

CARE FUNCTIONAL REVIEW
FACILITIES MANAGEMENT, CONSTRUCTION, REAL PROPERTY
AND SAFETY, HEALTH, AND ENVIRONMENTAL MANAGEMENT

For information on the interpretation or clarification on the functional questions in this section, please contact Rommy Ignacio on 301-504-1191.

3.00-1 Repair and Maintenance

- Determine if the Location annually earmarks at least 4 percent of its base funds to accomplish routine repair and maintenance (R&M) needs or has received a waiver in accordance with Agency policy. (ARMS Manual, ARS Manual 245.1, Chapter IX).
- Verify that there is regular maintenance procedures in place. Are buildings and ancillary equipment inspected on a regular basis? Ensure that the Location is consulting with the Area Engineer for identifying/prioritizing repair and maintenance needs/projects.
- Check to see if multi-year facility planning is in place. Ensure the Location's Facility Plan contained in the ARMP correlates with the annually updated ARS Facility Plan.

3.00-2 Energy Management

- Determine if the Location is integrating energy conservation into its regular operations and maintenance activities per ARS Energy Management Plan (P&P 134.2).
- When was the last energy audit performed? Have recommended energy conservation projects been implemented or included in the ARS Facility Plan? Does the ARS Facility Plan include future energy audits? Were energy projects recommended by the audits implemented?
- Ensure that Location maintains consumption records/monitors energy consumption patterns so that any possible irregularities in utilities billing or estimating procedures can be identified quickly.

3.00-3 Facility Accessibility

- Ensure Location facilities meet the needs of individuals with physical disabilities. Have professional surveys been done to assess physical accessibility needs to conform with the Uniform Federal Accessibility Standards (UFAS) or the Americans with Disabilities Act Accessibility Guidelines (ADAAG)? Does the Location have copies of the UFAS or ADAAG?
- Are Location buildings and facilities accessible to people with disabilities?
- Is there an accessible route from the public way to building entrances?
- Are there marked parking spaces and entrances for disabled individuals?
- Are there accessible paths of travel to primary workstation, conference/training room, all purpose (gathering) areas?

- Are there accessible elevators to all floors of facility?
- Is there one accessible rest room, on each floor of facility, with proper door width; toilet stall; sink basin; path of travel?
- Are there accessible water fountains?

3.01 Architect-Engineering (A-E) Contracts

For information on the interpretation or clarification on the functional questions in this section, please contact Regina Herchak on 301-504-1179.

3.01-1 A-E Contracts

- Determine if the Location has A-E authority? If so, what is the threshold?
- Determine if the Location obtains A-E Services. If they do, how do they acquire them?
- Determine if the Location has any concerns with A-E services provided under Area/Headquarters contracts.

3.02 Construction Contracts

- Determine if the Location has construction authority. What is the threshold?
- Determine if site visits and pre-bid conferences are conducted as described in FAR 14.207. Are uniform agendas utilized? Are the events of these meetings documented?
- Determine if large projects are being split to keep them within the Location's authority.
- Determine if the Contracting Officer has delegated any authority or responsibility to personnel at the job site. If so, was a formal letter(s) of delegation as Contracting Officer's Representative (COR) or Contracting Officer's Technical Representative (COTR) issued that clearly describes the authorities, responsibilities, and limitations in accordance with FAR Part 42.202?
- Are Davis-Bacon Act (DBA) requirements being monitored in accordance with FAR 22.4? For example, Posting of Wage determinations (FAR 22.404-10) and Submission and Review of Weekly Payroll Records (FAR 22.406-7), etc.
- Determine how payments are made under construction contracts. Are payments made monthly based on a percentage of completion, lump sum, etc
- Determine if change orders or contract modifications were executed. Were these actions documented for the file as follows:
- What was the contractual authority for the change (changes, differing site conditions, suspension of work, etc.)?

- Were these actions pre-priced or based on actual costs?
- Was the price determined fair and reasonable (FAR 13.106-3) (FAR 31.201-3)?
- Determine if contract performance periods are appropriately monitored. If completion date passes, is some action taken to reestablish the completion date?
- Are inspections conducted in accordance with FAR 46-312 and 46.1? If so, are files documented to show the results of the final inspection?
- Are contracts closed out properly (FAR 4.804)?
- Are formal written Notices to Proceed (NTP) issued to the contractor to establish the official commencement date of performance? Does the contractor sign it? Is a signed copy of the NTP maintained in the contract/purchase order file?
- Are significant discussions and/or issues documented and copies maintained in the contract/purchase order file?"
- Is the Form ARS-371, Construction Progress and Payment Schedule, (or something similar) being used for individual projects involving multiple disciplines (HVAC, plumbing, electrical, etc.), larger dollar value projects, or lengthy projects? If so, is it being reviewed by the COR and approved by the CO; and is it also being used as a means of verifying contractor invoices?

3.03 Facility Security

For information on the interpretation or clarification on the functional questions in this section, please contact Terry Rupe on 301-504-1228.

Reference: P&P 240.3, June 2000, Physical Protection, Security and Conduct While on REE Facilities; P&P 243.4, January 2004, Issuing and Controlling ARS ID Badges.

- Ensure the Location has an Occupant Emergency Program (OEP) established and that each employee has a copy. The program should cover processes to be followed during emergencies, such as fire, explosions, bomb threats and natural disasters.
- Ensure the Location is conducting physical security surveys. Does the Location perform these in conjunction with ARS Homeland Security Office (ARSHS)?
- Identify if Location has any Physical Security Countermeasure projects planned or under consideration. If yes, are they aware of ARSHS design and review role?
- Does Location know to contact ARSHS (202.720.2452) for the following: all possible OIG investigations; vandalism to, or theft of, mission critical assets; workplace violence activities; and workplace death events.
- Does the Location maintain a current roster and call list of local and federal law enforcement contacts?

- Does the Location have any security related MOU's in place? If yes, with what agency and for what specific service?
- Is the Location aware of the ARSHS Web site [<http://arsnet.usda.gov/OHS/>].
- Does the Location rely on any outbound third-party security alarm monitoring and response mediums or services ? If yes, who and what type?

Examples:

--Door contact alarms monitored and responded to by campus police between hours of 1800 - 0700 seven days a week.

--Greenhouse temperature alarms that automatically page a location employee who decides on appropriate response.

--Burglar alarms monitored by a third-party service that notifies a pre-determined entity (campus police, local police, contract guard services, location employee, etc.).

- How often does the Location is review its security operation and administrative procedures?
- Ensure that there is some type of fire protection/prevention system (alarms, sprinklers) in place (ARS Manual 230).
- What procedures are in place for conducting annual "Emergency Disaster Drills" (ARS Manual 230)?
- Is the Location issuing ID Badges in accordance with P&P 243.3?

3.03-1 Workplace Violence

- Did the Location receive the orange “workplace violence handbook”?
- Is there a plan in place to respond to workplace violence? Do managers/employees know what to do in the event of a violent situation?
- Are employees aware of the Secretary’s policy on the prevention of Workplace Violence?

3.04-1 Acquisition (Purchase, Donation, Exchange or Transfer) of Real Property

References Real Property Manual Chapter VI, August 1989 and 7 United States Code 2250(a)

- Is the Location aware that no acquisition shall be made unless provision is made in the applicable appropriation or other law? Does the Location have an accurate understanding of Agency policy regarding the acquisition of land (purchase, exchange, or otherwise), as well as non-Agricultural Research Service (ARS) construction on ARS-owned property?

- Does the Location know where to direct acquisition questions? Provide useful contact phone numbers for the Area Realty Specialist and assigned Headquarters Realty Specialist.
- Is the Location aware that the Real Property Management Branch (RPMB), 301-504-1224, should be contacted regarding all acquisitions, including gifts of real property?
- How are newly constructed facilities or capitalized improvements tracked for inputting or updating in the Corporate Property Automated Information System (CPAIS)? Is the Location forwarding its requests for the establishment of a Unique Asset Identifier for all capitalized assets to the Area Realty Specialist? Is the Location aware that copies of all prior year adjustments – for example for a capitalized structure that already exists and should have been on an inventory, but was overlooked during the last reconciliation cycle – must be forwarded through the Area Realty Specialist to the Real Property Management Branch on a monthly basis?
- Do Location files have copies of acquisition documents, including deeds, leases, transfer documents, etc.?
- Is training or guidance needed in the area of Acquisition?

3.04-2 Utilization, Accountability, and Control of Real Property

Reference: Real Property Manual Chapter IX, July 1992

- How does the Location ensure land and facilities are utilized in accordance with Agency policies?
- Is the Area Office providing copies of inventory printouts, for verification and update, every 5 years? What procedures are in place for conducting inspections of real property holdings to verify that all land, buildings and structures are accounted for and effectively used in support of mission-related activities?
- Is the Location aware that the CPAIS system will be used to capture laboratory and office space assigned to each SY? University space covered under a Memorandum of Agreement, Special/Cooperative Agreements, etc?
- Are records established and maintained with the following:
 - custodial responsibility for the real property assigned to the Location and Location worksites
 - physical inventories signed by the Accountable Property Officer along with documented recommendations for adjustments
 - identification of Historical properties/sites and related Historic Preservation Plans. Are copies provided to the Area Office and Headquarters?
 - acquisition files containing copies of short- and long-term leases, construction-related materials including “as built” and floor plans, donation or transfer documents, and AD-107’s for formal documentation for RPMIS updates, etc.
 - disposition files containing AD-107’s, AD-112’s, SF-118’s, SF-118a,b,c’s and

- Statements of Findings--are these completed at the Location and forwarded to the Area Office for buildings and structures that are recommended for disposal?
- Are procedures in place to address encroachments on ARS lands? If an encroachment is identified or brought to the Location's attention, how is this information relayed to the attention of the Area Office's or Real Estate Warrant Officer (REWO)?
- What processes are in place to ensure construction projects are within legal limitations? Does the Location take an active role in the review process during Design/Construction? Is this coordinated with the Area Office? Does the Location coordinate with any local "Referral Agencies" that must be involved, such as planning commissions, the State Historic Preservation Officer (SHPO), etc?

3.04-3 Leasing Real Property – Land and Space – and Agreements

References: Real Property Manual 245.1 Chapters I and VIII, August 1989; Departmental Regulation 1620-2, USDA, Space Management Policy and 7 United States Code 2250(a)

- Are copies of any space or land leases, Memorandums of Understanding, Unfunded Cooperative Agreements, Supplemental Agreements, etc. on file? Are copies of these documents forwarded to the Area Realty Specialist? Agreements may cover space in non-ARS-owned buildings, land for field plots, and the construction or placement of ARS-owned buildings.
- Is the Location familiar with the requirements and restrictions of these documents and what procedures are in place for these being periodically reviewed?
- Is the Location aware that ARS may not erect buildings or other structures on non-Federal lands without first obtaining the right to use the land through a lease or other document granting realty interest in the land for the estimated life of or need of the improvement as described in 7 U.S.C. 2250(a)?
- Has the Location made any capital improvements (\$25,000 or more) to space not covered by a realty interest? Since such improvements are not permitted, if this has occurred, such actions should be immediately brought to the Area Office's attention so that a document can be prepared and executed.
- Ensure the Location is aware that Departmental Regulation 1620-2 establishes USDA policy on acquisition, management and disposition of office and related space for USDA-owned, leased and GSA-controlled space, and that all USDA agencies must comply with this regulation. The RPMB has under its direction a small group of space and building management specialists should assistance in this area be required.
- Is the Location aware that the Area has responsibility for preparing short-term leases covering 1-10 years? Does the Location provide renewal justifications in a timely manner to ensure that lease renewal notices may be sent and signed prior to expiration to prevent ARS from being in "hold over status"? Is Location aware that RPMB prepares long-term leases covering terms over 10 years?

3.04-4 Grants of Easement and Revocable Permits

References: Real Property Manual 245.1 Chapters III and IV, August 1989 and P&P 244.0-ARS, September 2003, Guidance and Instructions for the Collection and Use Fees for Revocable Permits and Easements

- How does the Location verify that easements and revocable permits are in place as required? Are these periodically reviewed to ensure renewal prior to expiration, that expired easements are vacated, etc.? How does the Location communicate their findings to the Area Office and/or REWO?
- What part does the Location play in the identification of historic properties and archeological resources that may be affected? Who is responsible for determining if there is “an undertaking” established? How does the Location coordinate requests for information and technical assistance from the State Historic Preservation Officer (SHPO) as related to the Section 106 Process? Does the location maintain files on all consultations? Does the location forward copies to the Area Office? Is the Location familiar with the lead-time for SHPO review and consultation?
- When screening requests for easements, how does the Location ensure that the request is a case of necessity and that the land requested does not exceed what is required? Are procedures in place to ensure that rights are not granted to ARS property that would be incompatible with the proposed use or encumber use of the property? Are current and future program needs and possible conflicts considered during the review process--prior to recommending such requests?
- How are requests to occupy ARS-owned buildings or utilization of ARS facilities addressed at the Location? How does the Location ensure that a revocable permit is issued for all entities using ARS-owned/controlled space? Are inspections performed of tenant space to ensure compliance with ARS regulations?
- How are requests for the installation of antennas addressed at the Location? Are these carefully evaluated and coordinated with the REWO to ensure that requests do not impact or interfere with existing research programs, future land development plan, “Referral Agencies”, human exposure limits, etc.?
- Is the Location familiar with P&P 244.0, Guidance and Instructions for the Collection and Use Fees for Revocable Permits and Easements? This is available on-line.

3.04-5 Quarters Rentals

References: Real Property Manual 245.1 Chapter V, August 1989; P&P 245.2, June 1993; Furnishings and Household Goods in ARS Controlled Living Quarters and Department of Interior Department Quarters Handbook 400 DM, June 1994

- If the Location has quarters, is the Location aware of the responsibilities regarding quarters management? Are rental fees collected used in accordance to regulations?
- Do quarters files have support documentation to demonstrate that Government living quarters for ARS employees are properly managed and accounted for? Do files at a minimum include:
 - Documentation of Consumer Price Index (CPI) adjustments
 - Copies of the most recent appraisal along with any background documentation
 - Documentation of Condition of Employment (must be reviewed every 5 years.)
 - Sampling results from any screening tests performed (i.e., lead, asbestos, mold, etc.)
 - Are lead disclosure statements provided to residents for homes constructed prior to 1970?
- Are Forms ARS-494's, ARS-4's and REE-15's prepared at the Location or Area Office? If prepared elsewhere, are they carefully reviewed for accuracy prior to having the employee who is renting the quarters sign the documents and then forwarding them to the REWO for execution?
- Does the Location bring any rental collection problems incurred to the attention of the REWO?
- Are CPI adjustments made annually? Are employees provided with a minimum of 30 days advance notice of such adjustments?
- Are the Quarters Rental Surveys and Sample Plans that are prepared by the Department of Interior reviewed to ensure that the information provided is correct, such as the nearest established community?
- How does the Location ensure the inventory and accountability of furnishings provided in quarters?
- Is a physical inspection performed of the quarters prior to occupancy and a condition report prepared and signed by the inspecting official and employee who is renting the quarters? Are periodic physical inspections performed to identify maintenance, repair and safety and health conditions that need correction? How are items identified formally documented and what tracking mechanism is in place to ensure these are corrected?

3.04-6 Disposal of Real Property

References: Real Property Manual 245.1 Chapter II, August 1989 and P&P 246.1-ARS, September 1997

- Are Locations compiling packages for real property identified as excess or recommended for disposal?
- Are Locations developing the annual protection and maintenance costs for real property assets for such expenses to be incurred during the excess/surplus/disposal process?

- Does the Location prepare AD-107's, AD-112's, SF-118's, and etc. for all disposal actions, including disposal of ARS-owned buildings with a value of \$50,000 or less? Are these documents forwarded to the Area Office upon completion?
- Are the following screening surveys being addressed during the disposal process?
 - threatened and endangered species
 - hazardous building components such as lead, asbestos
 - associated underground or above ground storage tanks
 - environmental impact
 - McKinney Act
 - Section 106 review and consultation
 - site-specific requirements
- Has the Location established a working relationship with the SHPO? Does the Location have a Programmatic Agreement in place?

3.05-1 Safety, Health, and Environmental Management

For information on the interpretation or clarification on the functional questions in this section, please contact Pete Jovanovich on 301-504-1243.

- Verify the Location had assigned personnel to manage and implement the safety, health and environmental management (SHEM) program. At a minimum, each Location must have an assigned Collateral Duty Safety Officer. Locations with 15 or more full time employees must have a Safety Committee. The Safety Committee should be representative of the Location's employees. (ARS Manual 230, Chapter 17)
- Verify the Location has a written SHEM policy statement and annual program goals and objectives for eliminating and/or minimizing losses as a result of accidents/incidents involving or producing injury, illness, and property/environmental damage in the ARS workplace. (ARS Manual 230, Chapters 9, 25, 26, and 30)
- Verify funding for SHEM requirements are listed in the ARMPS. Costs for requirements in excess of \$25,000 should be listed in the Procurement Plan of the ARMPS. Costs for requirements less than \$25,000 may appear elsewhere in the ARMPS at the direction of the Area office. If the Location is using Hazardous Waste Cleanup (HWC) funds, those funds should be listed in the HWC High Priority Requirements List section of the ARMPS. (ARMPS Manual/Guidance and ARS P&P 230.1, Tracking Hazardous Waste Cleanup Funds)
- Verify applicable Federal, State, and local SHEM laws, regulations, codes and guidance are present in a centralized location available for reference by employees at all times. Access through the Internet is acceptable if employees are provided with Web site addresses, a knowledge and/or training on how to use this source, and access to an on-line computer at all times. (ARS Manual 230, Chapter 8)
- Verify required SHEM related materials (i.e., Poster AD-1010, USDA Safety and Health poster; OSHA Form 300A, Summary of Work-Related Injuries and Illnesses; CA-10, What a Federal Employee Should Do When Injured at Work; and other local

requirements) are posted on a bulletin board(s) in a conspicuous location(s) accessible to all employees. (ARS Manual 230, Chapter 16)

- Verify safety, health, and environmental requirements are taken into consideration during the design and construction process. Location and/or Area SHEM personnel must review designs to ensure they meet SHEM requirements. (ARS P&P 242.2, Facilities Construction)

3.05-2 Safety, Health and Environmental Education/Training

- Verify safety, health, and environmental training is provided as part of the ARS Employee Orientation Program for new or transferred employees. (ARS Manual 230, Chapters 13, 25, 26, 28 and 29)
- Verify personnel have viewed each of the six Agency SHEM training videos, as applicable.
- Verify the Location has assessed the workplace and identified appropriate job-specific safety, health, and environmental training for all employees.
- Verify completed training is documented and kept in a centralized location. Training that has not yet been completed should be documented in the employee's Individual Development Plans (IDP), ARS Form 48. Employees should not engage in an activity until they have received appropriate training. (ARS Manual 230, Chapters 10 and 13)
- Determine if the Location has an Incentive Awards Program for recognizing SHEM performance. While not required, many Locations use such methods to encourage participation in SHEM programs. (ARS Manual 230, Chapter 14)

3.05-3 Safety Management

- Verify the Location provides written notification of potentially hazardous conditions to employees. Management must inform employees about any workplace hazards. (ARS Manual 230, Chapter 25).
- Verify that the Location has a comprehensive SHEM Inspection Program using ARS Form 404, or equivalent. Inspections must be conducted annually and reports kept on file for five years. (ARS Manual 230, Chapter 21)
- Verify the Location has a comprehensive SHEM Abatement Program to correct deficiencies identified by employees and during annual inspections. Check to verify deficiencies are abated within 30 calendar days. If a deficiency was not abated within 30 calendar days, check to verify the facility developed a written abatement plan with milestones as well as interim steps to protect employees from injury as a result of the unsafe or unhealthful working condition. All abatement activity documentation must be present in a centralized location available for reference by all employees. (ARS Manual 230, Chapter 21)
- Verify the Location has an Accident/Incident Investigation and Reporting Program in place (i.e., the Location must have a file for accident reports and the ensuing

investigations.) Ensure the Location has documented the measures taken to prevent recurrence of accidents/incidents. (ARS Manual 230, Chapter 19)

3.05-4 Industrial Hygiene

- Determine if the location has conducted an industrial hygiene baseline survey to identify hazards in the workforce (i.e., Locations are required to establish baseline surveys by June 2005). (ARS Manual 230, Chapter 33)
- If chemical, biological, or radiological agents are used, verify the Location has a written Hazard Communication Program and Chemical Hygiene Plan; and, that training has been provided for these programs. (ARS Manual 230, Chapters 13, 25, and 26)
- Verify the Location maintains an inventory of chemical, biological, or radiological agents, and that the inventory is updated at least annually. (ARS Manual 230, Chapter 25)
- Verify that Material Safety Data Sheets (MSDS) are retained and that they are orderly and easily assessable to employees who need them. MSDS are required for all materials that may be harmful to humans such as laboratory chemicals, pesticides, insecticides, cleaning agents, biological agents, radiological agents, etc. (ARS Manual 230, Chapter 25)
- Verify all hazardous areas and areas containing hazardous materials (i.e. chemical, biological, and radiological agents) are clearly posted and secured. (ARS Manual 230, Chapters 25 and 29)
- Verify applicable Personal Protective Equipment (PPE) is available and its use mandated. Each employee's immediate supervisor is responsible for:
 - assessing the need for PPE;
 - providing appropriate PPE to employees;
 - developing standard operating procedures for PPE;
 - training employees on proper use and care; and
 - ensuring that employees utilize the equipment. (ARS Manual 230, Chapters 21 and 30)
- Verify that first aid is available on all shifts. In the absence of professional medical attention in near proximity to the workplace (i.e., 3-4 minutes), verify the Location has a person(s) trained to render first aid and has adequate first aid supplies. (OSHA Standard 29 CFR 1910.151 and ANSI Standard Z308.1)

3.05-5 Environmental Management

- Determine if the Location has established an Environmental Management System (EMS) coordinator and is working on developing a Location EMS (i.e., all Locations must have an EMS in place by December 31, 2005). (E.O. 13148, Greening the Government Through Leadership in Environmental Management)

- Verify the Location considers safety, health, and the environment in its procurement practices. Specifically, the Location should have procedures for reviewing AD-700's for hazardous substances to determine if:
 - materials are already in stock and available;
 - less hazardous substance can be substituted; and
 - minimal quantities are being ordered.(ARS Manual 230, Chapter 52)

- Verify the Location has procedures for determining if a waste is a regulated hazardous waste as well as for the satellite accumulation of hazardous wastes. Verify that personnel who generate hazardous waste have been trained on these procedures. (ARS Manual 230, Chapter 45)

- Verify the Location maintains records on the quantity and types of hazardous waste generated each month. The Location utilizes this information to determine and document their generator classification (i.e. conditionally exempt small quantity, small quantity, and large quantity). (ARS Manual 230, Chapter 46)

- Verify the Location has filed EPA Form 8700-12, "Notification of Hazardous Waste Activity", with the EPA or State, if applicable. The EPA does not require conditionally exempt small generators to file, however, the State may require the Location to file. (ARS Manual 230, Chapter 46)

- Verify the Location has written procedures for the temporary storage of hazardous wastes including management, handling, and disposal. (ARS Manual 230, Chapter 46)

- Determine if the Location maintains a log of hazardous wastes inspections. Weekly inspections of hazardous waste storage areas must be conducted for large quantity generators. Small quantity and conditionally exempt small quantity generators are not required to perform such inspections but are encouraged to do so. (ARS Manual 230, Chapter 46)

- Verify Hazardous Waste Manifests are on file and orderly (a returned signed copy from the disposal or treatment facility receiving the waste is required). Locations that utilize University resources to dispose of waste are responsible only for documenting the types and quantities of waste (i.e., copies of manifests are not required). (ARS Manual 230, Chapter 46)