved (contracted services, quantity of items procured). Another change in scope would be if the scope of work changed. For example, if a cleaning contract added maintenance to the Performance Work Statement, or if a construction project to build a single story building changed into a two-story building. Even if the change in scope costs less than 25%, the scope of the requirement has enough to require revalidation.
 3. The approved period of performance will expire and the requirement is still needed. **A Period of Performance (PoP) cannot exceed 12 months or One Option period (i.e., two six month PoPs cannot be validated simultaneously).** If you have excess funds from a previously validated PoP, you must revalidate your requirement for the next PoP.
 4. A contract supporting the requirement has not been awarded within three months of validation. Exceptions may be granted by the USF-I J8 (Comptroller), in consultation with JCC-I/A, if the contract was not awarded as a result of delays that were not within the control of the requesting unit.
 5. For items that originally required ARCENT SuperCARB approval, any cost increase or change in scope from the original SuperCARB validation requires new SuperCARB approval. This applies even if the change of scope would not result in cost increase over the validated amount.
- J. The JFARB process requires board members to review packages within 72 hours and either provide their vote or request additional information, in order to provide an informed recommendation to the USF-I DCoS. The objective for the USF-I JFARB is to ensure units answer all RFIs within 15 days and the package is reviewed by the DCoS within six additional days. The total JFARB process can take as little as six days if the package is complete with no RFIs or as long as 21 days if it is incomplete or doesn't effectively provide justification for the request.
- K. 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 SuperCARB approval, the package is staffed for the ARCENT DCG's signature.

- L. 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.
- M. 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 and the Theater Expeditionary Support Command 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 USF-I J8 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 USF-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 at Attachment 5.
3. Confirm that requirements cannot be filled through Standard Army Retail Supply System (SARSS), internally, or through other USF-I resources.
4. Submit all requirements for validation to the J6, J7 or J8 JFARB members via SIPRNET. For all Information Technology related requirements visit the [USF-I J6 Validation Board Website](#) or contact j6vb@s-iraq.centcom.smil.mil. For construction related projects contact your geographical POC in the J7 or call DSN 318-485-5219. For service related contracts, submit JFARB packages via email to the J8 JFARB POCs identified on the J8 Portal. <http://j8.forces.intranet.s-iraq.centcom.smil.mil/sites/jfarb/Pages/Default.aspx>
5. Units should allow for validation time, funding time, and time for contracting to award the requirement. Units should be preparing their JFARB packages 120 days prior to the date funding is needed. Units will submit all JFARB packages at least 90 days prior to the date funding is needed and brief the Deputy Chief of Staff no later than 60 days out. All packages submitted within the 90 day window must have a letter of lateness signed by the unit CoS (USD) or CDR (Separate Brigade or 06 Command). The letter of lateness must describe in detail the reason for the late submission.

B. Non-Voting JFARB Members

J1, J2, J9, Surgeon's Office, JCC-I, PMO, SJA serve as functional experts to the board and review and endorse valid requirements within the purview of the respective staff section.

C. J3

1. Provide a field grade officer to review JFARB packages and serve as a voting JFARB member. Voting members must be prepared to review requirements from both a functional perspective, as well as provide the DCoS an overall recommendation based on well-reasoned military judgment.
2. Ensure J3 AT/FP reviews all anti-terrorism and force protection requests. Specifically, J3 ATFP will analyze the Commanders Toolbox submitted for all security contracts in order to determine if the requirement is right-sized.

D. J4

1. Provide a field grade officer to review JFARB packages and serve as a voting JFARB member. Voting members must be prepared to review requirements from both a functional perspective, as well as provide the DCoS 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). Provide units an exception to policy for all NTV related requirements that cannot be filled with existing resources. As a result of FRAGO 1548, there will be no more NTV leases by 31 Dec 2010 however, buses may still be leased and must have J4 concurrence. See Attachment 2 for the NTV/Material Handling Equipment Leases Template.
 - 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.
3. Cross leveling of equipment across the IJOA.

E. J6

1. Act together with J7 and J8 as an USF-I staff lead and administrator of JFARB policies and procedures.

UNCLASSIFIED//FOUO

2. Provide a field grade officer to review JFARB packages and serve as a voting JFARB member. Voting members must be prepared to review requirements from a functional perspective, as well as provide the DCoS with an overall recommendation based on well-reasoned military judgment.
3. Provide an AO to serve as the coordinator for Information Technology (IT) related packages.
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, and 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. Validate IT requirements using the J6 Letter of Endorsement (J6 LoE) process when possible and through JFARB when required by dollar amount (see table below) or type of IT requirement (see section E.6.c). USF-I staff sections review JFARB packages for validity and scope, and the USF-I Chief of Staff approves the procurement (see section E.7). The USF-I J6 Deputy and other J6 division chiefs review and approve J6 LoE packets. The J6 LoE is a streamlined approval process for IT packets with total cost less than \$25K. J6 LoE consideration is identical for procurements using FOO money, MIPR, or PR&C.

IT Requirement Thresholds:

Item Required	Approval Process
IT Equipment > \$25K or IT Command Interest items (JFARB, J6)	JFARB
IT Equipment meeting J6 LoE criteria	J6 LoE

- a. J6 LoE documentation is similar to required JFARB documentation:
 1. J6 LoE eliminates Course of Action analysis.
 2. Requirements in excess of \$10K must have a legal review.
 3. LOJ must be signed by unit commander (O5 or higher).
 4. Package must include G6/S6 LoE.
 5. J6 LOE must include an O6 signed PR&C. The USF-I J6 does not have any unit funding authority.
- b. The J6 LoE packet is composed of the following documents.

J6 LoE Required Documents:

Document Name	Purpose
LOJ signed by O-5	Verification of requirement/approval of BN Cdr for

UNCLASSIFIED//FOUO

UNCLASSIFIED//FOUO

or higher	purchase Funding Strategy will be written in the LOJ
S6 Letter of Endorsement	Statement that the Communications SME has validated the requirement from a technical and operational perspective and researched alternate solutions
Vendor Quotes	Establishes the cost of the requirement
Funding Document	Establishes the unit's ability to fund requirement
TPE Memo	Establishes new purchase is TPE
Unit Legal Review	Unit Legal review needed for requirements over \$10K

c. J6 LoE can be used for the following items when total cost is **BELOW** \$25K.

1. Networked Equipment (VOIP phones, digital senders, servers, routers, switches, firewalls)
2. Printers (all-in-one, plotters)
3. Computer peripherals and upgrade parts (memory, keyboards, mice, scanners, power supplies, speakers, monitors, video cards, CAC readers, KVMs, UPS, etc.)
4. Computer peripherals (external or networked hard drives, webcams, motherboards) with approved USB Exception to Policy
5. Cellular phones (Zain/Iraqna, AsiaCell) and accessories including scratch cards
6. VTC equipment (e.g. VTC codec, camera, monitor)
7. PDAs
8. Modems that extend the LAN (pair gains)
9. Software intended to run on government equipment
10. IT equipment warranty extensions
11. Equipment not specifically enumerated above, but having IT or communications functionality

d. The following items require a JFARB package regardless of cost.

1. Computers
2. Satellite communications systems (e.g. BGAN)
3. Internet related services (e.g. MWR, Commercial Service)
4. Radios (e.g. Hand-held, vehicle mounted)
5. Modified table of organization and equipment items (e.g. AN/PRC-150, RT-1523)
6. Call Managers; H/W and S/W
7. Equipment and services which require IT service contracts

e. The following requires unit S6/G6 approval when total cost is less than \$2,500 (Does not require a J6 LoE or JFARB approval).

1. Computer peripherals and upgrade parts (memory, keyboards, mice, and scanners, power supplies, speakers, monitors, video cards, CAC readers, KVMs UPS, etc.)
 2. Computer peripherals (internal, external or networked hard drives, webcams, motherboards, CD-ROM Hardware)
 3. Cisco Phones/VOIP phones
 4. IT Supplies (cables, connectors, tool kits, test equipment, fiber optic cables, etc)
 5. Procurement of equipment or parts to repair existing approved IT or communication systems.
- f. TVs and copiers may be purchased by units with a Letter of Endorsement with justification signed by an O6 and unit S6/G6 approval.
- g. Satellite phones and service are ordered through the USF-I J6 TCO. Procurement requires an Operational Need Statement validated by DA G3.
- h. USF-I subordinate units shall prepare J6 LoE documents, and scan them into one PDF file. The unit will follow the instructions outlined on the [USF-I J6 Validation Board Website](#) to upload the PDF to the USF-I J6 Validation Board website. Further J6 Validation Board reference materials (i.e. JFARB/J6 LoE sample documents) can also be found on the website.
1. J6 Validation Board POC will review the packet for completeness and accuracy; incomplete packets will be returned to the unit for correction.
 2. Complete LoE packets will be reviewed by the J6 Deputy two times per week. RFIs will be sent to units and USF-I staff as necessary.
 3. The J6 Deputy will determine the status of the packet with either APPROVED, NOT APPROVED or DEFERRED.
 - i. APPROVED = J6 Concurs with requirement, Unit is approved to use Unit Funding Source for purchase
 - ii. NOT APPROVED = Unit is not approved to purchase. Reason will be stated.
 - iii. DEFERRED = Unit did not provide sufficient information to justify requirement or information is not available to make a determination on the packet.
 4. The J6 VB POC will record the status, and send notification to the Action Officer noted in the unit's J6 LoE Packet.
7. Conduct the J6 Validation Board to process IT requirements that call for a JFARB package through the following process (see section 6 Table: *IT Requirement Thresholds* & section E.6.d).
- a. USF-I subordinate units shall prepare JFARB documents and scan them into one PDF file. The unit will follow the instructions outlined on the

[USF-I J6 Validation Board Website](#) to upload the PDF to the USF-I J6 Validation Board website. Further J6 Validation Board reference materials (i.e. JFARB/J6 LoE sample documents) can also be found on the website.

1. J6 Validation Board POC will review the package for completeness and accuracy; incomplete packages will be returned to the unit for correction. Once package has all the documents required it is assigned a JFARB IT number.
 2. The package is reviewed during the J6 Validation Board, typically held every Monday at 1430 through an Adobe Connect session.
 3. Within 4 days of the last RFI being answered, the J6 Deputy will issue the J6 recommendation with either a Concur or Nonconcur.
 4. If the J6 concurs with the requirement but not the quantity/total requirement, J6 will coordinate with the requirement owner to determine if the unit will submit a new PR&C for the J6 concurred quantity or will process the original package as is with the J6 changing its Concur to Nonconcur.
 5. The package is voted on by other members of JFARB Board and OSJA provides a legal review.
 6. The package is processed and presented to USF-I DCoS for decision. DCoS will Approve, Disapprove or Defer the package.
 7. The J6 Validation Board POC will record the status and send notification to the Action Officer noted in the unit's JFARB documentation.
8. All submissions for requirements relevant to USF-I J6 (JFARB or J6 LoE) 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/J6 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 J6.
10. See Automated Information Systems Hardware Standards (AISHS), Revision 3.1, 25 July 2009 posted on the SIPR Portal on the J6 page.

F. J7

1. Provide a field grade officer to review JFARB packages and serve as a voting JFARB member. Voting members must be prepared to review requirements from both a functional perspective, as well as provide the DCoS an overall recommendation based on well-reasoned military judgment.

2. Provide an AO to serve as the coordinator for Engineer (JF) related packages.
3. Support administration of the JFARB; accepting, processing, recording DCoS decisions and disseminating the results of the JFARB process to stakeholders.
4. 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.
5. 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 O6 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 O6 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 (LHS) deficiency where construction costs are less than \$1.5M.
 - a. LHS projects are intended solely for an urgent requirement whose sudden emergency could not have been anticipated and the requirement poses so immediate a threat to life, health, or safety of personnel that the correction cannot wait until the next MILCON appropriation cycle. Reference ARCENT memorandum "Delegation of Authority – Maintenance, Repair and Construction Projects and Relocatable Buildings."
 - b. LHS projects must meet the following criteria:
 1. Requirement did not exist during the previous fiscal year
 2. Deferral is unacceptable.
 3. There are no work-arounds to mitigate risks.

4. Deficiency cannot be otherwise corrected.
 5. Primary purpose is to correct an immediate threat to life, health, or safety.
- c. Units are strongly encouraged to consult with their servicing judge advocate before relying on the LHS exception in construction planning. Use of the LHS exception also requires general officer approval.
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: 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 equal to or greater than \$100K for 06 Separate Commands and \$250K USDs.
 3. Reference Appendix 2 to Annex I of the USF-I OPORD 10-1.3 for information relating to land leases.

H. J8

1. Act together with J6 and J7 as the USF-I staff lead and administrator of JFARB policies and procedures.
2. Secretary of validation board; presents requirements to the USF-I DCoS. Act together with J6 and J7 as an USF-I staff lead and administrator of JFARB policies and procedures.

3. Provide a field grade officer to review JFARB packages and serve as a voting JFARB member. Voting members must be prepared to review requirements from both a functional perspective, as well as provide the DCoS an overall recommendation based on well-reasoned military judgment.
4. Provide an AO to serve as the coordinator for Services (CJ) related packages.
5. Support the administration of the JFARB; accepting, processing, recording DCoS decisions and disseminating the results of the JFARB process to stakeholders.
6. 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.
7. 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 O6 or above Separate Commands.
 - b. LOGCAP services (except construction/repair and generators) equal to or greater than \$250K for MSCs; \$100K or more for O6 or above Separate Commands.
 - c. MWR items and service contracts equal to, or greater than \$250K for MSCs; \$100K or more for O6 or above Separate Commands.
 - d. Service contracts equal to or greater than \$250K for MSCs; \$100K or more for O6 or above Separate Commands.
 - e. Leased equipment (MHE, Reefers, etc) equal to or greater than \$250K for MSCs; \$100K or more for O6 or above Separate Commands.
 - f. All non-tactical vehicles (NTVs) or utility vehicle requests, including Gators and Polaris. Units must contact USF-I J4 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 USF-I J4 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 O6 or above Separate Commands.
 - h. Renewal of existing generator leases.

I. **SJA**

1. Provide a Judge Advocate to the JFARB to serve as a non-voting member who will review proposed requirements from a legal, fiscal, and business perspective.

J. **JCC-I/A**

1. Provide a KO to serve as a functional expert to review acquisition packages (PWS and COR nomination packages) for completeness and thoroughness from an overall contract award perspective.

4. **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:**

Each requirement is unique and will require a combination of documents in order to develop a viable JFARB package. However, when practical, requirement owners should use existing documentation wherever possible to avoid additional effort. For example, the Performance Work Statement required as part of the JFARB package will be the same as the PWS provided to the project execution agency. **All documents must be legible.**

- A. The JFARB package must be submitted in the following order and include the following documentation (the order of documentation can also be seen on the JFARB Checklist- Attachment 5, and optional documents are annotated with an asterisk below:
 1. * **O6, O6 equivalent or above Letter of Endorsement.** This endorsement can be signed by any O6, O6 equivalent or above. If the Letter of Justification is signed by an O6 equivalent or above a separate Letter of Endorsement is not required.

2. **Letter of Justification.** The letter should be submitted in the format provided in Attachment 6 and include the contents identified in Attachment 11. The LOJ should state if the package supports RDoF and briefly justify why, the LOJ will also include a minimum three (3) viable Courses of Action (COAs). Further, it should explain how adaptable the contract is to provide the government the ability to de-scope as the U.S. presence is reduced. Additionally, it should explain who will perform the work. Labor should be utilized in the following order of priority: troop labor, host nation support, local contracting, and last, LOGCAP/AFCAP. Finally, the Letter of Justification should identify how the requirement holder plans on funding the requirement. This will require coordination with the unit G8 or Resource Manager. If this requirement has not already been added to your spend plan, you **MUST** contact your Resource Manager to have it added. Regardless of whether or not the validation is approved, if the requirement is not on your spend plan, it will not compete for funding, and therefore will not be funded. The final paragraph must delineate whether or not the requirement is associated with RDoF, and if so, what the APC code is (the RM or G8 will provide the APC code) There are two types of RDoF funding, listed below:

- a. Drawdown: Directly supports base closures. These are actions on the objective that are necessary to turn an installation over to the GOI.
- b. Realignment: Requirements that are a result of turning bases over to the GOI. These are actions necessary as a result of the above projects. This includes moving equipment/personnel from a closing installation to a new location to re-establishing operations.

3. **Course of Action and Risk Analysis worksheet or Commanders Toolbox for Security Contracts.** The most important characteristic of a Course of Action is that it must be viable. Do not propose COAs that you are not prepared to execute. Do not propose unacceptable COAs in order to force the DCoS to select your recommended COA.

- a. The COAs should be based on providing multiple options based on theater guidance for a responsible drawdown of forces such as a 5% per quarter reduction of contractors. Additionally, other methods such as full funding, 10% reduction, 20% reduction and so on should be utilized to give the DCoS an opportunity to make the best decision for both operational needs and fiscal responsibility.
- b. When providing COAs for options on existing contracts, consult with your Contraction Officer Representative and Contracting Officer to determine viable courses of action and impacts to existing contracts.
- c. As part of RDoF, COAs need to account for the reduction in population and use of facilities and infrastructure over time. For example, if an

installation required \$10M a year for road maintenance when there were 10,000 people occupying the entire COB, then when the COB draws down to 5,000 people over the year, there will be an appropriate shrinkage of the COB that will allow for installations and infrastructure to not be maintained, thus resulting in perhaps a \$7M requirement. The analysis needed to substantiate the \$7M requirement will need to address the population, facilities and infrastructure over time.

- d. See Attachment 8 for instructions on COA and Risk Analysis worksheet and ensure the COAs include the contents identified in Attachment 11. For Base Security Contracts, contact the J8 for the latest version of the Commanders Toolbox before submitting your JFARB request.
4. **Funding document.** For OMA Projects, use a PR&C (DA Form 3953) or MIPR (DD Form 448) as appropriate. In order to expedite the approval and funding of your requirement, use the digital PR&Cs located on the NIPRnet at <http://corps.intranet.iraq.centcom.mil/sites/staff/c8/rmdiiis/pages/default.aspx>. When submitting your JFARB package on the SIPRnet, send the corresponding PR&C on the NIPRnet with digital signatures in Blocks 28 & 32. Do not send a scanned image of the PR&C. Send the Adobe Acrobat document with the embedded digital signatures.
- a. **PR&C (DA Form 3953).** Signature authority for all JFARB requirements is the USF-I DCoS. PR&C should have a breakdown of major construction costs. Signature block for PR&C (Block 34):

(Deputy Chief of Staff's Name)
(Rank), USA
Deputy Chief of Staff
 - b. **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/J8 comptroller. Leave DD Form 448 block 15 (authorizing officer) blank.
 - c. *** 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

5. **Theater Provided Equipment (TPE) Memorandum.** TPE memos are required for all requirements except leases and service contracts unless the contract will result in the acquisition of equipment by the US government. Even if a TPE memo is not required, the Theater Property Book Office still provides the document requisition number required for a PR&C.
6. **Cost Estimate.** Either an Independent Government Cost Estimate (IGCE) as shown in Attachment 9 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. LOGCAP projects.
 2. 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.
 - d. Requirements greater than \$10M or an increase to a current SCARB packages must fill out the IGCE checklist (Attachment 9).
7. **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.
8. ***Determination and Finding (D&F).** A D&F is required if the requirement owner (the requiring agency) needs supplies or services and obtains them from another agency (the servicing agency). If payment is by means of a MIPR, then a D&F is required. All requirements must comply with the DoD Financial Management Regulation, Volume 11A, Chapter 3, dated February

2008. Reference Paragraph 030102.A. and the Federal Acquisition Regulation, Subpart 17.5 – Interagency Acquisitions Under the Economy Act. See Attachment 12 for a D&F example.

9. ***Letter of Lateness.** The letter should be submitted in the format provided in Attachment 7 if the JFARB requirement package is not submitted 90 days prior to the anticipated beginning of the Period of Performance or 90 days prior to when funding is required for execution of the contract, whichever is earlier.
10. *** Services Contract Approval (SCA) Form.** The Department of the Army levied a requirement for all “Services” related contracts to include an SCA, regardless of dollar amount. The requirement for the SCA applies to all Service requirements. The form needs to be provided to your JCC-I representative during the PWS generation and included in you final JFARB submission. The SCA form should be submitted in the format provided in Attachment 10.
11. **Scope/Performance Work Statement (PWS).** The PWS shall clearly describe the work and quality requirements of the deliverables. JCC-I/A must review acquisition packages (PWSs and COR nominations) for completeness prior to the packages’ submission to the JFARB. The PWS 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 PWS 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 PWS shall not be submitted for MILCON projects, as that is part of the DD Form 1391 data. **The PWS 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

12. *** Sole Source Justification.** If required, must be approved by local contracting office prior to submission of the JFARB package.
13. *** 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.
14. * **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.
15. * **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.
16. * **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.
17. * **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.
18. * **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 O6 signed memo, coordinated through USF-I J4, must be submitted stating that no other RLBs or CHUs are available for cross-leveling within theater.
19. **Contract Officer (KO) Review Memorandum (JCC-I/A serviced contracts only).**
- a. Must state the KO has reviewed the PWS for completeness and thoroughness from an overall contract award perspective. Final approval for the PWS 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.

- c. Considering the overall length of time from when a requirement is identified until the requirement is validated (~90-120 days), the COR nominated may not be the same COR when the contract is awarded. Therefore, a contract should not be awarded without a COR nomination (as applicable) or re-validation of COR nominee.

20. 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 USF-I JFARB Cell at DSN 485-5226/2386/6126 or via SIPRNET with the J8 JFARB POCs identified on the J8 Portal.

<http://j8.forces.intranet.s-iraq.centcom.smil.mil/sites/jfarb/Pages/Default.aspx>

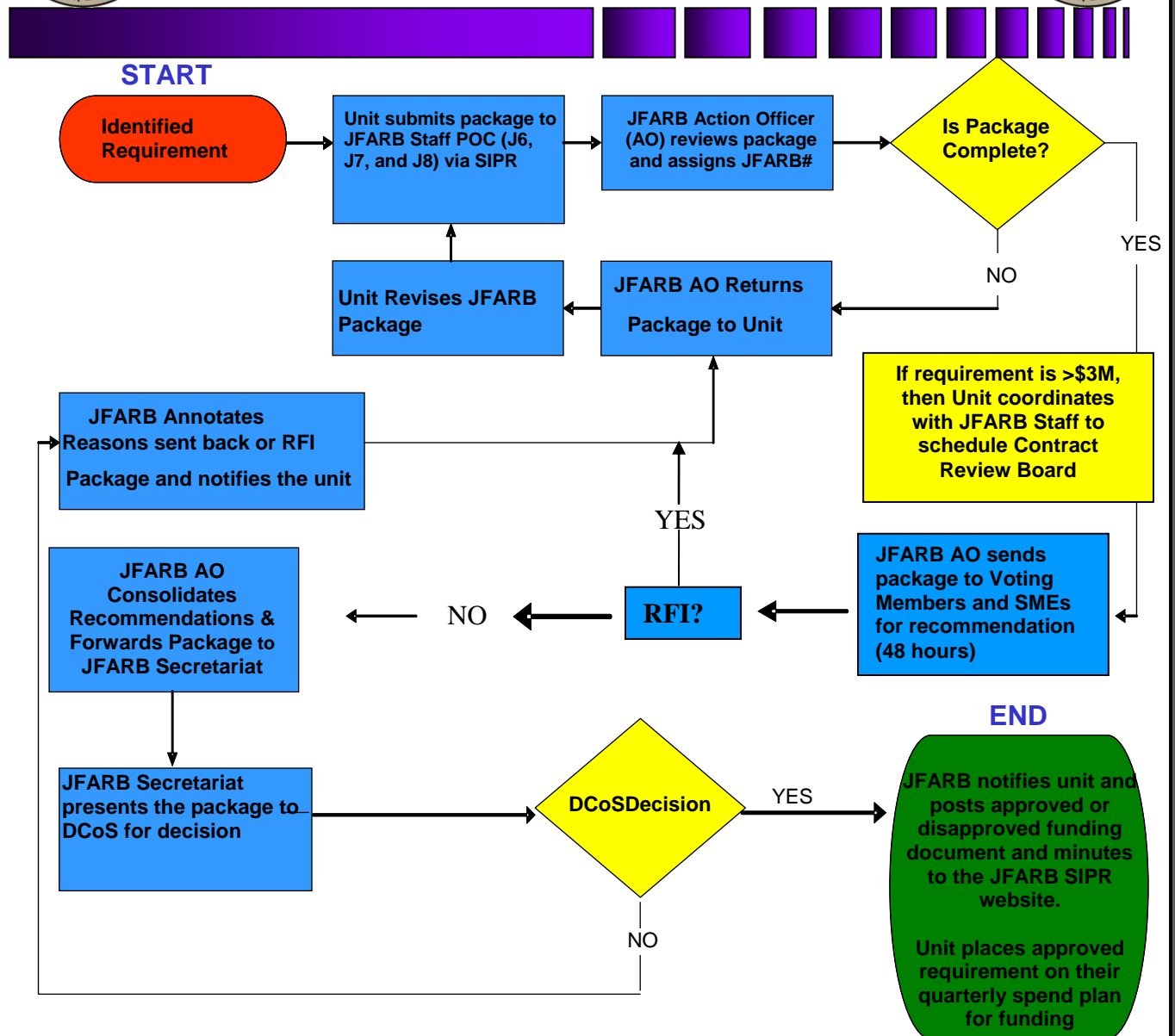
7. ATTACHMENTS:

1. USF-I JFARB Flow Chart
2. NTV/Material Handling Equipment Leases
3. Theater Provided Equipment Memo
4. Generator Purchase Memo
5. JFARB Checklist
6. Letter of Justification
7. Letter of Lateness Example
8. Instructions to identify Courses of Action and Conduct Risk Assessment.
9. IGCE Checklist
10. Service Contract Approval
11. Letter of Justification, and COA Checklist
12. Example Determination & Finding for Interagency Acquisitions Under the Economy Act

Attachment 1



USF - I JFARB FLOW



Attachment 2

SAMPLE FOR NTV/ MATERIAL HANDLING EQUIPMENT LEASES

MEMORANDUM FOR Deputy Chief of Staff, United States Forces -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 (**[\$XXXXXX 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 **[\$XXXXXX 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 **[\$XXXXXX 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 to conditions 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 **[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 3



DEPARTMENT OF THE ARMY
ARMY FIELD SUPPORT Battalion – Logistics
CAMP ANACONDA
APO AE 09391

AFSB-IZL-TPE

Date: _____

MEMORANDUM FOR Deputy Chief of Staff, United States Forces-Iraq, Camp Victory, Iraq

SUBJECT: Acknowledgement of Theater Provided Equipment/Services Status

1. REFERENCE. Money As A Weapon System USF-I J8 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 Cesar Berrios-Maysonet at cesar.berrios@iraq.centcom.mil 312-987-0567, ext. 6537 or Mr D.W. Rutherford at rutherfordd@mmcs.army.mil 312-987-0567, ext. 6574. (Theater Property Book POC subject to change per redeployment)

CESAR BERRIOS-MAYSONET
FORM 1687
CW4, QM
Theatre Property Book Officer

UNIT REPRESENTATIVE ON DA

Attachment 4

SAMPLE FOR GENERATOR PURCHASES

MEMORANDUM FOR Deputy Chief of Staff, United States Forces-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 5

JFARB CHECKLIST 5A

COMMUNICATIONS or IT EQUIPMENT CONTRACTS

(This applies to all contracts where computers, laptops, televisions, radios, fixed or portable communications gear and computer hardware and software. IT/Communications contracts typically do not have contractors associated with them.)

Yes/ NA	List of Required Documents (Please submit in order on Checklist)
	Letter of Endorsement (LoE) (signed by an O6 or above, only if LoJ is not signed by an O6)
	Letter of Justification (LoJ) (to include RDoF statement, APC Codes, Funding Statement and COA summary)
	Course of Action Analysis Slide (COA) (Minimum of 3 COAs Using CENTCOM Risk Definitions)
	Funding Document (PR&C*, MIPR, LOGCAP or 1391)
	Theater Property Equipment Memo (TPE Memo) (only required if PR&C is used)
	Independent Government Cost Estimate- must be detailed enough to explain costs
	Vendor Quotes (purchases, bidding to multiple companies- minimum 3)
	Legal Review (separate review required by units subordinate to USF-I)
	Letter of Lateness (must be signed by an O6 or above if JFARB package is not submitted 90 days prior to the funding need date)
Yes/ NA	List of Other Documents Required based on type of Requirement
	Determination & Finding if supplies or services are obtained from an agency other than the requesting agency. Seek JCC-I and SJA assistance in developing the D&F.
	Sole Source Justification (if a contract is not going out for bidding, also if a Bridge Contract)
	Purchase vs. Lease Analysis (if leasing equipment)
	G6/S6 Endorsement

JFARB CHECKLIST 5B

CONSTRUCTION CONTRACTS

(This applies to all contracts where power generation, purchase of generators, building materials or construction is involved. Construction contracts can have contractors associated with them.)

Yes/NA	List of Required Documents (Please submit in order on Checklist)
	Letter of Endorsement (LoE) (signed by an O6 or above, only if LoJ is not signed by an O6)
	Letter of Justification (LoJ) (to include RDoF statement, APC Codes, Funding Statement and COA summary)
	Course of Action Analysis Slide (COA) (Minimum of 3 COAs Using CENTCOM Risk Definitions)
	Funding Document (PR&C*, MIPR, LOGCAP or 1391)
	Theater Property Equipment Memo (TPE Memo) (only required if PR&C is used)
	Independent Government Cost Estimate- must be detailed enough to explain costs
	Legal Review (separate review required by units subordinate to USF-I)
	Letter of Lateness (must be signed by an O6 or above if JFARB package is not submitted 90 days prior to the funding need date)
	Statement of Work or Performance Work Statement
Yes/NA	List of Other Documents Required based on type of Requirement
	Determination & Finding if supplies or services are obtained from an agency other than the requesting agency. Seek JCC-I and SJA assistance in developing the D&F.
	Vendor Quotes (if applicable- purchases, bidding to multiple companies- minimum 3) required if used as a basis for Cost Estimate, or justification for building material costs
	Sole Source Justification (if a contract is not going out for competitive bid, also required if the requirement is a Bridge Contract)
	Purchase vs. Lease Analysis (if leasing equipment)
	Service Contract Approval Checklist (if JCC-I contractors will be associated with the requested work) [with DCoS (or other General Officer) signature]
	Base Camp Mayor Endorsement
	Environmental Compliance Memo (may be included as part of Base Camp Mayer Endorsement)
	Location Plan including Any Related Projects
	Exception to Policy Memo signed by an O6 justifying deviation from Sand Book Standard (if applicable)
	Troop Labor Justification Memo signed by Unit Commander providing Troops (if applicable)
	Overhead Cover Design Certification
	Generator Purchase Memo (See attachment 4)
	Site Prep or Demo Included in the Project?
	Are AT/FP Requirements Addressed?
	Are there sufficient utilities on site?

JFARB CHECKLIST 5C SERVICE CONTRACTS

(This applies to all contracts where a service is provided- installation, O&M, warranty work, and/or if a contractor or multiple contractors are associated with the contract.)

Yes/ NA	List of Required Documents (Please submit in order on Checklist)
	Letter of Endorsement (LoE) (signed by an O6 or above, only if LoJ is not signed by an O6)
	Letter of Justification (LoJ) (to include RDoF statement, APC Codes, Funding Statement and COA summary)
	Course of Action Analysis Slide (COA) (Minimum of 3 COAs Using CENTCOM Risk Definitions)
	Funding Document* (PR&C, MIPR, LOGCAP or 1391)
	Theater Property Equipment Memo (TPE Memo) (only required if PR&C is used)
	Independent Government Cost Estimate- must be detailed enough to explain costs
	Legal Review (separate review required by units subordinate to USF-I)
	Letter of Lateness (must be signed by an O6 or above if JFARB package is not submitted 90 days prior to the funding need date)
	Service Contract Approval Checklist [with DCoS (or other General Officer) signature]
	Statement of Work or Performance Work Statement
Yes/ NA	List of Other Documents Required based on type of Requirement
	Determination & Finding if supplies or services are obtained from an agency other than the requesting agency. Seek JCC-I and SJA assistance in developing the D&F.
	Vendor Quotes (if applicable- purchases, bidding to multiple companies- minimum 3) required if used as a basis for Cost Estimate
	Sole Source Justification (if a contract is not going out for competitive bid, also required if the requirement is a Bridge Contract)
	Purchase vs. Lease Analysis (if leasing equipment)
	LOGCAP PPE (LOGCAP Contracts only)

* PR&C - Only USF-I Deputy 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).

NOTE: The six day staffing timeline does not begin until the package is 100% complete.

Attachment 6

OFFICE SYMBOL

DATE

MEMORANDUM FOR

SUBJECT: LETTER OF JUSTIFICATION FOR ...

1. DEFINE REQUIREMENT:

a. PURPOSE:

- i. SPECIFY IF REQUEST IS DUE TO RESPONSIBLE DRAWDOWN OF FORCES (RDOF), AND BRIEFLY JUSTIFY WHY.

b. REGULATIONS:

c. OPERATIONAL NEED:

d. LOCATION/INSTALLATION:

- i. ESTIMATED CLOSURE DATE OF INSTALLATION:

e. QUANTITY OR AMOUNT REQUIRED:

2. EXISTING RESOURCES AVAILABLE:

a. EQUIPMENT TO CROSSLEVEL:

b. LOCAL SUPPORT AVAILABLE:

c. DISTRIBUTION PLAN:

d. OPERATIONS AND MAINTENANCE INCLUDED:

e. ADDITIONAL FOLLOW-ON REQUIREMENTS:

3. STANDARDS:

a. WAIVERS REQUESTED:

b. SAND BOOK:

4. INFORMATION FOR **CURRENT** CONTRACT/PERIOD OF PERFORMANCE:

- a. CONTRACT NUMBER; CONTRACT START AND END DATES; COST OF TOTAL (MULTI-YEAR) CONTRACT:
 - b. JFARB NUMBER AND PERIOD OF PERFORMANCE START AND END DATES: COST OF CURRENT POP:
 - c. NUMBER OF CONTRACTORS (BREAKOUT BY US, TCN, LN):
5. INFORMATION FOR **REQUESTED** PERIOD OF PERFORMANCE:
- a. PERIOD OF PERFORMANCE START AND END DATES (CAN NOT EXCEED 12 MONTHS); POP ESTIMATED COST:
 - b. NUMBER OF CONTRACTORS (BREAKOUT BY US, TCN, LN):
 - c. DATE VALIDATION APPROVAL IS REQUIRED (SUBMIT REQUEST TO USF-I J8 REQUIREMENT VALIDATION OFFICE NLT 90 DAYS PRIOR TO THIS DATE).
 - d. FOR REQUIREMENTS WITH CONSTRUCTION AND/OR REPAIR WORK; ESTIMATED CONSTRUCTION START DATE: ESTIMATED CONSTRUCTION PERIOD OF PERFORMANCE:
6. COURSES OF ACTION (NOTE: MINIMUM OF 3 COAS REQUIRED):
- a. SUMMARIZE THE COURSES OF ACTION YOU EVALUATED AND THE RISKS ASSOCIATED WITH EACH OF THEM. ATTACH YOUR COMPLETED COURSE OF ACTION AND RISK ASSESSMENT MATRIX TO JUSTIFY YOUR CONCLUSIONS.
 - i. SUMMARIZE THE COURSES OF ACTION EVALUATED, AND THEIR ASSOCIATED INDEPENDENT GOVERNMENT COST ESTIMATES (IGCE):
 - ii. EXPLAIN YOUR RECOMMENDED COURSE OF ACTION:
 - iii. IMPACT TO THE ASSIGNED MISSION IF NOT FUNDED:
 - b. DATE THIS REQUEST BRIEFED TO THE USF-I DCOS:
7. POINT OF CONTACT INFORMATION:
- a. ACTION OFFICER:
 - b. CONTRACTING OFFICER'S REPRESENTATIVE (COR):
 - c. CONTRACTING OFFICER:

8. FUNDING STRATEGY

- a. This requirement has been submitted to USF-I J8 Budget Execution (BE) via the Spend Plan: (check one)
- _____ Yes. Go to Step B.
- _____ No. This requirement will be reflected on next quarter's spend plan submission. Furthermore, requirement owner understands that no funding will be received during this quarter for the requirement. Go to Step B.
- _____ No. However, we would like for this requirement to compete for funding this quarter if validated. Stop here. Do not proceed until the requirement has been submitted to BE via the Spend Plan Out of Cycle process.
- b. If approved, (*requirement holder- i.e. USF-I J3, USD-N, 13th ESC, etc.*) will (*Choose One:*) prioritize and fund out of current quarter's FYXX spend plan allocation (*OR*) prioritize and fund out of next quarter's FYXX spend plan submission.
- c. (*Identify if this package supports a responsible draw down using one of the following three statements. If a drawdown or realignment cost, include APC Code. APC Code can be obtained by calling G8 or RM.- choose one*) Request directly supports a responsible draw down as a "drawdown" cost,(APC Code Here); Request directly supports a responsible draw down as a base "realignment" cost,(APC Code Here); Request does not result in responsible draw down cost.

SIGNATURE BLOCK

UNCLASSIFIED//FOUO

Attachment 7 Letter of Lateness Example



DEPARTMENT OF THE ARMY
HEADQUARTERS, 3RD STRYKER BRIGADE COMBAT TEAM
2ND INFANTRY DIVISION
FOB WARHORSE, DIYALA, IRAQ
APO AE 09336



AFZH-IN

20 December 2009

MEMORANDUM THRU

G4, United States Division - North, COB Speicher, APO AE 09393
Chief of Staff, United States Division - North, COB Speicher, APO AE 09393

FOR Chief of Staff, United States Forces – Iraq, Camp Victory, APO AE 09342

SUBJECT: Letter of Lateness for FOB Cruz-Morris Life Support Services Contract

1. The period of performance for the contract which provides basic life support services at FOB Cruz-Morris will end on 27 December 2009. In order to exercise the option period on the contract and secure funding for the continuation of these services through 27 September 2010, a contract request packet has been submitted through the appropriate requisition channels. However, the fact that the period of performance was ending within 90 days was brought to the attention of the requirement owner extremely late due to a lack of communication between the Contracting Officer and the Contracting Officer Representative. Since the issue came to light, every effort has been made to expedite the funding of this contract extension through all approval levels.
2. All active contracts will be reviewed by the BDE Comptroller's office every thirty days to evaluate the need to renew contracts in the appropriate time frame in order to prevent this from happening again.
3. Point of contact for this action is CPT Rodrico Vargas, 3-2 SBCT Comptroller at rodrico.vargas@sbct1.army.mil or DSN (318) 849-0625.

DAVID E. FUNK
COL, IN
Commanding

UNCLASSIFIED//FOUO

J-1-32

Attachment 8

INSTRUCTIONS TO IDENTIFY COURSES OF ACTION
AND CONDUCT RISK ASSESSMENT

1. Identify Courses of Action (COAs) that permit you to complete the mission at a higher (but still acceptable and executable) level of risk, in order to reduce personnel and resources.
2. Follow these steps to develop COAs and conduct risk assessment in order to right-size your contract and cut costs.
 - a. Assess your mission to determine wants vs needs, IOT identify feasible COAs.
 - b. Conduct a detailed risk analysis of each COA; quantify the risk of the COA to executing the mission. Explain how you would mitigate the risks to keep them to an acceptable level.
 - c. Include IGE's that account for real AOR costs associated with each COA.
 - d. When applicable, explicitly define the number of personnel required for each COA and factor in the directed 5% contractor reduction per quarter.
 - e. If a COA is due to RDoF, state why, with a brief explanation.
 - f. Use standard CENTCOM risk definitions (below) and terminology throughout your briefing.
 - g. The current DCoS guidance is to use a 10% reduction per COA and to explain the impact to the mission or identify the necessary change to the requirement.

LOW

Success is assured with planned timelines and resources; will achieve desired endstate. Unanticipated requirements are easily managed and have minimal impact.

MODERATE

Success is very likely, but may require extended timelines or additional resources. Unanticipated requirements may require adjustments to plans.

SIGNIFICANT

Success is likely, but may require major timeline adjustment. **Execution will require additional resources.** Some significant resource/ capability shortfalls exist. Unanticipated requirements will necessitate significant adjustments to plans.

HIGH

Success will require extraordinary measures and critical timeline adjustments. **May not achieve desired endstate. Execution will require substantial resources from other plans or missions.** Some resources/ capabilities will be severely deficient or absent altogether. Unable to manage unanticipated requirements.

**EXTREMELY
HIGH**

Success doubtful. Questionable ability to achieve desired endstate. Execution will require substantial resources which are not available to the commander. **Resources / capabilities are severely deficient or absent altogether.** Unable to manage all anticipated requirements.

Source: CENTCOM Risk Assessment (CCJ3 Force Management)

COURSE OF ACTION AND RISK ASSESSMENT MATRIX

UNCLASSIFIED//FOUO

LOW (COA 1)	MODERATE (COA 2) ** Recommendation	SIGNIFICANT (COA 3)	HIGH (COA 4)	EXTREMELY HIGH (COA 5)
<ul style="list-style-type: none"> • IGE: \$100M • Reallocation of military and LOGCAP TTM in USD-S • Enables ESC to meet RDOF requirements • Flexibility for Green & TTM Assets to move CL VII • US military decreases presence in cities & moves sustainment & retrograde • Builds civil capacity for Iraq • Provides USD with alt trans capability to conduct base closures. • BLUF: Current delta b/w reqts & caps will grow due to excess remaining in country. Without the use of ITCs and ITN, the US MIL will be unable to complete removal of excess & retrograde by DEC 10. • Assumes small risk 	<ul style="list-style-type: none"> • IGE: \$90M • 287SB ITC Contract downsized to 120 flatbeds and five HETS • ESC relies upon theater heavy lift cap for retrograde from non-hub sites • Provides flexibility to use Green and TTM assets to move CL VII • Enables ESC to meet RDOF requirements. • US military decreases presence in cities and meets sustainment requirements. • Builds civil capacity for Iraq • Provides USDs with alternative trans. Capability to conduct base closures. • BLUF: Without heavy lift assets in ITC Contract, heavy lift requirements must be met by theater assets. 	<ul style="list-style-type: none"> • IGE: \$80M • 10 SB ITC Contract downsized to 15 flatbeds and 2 tankers. • 287SB ITC Contract downsized to 120 flatbeds and five HETS • IOT meet reduced cap TTM & mil utilization would incr by 37% in USD-C. • Does not permit US MIL to decrease presence & meet sust. requirements • Decreases US mil ability to provide support to Iraqi Natl elections • USDs forced to move towards independent contracts for base closures. • BLUF: Sust. in & around Baghdad supported by US MIL. 	<ul style="list-style-type: none"> • IGE: \$70M • 287SB ITC Contract downsized to 25 flatbeds & 5 HETS • Does not meet USF-I CDRs civil capacity LOO • US MIL unable to decrease presence in cities • TTM and Mil assets required for all USD-S sust • Reduced cap requires TTM & US MIL use to incr by 60%. • Max capacity of theater assets. • Units forced to self-deploy • Smaller mvmt windows implies longer redeployment timelines. • BLUF: Sustainment and retrograde missions in USD-S supported by Green and TTM assets. Theater assets max capacity is 1600 trucks. 	<ul style="list-style-type: none"> • IGE: \$50M • 287SB ITC Contract downsized to 25 flatbeds & 5 HETS • Does not meet USF-I CDRs civil capacity LOO • US MIL unable to decrease presence in cities • TTM and Mil assets required for all USD-S sust • Reduced cap requires TTM & US MIL use to incr by 60%. • Max capacity of theater assets. • Units forced to self-deploy • Smaller mvmt windows implies longer redeployment timelines. • BLUF: Sustainment and retrograde missions in USD-S supported by Green and TTM assets. Theater assets max capacity is 1600 trucks.

**** Provided as an example, place "Recommendation" under your desired COA.**

Attachment 9

Yes or N/A	Independent Government Cost Estimate Checklist
	Total value clearly identified?
	Dollar value displayed in a excell spread sheet?
	Are all values in US Dollars?
	Life Cycle Cost
	* Start Up?
	* Reconstitution?
	* Potential termination cost?
	Incremental life cycle cost
	* Administration cost?
	* Control the contract and controctor cost?
	* Ordering?
	* Shipping?
	* Receiving?
	* Stocking?
	* Accouting for additional inventory?
	Personnel
	* Labor rate - hourly rate?
	* Location - country?
	* Post differntial pay - based on country?
	* Danger pay - based on country?
	* Hours - How many hour of work in the period of performance?
	* Defense Base Act Insurance?
	Travel
	* Airfare?
	* Per Diem?
	* Rental Car?
	* Trip Length?
	* Location?
	* R & R trips?
	* CRC?
	Deployment Support Elements
	* Housing - monthly cost?

UNCLASSIFIED//FOUO

	* Vehicle lease - monthly cost?
	* Fuel - monthly cost?
	* Phone - monthly cost?
	* Meals allowance - 30 days full rate?
	* Meals allowance - proportional rate?
	* Management Support Company - Visa's?
	* Internet Access
	Equipment/Other
	* Any equipment required by the proposed contract?
	* Mobilization cost defined in detail?
	* Dem-Mobilization costs defined in detail?
	* Contract TDY costs?

Attachment 10

Print Form

REQUEST FOR SERVICES CONTRACT APPROVAL

A	Name of HQDA Principal, Army Command, Army Service Component Command or Direct Reporting Unit Organization:
B	Unit Identification Code (UIC):
C	Project Name for Contract:
D	Contract Number / Task Order / Delivery Order Number:
E	Contract Manpower Equivalents and Cost:
F	Justification for Contract (attach worksheets A, B, C, and D):
G	<p>HQDA Principal, Army Command, Army Service Component Command, or Direct Reporting Unit Decision.</p> <p>_____ I approve and certify that:</p> <ol style="list-style-type: none"> 1) this requirement does not include inherently governmental functions; 2) this requirement does not include unauthorized personal services either in the way the work statement is written or in the way the contract operates; 3) in the case of work closely associated with inherently governmental functions, or non-competitive contracts, special consideration has been given to using federal government employees; 4) this contract (circle all that apply): <ol style="list-style-type: none"> a) has been reported in the Contract Manpower Reporting Application (CMRA); b) has not been reported in CMRA, an explanation is enclosed; c) the CMRA reporting requirement has been included in the work statement for this new requirement; 5) the requirement has been validated: for example, the requirement has been documented, it has an approved concept plan, a manpower survey has been done, or has been validated by other accepted techniques; 6) sufficiently trained and experienced officials are available within the agency to manage and oversee the contract administration function. <p>_____ Disapprove</p> <p>_____ Name, Rank, Position and Date: [Printed]</p> <p>Signature: _____</p>
H	<p>Worksheets Prepared by: _____ Date: _____</p> <p>Signature: _____</p>

Worksheet A (1 of 3) - INHERENTLY GOVERNMENTAL

(This worksheet must be included as part of the Services Contract Approval Form when contracting a function is being contemplated or before exercising an option.)

The following functions constitute inherently governmental functions and may not legally be contracted. (See the FAIR Act (31 United States Code Section 501), the Federal Acquisition Regulation (FAR) Part 7.5), and Department of Defense Instruction (DoDI) 1100.22, Guidance for Determining Workforce Mix.

If the services to be contracted involve any of the following, then the function must be performed in-house by federal government employees.

INHERENTLY GOVERNMENTAL		YES	NO
Answer "YES" or "NO" to the functions below that apply based on the work statement or the way the contract is performed. Any "YES" response to a function below must be performed in-house and cannot be contracted.			
Does the function:			
1	Involve contractors providing legal advice and interpretations of regulations and statutes to Government officials?	<input type="checkbox"/>	<input type="checkbox"/>
2	Involve the direct conduct of criminal investigations?	<input type="checkbox"/>	<input type="checkbox"/>
3	Involve the control of prosecutions and performance of adjudicatory functions other than those relating to arbitration or other methods of alternative dispute resolution?	<input type="checkbox"/>	<input type="checkbox"/>
4	Involve the command of military forces, especially the leadership of military personnel who are members of the combat, combat support, or combat service support role?	<input type="checkbox"/>	<input type="checkbox"/>
5	Involve the conduct of foreign relations and the determination of foreign policy?	<input type="checkbox"/>	<input type="checkbox"/>
6	Involve the determination of agency policy, such as determining the content and application of regulations, among other things?	<input type="checkbox"/>	<input type="checkbox"/>
7	Involve the determination of Federal program priorities for budget requests?	<input type="checkbox"/>	<input type="checkbox"/>
8	Involve the direction and control of Federal employees?	<input type="checkbox"/>	<input type="checkbox"/>
9	Involve the direction and control of intelligence and counter-intelligence operations?	<input type="checkbox"/>	<input type="checkbox"/>
10	Involve the selection or non-selection of individuals for Federal Government employment, including the interviewing of individuals for employment?	<input type="checkbox"/>	<input type="checkbox"/>
11	Involve the approval of position descriptions and performance standards for Federal employees?	<input type="checkbox"/>	<input type="checkbox"/>
12	Involve the determination of what Government property is to be disposed of and on what terms (although an agency may give contractors authority to dispose of property at prices within specified ranges and subject to other reasonable conditions deemed appropriate by the agency)?	<input type="checkbox"/>	<input type="checkbox"/>
13	Involve:		
	i) Determining what supplies or services are to be acquired by the Government (although an agency may give contractors authority to acquire supplies at prices within specified ranges and subject to other reasonable conditions deemed appropriate by the agency);	<input type="checkbox"/>	<input type="checkbox"/>

Worksheet A (2 of 3) - INHERENTLY GOVERNMENTAL

(This worksheet must be included as part of the Services Contract Approval Form when contracting a function is being contemplated or before exercising an option.)

INHERENTLY GOVERNMENTAL		YES	NO
Answer "YES" or "NO" to the functions below that apply based on the work statement or the way the contract is performed. Any "YES" response to a function below must be performed in-house and cannot be contracted.			
Does the function:			
	ii) Participating as a voting member on any source selection boards;	<input type="checkbox"/>	<input type="checkbox"/>
	iii) Approving any contractual documents, to include documents defining requirements, incentive plans, and evaluation criteria;	<input type="checkbox"/>	<input type="checkbox"/>
	iv) Awarding contracts;	<input type="checkbox"/>	<input type="checkbox"/>
	v) Administering contracts (including ordering changes in contract performance or contract quantities, taking action based on evaluations of contractor performance, and accepting or rejecting contractor products or services);	<input type="checkbox"/>	<input type="checkbox"/>
	vi) Terminating contracts;	<input type="checkbox"/>	<input type="checkbox"/>
	vii) Determining whether contract costs are reasonable, allocable, and allowable; and	<input type="checkbox"/>	<input type="checkbox"/>
	viii) Participating as a voting member on performance evaluation boards.	<input type="checkbox"/>	<input type="checkbox"/>
14	Involve the approval of agency responses to Freedom of Information Act requests (other than routine responses that, because of statute, regulation, or agency policy, do not require the exercise of judgment in determining whether documents are to be released or withheld), and the approval of agency response to the administrative appeals of denials of Freedom of Information Act requests?	<input type="checkbox"/>	<input type="checkbox"/>
15	Involve the conduct of administrative hearings to determine the eligibility of any person for a security clearance, or involving actions that affect matters of personal reputation or eligibility to participate in Government programs?	<input type="checkbox"/>	<input type="checkbox"/>
16	Involve the approval of Federal licensing actions and inspections?	<input type="checkbox"/>	<input type="checkbox"/>
17	Involve the determination of budget policy, guidance, and strategy?	<input type="checkbox"/>	<input type="checkbox"/>
18	Involve the collection, control, and disbursement of fees, royalties, duties, fines, taxes, and other public funds, unless authorized by statute, such as 31 U.S.C. 952 (relating to private collection contractors) and 31 U.S.C. 3718 (relating to private attorney collection services), but not including-	<input type="checkbox"/>	<input type="checkbox"/>
	(i) Collection of fees, fines, penalties, costs, or other charges from visitors to or patrons of mess halls, post or base exchange concessions, national parks, and similar entities or activities, or from other persons, where the amount to be collected is easily calculated or predetermined and the funds collected can be easily controlled using standard case management techniques; and	<input type="checkbox"/>	<input type="checkbox"/>
	(ii) Routine voucher and invoice examination.	<input type="checkbox"/>	<input type="checkbox"/>
19	Involve the control of the treasury accounts?	<input type="checkbox"/>	<input type="checkbox"/>
20	Involve the administration of public trusts?	<input type="checkbox"/>	<input type="checkbox"/>
21	Involve the drafting of Congressional testimony, responses to Congressional correspondence, or agency responses to audit reports from the Inspector General, the Government Account Office, or other Federal audit entity?	<input type="checkbox"/>	<input type="checkbox"/>

Worksheet A (3 of 3) - INHERENTLY GOVERNMENTAL

(This worksheet must be included as part of the Services Contract Approval Form when contracting a function is being contemplated or before exercising an option.)

INHERENTLY GOVERNMENTAL		YES	NO
Answer "YES" or "NO" to the functions below that apply based on the work statement or the way the contract is performed. Any "YES" response to a function below must be performed in-house and cannot be contracted.			
Does the function:			
22	Require the exercise of discretion in applying Federal Government Authority?	<input type="checkbox"/>	<input type="checkbox"/>
23	Require the making of value judgements in making decisions for the Federal Government?	<input type="checkbox"/>	<input type="checkbox"/>
24	Require making judgements relating to monetary transactions and entitlements?	<input type="checkbox"/>	<input type="checkbox"/>
25	Involve the interpretation and execution of the laws of the United States so as to bind the US to take or not take some action by contract, policy, regulation, authorization, order or otherwise?	<input type="checkbox"/>	<input type="checkbox"/>
26	Involve the interpretation and execution of the laws of the United States to determine, protect and advance the United States economic, political, territorial, property or other interests by military or diplomatic action, civil or criminal judicial proceedings, contract management or otherwise?	<input type="checkbox"/>	<input type="checkbox"/>
27	Involve the interpretation and execution of the laws of the United States to significantly effect the life, liberty or property of private persons?	<input type="checkbox"/>	<input type="checkbox"/>
28	Involve the interpretation and execution of the laws of the United States to commission, appoint, direct, or control officers or employees of the United States?	<input type="checkbox"/>	<input type="checkbox"/>
28	Involve the interpretation and execution of the laws of the United States to exert ultimate control over the acquisition, use or disposition of the property, real or personal, tangible or intangible, or the United States, including the collection, control or disbursement of appropriated and other Federal funds?	<input type="checkbox"/>	<input type="checkbox"/>

Worksheet B (1 of 2) - CLOSELY ASSOCIATED WITH INHERENTLY GOVERNMENTAL

(This worksheet must be included as part of the Services Contract Approval Form when contracting a function is being contemplated or before exercising an option.)

The following kinds of services (items 1-22) are defined as "closely associated with inherently governmental functions," in 10 U.S.C. 2383(b) (3) and pursuant to 10 U.S.C. 2463, **special consideration** must be given to in-sourcing contracts performing the functions listed below. Special consideration must be given to using government employees in lieu of contractors if the answer is "no" to questions 23, 24 or 25. Pursuant to 10 U.S.C. 2330a(e) we must in-source closely associated with inherently governmental functions "to the maximum extent practicable".

CLOSELY ASSOCIATED WITH INHERENTLY GOVERNMENTAL		YES	NO
Answer "YES" or "NO" to any functions below that apply based on the work statement or the way the contract is performed. (The list below is not comprehensive, as it excludes examples from DoDI 1100.22).			
Does the performance involve:			
1	Services that involve or relate to budget preparation, including workload modeling, fact finding, efficiency studies, and should-cost analyses, etc.	<input type="checkbox"/>	<input type="checkbox"/>
2	Services that involve or relate to reorganization and planning activities.	<input type="checkbox"/>	<input type="checkbox"/>
3	Services that involve or relate to analyses, feasibility studies, and strategy options to be used by agency personnel in developing policy.	<input type="checkbox"/>	<input type="checkbox"/>
4	Services that involve or relate to the development of regulations.	<input type="checkbox"/>	<input type="checkbox"/>
5	Services that involve or relate to the evaluation of another contractor's performance.	<input type="checkbox"/>	<input type="checkbox"/>
6	Services in support of acquisition planning.	<input type="checkbox"/>	<input type="checkbox"/>
7	Contractors providing assistance in contract management (such as where the contractor might influence official evaluations of other contractors).	<input type="checkbox"/>	<input type="checkbox"/>
8	Contractors providing technical evaluation of contract proposals.	<input type="checkbox"/>	<input type="checkbox"/>
9	Contractors providing assistance in the development of statements of work.	<input type="checkbox"/>	<input type="checkbox"/>
10	Contractors providing support in preparing responses to Freedom of Information Act requests.	<input type="checkbox"/>	<input type="checkbox"/>
11	Contractors working in any situation that permits or might permit them to gain access to confidential business information and/or any other sensitive information (other than situations covered by the National Industrial Security Program described in 4.402 (b))	<input type="checkbox"/>	<input type="checkbox"/>
12	Contractors providing information regarding agency policies or regulations, such as attending conferences on behalf of an agency, conducting community relations campaigns, or conducting agency training courses.	<input type="checkbox"/>	<input type="checkbox"/>
13	Contractors participating in any situation where it might be assumed that they are agency employees or representatives.	<input type="checkbox"/>	<input type="checkbox"/>

Worksheet B (2 of 2) - CLOSELY ASSOCIATED WITH INHERENTLY GOVERNMENTAL

(This worksheet must be included as part of the Services Contract Approval Form when contracting a function is being contemplated or before exercising an option.)

CLOSELY ASSOCIATED W/ INHERENTLY GOVERNMENTAL	YES	NO
---	-----	----

Answer "YES" or "NO" to any functions below that apply based on the work statement or the way the contract is performed. (The list below is not comprehensive, as it excludes examples from DoDI 1100.22).

14	Contractors participating as technical advisors to a source selection board or participating as voting or nonvoting members of a source evaluation board.	<input type="checkbox"/>	<input type="checkbox"/>
15	Contractors serving as arbitrators or providing alternative methods of dispute resolution.	<input type="checkbox"/>	<input type="checkbox"/>
16	Contractors constructing buildings or structures intended to be secure from electronic eavesdropping or other penetration by foreign governments.	<input type="checkbox"/>	<input type="checkbox"/>
17	Contractors providing inspection services.	<input type="checkbox"/>	<input type="checkbox"/>
18	Contractors providing special non-law enforcement, security activities that do not directly involve criminal investigations, such as prisoner detention or transport and non-military national security details. However, the direction and control of confinement facilities in areas of operations is inherently governmental.	<input type="checkbox"/>	<input type="checkbox"/>
19	Private security contractor in operational environment overseas.	<input type="checkbox"/>	<input type="checkbox"/>
20	Contract interrogators.	<input type="checkbox"/>	<input type="checkbox"/>
21	Contractor provided combat and security training.	<input type="checkbox"/>	<input type="checkbox"/>
22	Contract logistics support required for weapon systems which deploy with operational units.	<input type="checkbox"/>	<input type="checkbox"/>
23	Is there sufficient organic government expertise to oversee contractor performance of the contract?	<input type="checkbox"/>	<input type="checkbox"/>
24	Are there sufficient control mechanisms and sufficient numbers of military and civilian employees to ensure that contractors are not performing inherently governmental functions?	<input type="checkbox"/>	<input type="checkbox"/>
25	Is there a sufficient number of CORs appointed to ensure oversight of contract performance?	<input type="checkbox"/>	<input type="checkbox"/>

Worksheet C - PERSONAL SERVICES

(This worksheet must be included as part of the Services Contract Approval Form when contracting a function is being contemplated or before exercising an option.)

Pursuant to FAR Part 37.104, a personal services contract is characterized by "the employer-employee relationship it creates between the Government and the contractor's personnel. The Government is normally required to obtain its employees by direct hire under competitive appointment or other procedures required by the Civil Service laws. Obtaining personal services by contract rather than by direct hire under competitive appointment, circumvents those laws unless Congress has specifically authorized acquisition of those services." If the contract, by its written terms or in the way it is actually performed, involves any of the following elements, modify the contract, perform it to avoid creating an employer-employee relationship or in-source: (Adapted from FAR Part 37.104 (d)).

PERSONAL SERVICES		YES	NO
1	The contractor personnel are subject to relatively continuous supervision and control of a governmental officer.	<input type="checkbox"/>	<input type="checkbox"/>
2	Contractor is performing on a government site.	<input type="checkbox"/>	<input type="checkbox"/>
3	Principal tools and equipment are furnished by the government.	<input type="checkbox"/>	<input type="checkbox"/>
4	Services are applied directly to the integral effort of agencies or an organizational subpart in furtherance of assigned function or mission.	<input type="checkbox"/>	<input type="checkbox"/>
5	The need for the service provided can reasonably be expected to last beyond one year.	<input type="checkbox"/>	<input type="checkbox"/>
6	The inherent nature of the service, or the manner in which it is provided, reasonably require (directly or indirectly), Government direction or supervision of contractor employees in order to:		
	a) Adequately protect the government's interest;	<input type="checkbox"/>	<input type="checkbox"/>
	b) Retain control of the function involved; or	<input type="checkbox"/>	<input type="checkbox"/>
	c) Retain full responsibility for the function supported in a duly authorized Federal officer or employee.	<input type="checkbox"/>	<input type="checkbox"/>

Specific statutory authority for personal services is provided in 10 United States Code §129b for:

- experts or consultants where the services cannot be adequately provided by the Department;
 - *In general, the authority to procure personal services for experts and consultants pursuant to 10 United States Code §129b requires the approval of the ASA(AL&T) unless the services being acquired are covered by the delegation of authority covered in AFARS Sub Part 5137-104-90-2 (i.e., stenographic reporting, stage, motion picture or television productions or legal services outside the United States). In all cases, additional procedures required by AFARS Part 5137.104-90 must be followed with appropriate approval authority.*
- direct support of a defense intelligence component or counter-intelligence organization of the Department of Defense where the services are urgent or unique and cannot be practically obtained within the Department;
 - *Pursuant to DFARS SubPart 237.104(b)(iii)(A), the Head of a Contracting Activity must provide written approval.*
- direct support of mission of special operations command where the services are urgent or unique and cannot be practically obtained within the Department;
 - *Pursuant to DFARS SubPart 237.104(b)(iii)(A), the Head of a Contracting Activity must provide written approval.*
- services provided by individuals outside the US regardless of their nationality;
 - *Pursuant to DFARS SubPart 237.104(b)(iii)(A), the Head of a Contracting Activity must provide written approval.*
- or 10 United States Code §1091 for carrying out health care responsibilities in medical treatment facilities of the Department of Defense.
 - *DODI 6025.5 limits this exception to health care personnel who participate in clinical patient care and does not include personnel whose duties are primarily administrative or clerical, nor personnel who provide maintenance or security services.*

Worksheet D

(This worksheet must be included as part of the Services Contract Approval Form when contracting a function is being contemplated or before exercising an option.)

		YES	NO
1	Has in-sourcing been considered? Special consideration should be given to civilians in the following situations:	<input type="checkbox"/>	<input type="checkbox"/>
	i) The function was performed by Department of Defense civilian employees since January 1998.		
	ii) The function is closely associated with the performance of an inherently governmental function. (See worksheet B.)		
	iii) The function is performed pursuant to a contract awarded on a non-competitive basis.		
	iv) The contracting officer has determined that the contract has been performed poorly because of excessive costs or inferior quality.		
2	Has the contract been accurately reported in the Contractor Manpower Reporting Application (https://cmra.army.mil/) pursuant to SecArmy policy? For new requirements, has the Contractor Manpower Reporting Application (CMRA) Requirement been included in the work statement? CMRA reporting pursuant to SecArmy policy is being used by Department of the Army to comply with most of the reporting required by the National Defense Authorization Act for FY2008, Section 807.	<input type="checkbox"/>	<input type="checkbox"/>
3	Has the contract requirement been documented on the TDA?	<input type="checkbox"/>	<input type="checkbox"/>
4	Has a concept plan for the contract requirement been approved?	<input type="checkbox"/>	<input type="checkbox"/>

Attachment 11

Letter of Justification, and Course of Action Checklist

Yes/No	Letter of Justification
	Does your purpose statement explain the purpose of your requirement?
	Does paragraph 1.a.i. have a Responsible Drawdown of Forces statement?
	Does your operational need statement explain the mission, justify your purpose statement and give a background of the contract, mission, project, program or other amplifying data to give the reader an understanding of the specific needs for your requirement?
	Did you specify the location or locations for this requirement? (Multiple can be an acceptable answer if additional information is provided.)
	Did you fill out section 2? (i.e. if there is no equipment to Cross Level, write None)
	Did you fill out follow on requirements? This applies to follow on periods of performances, option periods, significant need after the current request expires.
	Are there any waivers needed?(Life, Health, Safety, Red Contractor, Sole Source Justification)
	For Construction, did you consult the Sandbook and determine if this meets the standard?
	Did you fill out section 4 with the information from the CURRENT contract or PREVIOUS PoP?
	Did you fill out section 5 with the information from the REQUESTED contract or PoP? (i.e. what you are asking for in this JFARB)
	For Service Contracts, did you put a number of contractors in section 5?
	Did you summarize ALL Courses of Action in section 6? (writing only the requested course of action, or stating that there is only 1 viable Course of Action is NOT acceptable.)
	Did you put the dollar figure with each Course of Action?
	Did you identify and explain which Course of Action you are recommending the DCoS approves in 6.a.ii ?
	Did you fill out the impact if not funded statement in 6.a.iii? For SuperCARBs, this statement must be at least 4 sentences long, i.e. a fully formed paragraph.
	Did you put the work email and DSN or SVOIP phone number of the Action Officer?
	Did you put the work email and DSN or SVOIP phone number of the Contracting Officer Representative?
	Did you put the work email and DSN or SVOIP phone number of the Contracting Officer?
	Did you include the fiscal quarter in which funds will be obligated in the spend plan?
	Did you include the statement of whether or not this is due to RDoF? If so, did you include the APC code?
	Have you talked to your Resource Manager and asked him to add this requirement to your spend plan?
Yes/No	Course of Action Slide

UNCLASSIFIED//FOUO

	Did you put the price at the top of each Course of Action?
	Did you put the (Recommended) statement under the COA you are recommending, or did you leave it where it was in the example?
	Did you explain all Courses of Action in succinct bullet format?
	Did you include numbers (if applicable) such as number of contractors, guards, items being purchased(T-walls, laptops), maintenance or security teams, hours of operation, flight hours per week/month, trips per week/month, tons of cargo carried, etc?

Attachment 12

Determination & Finding for Interagency Acquisitions Under the Economy Act



REPLY TO
ATTENTION OF

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

FICI-CS

21 August 2009

MEMORANDUM FOR RECORD

SUBJECT: Determination and Findings, Economy Act Order for Administrative Contract Support Service of AFCAP Taji Operations, Maintenance and Repair (OM&R) under Contract FA3002006-D-0006, Task Order 0210

I. FINDINGS

I have reviewed the requirement for administrative contract support service of AFCAP Taji OM&R Contract FA3002-06-D-0006, Task Order 0210 that MNC-I proposes to place with the General Services Administration (GSA) as an interagency order under the Economy Act. My review produced the following findings.

- a. The proposed acquisition is authorized under the authority of the Economy Act.
- b. Multi-National Corps - Iraq (MNC-I) is legally authorized to acquire these services.
- c. Adequate funds are available.
- d. The action does not conflict with any other agency's authority or responsibility. Specifically a review of Part 8 of the FAR, Part 208 of DFARS, or any other part as applicable, reveals that the responsibility for acquiring this service has not been assigned to an agency other than the one proposed (GSA).
- e. It is not feasible for JCC-I to provide contractual coverage for this effort.
- f. The GSA has unique expertise or ability to enter into a contract for this service which is not available within the DOD.
- g. The GSA regularly performs the type of work required and will accept the order and can satisfy the requirement.
- h. The services are clearly within the scope of the activities of the GSA and that agency normally contracts for these supplies or services for itself.
- i. The cost to MNC-I for the annual administrative contract service fee of \$2,389,079.00 which is a 2.5% fee established by the GSA to administer the AFCAP Taji OM&R project, under contract FA3002-06-D-0006-0210, estimated at \$95,563,182.00, appears to be

FOR OFFICIAL USE ONLY

FOR OFFICIAL USE ONLY

FICIC-5

SUBJECT: Determination and Findings, Economy Act Order for Administrative Contract Support Service of AFCAP Taj Operations, Maintenance and Repair (OM&R) under Contract FA3002-06-D-0006, Task Order 0210

reasonable. The fees proposed to be paid to GSA as the servicing agency do not exceed the servicing agency's estimated cost of entering into and administering the contract or other agreement under which the order is filled.

- j. The contract administration procedures related to the GSA contract are adequate for MNC-I requirements.
- k. All approvals and authorizations required by Army and/or DoD policies for acquiring the services have been obtained.
- l. The requirements is a bona-fide need of MNC-I.

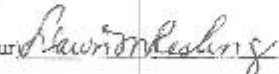
II. DETERMINATION

Given the above findings, I hereby determine that it is in the best interest of the United States Government to place an order for administrative contract support of the AFCAP Taj OM&R Contract FA3002-06-D-0006, Task Order 0210 with the GSA under the authority of the Economy Act.


PETER C. BAYER JR.
Brigadier General
Chief of Staff

Encl

COORDINATION:
JCC-IA-PARC

(Concur) (Nonconcur)  Date: Aug 26, 2009

MNC-LSIA
(Concur) (Nonconcur)  Date: Aug 27, 2009

Approved _____ Date _____

Disapproved _____ Date _____

Annex B

USF-I J8 CONTRACT REVIEW BOARD (CRB) STANDARD OPERATING PROCEDURES

CONTENTS

1. REFERENCES
2. PURPOSE AND OVERVIEW
3. RESPONSIBILITIES
4. PROCESS
5. TASKS TO SUBORDINATE UNITS
6. POINT OF CONTACT

1. REFERENCES:

- A. BUDGET EXECUTION PROCESS (Appendix A)
- B. JOINT FACILITIES AND ACQUISITION REVIEW BOARD (Appendix J, Annex A)

2. PURPOSE AND OVERVIEW:

- A. The intent of the Contract Review Board (CRB) is to ensure that contracts up for renewal with annualized costs greater than \$3 million and new requirements with annualized costs over \$1 million receive sufficient oversight, implement cost-effective management controls and satisfy customer needs. United States Forces–Iraq Comptroller (USF-I J8) refocused the CRB under the direction of the USF-I Deputy Chief of Staff as of 1 January 2010, by instituting a process that tasks requirement owners to right size their contracts. The process of right sizing the requirement has several steps: identify alternative Courses of Action (COAs) to meet the need with the minimum number of resources; determine the threat level, and conduct risk assessment to identify the risk associated with each COAs. This process provides senior leaders the right level of information they need, in order to make decisions regarding the Responsible Drawdown of Forces (RDoF) across the Iraqi Theater of Operations (ITO) throughout the OIF time period.
- B. The CRB compliments the Joint Facilities and Acquisition Review Board (JFARB) process by providing additional scrutiny and reporting requirements to ensure validity of the requirement, proper obligation authority, and fiscal responsibility. The CRB is the forum where the requirement owner briefs the USF-I Deputy Chief of Staff to demonstrate they have followed the steps to right size their contract for the current mission. The USF-I Deputy Chief of Staff is the CRB approval authority.

- C. The USF-I Contract Review Board (CRB) facilitates oversight and staff coordination among the requirement validation, budget execution, legal and contract management team. This team attends the CRB to verify that the requirement owner has examined the current need, the threat level, the risks to the mission, and sized the contract appropriately.

3. **RESPONSIBILITIES:**

- A. CRB Membership: The CRB members are the USF-I DCoS, USF-I J8, USF-I J8 CRB OIC, the USF-I J8 Budget Execution Officer, a member of the USF-I OSJA Contract & Fiscal Law staff, and a representative from JCC-I. This body receives the briefing and provides recommendations to the USF-I DCoS. Functional experts should consider whether there are other options to fulfill the requirement, and if the requirement is right-sized and properly scoped for a responsible drawdown. The CRB 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.
- B. CRB Administration. Implementation and management of the CRB is the responsibility of the USF-I J8 CRB OIC. The OIC will:
 - 1. Maintain CRB policy, briefing templates, and SOPs (i.e., MAAWS)
 - 2. Schedule CRBs with the USF-I DCoS
 - 3. Advise requirement owners on acquisition activities and strategies
- C. Requirement Owners. Requirement owners, for the purposes of this program, are the USF-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 Performance Work Statement (PWS), developing and coordinating the requirements validation (JFARB) 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.

Requirement owners have these additional responsibilities with respect to briefing the USF-I DCoS at the CRB:

- 1. Demonstrate they have taken action to right size their requirement. The process of right sizing the requirement has several-steps: identify alternative Courses of Action (COAs) to meet the need with the minimum number of resources; determine the threat level, and conduct risk assessment to identify the risk associated with each COAs.
- 2. Identify and coordinate a funding strategy to pay for the requirement with their unit G8.

3. Determine and brief what the projected disbursements (burn rate) will be for the new period of performance. Compare projected disbursements of the new period of performance to the disbursement (burn rate) of the current period of performance.

Requirement owners have these additional responsibilities after the requirement is validated, funded, and put on contract, as well as ensure that the nominated/appointed contracting officer representative (COR) performs the following responsibilities:

1. Track funding needs and execution of funds throughout the life of the contract.
2. Get feedback from the unit to determine if the capability delivered by the contractor is satisfying the mission requirement.
3. Be prepared to brief the USF-I DCoS on the above during the life of the contract.

D. Budget Staff. The USF-I J8 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.

E. Contracting / Execution Agency. Joint Contracting Command-Iraq (JCC-I) and their Regional Contracting Centers are responsible for the award of contracts that fulfill USF-I mission requirements. Defense Contracting Management Agency (DCMA) supports the execution of contracts and provides technical training to CORs.

4. **PROCESS:** In order to validate the requirement for the next period of performance, or a new requirement, requirement owners must brief their requirement at the CRB no later than 90 days prior to the end of its current period of performance or before needing funding. An accurate and timely briefing is essential to the success of the CRB. Failure to follow the guidance will delay the validation process until the requirement owner provides the necessary information so the USF-I DCoS can accurately determine the validity of the requirement.

A. No later than 120 days prior to the end of the current Period of Performance or before needing funding:

1. Requirement owner assesses the performance of the contract and determines whether to recommend termination, continuation, or modification to the scope of the effort.
2. In order to continue or modify the requirement, the requirement owner notifies USF-I J8 that they are within the 120-day window and intend to continue and/or modify the contract.

B. No later than 90 days prior to the end of the current Period of Performance:

1. The requirement owner will submit a requirement renewal (JFARB package) to USF-I J8.
2. USF-I J8 assigns the requirement owner a CRB date that is 60 days prior to the end of the current Period of Performance.
3. USF-I J8 sends briefing template to the requirement owner. The briefing is also available on the J8 Portal (<http://j8.forces.intranet.s-iraq.centcom.smil.mil/CRP/default.aspx>)

C. No later than 7 days prior to the scheduled CRB date:

1. The USF-I J8 CRB OIC will notify the requirement owner they are on the following week's CRB schedule and confirms the requirement owner's readiness to brief the CRB.
2. Requirement owner sends draft briefing, prepared IAW attached template, to USF-I J8 for review and feedback.
3. Requirement owner confirms the names/grades/duty titles of the briefer and any other attendees who will be present at the CRB.
4. If briefing by VTC, requirement owner completes the VTC request form and submits to J8. The VTC request form is available on the J8 Portal (<http://j8.forces.intranet.s-iraq.centcom.smil.mil/CRP/default.aspx>)

D. No later than 5 days prior to the scheduled CRB date:

1. Requirement owner sends final brief, prepared IAW attached template, to USF-I J8.
2. USF-I J8 distributes briefing to USF-I DCoS staff and all CRB members.

E. After CRB validation, but before contract award, the requirement owner will:

1. Submit monthly Contractor Census inputs to USF-I J8 Plans.
2. Ensure funding request is submitted on the unit spend plan, and 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.

F. Post contract award, the requirement owner will:

1. Submit monthly Contractor Census inputs to USF-I J8 Plans.
2. Track funds execution throughout the life of the contract and report significant increases in disbursements (burn rate) to USF-I J8.
3. Interface with the customer being serviced by the contract to determine if the capability delivered is satisfying the mission need. Report customer feedback and assess if the capability delivered by the contractor is meeting the terms of the Performance Work Statement.

4. Be prepared to brief the USF-I DCoS on the above.
5. **TASKS TO SUBORDINATE UNITS: ALL USF-I STAFF, SEPARATE COMMANDS AND USF-I SEPARATE BRIGADES:**
 - A. Requirement owners for all contracts maintain oversight of their requirement to ensure it is being fulfilled and to 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, 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. Identify any excess funds as soon as possible to the USF-I J8 Budget Execution staff. Submit requirements for additional funding to the CRB, if necessary and coordinated with the USF-I J8 Budget Execution staff to ensure uninterrupted performance of the contract.
6. **POINT OF CONTACT:** To ask questions or recommend changes to this SOP, contact the USF-I J8 CRB OIC at DSN 318-485-6334.

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 United States Forces – Iraq (USF-I) Management 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:** USF-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 USF-I's MCA (J8).
 2. Ensure the unit MCA receives MICP training.
 3. Develop and submit a Management Control Plan (MCP) to the USF-I J8.
 4. Conduct appropriate management control evaluations; document and forward the documentation to the USF-I J8.
 5. Prepare and submit a Statement of Material Weakness, for their AU, if required per USF-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 USF-I priority assessments and forward compiled assessments to the USF-I J8 NLT the USF-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 too 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.

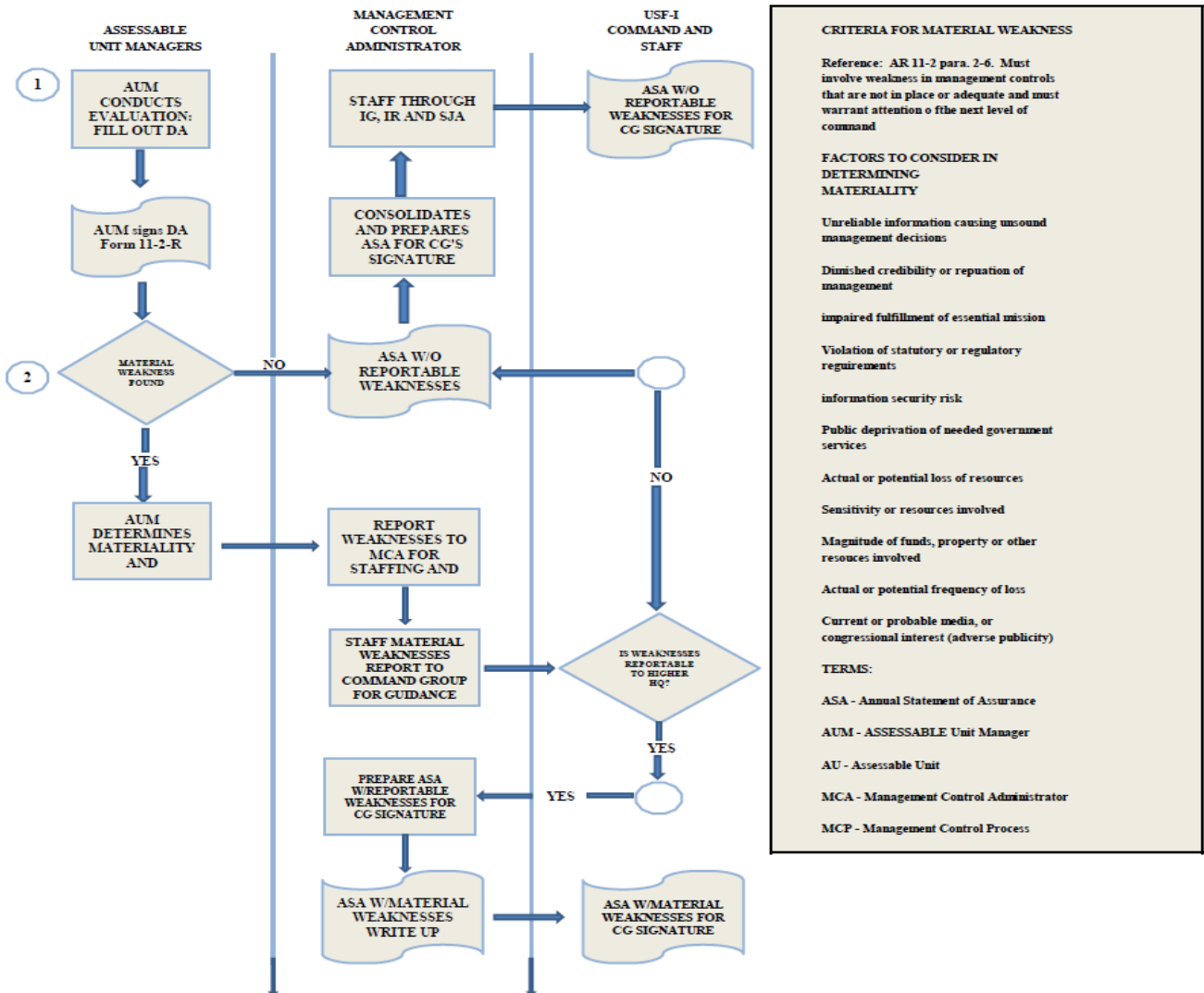
C. When writing the ASA, units must determine if they have a reasonable assurance, a management control weakness, or a material weakness.

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**: USF-I J8 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 USF-I J8 Internal Review Officer at DSN 485-5610. FIGURE 1 depicts Evaluation and Reporting Procedures.

Figure 1

MANAGEMENT INTERNAL CONTROL PROGRAM Evaluation and Reporting Procedures



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 S4/S8/G8s as a means to maintain fiscal control of distributed funds.

2. **REFERENCES:**

A. ARCENT PUB 1-06, 29 April 2008, Addendum to FY08 Budget Execution MOI.

B. USARCENT FY Budget Execution Memorandum of Instruction (14 Dec 09).

3. **PROCEDURES:**

A. Recommend 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 USF-I J8s Resource Management homepage is accessible to incoming unit. Contact USF-I J8 Admin @ DSN 318-485-2552.
5. Incoming unit identifies requirements needed in advance of arrival to outgoing unit.

B. Recommend at TOA-60 days the following actions will be accomplished:

1. Outgoing units submits Joint Facilities and Acquisition Review Board (JFARB) requests for service and support contracts for incoming unit.
2. USF-I J8 executes Staff Assistance Visit (SAV).

C. Recommend 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 USF-I J8.
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 and incoming unit S4/S8/G8s/Resource Manager 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.
5. Outgoing unit and incoming unit perform joint review of current and future validation requirements (JFARB, Super CARB, ONS) due within the next 90 days.
6. Incoming units will retain all hard copy files (PR&C, MIPR, Bulk fund, Travel, etc.) for funding accounts at unit level. Incoming unit must continue to utilize an electronic Document Register for all transactions.
7. Outgoing and incoming unit S4/S8/G8s/Resource Manager will conduct joint review of current fiscal quarter spend plan lines and follow-on quarter spend plan requirements.
8. Outgoing units in coordination with incoming units will provide a timeline to USF-I J8 showing at a minimum dates for the following: When all files will be passed to USF-I J8 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 Resource Manager's Tool (RMT) entries for outgoing units (US Army only); and dates of report submissions to USF-I J8.
9. Prior to RIP / TOA outgoing unit S4/S8/G8 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 USF-I J8 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 USF-I J8 CERP Manager the following CERP documents: Files on all completed projects to include those funded with

UNCLASSIFIED//FOUO

CERP, I-CERP, CHRRP, and IIG; complete source documentation, and planned and in-progress CERP and I-CERP projects from outgoing to incoming Commander. If the MSC assigns responsibility for execution of a CERP project to a unit scheduled to redeploy without replacement by another unit, the MSC Commander will consider the following:

- a. CERP proposals assigned to units that will not be replaced and with a value between \$250,000 and \$500,000, or a forecasted execution duration of 150 to 200 days, are considered high risk. MSC Commander approval is required for any individual CERP project that is high risk.
 - b. CERP proposals assigned to units that will not be replaced and with a value between \$50,000 and \$250,000, or a forecasted execution duration of 100 to 149 days, are considered medium risk. MSC Commanders may delegate authority to approve any individual CERP project that is medium risk to Brigade Commanders.
 - c. CERP proposals assigned to units that will not be replaced and with a value below \$50,000, or a forecasted execution duration of less than 100 days, are considered low risk. MSC Commanders may delegate authority to approve any individual CERP project that is low risk to Brigade or Battalion Commanders.
12. Incoming U.S. Army units will inherit the Document Registers and all fiscal transactions in RMT 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 except as justified by unit reorganization. Changes to the APC structure should be submitted to USF-I J8. Each year in September the incumbent S4/S8/G8 will receive opportunity to recommend changes to APC structure.
 14. Incoming units will retain either an electronic or hard copy of all open and completed current fiscal year source document files/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 USF-I FRAGO 326 to the USF-I ECC Rewards POC.
 16. Incoming units will appoint pay agents who must complete training provided by servicing finance unit before receipting appropriated Iraqi funds IAW established policies.
 17. Incoming units will appoint Field Ordering Officers (FOOs) and Project Purchasing Officers (PPOs) complete training at the supporting Regional Contracting Office.

UNCLASSIFIED//FOUO

18. Incoming unit must provide a Management Control Plan (MCP) Appointment letter IAW current USF-I MCP Implementation Plan.
- D. At TOA-14 days the incoming unit provides in progress review update to USF-I J8.
- 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 USF-I J8.
 2. Outgoing unit will cease all Official Representation Fund (ORF) expenditures for selected units that have ORF accounts. Any requests after this point will be considered on a case-by-case basis by the USF-I DCoS.
 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 USF-I J8 NLT one week prior to RIP / TOA.
 5. For all active ledgers in RMT, outgoing unit S8/G8 will execute RMT reports of Status of Funds, Commitments without Obligations, Obligations Unequal to Commitment, Obligations without Commitments. These reports will be appended to the TOA Memo at figure one below. In addition, the outgoing S8/G8 will certify by memo the current status of the document registers.
 6. Units will go over results of last SAV and discuss any recommendations for improvement.
- F. At TOA-2 days the USF-I J8 will issue Delegation of Authority Memorandum to incoming unit comptroller.
- G. At TOA-1 day the outgoing comptroller S8/G8 will send a signed Transfer of Fund Certification Authority Memorandum to the USF-I J8. (See Figure 1)

FIGURE 1

FICI-RM

Date

MEMORANDUM FOR Commander, United States Forces – Iraq (Attn: J8)

SUBJECT: Transfer of Authority (Financial Management) between “Outgoing Unit” and “Incoming Unit”

1. IAW USF-I J8 Money as a Weapon System (MAAWS), Appendix M, dated XX Feb 10, the “Incoming unit” has verified and accepts responsibility from the “Outgoing Unit” for the following OMA Non-Stock 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/J8 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/J8 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/J8 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.

UNCLASSIFIED//FOUO

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 USF-I J8. (NOTE: Other theater policy memoranda are available on the USF-I J8 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 United States Forces – Iraq is funded with Operations and Maintenance Army (OMA) funding for sustainment costs. However, Commander USCENTCOM has also designated USF-IUSF-I as the Base Operating Support Integrator (BOS-I) and Senior Airfield Authority (SAA) on key facilities. In accordance with general funding constructs, USF-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 USF-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 USF-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. USF-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, USF-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 USF-I AOR is centrally managed at the USF-I level. Other Services are not authorized to increase support provided under LOGCAP without the specific approval of USF-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 USF-I J8.
- 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. USF-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 USF-I J7 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 USF-I responsibility to fund SOF in the USF-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. USF-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

UNCLASSIFIED//FOUO

common equipment, facility maintenance, non-tactical (administrative) vehicles, and common IT support.

2. Operations and Maintenance funding for other Services (non Army) SOF. USF-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. USF-I J7 Facilities is the proponent for USF-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

UNCLASSIFIED//FOUO

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. USF-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 USF-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, USF-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, USF-I is responsible as the Army Service headquarters in theater.
 3. Supported SOF organizations may submit construction requirements to USF-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 USF-I J8. 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 USF-I Chief of Staff.

ACQUISITION AND CROSS-SERVICING AGREEMENTS (ACSA)

CONTENTS

1. Purpose
2. References
3. Overview
4. General
5. Responsibilities
6. Key Elements
7. Types of ACSA
8. Repayment of ACSA Obligations
9. ACSA Implementation
10. Prohibited Uses of ACSA
11. ACSA Process
12. AGATRS
13. Legal Coordination
14. Countries with ACSAs
15. Other Funding Support Programs
16. ACSA Process Flowchart

1. **PURPOSE:** This document provides commanders, logisticians and contracting representatives information on how USF-I will provide and obtain supplies, support and services using ACSA with eligible country military forces operating within Iraq.

2. **REFERENCES:**

- A. 10 U.S.C. Sections 2341-2350.
- B. DOD Directive 2010.9, Acquisition and Cross-Servicing Agreements, dated 28 Apr 03.
- C. CJCS Instruction 2120.01, Acquisition and Cross-Servicing Agreements, dated 27 Nov 06.
- D. International Traffic in Arms Regulations Part 121 – The US Munitions List, dated 1 Apr 02.

3. **OVERVIEW:**

- A. ACSAs are considered a host nation support tool able to provide logistics supplies, support, and services (LSSS) and are limited to military-to-military support only. Transactions under this authority are allowed between U.S. Department of Defense and the Foreign Military Force (FMF) as long as an ACSA is concluded and in place. An integral part of the ACSA is an Implementing Agreement (IA). An IA may be concluded and in place but is not a requirement for conducting ACSA transactions. References A to C provide higher level ACSA guidance.

UNCLASSIFIED//FOUO

- B. ACSAs are intended to complement support to a FMF, not replace their existing support infrastructure. However, mission requirements should dictate generally what types of support is provided to the FMF.
- C. USCENTCOM is the agency with overall responsibility for accepting, placing, and approving ACSA orders for all ground units within Iraq. Coordination must be executed through ARCENT.
- D. USF-I J4 is delegated the responsibility of executive agent for the conduct of ACSA support within Iraq.

4. GENERAL:

- A. An Acquisition and Cross-Servicing Agreement (ACSA) is a reimbursable, bilateral support program, which allows for the provision of cooperative logistics support between U.S. and a FMF under the authority granted in [10 U.S.C. Sections 2341-2350](#). ACSAs are governed by [DOD Directive 2010.9](#), "Acquisition and Cross-Servicing Agreements" and implemented by [CJCS Instruction 2120.01](#), "Acquisition and Cross-Servicing Agreements." The program enables increased flexibility for the on-scene commander of a U.S. or host nation force by providing a means to meet logistic shortfalls. The ACSA does not replace a country's internal logistic support structure, nor is it designed to replace other U.S. military support programs.
- 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 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.
- C. Implementing Agreement (IA) is a written supplementary agreement related to the specific acquisition and or transfer of logistic support, supplies, and services. It sets forth additional details, terms, and conditions, which further define and carry out an ACSA. This document provides the details for executing ACSA transactions, and provides billing instructions for collections and payments. ACASs signed after 1995 do not require an IA.

5. RESPONSIBILITIES:

- A. The USF-I ACSA Program Manager is responsible for completing USCENTCOM Form CC 35 (Standard Order/Receipt for Reimbursable International Support Transactions) for all supplies and services provided to FMF, except as described in paragraph 5.B. The ACSA Program Manager ensures all supporting documentation (receipts, invoices, SOWs, etc.) are provided before submitting any CC 35s to the ARCENT ACSA Coordinator for financial processing. All transactions will be tracked on a spreadsheet and entered into the ACSA Global Automated Tracking and Reporting System

UNCLASSIFIED//FOUO

UNCLASSIFIED//FOUO

(AGATRS). Hard copies of all documentation, including CC 35s, will be kept on file at the USF-I J4.

- B. Transactions supporting the United Nations Assistance Mission Iraq (UNAMI) will be handled by the USF-I LNO to UNAMI through the ARCENT ACSA Coordinator.
- C. All units providing support or services to a FMF will provide documentation to the USF-I J4 ACSA Program Manager on a regular basis.

6. KEY ELEMENTS OF AN ACSA INCLUDE:

- D. Logistic support which may be exchanged are: food and water, billeting, transportation, POL, communications services, training, ammunition, emergency medical services, and base operations. See paragraph 10.B. for a detailed list of typically procured support and services.
- E. 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. See paragraph 8 for prohibited uses of ACSA.
- F. DOD units may not provide logistic support, supplies, or services without receiving reimbursement.
- G. You cannot use ACSAs to circumvent OMA thresholds (OPA & MILCON).

7. TYPES OF ACSA AUTHORITIES: Title 10 of the United States Code provides two legal authorities for foreign logistic support, supplies, and services: (1) Acquisition-only Authority and (2) 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.

UNCLASSIFIED//FOUO

UNCLASSIFIED//FOUO

- 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 USF-I J4. [DOD Directive 2010.9](#) provides the official process for nominating countries for eligibility for such agreements as well as for concluding them.

8. REPAYMENT OF ACSA OBLIGATIONS:

- A. The following payment methods are allowed under ACSA:

1. **Payment in Cash (PIC).** PIC is the preferred method of payment within the USF-I AO. PIC is a transfer conducted under ACSA authority in which the payment shall be made in the currency of the supplying party or as otherwise agreed in the order.
2. **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.
3. **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.

- B. USCENTCOM is the approval authority for repayment by RIK or EVE. All requests for repayment by RIK or EVE must be submitted through the ARCENT ACSA Coordinator to USCENTCOM.
- C. ACSA obligations not repaid by RIK or EVE automatically convert to cash obligations after one year. However, no ACSA reimbursement will remain outstanding at the end of deployed operations. Units will complete all reimbursements before departing the USF-I AO. Failure to comply with the ACSA process and completion of the CC 35 may result in termination of all logistic support to the delinquent FMF until reimbursement to the U.S. Government is completed.
- D. U.S. law prohibits services of the Department of Defense from procuring or delivering government resources and services at no cost. All transactions completed under ACSA are reimbursable.

9. **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

UNCLASSIFIED//FOUO

UNCLASSIFIED//FOUO

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 following is a list of services and support that are typically procured under ACSA:

1. Food and water.
2. Billeting.
3. Clothing (some restrictions may apply; contact USF-I J4 ACSA Program Manager for details).
4. Communication services.
5. Medical services.
6. Storage services.
7. Use of facilities.
8. Repair and maintenance services.
9. Spare parts and components.
10. Calibration services.
11. Base operations support.

12. Port services.
13. Training services.
14. Petroleum, oil and lubricants (some alternative agreements apply; contact USF-I J4 ACSA Program Manager for details).
15. Transportation (including airlift).
16. Ammunition (some restrictions may apply; contact USF-I J4 ACSA Program Manager for details).
17. Limited local purchasing.

C. General-purpose vehicles and other items of non-lethal military equipment not designated as part of the U.S. Munitions List, reference C, may be leased or loaned on a temporary basis. Loans and leases both require a monetary charge. The following guidelines pertain to loans:

1. Loan is temporary.
2. Borrower pays for transportation and packing.
3. Borrower pays to set up and maintain (as required).
4. Borrower returns item(s) in original condition, less reasonable wear and tear.
5. Borrower reimburses supplying party for loss or damage.
6. Borrower has representatives available to ensure accountability and transfer of custody.
7. Borrower conducts inventories and reports as directed in initial loan agreement.

10. PROHIBITED USES OF ACSA: ACSA is for the transfer of logistics, support, supplies, and services only. Specific questions on the applicability of certain items should be referred to the Combatant Command's legal office or the USF-I J4 ACSA Program Manager for review and approval.

- A. 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.
- B. 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).

11. ACSA PROCESS (SEE FIGURE 1):

A. The following steps to be followed when conducting an ACSA transaction in which U.S. Forces are providing the support or services:

1. Upon arrival in the USF-I AO, the FMF will appoint a representative who has been given the authority to request LSSS and commit FMF funds. The appointed individual will present to the USF-I J4 ACSA Program Manager with a copy of the appointment letter for accountability purposes and is responsible to sign the CC 35.
2. When the FMF arrives in theater and identifies a need to procure military logistic support, the TCN can request LSSS from the Supply Support Activity through their sponsor unit using the following:
 - a. CC 35 – Standard Order/Receipt for Reimbursable International Support Transactions. The CC Form 35 is the accepted form for placing and receiving orders and invoicing with ACSA. This is the critical accountable document necessary to authorize and track all LSSS provided to FMF operating in Iraq. This document will be used to validate any ACSA transaction performed for the FMF.
3. The FMF discusses and negotiates requirements with supplying unit representatives to determine availability of support or method of filling requirement. Contact USF-I J4 ACSA Program Manager to determine ACSA coverage if there are any uncertainties.
4. All transactions will be passed to the USF-I J4 ACSA Program Manager. The USF-I J4 ACSA Program Manager will record each transaction on a spreadsheet. On a periodic basis, supplying activities will provide USF-I J4 ACSA Program Manager with documentation of supplies and services provided. The ACSA Program Manager will complete a separate CC 35 for each received class of supply and one for base operations charges.
5. The USF-I J4 ACSA Program Manager will forward completed CC 35s to ARCENT ACSA Coordinator for financial processing.
6. All CC 35s must be accurately completed and stored. This will ensure prompt reimbursement to the U.S. Government and provide an audit trail in the event of a U.S. Government or U.S. Army audit.
7. A signed CC 35 represents a binding commitment upon the U.S. Government and the TCN to provide and reimburse for logistic support and services.

B. The following steps to be followed when conducting an ACSA transaction in which FMF are providing the support or services to US Forces.

UNCLASSIFIED//FOUO

1. The US Force discusses and negotiates requirements with supplying unit representatives to determine availability of support or method of filling requirement. Contact USF-I J4 ACSA Program Manager to determine ACSA coverage if there are any uncertainties.
2. All transactions will be passed to the USF-I J4 ACSA Program Manager. The USF-I J4 ACSA Program Manager will record each transaction on a spreadsheet. On a periodic basis, supplying activities will provide USF-I J4 ACSA Program Manager with documentation of supplies and services provided. The ACSA Program Manager will complete a separate CC 35 for each received class of supply and one for base operations charges.
3. For transactions exceeding \$250K, the request must first be approved by the Joint Facilities Acquisition Review Board (JFARB). The JFARB is an MNC-I level board, functioning to validate select funding requirements. Requirements will be submitted in accordance with Reference D.
4. For transactions in the current fiscal year the USF-I J4 ACSA Program Manager will forward completed CC 35s to USF-I C8 for financial processing.
5. For transactions from previous fiscal years the USF-I J4 ACSA Program Manager will forward completed CC 35s to the ARCENT ACSA Coordinator for financial processing.
6. All CC 35s must be accurately completed and stored. This will ensure prompt reimbursement to the U.S. Government and provide an audit trail in the event of a U.S. Government or U.S. Army audit.

12. ACSA GLOBAL AUTOMATED TRACKING AND REPORTING SYSTEM (AGATRS):

- A. Automated system for documenting ACSA transactions is available on the NIPRNET.
- B. Any transactions coordinated outside USF-I J4 must use manual CC 35s.
- C. All ACSA transaction forms, summary/tracking tools are maintained on the USF-I J4 NIPR Portal. Additionally, individual hard copy nation folders are maintained by USF-I J4 for the original documents.

13. LEGAL COORDINATION: All units will consult with their assigned SJA to obtain guidance on ACSA limitations and authority. The Combatant Commander may request the assistance of the SJA to review terms of the ACSA or any specific country IA as needed. Additionally, unit legal may send ACSA requests to the USF-I SJA for further review.

14. COUNTRIES THAT HAVE ACSAs WITH THE U.S.: A current list of countries that have ACSAs with the U.S. can be found by accessing following URLs:

- A. NIPR – https://www.intelink.gov/wiki/ACSA_Country_Documents.
- B. SIPR – N/A.

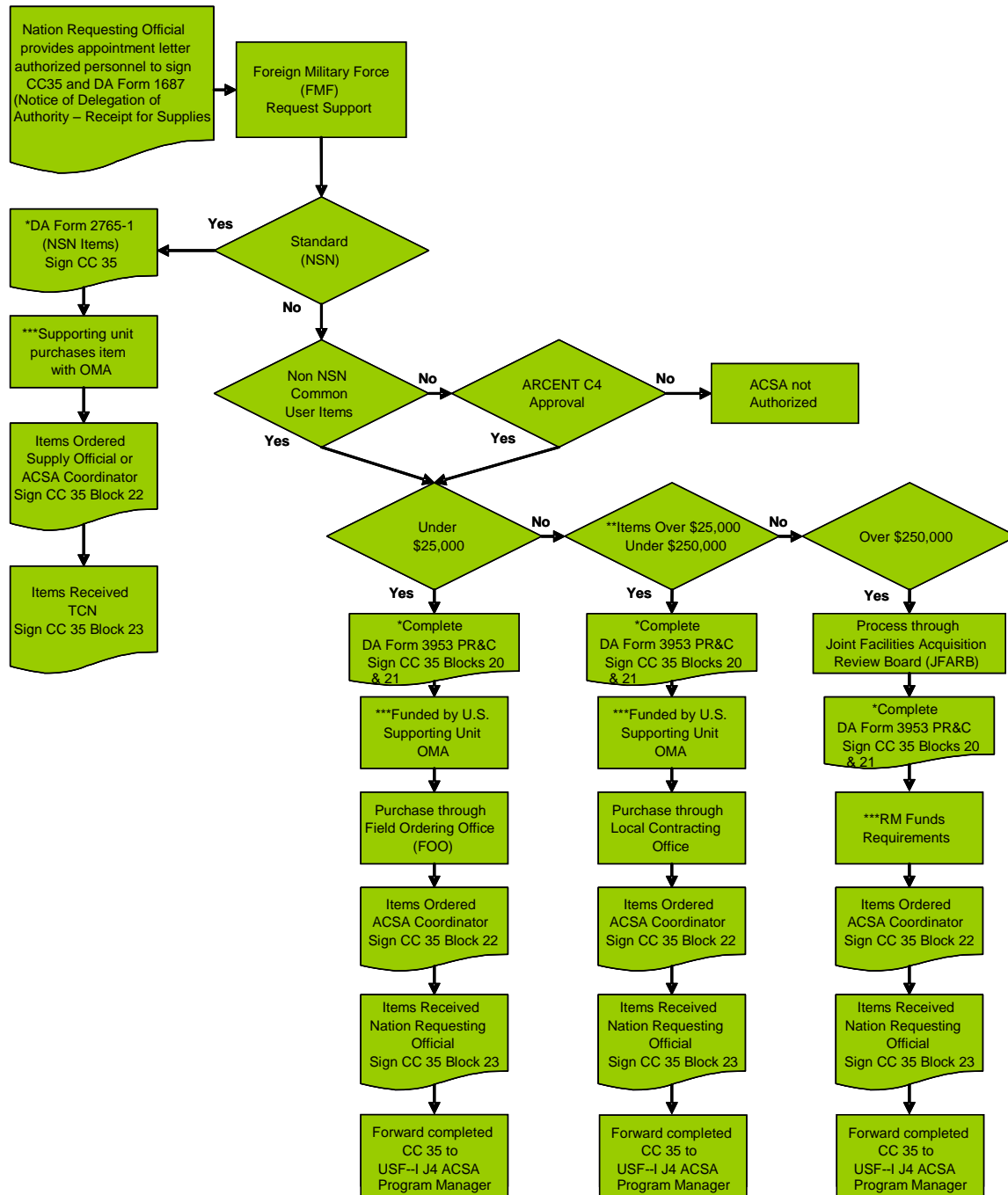
UNCLASSIFIED//FOUO

15. OTHER FUNDING SUPPORT PROGRAMS:

- A. **Lift and Sustain.** This authorization allows the DOD to provide airlift and sustainment support at no cost to FMFs 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 FMFs can continue to support US military operations in Iraq and Afghanistan. Smaller countries do not have the financial means or the funding to transport their forces to and from the theater of operation 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.
1. The Lift and Sustainment process uses ACSA as an accounting mechanism for support to certain designated FMFs.
 2. MSCs use their Operations and Maintenance (OMA) funds for Lift and Sustainment transactions.
 3. To ensure proper accountability and reporting, the USD DODAAC must be annotated on the CC 35 in Block 25 – Remarks Section.

FIGURE 1

ACSA PROCESS FLOWCHART****



* Nation Requesting Official signs CC35 Block 20, ACSA coordinator signs Block 21.

** Some items between \$25,000 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 CC 35 Block 25

"Earmark funds for purchase to reimburse supporting units (DODAAC)."

**** Lift and Sustainment determined at OSD level.

ONS & JUONS

1. USF-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. **USF-I J3 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

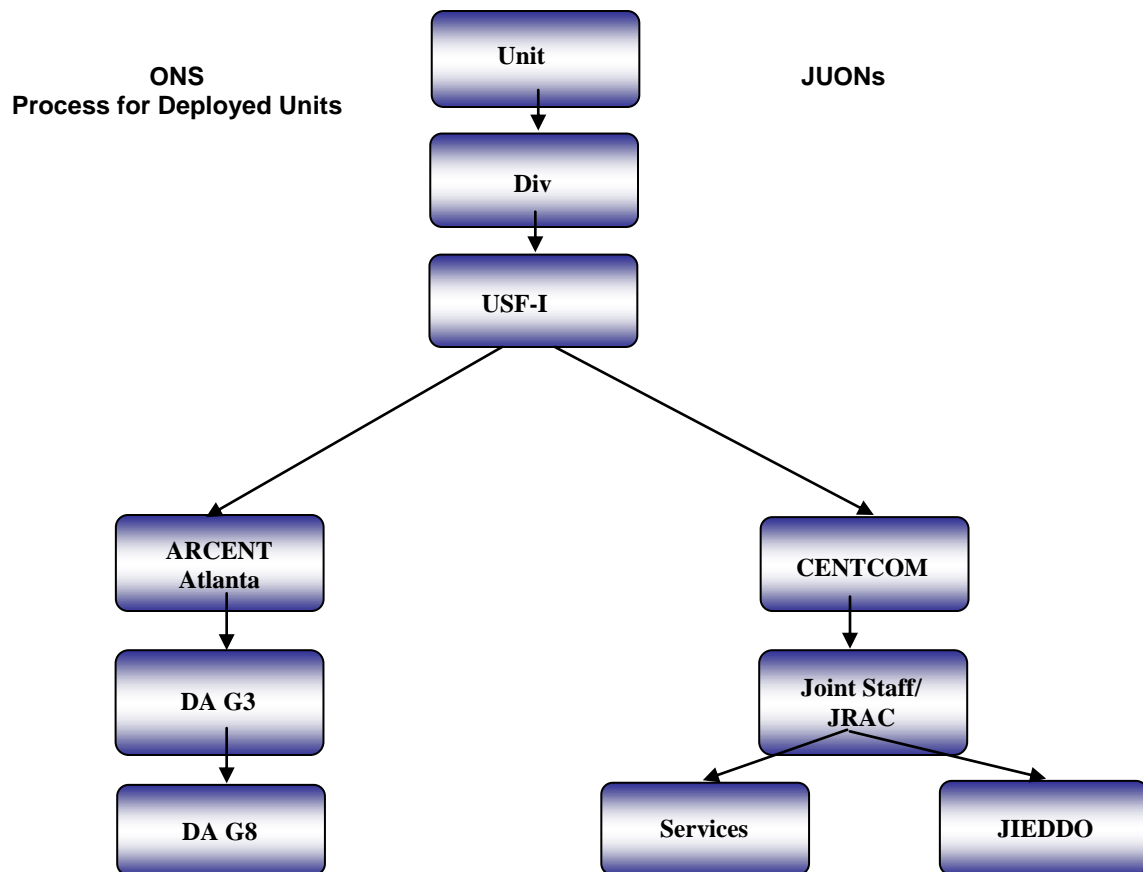
- Cooling Vests
- Ground Penetrating Radar
- Infrared Illuminators
- Tactical Communications
- Heavy Gun Lights
- Excalibur Munitions
- AN/PVS 22 Universal Night Sights
- Blue Force Tracker
- IZLID Infrared Lasers
- Mini-Green Dazzler
- AN/DVS -10 Night Sniper Scope & Mounts
- Small Unmanned Combat Air Vehicle (SUCAV)
- Ground Based observation & Surveillance System (G-BOSS)
- EOD Robots
- Gunner Protection System for Joint EOD Rapid Response vehicle (JERRV)

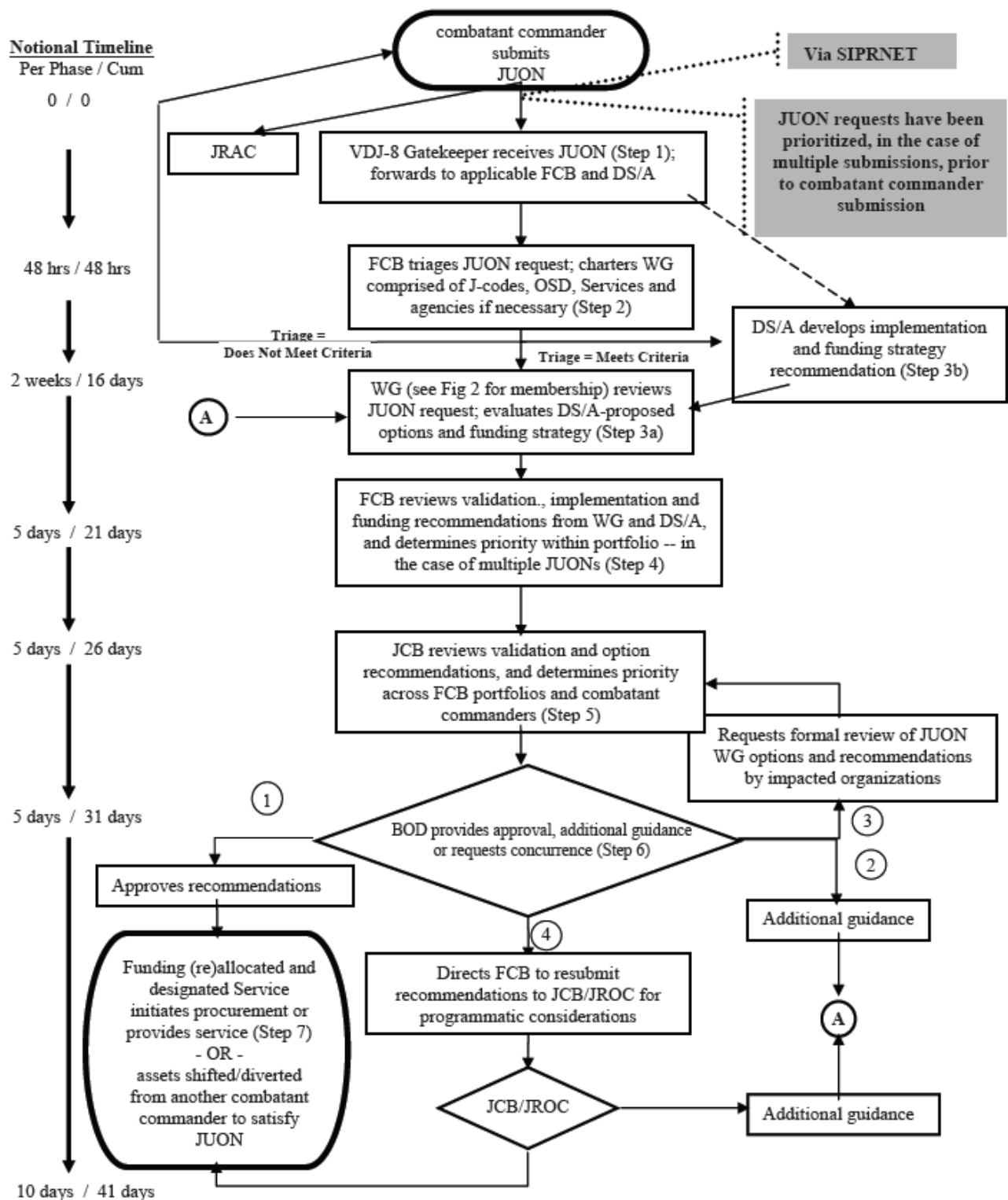
* Cost Dependent: JFARB required for requests \$250K or more at USD/USF level and \$100k or more for separate Commands.

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 J8 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

UNCLASSIFIED//FOUO

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 J8 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 USF-I J8 NLT 15 August.

6. USF-I J8 RESPONSIBILITIES: Provide invoices to the DoS within two weeks after the quarter ends. MNC-I J8 will forward 4th quarter estimates to DoS no later than the 3rd week of August.

J8 Financial Management Functional Checklist

CONTENTS

- I. Purpose
- II. OIP (ICI, MCP, and SAV Procedures)
- III. Checklists
 - 1. Financial Management
 - a. References
 - b. Authorization/Certification Documents
 - c. Accounting Information
 - 2. Policies & Procedures
 - a. Management Control Program
 - b. Spend Plans
 - c. Funding Programs
 - 1) CERP & I-CERP
 - 2) ISFF (QRF)
 - 3) ORF
 - 4) OMA
 - 5) OPA
 - 6) Minor Construction Projects & Transfer Authority
 - 7) MTSA
 - 8) Rewards
 - d. Requirements Validation Procedures
 - e. Year-End Closure
 - 3. Processing
 - a. PR&Cs
 - 1) Government Purchase Card (GPC)
 - 2) Contracts
 - 3) Bulk Funding/BPAs
 - 4) FOO
 - b. MIPRs
 - 1) General
 - 2) Accepted
 - 3) Sent
 - c. Travel
 - 1) Temporary
 - 2) R&R Leave
 - 3) Emergency Leave
 - 4) Travel for Medical Purposes
 - 4. File Maintenance
 - a. Document Register
 - b. ARIMS
 - c. File Layout
 - d. Disposition
 - 5. Automation Administration
 - a. RMT
 - b. STANFINS
 - c. Aquiline/PD2
 - d. GPC
 - 6. Review & Reconciliation
 - a. Prior Years
 - b. Current Year

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

(Revised 06 January 2010)



TABLE OF CONTENTS

IV.	Purpose.....	3
V.	OIP (ICI, MCP, and SAV Procedures).....	4
VI.	Checklists	
1.	Financial Management	
a.	References	5
b.	Authorization/Certification Documents	6-7
c.	Accounting Information	8
2.	Policies & Procedures	
a.	Management Control Program.....	9-11
b.	Spend Plans	12
c.	Funding Programs.....	13-31
1)	CERP & I-CERP	
2)	ISFF (QRF)	
3)	ORF	
4)	OMA	
5)	OPA	
6)	Minor Construction Projects & Transfer Authority	
7)	MTSA	
8)	Rewards	
d.	Requirements Validation Procedures	32
e.	Year-End Closure	33
3.	Processing	
a.	PR&Cs.....	34-40
1)	Government Purchase Card (GPC)	
2)	Contracts	
3)	Bulk Funding/BPAs	
4)	FOO	
b.	MIPRs.....	41-43
1)	General	
2)	Accepted	
3)	Sent	

TABLE OF CONTENTS (continued)

c. Travel.....	44-47
1) Temporary	
2) R&R Leave	
3) Emergency Leave	
4) Travel for Medical Purposes	
4. File Maintenance	
a. Document Register	48
b. ARIMS	49
c. File Layout	50
d. Disposition	50-52
5. Automation Administration	
a. RMT	53-54
b. STANFINS	55-56
c. Aquiline/PD2	57
d. GPC	58
6. Review & Reconciliation	
a. Prior Years	59
b. Current Year	60-61

Purpose

Financial managers are operating in undoubtedly the most complex and challenging fiscal environment in our Nation's military history. Resourcing combat operations is a complex task. Therefore it is critical that financial managers establish sound, feasible policies and procedures in order to provide reasonable assurance that: obligations and costs are in compliance with applicable laws; funds are safeguarded against waste, loss, unauthorized use, or misappropriation; and revenues and expenditures are properly accounted for and recorded. The Financial Management Assessment Review checklist is an excellent tool for financial managers to ensure that their operations are efficiently and effectively carried out according to the applicable law and management policy.

The Financial Management Assessment Review checklist is utilized during any inspection that is a component of the commander's overall Organizational Inspection Program (OIP). Typical inspections where the checklist is used are the Initial Command Inspection (ICI), the Annual Management Control Program (MCP) assessment, and the Staff Assistance Visit (SAV).

a. An ICI is required within 90 days of a new commander assuming command. The inspection is not intended for either positive or adverse action. The purpose of the inspection is to define a starting point for a new commander and develop or refine his goals and objectives.

b. An Annual MCP assessment is conducted to inspect internal administrative and accounting controls to ensure reasonable assurance that funds, property, and assets are safeguarded against waste, fraud, and abuse. In accordance with AR 11-2, Management Control, material weaknesses will be recorded on DA Form 11-2-R and tracked until corrected.

c. A SAV is conducted annually to provide on-site assistance and assess baseline requirements which must be implemented and sustained in daily operations to ensure organizational effectiveness and compliance with legal requirements. Designated desk officers provide assistance to forward financial management offices on a daily basis; however the SAV is conducted to provide enhanced customer service to supported units by providing financials, guidance, and training to financial managers that use USARCENT funds. In addition, weaknesses will be identified and resolved to the fullest extent possible.

OIP (ICI, MCP, and SAV Procedures)

I. Advance Coordination.

Tentative schedules will be published annually. Advance coordination will be made with respective offices to lock in firm dates, obtain copies of local policies and procedures, and identify special needs of the office in order to properly plan and prepare resources for the visit. In order for assistance team visits to be successful, it is imperative that field offices identify needs and weaknesses to the assistance team well in advance of the actual visit. This will allow proper time for coordination of materials and other office needs. In addition, the Forward RMs should coordinate a tentative schedule for the planned actions.

II. In Brief.

Upon arrival at the field sites, Assistance Teams will brief the respective Forward RM and anyone else the RM deems appropriate. During the in brief, the concept of the visit will be discussed and the schedule of planned actions will be confirmed or adjusted as necessary.

III. Review and Assistance.

During the visit, Assistance Team members will review all applicable areas listed on the checklist along with any other areas they deem appropriate based on findings in the office. Focus/special emphasis will be placed on areas that were identified /coordinated in advance. Software will be installed and training will be provided as needed/requested. While in the AO, visits to other offices (e.g. Contracting, Finance, PBO, local commanders, etc.) can be made as needed or requested by the Forward RM.

IV. Report Preparation.

Throughout the visit, Assistance Team members will take notes that will be included in a final report. The report will be submitted to the USARCENT G8 with a copy forwarded through the appropriate desk officer to the forward RMs within two weeks from return to Atlanta.

V. Out Brief.

Prior to departure, Assistance Teams will brief the respective Forward RM and anyone else the RM deems appropriate. The out brief will consist of strengths, weaknesses, and necessary follow up actions. Findings to be mentioned in the final report will be stated during the out brief.

VI. After Actions.

After actions includes submission of the final report and any follow up actions needed to be taken by the assistance team or the forward RMs (e.g. obtaining additional training, coordinating inter-office procedures, verification that problems have been resolved, etc.).

VII. Scoring.

The three comments are commendable, sustain, and needs improvement. Commendable is when all Critical Tasks (C.T.) are met and no more than 5% of the other tasks are not met in any given area. A Sustain means that all Critical Tasks (C.T.) are met and there are no more than 10% of the other tasks not met in any given area. A Needs improvement is given when there is one C.T. or more not met OR more than 10% of the other tasks are missed in an area.

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Financial Management

INSPECTION DATE _____ INSPECTOR _____

OVERALL RATING _____ FOLLOW-UP DATE _____

a. References

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. DFAS-IN 37-1 (Finance & Accounting Policy)	___	___	___
2. DFAS-IN 37-100-FY (Army FM Structure FY**)	___	___	___
3. DODFMR, vol 3 (Budget Execution)	___	___	___
4. DODFMR, vol 4 (Accounting Policy & Procedures)	___	___	___
5. DODFMR, vol 6A (Reporting Policy & Procedures)	___	___	___
6. DODFMR, vol 11A (Reimbursable Operations)	___	___	___
7. DODFMR, vol 12 (Special Accounts, Funds, Programs)(DCA Only)	___	___	___
8. DODFMR, vol 14 (Admin Control of Funds/ADA)	___	___	___
9. JP 1-06 (Joint TTPs for FM during Joint Operations)	___	___	___
10. AR 11-2 (Management Control)	___	___	___
11. AR 11-7 (IR & Audit Compliance Program)	___	___	___
12. AR 25-400-2 (Army Records Information Management System)	___	___	___
13. AR 37-47 (Rep Funds of the Sec of the Army)	___	___	___
14. AR 350-28 (Army Exercises) (<i>Atlanta only</i>)	___	___	___
15. FM 1-06 (FM Operations)	___	___	___
16. FM 100-23 (Peace Operations)	___	___	___
17. USARCENT Memo 1-1 (Organization & Functions) (<i>Atlanta only</i>)	___	___	___
18. USARCENT Publication 1-06	___	___	___
19. Army Regulation 215-1 – (MWR and NAF)	___	___	___
20. Joint Contracting Command Iraq/Afghanistan Acquisition Instruction	___	___	___
21. Unauthorized Commitments and Ratification Process Guide	___	___	___

FINDING _____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Financial Management (continued)

b. Authorization/Certification Documents

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Is a copy of the Annual Requirement submission on file? submission on file?	___	___	___

FINDING _____

2. Has the local Commander published a Budget/Funding Guidance letter and is it on file? (part of Unit Training Guidance)	___	___	___
--	-----	-----	-----

FINDING _____

3. (C.T.) Is a Delegation of Authority to certify funds on file? (IAW 37-1)	___	___	___
---	-----	-----	-----

FINDING _____

4. (C.T.) Has further delegation of authority to certify funds been granted to subordinate offices? If so, are copies of those delegations on file?	___	___	___
---	-----	-----	-----

FINDING _____

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
5. Copies on hand of all updated DD Form 577s required by external organizations?	___	___	___

FINDING _____

6. (C.T.) Does the fund certifier have copies of all RADs/RDDs to support funding levels and type of funding? Is there a mechanism to track subordinate spending limits?	___	___	___
--	-----	-----	-----

FINDING _____

7. (C.T.) Does the appropriate authority certify funds when the amount exceeds the local authorized funding level?	___	___	___
--	-----	-----	-----

FINDING _____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Financial Management (continued)

c. Accounting Information

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) is a copy of the current year APCs and the APCs for the most recent prior year on file?	___	___	___

FINDING _____

2. Is a copy of the current DODAACs on file?	___	___	___
--	-----	-----	-----

FINDING _____

3. (C.T.) Are appropriate fund cites applied to respective requirements? (IAW DFAS-IN 37-100-FY)	___	___	___
--	-----	-----	-----

FINDING _____

4. (C.T.) Are restricted EORs identified and applied only as restrictions permit? (ref. USARCENT Publication 1-06, IAW DFAS-IN 37-100-FY)	___	___	___
---	-----	-----	-----

FINDING _____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Policies & Procedures

INSPECTION DATE _____ INSPECTOR _____

OVERALL RATING _____ FOLLOW-UP DATE _____

a. Management Control Program (AR 11-2)

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) Are explicit statements of management control responsibilities included in the Assessable Unit Manager's OER support form? (Para 2-10b (1))	___	___	___

FINDING _____

2. (C.T.) is a copy of the Management Control Plan (MCP) on-hand and maintained to reflect when Management Control Evaluations will be conducted? (Para 1-14 b(2) and 2-5)	___	___	___
--	-----	-----	-----

FINDING _____

3. (C.T.) Are Management Control Evaluations conducted IAW Para 2-4 and 2-9a?	___	___	___
---	-----	-----	-----

FINDING _____

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
4. (C.T.) Has the Assessable Unit Manager certified DA Form 11-2-R for each evaluation conducted? (Para 2-4c)	—	—	—

FINDING _____

5. (C.T.) is documentation on-hand to support Management Control Evaluation Checklist findings IAW Para 2-4 and 2-9?	—	—	—
--	---	---	---

FINDING _____

6. (C.T.) is a copy of the Annual Feeder Statement, along with supporting documentation, on file IAW Para 2-9c?	—	—	—
---	---	---	---

FINDING _____

7. (C.T.) Are Management Control Material Weaknesses being reported IAW Para 2-6?	—	—	—
---	---	---	---

FINDING _____

8. (C.T.) is a corrective action plan with milestones developed for each Material Weakness reported? (Para 2-6e)	—	—	—
--	---	---	---

FINDING _____

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
9. (C.T.) Are Material Weaknesses being tracked? (Para 2-6f)	_____	_____	_____
FINDING _____			

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Policies & Procedures (continued)

b. Spend Plans

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) Are spend plans prepared and submitted IAW Current Year MAAWS?	___	___	___

FINDING _____

2. (C.T.) Does the RM have a system for monitoring spend plan execution?	___	___	___
--	-----	-----	-----

FINDING _____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 September 2009

ASSESSED AREA: Policies & Procedures (continued)

c. Funding Programs

1) CERP & I-CERP

QUESTION

YES NO N/A

1. Are all CERP funds received via RDDs or MIPRs kept on file?

___ ___ ___

FINDING _____

2. Review open and closed files. Are any documents missing?

___ ___ ___

FINDING _____

3. Review CERP and I-CERP Tracker. Are they IAW the MAAWS Guidance?

___ ___ ___

FINDING _____

4. Is there documentation that the MSC is providing Enhanced Project Purchasing Officer (PPO) and Pay Agent (PA) training to all new and incoming PPO's and PA's as required by USF-I FRAGO 497?

___ ___ ___

FINDING _____

QUESTIONYES NO N/A

5. IAW MAAWS B-1-3, are waivers signed by Battalion/Brigade Commanders available for PPO/PAs who exceeded the maximum number of projects they can manage?

___ ___ ___

FINDING _____

6. If the I-CERP project is under the category of Roads, Sewers, Irrigation, or Micro Grants, has the MSC CG approved in writing?

___ ___ ___

FINDING _____

7. Is there a GOI sustainment letter for projects greater than \$50,000?

___ ___ ___

FINDING _____

8. Is the number of Iraqis employed on the letter of justification and the Project Tracker (column Q) for projects greater than \$50,000?

___ ___ ___

FINDING _____

9. Does the Commander's Clearance Memorandum contain the statement, "I have reviewed and approved these projects, and they are complete and adhere to the guidelines set forth in the CERP Guidance and applicable FRAGOs"?

___ ___ ___

FINDING _____

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
10. Do all projects initiated after 20 June 2008 contain the statement, "reasonable measures have been taken to ensure that other aid and reconstruction Funds (local donor nation, non-government organizations, or other resources) are not available" in the LOJ?	___	___	___
FINDING _____			

11. Does the MSC Comptroller Project Closure Memorandum describe actions taken when the project file is missing the required documentation?	___	___	___
FINDING _____			

12. Is the Monthly CERP Project Tracker submitted on time and in proper format?	___	___	___
FINDING _____			

13. Is the PPO and PA DD Form 577s on hand and contained in all appropriate package files?	___	___	___
FINDING _____			

14. Is there a MSC Micro Grant SOP on file per the MAAWS?	___	___	___
FINDING _____			

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
15. Is the MSC using in-kind contributions in place of cash for MICRO Grants? ____	____	____	____
FINDING_____			

16. Once the Micro-Grant has been distributed, is the progress of the business monitored and documented, as possible? ____	____	____	____
FINDING_____			

17. Are the Micro-Grants being recorded individually on the CERP Tracker? ____	____	____	____
FINDING_____			

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Policies & Procedures (continued)

c. Funding Programs (continued)

2) Iraqi Security Forces Funds (ISFF) Quick Response Funding (QRF)

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Are all QRF funds received via RDDs or MIPRs kept on file?	___	___	___
FINDING _____			

2. Is a document registry maintained for each separately funded QRF PR&C?	___	___	___
FINDING _____			

3. Is there a MSC approved policy and procedure document established for QRF review and approvals within the MSC area of operations?	___	___	___
FINDING _____			

4. Are all QRF requests funded at the MSC level between \$2K and \$50K?	___	___	___
FINDING _____			

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
5. Is there an exception to policy on file for any QRF requested funded for less than \$2K?	___	___	___
FINDING _____			

6. Are all QRF requests above \$50K forwarded to USF-I for processing?	___	___	___
FINDING _____			

7. Do any of the MSC fund approved QRF projects pay for requirements specifically forbidden as outlined in the MAAWS?	___	___	___
FINDING _____			

8. Is there a legal review supporting every QRF requirement funded by the MSC?	___	___	___
FINDING _____			

9. Is there a Letter of Justification detailing the short notice and emergent Nature of the requirement signed as per MSC policy in the file?	___	___	___
FINDING _____			

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
10. Are there vendor quotes in the file for requirements above the \$25K micro-purchase threshold to establish the price as fair and reasonable?	—	—	—

FINDING _____

11. Is there evidence of project splitting to avoid going over the MSC's \$50K approval threshold?	—	—	—
--	---	---	---

FINDING _____

12. Are there assurances that QRF funds used for ISF life support are for emergencies only and do not exceed 90 days?	—	—	—
---	---	---	---

FINDING _____

13. Does the MSC report to USF-I J8 all QRF expenditures by the 15 th of each month?	—	—	—
---	---	---	---

FINDING _____

14. Is the monthly QRF expenditures report fully completed and verified prior to submission to USF-I J8?	—	—	—
--	---	---	---

FINDING _____

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
15. Have all internal SOPs and continuity books been updated to reflect the latest guidance from OSD, ARCENT, USF-I, CENTCOM and FRAGOs?	___	___	___
FINDING _____			

16. Does the MSC have appropriate QRF references on hand?	___	___	___
FINDING _____			

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Policies & Procedures (continued)

c. Funding Programs (continued)

3) ORF

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) Are two separate officials designated in writing as the Representation Fund Custodian (RFC) and Certifying/Approving Officer (CAO)? (AR 37-47, 3-1)	___	___	___

FINDING_____

2. (C.T.) Do all requests to use .0012 have written justifications and have they been reviewed by SJA prior to funding?	___	___	___
---	-----	-----	-----

FINDING_____

3. (C.T.) How does the RM ensure sufficient funds are available before obligations are incurred?	___	___	___
--	-----	-----	-----

FINDING_____

4. (C.T.) Does the RFC have and IMPAC card with only ORF funding and appointment orders specifying that only ORF purchases will be made on that card? (AR 37-47, 3-4)	___	___	___
---	-----	-----	-----

FINDING_____

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
5. (C.T.) Are ORF obligations used for their stated purpose?	—	—	—

FINDING _____

6. (C.T.) Does RFC maintain a fund control register that is balanced and reconciled with accounting reports <u>quarterly</u> (monthly for USARCENT units) (AR 37-47, 3-6)	—	—	—
---	---	---	---

FINDING _____

4) OMA

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. A) IAW local policy, are there OMA fund requests that require SJA's review prior to requesting funding?	—	—	—

B) If so, what are they?

FINDING _____

2. (C.T.) How does the RM ensure sufficient funds are available before obligations are incurred?	—	—	—
--	---	---	---

FINDING _____

3. (C.T.) Do obligations meet OMA Fund purpose requirements?	—	—	—
--	---	---	---

FINDING _____

5) OPA

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) Do all requests to use OPA Funds has a written SJA review prior to requesting funding?	—	—	—

FINDING _____

2. (C.T.) Do all OPA requests have a corresponding Operational Needs Statement?	—	—	—
---	---	---	---

FINDING _____

3. (C.T.) Are OPA Fund obligations used for their stated purpose?	—	—	—
---	---	---	---

FINDING _____

6) Minor Construction Projects & Transfer Authority

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) Has Transfer Authority been granted for any MILCON projects? If so, are they on file?	—	—	—

FINDING _____

2. (C.T.) Have all requests for minor construction projects been reviewed by SJA prior to requesting funding?	—	—	—
---	---	---	---

FINDING _____

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
3. (C.T.) How does the RM ensure sufficient funds are available before obligations are incurred?	___	___	___
FINDING _____			

7) MTSA (ATLANTA)

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) Are sufficient funds requested and made available before obligations are incurred?	___	___	___
FINDING _____			

2. (C.T.) is the overall spending of MTSA funds maintained within designated ceilings?	___	___	___
FINDING _____			

8) REWARDS

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Is a documented process for administration of the rewards program within the MSC or separate reporting unit available?	___	___	___
FINDING _____			

2. Is the most recent copy of the CENTCOM Rewards Approving Officer (RAO) message listing authorized RAOs readily assessable for use in reviewing all reward payment requests? _____

QUESTION

YES NO N/A

FINDING _____

3. Are copies of the Unit Rewards POC and PA Appointment Memos for subordinate units maintained on file? _____

FINDING _____

4. Is a separate document register used and properly maintained for Reward payments? _____

FINDING _____

5. Is there a folder maintained for all fund certified Reward payment requests to include bulk funds? _____

FINDING _____

6. Do all packets for RAO approved payments contain a payment request memorandum signed by the RAO, a legal review from the supporting SJA, a mission or story board, and a copy of the fund certified PR&C? _____

FINDING _____

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
7. Do all packets for payments already made to a source also contain copies of the SF1034, SF44, DD Forms 1081 for advance and return of funds, PA clearing memorandum, and Paying Agent appointment orders and DD Form 577?	___	___	___
FINDING _____			

8. Are all SF44s properly completed to ensure document remains unclassified, ie., source name and/or signature are not located on the SF44? PA and witness signatures are used to substantiate the payment.	___	___	___
FINDING _____			

9. Do packets for bulk funded Micro Rewards contain an SF 44 for all Micro-Rewards paid from the bulk fund?	___	___	___
FINDING _____			

10. Are all Reward payments above \$10K approved at the appropriate level?	___	___	___
FINDING _____			

11. Units who have the authority to operate a Source Network (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. Are there multiple reward payments to the same source, if so has authority been given to operate a source network?	___	___	___
FINDING _____			

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
12. Is the monthly roll-up produced by units detailing all advertising, Micro-Rewards (less than or equal to \$500) and small reward payments (\$10K or less) on time and in the proper format?	___	___	___
FINDING _____			

13. Are PAs clearing bulk funds at the end of 30 days, or an approved exception to policy is in effect permitting the holding of bulk funds for a specified period longer than 30 days?	___	___	___
FINDING _____			

14. Are all large rewards (greater than \$10K) forwarded to the USF-I J8 for fund certification?	___	___	___
FINDING _____			

15. Do all advertising requests have the required documentation?	___	___	___
FINDING _____			

16. Is there a process in place for the PA to get documentation to the G8 or J8 as required to ensure timely reporting and reconciliation?	___	___	___
FINDING _____			

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
17. Are there processes place to ensure the PA is not clearing through Finance with classified or confidential documents?	___	___	___

FINDING _____

18. Is the MSC inspecting the Rewards Program operating within the subordinate Brigade level units on a quarterly basis?	___	___	___
--	-----	-----	-----

FINDING _____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Policies & Procedures (continued)

d. Requirements Validation Procedures

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Do the boards meet regularly (IAW local policy) to review requests?	___	___	___

FINDING_____

2. (C.T.) Does the board review all purchases or leases as required in excess of local policy limits?	___	___	___
---	-----	-----	-----

FINDING_____

3. Once the board reviews the packets and recommends approval, is the packet tracked and forwarded to the final approving authority IAW local policy?	___	___	___
---	-----	-----	-----

FINDING_____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Policies & Procedures (continued)

f. Year-End Closure

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) is a copy of the USARCENT End Of Year (EOY) Guidance on file?	___	___	___
FINDING _____			

2. Is a cut-off schedule from contracting offices and logistics agencies on file?	___	___	___
FINDING _____			

3. (C.T.) Are available funds identified?	___	___	___
FINDING _____			

4. Are Reimbursable, Travel, IMPAC, NULOs, commitments w/o obligations, and commitments that do not equal obligations reconciled?	___	___	___
FINDING _____			

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Processing

INSPECTION DATE _____ INSPECTOR _____

OVERALL RATING _____ FOLLOW-UP DATE _____

a. PR&Cs

1) Government Purchase Card (GPC)

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Are Cardholders, Approving Officials and Certifying Officers nominated by the chain of command to the appropriate Program Coordinator?	___	___	___

FINDING _____

2. (C.T.) Is there a separation of duties between Cardholder, Approving Official, Hand Receipt Holder, Property Book Officers, Fund Certifiers?	___	___	___
---	-----	-----	-----

FINDING _____

3. Have Cardholders, Approving Officials and Certifying Officers attended standard Army training on GPC procedures before accounts are activated?	___	___	___
---	-----	-----	-----

FINDING _____

4. For Home Station (HS) cards, has the RM established MIPRs with the HS Installation RM?	___	___	___
---	-----	-----	-----

FINDING _____

UNCLASSIFIED//FOUO

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
5. (C.T.) Has RM allotted and committed adequate funds up-front for the GPC Program with its own APC?	___	___	___
FINDING_____			

6. (C.T.) Are funding ceilings established with each cardholder prior to using his card? Has RM approved monthly/quarterly purchase limits for Cardholders?	___	___	___
FINDING_____			

7. For locally issued cards are ceilings being placed in RMT as a commitment and then de-committed and replaced with SI candidate/obligation?	___	___	___
FINDING_____			

8. Is there a system in place to verify the validity and legality of GPC purchased items?	___	___	___
FINDING_____			

9. (C.T.) Is the RM office reconciling with each billing official at end of billing cycle?	___	___	___
FINDING_____			

10. Have Cardholders checked mandatory sources of supply before making purchases?	___	___	___

FINDING _____

QUESTION

YES NO N/A

11. (C.T.) Does the Approving Official approve each purchase prior to Cardholder making a purchase? _____

FINDING _____

12. Have Cardholders reconciled monthly statement of accounts and forwarded to the Approving Official within 5 work days after the cycle closing date on the billing statement? _____

FINDING _____

13. Have Approving Officials forwarded monthly statement of accounts to the OPLOC/FAO by the 10th work day after the cycle closing date on the billing statement? _____

FINDING _____

14. Does the invoice agree with the certified monthly Billing statement of Accounts? _____

FINDING _____

15. (C.T.) Are hardcopy files maintained to support monthly expenditures to include EOM statement signed by authorizing official? _____

FINDING _____

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
16. Are payments certified in the CARE system?	___	___	___
FINDING			

2) Contracts

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) Was a decision memo with attached SOW, cost estimate, letter of legal review, and PR&C provided to RM?	___	___	___
FINDING			
2. Does the PR&C data match the data from the attached documents?	___	___	___
FINDING			
3. (C.T.) Do the contracts have necessary warranted contracting officer signatures and accurate fund cites?	___	___	___
FINDING			
4. Are Receiving Officials properly identified in the contracts?	___	___	___
FINDING			

5. (C.T.) Are contract modifications properly maintained with the contracts and obligations being appropriately adjusted? _____

FINDING _____

QUESTION

YES NO N/A

6. Are delays in submission of invoices or receiving reports being properly addressed? _____

FINDING _____

7. Are obligations appropriately adjusted for interest penalties and discounts taken? _____

FINDING _____

8. Are under or over estimates of costs for services or maintenance being identified, properly approved (if under) and obligations adjusted? _____

FINDING _____

9. Are Contract Completion Statements being received? _____

FINDING _____

10. Do obligations match disbursements in STANFINS prior to the file being moved to the inactive drawer? _____

FINDING _____

QUESTION

YES

NO

N/A

3) Bulk Funding/BPAs

1. (C.T.) Does the PR&C state the name of the contracting officer responsible for using the funds? _____

FINDING _____

2. (C.T.) Does the PR&C state the general purpose of the bulk funds? _____

FINDING _____

3. Are funds committed after PR&C is submitted to DOC and are funds obligated after receiving the written BPA call? _____

FINDING _____

4. Are BPAs closed out at end of fiscal year? _____

FINDING _____

5. (C.T.) For BPAs, does the RM have copies of all call orders? Does the total amount of all call orders equal the obligations in RMT and STANFINS? _____

FINDING _____

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
6. (C.T.) Does the RM reconcile with the Call Officer to confirm RMT open commitments match funds available on Call Officer's spreadsheet?	_____	_____	_____

FINDING _____

4) Field Ordering Officer (FOO)

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) Does the RM have a local policy governing procedures to be followed by a Field Ordering Officer?	_____	_____	_____

FINDING _____

2. (C.T.) 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?	_____	_____	_____
--	-------	-------	-------

FINDING _____

3. (C.T.) 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?	_____	_____	_____
--	-------	-------	-------

FINDING _____

4. Does the RM de-obligate the funds not used by the FOO in a timely manner? _____

FINDING _____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Processing (continued)

b. MIPRs

1) General (applicable to accepted and sent MIPRs)

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) Do MIPRs have a complete address with names, email addresses, phone and fax numbers for both financial and technical POCs? (DFAS-IN 37-1 ch 12)	_____	_____	_____

FINDING _____

2. (C.T.) 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? _____

FINDING _____

3. (C.T.) Are all commitment/obligation documents being filed and posted to RMT? _____

FINDING _____

2) MIPRs accepted by the RM

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) If an incoming MIPR is accepted as Reimbursable, does the RM request a reimbursable APC and customer number through ARCENT J8 in Atlanta? Is a ceiling set?	—	—	—
FINDING _____			

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
2. Do ceilings in RMT match the amount on the MIPRs?	—	—	—
FINDING _____			

3. (C.T.) Are incoming direct MIPRs' fund cites accurately posted to all applicable obligating documents?	—	—	—
FINDING _____			

4. (C.T.) If the reimbursable charges need to be transferred, how are the charges being tracked so they can be transferred?	—	—	—
FINDING _____			

5. Since obligations against reimbursable must not exceed the amount of the MIPR, are requests for increases noted in the files?	—	—	—
--	---	---	---

FINDING _____

3) MIPRs sent by the RM

QUESTION

YES NO N/A

1. (C.T.) Can outgoing MIPRs be traced from the file to document register, RMT, and STANFINS? Are the MIPR numbers correct? Are the amounts correct? _____

FINDING _____

2. (C.T.) For amendments, is the change in funding reflected correctly in block 9F and 14 of DD 448 while block 11 shows the total? _____

FINDING _____

3. (C.T.) Does the MIPR have the economy act legal statement on it regarding type of funds? (DCA or DFAS-IN 37-1, ch. 12) _____

FINDING _____

4. (C.T.) Does block 14 include complete fund cite? (IAW DFAS-IN 37-1 ch12& DFAS-IN 37-100-FY) (e.g. FSN, OA, ASN, EOR, APC, document number, etc.)? _____

FINDING _____

5. (C.T.) A) Does the RM obligate directly accepted MIPRs, _____
that they have sent, upon receipt of a 448-2?

(C.T.) B) Or do they obligate when they receive the contracts _____
and obligate for the contracted amount(s)?

FINDING _____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Processing (continued)

b. Travel Actions

1) Temporary

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) Are DD 1610 travel requests signed in blocks 17 and 18 by appropriate individuals?	___	___	___

FINDING_____

2. (C.T.) If variation in itinerary is authorized on the orders, does a written justification signed by the approving official accompany the orders?	___	___	___
--	-----	-----	-----

FINDING_____

3. What requirements are placed on blanket travel IAW local policy?	___	___	___
---	-----	-----	-----

FINDING_____

4. Are estimated funding amounts on TDY orders reasonable? (within plus/minus 15%)	___	___	___
--	-----	-----	-----

FINDING_____

UNCLASSIFIED//FOUO

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
5. (C.T.) Is a Customer Identification Code (CIC) denoted on each order to the AOR?	___	___	___

FINDING _____

6. (C.T.) Are remarks (block 16 of DD1610) verified for accuracy and fiscal responsibility?	___	___	___
---	-----	-----	-----

FINDING _____

7. Where applicable, are all Format 400s with backup documentation on file? (COPY REQUIRED)	___	___	___
--	-----	-----	-----

FINDING _____

2) R&R Leave

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. For R&R, does the RM have a system of providing SATO the ability to label DA-31s with the appropriate fund cite?	___	___	___

FINDING _____

2. (C.T.) Does the RM have a system of obtaining funding requirements from the SATO for contract and follow-on commercial air costs?	___	___	___
--	-----	-----	-----

FINDING _____

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
3. Are obligations recorded in RMT within 10 days of receiving the funding requirements from SATO?	—	—	—

FINDING _____

4. Are associated R&R requirements processed with HQDA G-1 R&R Task Force?	—	—	—
--	---	---	---

FINDING _____

5. Does SATO provide any funding requirement changes after original requirements are received by RM? If so, are commitments and obligations appropriately adjusted?	—	—	—
---	---	---	---

FINDING _____

3) Emergency Leave/Medical Leave

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) 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)?	—	—	—

FINDING _____

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
2. (C.T.) Are proper fund cites posted on the DA 31s with certification signature?	___	___	___
FINDING _____			

3. Is a Customer Identification Code (CIC) denoted on each order?	___	___	___
FINDING _____			

4. Where applicable, are amended, rescinded or revoked orders (DA 31s) properly completed?	___	___	___
FINDING _____			

5. Are appropriate requesting documents used to generate travel orders for medical purposes? What are they?	___	___	___
FINDING _____			

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: File Maintenance

INSPECTION DATE _____ INSPECTOR _____

OVERALL RATING _____ FOLLOW-UP DATE _____

a. Document Register

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) A) Do they have a functional document register?	___	___	___
B) Does it have: POC, description, amount, commitments & obligations?	___	___	___

FINDING _____

2. (C.T.) Do the documents in the register track with the documents in RMT and STANFINS and are they reconciled against spend plans to ensure obligations are on track?	___	___	___
---	-----	-----	-----

FINDING _____

3. A) Does the RM have written local procedures for updating the document register?	___	___	___
B) Are internal procedures followed?	___	___	___

FINDING _____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: File Maintenance (continued)

b. ARIMS

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) Are files organized in a manner which facilitate easy identification and retrieval of documents?	___	___	___

FINDING _____

2. (C.T.) Are classified documents filed in proper security containers?	___	___	___
---	-----	-----	-----

FINDING _____

3. Are suspense files organized in a manner which facilitate easy tracking of suspense?	___	___	___
---	-----	-----	-----

FINDING _____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: File Maintenance (continued)

c. File Layout

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) A) Does each entry in RMT have a corresponding hardcopy file?	___	___	___
(C.T.) B) Is it in the document register?	___	___	___
FINDING_____			

2. (C.T.) A) Does each file include a Financial Mgt Action Log?	___	___	___
(C.T.) B) Are the Logs up to date?	___	___	___
FINDING_____			

3. (C.T.) Have documents over local RM certification level been signed by the appropriate certifying official?	___	___	___
FINDING_____			

4. (C.T.) Are files IAW RM File Layout in <u>ARCENT Publication 1-06</u> ?	___	___	___
FINDING_____			

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: File Maintenance (continued)

d. Disposition

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. (C.T.) Are all open files (to include prior year) on hand?	___	___	___
FINDING_____			

2. (C.T.) A) Are all closed files locally stored for one fiscal year after year of closure?	___	___	___
(C.T.) B) Are files organized in a manner which facilitate easy identification and retrieval?			
FINDING_____			

3. Are locally stored files marked "closed" complete with all required documents?	___	___	___
FINDING_____			

4. (C.T.) Do obligations, commitments and disbursements match on all closed files?	___	___	___
FINDING_____			

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
5. (C.T.) Are closed files which are no longer required to be locally stored shipped to ARCENT HQs for long-term storage?	___	___	___

FINDING _____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Automation Administration

INSPECTION DATE _____ INSPECTOR _____

OVERALL RATING _____ FOLLOW-UP DATE _____

a. RMT

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Do commitment documents have indication of when they were input into RMT and by whom?	___	___	___

FINDING _____

2. Is RMT being utilized to record commitments within two working days of certifying funds?	___	___	___
---	-----	-----	-----

FINDING _____

3. (C.T.) Does the RM have a system to track open commitments?	___	___	___
--	-----	-----	-----

FINDING _____

4. A) Do RMT files reflect current and one prior year of information?	___	___	___
---	-----	-----	-----

FINDING _____

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
5. A) Is the date for the documents in the Commitment Without Obligations more than two months old?	___	___	___
B) If yes, what has been done to correct? (documentation that supports – phone log, e-mails etc)	___	___	___

FINDING _____

6. (C.T.) A) Are STANFINS Input (SI) candidates being obligated in a timely manner? (10 days from the date of the document)	___	___	___
(C.T.) B) Does a clear audit trail of follow-ups exist?	___	___	___
(C.T.) C) Is there any indication that inappropriate documents are marked as SI candidates?	___	___	___

FINDING _____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Automation Administration (continued)

b. STANFINS

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Does the RM review STANFINS data? (ODS)	___	___	___
FINDING _____			

2. (C.T.) Can open documents be cross-walked from STANFINS to RMT and hardcopy files regardless of fiscal year?	___	___	___
FINDING _____			

3. Is the APC List in STANFINS checked against the APC Master File from RMT at the beginning of FY?	___	___	___
FINDING _____			

4. (C.T.) Are there TDYs or GPC obligations still open in STANFINS for prior years?	___	___	___
FINDING _____			

5. Is STANFINS used to update the document register?	___	___	___
FINDING _____			

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
6. Is STANFINS used to clear NULOs?	—	—	—

FINDING_____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Automation Administration (continued)

c. Aquiline/PD2

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Is either Aquiline or PD2 locally used to retrieve contracts?	___	___	___
FINDING_____			

2. Are local procedures published for using Aquiline or PD2?	___	___	___
FINDING_____			

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Automation Administration (continued)

d. GPC

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Is GPC locally used?	___	___	___
FINDING_____			

2. A) If GPC is used are the bills processed through AXOL?	___	___	___
B) If not what are local procedures to ensure bills are paid timely?	___	___	___
FINDING_____			

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Review & Reconciliation

INSPECTION DATE _____ INSPECTOR _____

OVERALL RATING _____ FOLLOW-UP DATE _____

a. Prior Years

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Does the RM have a local policy governing how to reconcile prior year records?	___	___	___

FINDING _____

2. (C.T.) Does the RM review the NSFOP report at least monthly to check prior year records?	___	___	___
---	-----	-----	-----

FINDING _____

FINANCIAL MANAGEMENT ASSESSMENT REVIEW

CHECKLIST UPDATED AS OF 30 August 2009

ASSESSED AREA: Review & Reconciliation (continued)

b. Current Year

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Does the RM have effective local procedures for reconciliation?	___	___	___
FINDING _____			

2. (C.T.) Does the RM use ODS reports to reconcile obligations?	___	___	___
FINDING _____			

3. Does the RM sign a monthly cover sheet that states a monthly reconciliation was completed?	___	___	___
FINDING _____			

4. Does the RM review potential de-obligation of ULO amounts if no further disbursements will be made?	___	___	___
FINDING _____			

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
5. Does the RM keep copies of the RMT reports: 1) "Obligations unequal to Commitments" and 2) "Commitments without Obligations" with explanations for all open commitments?	—	—	—

FINDING _____

6. (C.T.) 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?	—	—	—
--	---	---	---

FINDING _____

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

WEBSITES

C6VB (SIPRNET)

<http://sps.iraq.centcom.smil.mil/C5/C6%20OPS/default.aspx>

USF-I C7 (SIPRNET)

http://mnci.res.s-iraq.centcom.smil.mil/Staff-Sections/C7/Facilities/C7_Facilities_Workspace/JFUB/default.aspx

Sand Book (SIPRNET)

UNCLASSIFIED//FOUO

[http://mnci.res.s-iraq.centcom.smil.mil/sites/C7/Facilities/C7FacilitiesWorkspace/references/ccr%20-%centcom%20sandoob%20\(1%20dec%202007\).pdf](http://mnci.res.s-iraq.centcom.smil.mil/sites/C7/Facilities/C7FacilitiesWorkspace/references/ccr%20-%centcom%20sandoob%20(1%20dec%202007).pdf)

USF-I J8 JFARB CELL (SIPRNET)

<http://j8.forces.intranet.s-iraq.centcom.smil.mil/sites/jfarb/Pages/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/USARCEN) - <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 (USARCEN) - http://www.centcom.mil/components/arcent_page.htm

USF-I J8 CONTACT INFORMATION

**USF-I J8
Camp Victory South, Iraq
APO AE 09342
DSN 318-485-XXXX**

J8	2373
Deputy J8	2374
Administration	2552
Operation and Maintenance (OMA)	2550
Field Ordering Officer (FOO), PR&C, Travel Orders	2551
Commander's Emergency Response (CERP)	4777
Iraqi Security Forces Funding (ISFF)	3909
Rewards	3908
Transition Team Funding	2380
Management Internal Control Program	2527
Requirements Validation Process	5226/6334
LOGCAP Budget	2612
Plans, Operations, and Analysis	4289