

DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON D.C. 20350-2000

IN REPLY REFER TO
OPNAVINST 11101.19E
N463C
07 August 1996

OPNAV INSTRUCTION 11101.19E

From: Chief of Naval Operations

Subj: MANAGEMENT OF FLAG AND GENERAL OFFICER QUARTERS (F&GOQs)

Ref: (a) DOD Directive 4165.63 of 20 Jul 89 (NOTAL)
(b) DOD Directive 4001.1 of 4 Sep 86 (NOTAL)
(c) DOD 4165.63-M of Sep 93 (NOTAL)
(d) SECNAVINST 1306.2C of 22 Apr 80
(e) NAVCOMPT Manual, Vol 3, Chapter 7, Part E
(f) DOD Directive 4710.1 of 21 Jun 84 (NOTAL)
(g) DOD Directive 1100.12 of 3 Sep 91 (NOTAL)
(h) SECNAVINST 11101.73A of 27 Oct 89 (NOTAL)
(i) OPNAVINST 11101.13J of 16 Dec 92
(j) NAVFAC P-930

Encl: (1) F&GOQ Statutory Controls, Congressional Language
and OSD Policy
(2) Navy Operation of F&GOQs

1. Purpose. To provide Navy policy and guidance regarding the management of public quarters assigned to flag and general officers. This instruction is a complete revision and should be reviewed in its entirety.

2. Cancellation: OPNAVINST 11101.19D

3. Scope. This Instruction is applicable to public quarters on the Navy family housing property account, or otherwise under Navy control, designated for or occupied by officers of grade 0-7 and senior. It complies fully with the scope and intent of the Department of Defense (DoD), the Secretary of the Navy (SECNAV), and the Chief of Naval Operations (CNO) guidance contained in references (a) through (j). Navy quarters occupied by the Senior

Enlisted Members of the Navy, Marine Corps, and Coast Guard are treated as though they were F&GOQs for purposes of this instruction, except that the provisions of enclosure (1) generally do not apply.

4. Discussion. Because of their age, size, and, in many cases, historic status (whether listed, or eligible, in the National Register of Historic Places or located in a historic district), F&GOQs have been the highest-cost family housing units in the Navy inventory. These costs, together with the visibility of the residents, have caused the management of F&GOQs to be highly scrutinized by Congress and all other levels of review. The restrictive criteria for replacing the units with new construction make it imperative Navy operate and maintain the units in a manner consistent with long-term retention. Enclosure (1) provides statutory controls, Congressional language, and Office of Secretary of Defense (OSD) policy. Enclosure (2) provides guidance on the operation of F&GOQs within Navy. Also included in enclosure (2) is the requirement for the development and approval of the 6-year maintenance plan.

5. General Policy. Within the constraints imposed by higher authority, it is CNO policy that F&GOQs be maintained in an excellent state of repair, commensurate with their age and historic significance, following a prudent landlord concept (i.e., would a landlord in the private community carry out the proposed action?). This policy applies to the management, services, maintenance, repair, and improvement of the dwelling, and includes government-provided furnishings and associated grounds.

6. Delegation of Authority. Activities are authorized to spend up to \$25,000 for maintenance and repair per year (includes \$3,000 for alterations, additions or improvements) for each F&GOQ that has a CNO-approved maintenance plan, so long as the approved plan is followed. Budgets above \$25,000 for maintenance and repair require approval by Congress, as part of the President's regular budget submission each January. For budgets above \$25,000, once approved by Congress, activities are authorized to expend up to \$5,000 beyond the approved amount, if required to meet emergent or safety-related requirements. Additional annual requirements are subject to Congressional resubmission, as discussed in this instruction.

7. Action

a. The Deputy Chief of Naval Operations (Logistics), DCNO(L), will:

- (1) Administer the provisions of this instruction.

(2) Approve annual budget, out-of-cycle submissions, and Congressional notifications.

(3) Approve the 6-year maintenance plan for each F&GOQ.

(4) Grant exceptions to policy, where warranted.

b. The Commander, Naval Facilities Engineering Command (COMNAVFACENGCOM) will:

(1) Coordinate, review, and submit to CNO for approval a six-year maintenance plan on each F&GOQ.

(2) Technically validate, review and submit annually to CNO the required Congressional budget submissions, which shall conform to the CNO-approved 6-year maintenance plan and which ensure the most cost effective options for execution have been incorporated.

(3) Coordinate, review, and submit to CNO all Congressional notifications.

(4) Review the one-time allowed out-of-cycle Congressional submission for emergent and safety-related requirements and submit to CNO no later than 15 March each year.

(5) Issue and maintain a detailed "Resident's Guide to Navy F&GOQs" that expands and explains in greater detail this instruction and the specific actions required to comply with the intent of enclosures (1) and (2).

c. The commanding officer responsible for the family housing property account, or the Commander, Naval Base (COMNAVBASE) where multiple commanding officers in an adjacent geographic area have housing on their property accounts, will:

(1) Provide immediately to each identified resident of an F&GOQ unit, a copy of the specific Resident Handbook for that particular unit. At the earliest opportunity, ensure a personalized briefing of the key elements of the rules and plans for the unit, including the work planned during their residency.

(2) Effectively execute the CNO-approved maintenance plan, consistent with the individual needs of each resident. Ensure the resident is kept fully informed of all work scheduled

on the quarters, both prior to and during occupancy. Ensure the resident is informed quarterly of the costs charged to the quarters as they relate to the approved plans.

(3) Make an initial, and subsequently required, 4-year updates of a 6-year maintenance plan on each unit. Submit plan for CNO approval via the cognizant Engineering Field Division (EFD) and COMNAVFACENGCOM. Ensure annual submission of the required maintenance and budget documentation to CNO via the same submission chain.

(4) Submit by 15 February each year any emergent out-of-cycle budget submission to COMNAVFACENGCOM via the cognizant EFD.

(5) Submit emergent or safety-related congressional notifications to COMNAVFACENGCOM via the cognizant EFD.

d. The residents of F&GOQs will:

(1) Be personally familiar with the rules and regulations governing the operation of Navy F&GOQs.

(2) Be personally familiar with the extent to which they order specific services and maintenance work outside the scope of the CNO-approved maintenance plan.

(3) Provide written requests to the local Housing Authority regarding any potential alterations, additions, or improvements outside the scope of the CNO-approved maintenance plan. Limit requests to meet only the most essential official entertainment requirements.

(4) Minimize deviations from maintenance plan.

(5) Regularly report any condition deficiencies discovered which affect habitability and structural integrity of the units.

(6) Allow reasonable access to the quarters to facilitate execution of annual maintenance plans.

8. Report. The reporting requirements contained in this instruction are exempt from reports control by SECNAVINST 5214.2B.

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C. G. GEIGER
Deputy Chief of Naval
Operations (Logistics)
Acting

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F&GOQ STATUTORY CONTROLS, CONGRESSIONAL LANGUAGE,
AND OSD POLICY

The family housing program is funded annually in the Military Construction Authorization and Appropriations Acts. Statutory regulations contained in the Military Construction Codification Act (Title 10, United States Code (U.S.C.), Armed Forces, Chapter 169), govern the Family Housing, Navy (FH,N) appropriation.

A. STATUTORY CONTROLS

1. Size. Title 10, U.S.C., Section 2826.

a. Housing units acquired may not exceed the net square footage limits specified in law by pay grade. Housing units undergoing improvement may not be altered to exceed the statutory net square footage limits. F&GOQs that currently exceed those limits may not be further enlarged.

b. The maximum allowable size for a newly constructed flag unit is 2100 net square feet. The size limit is 2310 net square feet if the unit is for a flag or general officer who is the commander of a major shore installation or a Special Command Position.

c. The maximum allowable net square footage (2100 square feet) may be increased by 300 square feet for a family housing unit in a location where harsh climatological conditions severely restrict outdoor activity for a significant part of each year, as determined by the Secretary concerned under regulations prescribed by the Secretary of Defense.

d. The Secretary concerned may waive the size limit with respect to a family housing unit leased in a foreign country if a suitable family housing unit within the applicable prescribed maximum net floor area cannot be obtained.

e. No provisions for other exceptions exist without special legislation.

2. Leasing. Title 10, U.S.C., Section 2828.

a. United States and U.S. Overseas

(1) Housing units at or near a military installation in the United States, Puerto Rico, or Guam may be leased by the

U.S. Government only when there is a shortage of adequate housing at or near such military installation, and at least one of the following conditions are met:

- (a) The requirement for such housing is temporary;
- (b) Leasing would be more cost effective than construction or acquisition of new housing;
- (c) Family housing is required for personnel attending service school academic courses on permanent change of station orders;
- (d) Construction of family housing at such installation has been authorized by law but is not yet completed; or
- (e) A military construction authorization bill pending in Congress includes a request for authorization of construction of family housing at such installation.

(2) Expenditures for the rental of housing units (including the cost of shelter rent, utilities, maintenance, and operation) may not exceed \$12,000 per unit per annum. A very limited number of high cost units, as authorized by law, may be leased under the above criteria for which the expenditures of such units exceed the \$12,000 but do not exceed \$14,000 per unit per annum.

b. Foreign

(1) Housing units in foreign countries may be leased by the US Government:

- (e);
- (a) under circumstances specified in 2.a.(1) (a)-
 - (b) for incumbents of special command positions;
 - (c) when housing is not provided by the host country or
 - (d) when excessive costs of housing or other lease terms would cause undue hardship for DoD personnel.

(2) Leases may be for any period not in excess of 10 years, and the costs of such leases for any year may be paid out of annual appropriations for that year.

(3) There are three types of leases authorized by law and subject to the above criteria. There are those which require that per annum lease costs (including the cost of shelter rent, utilities, maintenance and operation) do not exceed \$20,000, as adjusted for foreign currency fluctuation from October 1, 1987, and as adjusted annually by a Consumer Price Index formula published by the Bureau of Labor Statistics. Another lease type allows units to be leased for which expenditures exceed \$20,000 but do not exceed \$25,000 per unit per annum. Additionally, a very limited number of "high cost" units are authorized expenditures greater than \$25,000 per unit per annum. These maximum lease amounts apply to incumbents of special command positions or countries where excessive costs would cause undue hardship on DoD personnel. OSD allocates the number of lease types available to the Services.

(4) Any alterations, repairs, and/or additions to foreign leased units shall be limited to work necessary to provide acceptable living accommodations. The cost of such work shall not exceed 25 percent of the first year's annual rent without prior approval of the SECNAV.

c. Use of Non-FH,N Funding

(1) Except as specifically authorized by statute, funding other than FH,N is not permitted on F&GOQs, nor on other family housing under Navy's control. Family housing operations and maintenance (O&M) funds, which are annual, and improvement and construction funds, which are multi-year, are provided within the annual Military Construction Appropriation and Authorization Acts.

(2) Counsel interpretations have clarified that security devices to protect the dwelling, as a family housing unit, are appropriately paid from the FH,N appropriation. In overseas locations where additional security measures may be required to protect the occupant because of the rank and responsibilities of the billet (such as "safe rooms"), these features are appropriately funded from Navy O&M funds.

B. CONGRESSIONAL LANGUAGE

Annual reports of the Congressional committees which have cognizance over the Military Construction Authorization and Appropriation Acts frequently contain policy and guidance in which the Committees "direct" certain actions. Although not technically statutory, they are generally adhered to within DoD as if they carried the force of law. Items affecting F&GOQs are as follows:

1. Approved Budgets. Congress has directed that their prior approval be obtained when the total amount of all obligations for maintenance and repair (including alterations, additions, or improvements up to \$3,000) on an F&GOQ will exceed \$25,000 per year. This amount excludes operations costs. Any alterations, additions or improvements above \$3,000 must also have their prior approval. Recognizing uncertainties in accurately forecasting "change of occupancy" and other emergent work, Congress must be re-notified when costs for a unit will exceed the amount submitted in the approved budget by \$5,000.

2. Out-of-Cycle Budgets. Congress must be notified when maintenance and repair costs will exceed \$25,000 for a unit not

included and approved in the congressional budget. Navy is limited to submitting out-of-cycle budgets once per year. The notification of such proposed expenditures must be signed by the SECNAV. Congressional approval cannot be assumed. Once the Navy submission is made to Congress, work cannot be started until

Enclosure (1)

after a 21 day waiting period has passed with no committee objections.

3. Emergency or Safety-Related Congressional Notifications

a. Emergency or safety-related congressional notifications may be made at any time when major structural damage has occurred, as in the case of hurricanes, earthquakes or fires, or there is imminent danger if repairs are not immediately made, as in the case of newly discovered termite damage to structural components. No work may be accomplished prior to the congressional notification and approval.

b. Any alterations, additions, or improvements, above \$3,000, required to make a unit handicapped accessible is an improvement. Requests for handicap modifications may be forwarded at any time to COMNAVFACENGCOM via the cognizant EFD for Congressional approval. Work may not be accomplished until after Congressional notification and a 21-day waiting period has passed with no committee objections.

4. Hazardous Materials. If the requirement is known, asbestos and lead-based paint removal costs must be included in maintenance and repair calculations in determining congressional notification thresholds. In the event lead-based paint or asbestos is discovered as work is proceeding, and to avoid disruption of on-going contracts, an after-the-fact Congressional notification may be made. The notification shall be reported on a semi-annual basis and shall include scope, cost break-out and other pertinent details.

5. Historic Preservation. Congress has specifically denied the use of funding other than the FH,N budget for any costs related to the historic preservation of family housing units.

C. OSD POLICY

OSD policy guidance governs the Services' actions in the operation of F&GOQs in the following areas:

1. Public Entertainment Areas. OSD defines the public entertainment area as the entrance foyer, living room(s), dining room, and the stairways and hallways interconnecting these areas. Guest bedrooms in Special Command Position Quarters may be included if overnight accommodation of official visitors is required. Enclosed porches, dens, libraries, family rooms,

Enclosure (1)

upstairs hallways (unless there is no first floor bathroom available for guests to use) and other areas of the house are not normally considered as public entertainment areas. OSD policy allows the provision, maintenance and repair of supplementary furnishings for the public entertainment area of all flag quarters.

2. Special Command Position Quarters. Certain positions having specific representational responsibilities are designated as Special Command Positions. These designations are approved by the Director of Administration and Management in OSD, under reference (g). Special Command Position Quarters, also referred to as representational quarters, are entitled to government-provided china, crystal, silver, table linen, and kitchen utensils.

3. Grounds Maintenance. OSD defines resident responsibility for grounds maintenance as caring for assigned grounds to include mowing, raking, pruning, and trash removal. Provisions exist within Navy policy (see enclosure (2)) for waivers under certain circumstances to allow for government provision of grounds care within the assigned 1/2 acre, which will be charged to the government.

4. Cost Reports. OSD requires DoD Components to establish appropriate management controls to ensure F&GOQs are operated and maintained in a prudent manner. Annual information on

obligations for operations, maintenance and repair, and improvements as well as any additional information needed for reports required by Congress shall be maintained for each F&GOQ. This includes quarters that, for any portion of the year, are occupied, or intended for occupancy, by an officer of Flag or General rank or civilian equivalent.

NAVY OPERATION OF F&GOQs

Residents are the reasons we have F&GOQs, but each resident is a transient by virtue of his or her occupation. The facility, however, must be maintained over the years. Responsibility for developing comprehensive operating and maintenance plans, and the execution thereof, rests with the owning activity. Individual residents are given reasonable flexibility for personalizing the quarters at change of occupancy and during their residency, consistent with the "prudent landlord" concept and our responsibility as stewards of the public trust. Residents are to be fully informed as to the plans and overall costs for the quarters as established by the CNO approved plan.

A. FUNDING CONTROLS

1. Little funding flexibility may exist during a specific fiscal year due to the stringent annual controls imposed by Congress. Although long- and short-range maintenance planning is vigorously pursued, numerous emergent situations can occur which could exceed annual approvals. This is exacerbated by the long lead time for budget preparation, submission and approval by Congress. Even when emergent conditions develop, Congress allows only one "out-of-cycle" request per year.

2. Navy policy is to submit the absolute minimal number of out-of-cycle requests in response to emergent conditions. This is not generally a viable process for accomplishing additional work unless it is critical. Even when this process is followed, it generally takes a minimum of 4 months to obtain approval.

3. Navy policy limits out-of-cycle submissions to

a. work that could not reasonably have been foreseen at the time of budget submission; or

b. work that is so urgent and compelling it cannot wait for the next annual budget submission.

B. FOCUS AREAS

In order to provide quality F&GOQ housing, the CNO policy is to focus attention and devote significant effort in three primary areas:

1. Short- and Long-Term Maintenance Planning

a. The long-term key to success is to have a comprehensive maintenance plan on each unit, which cares for all of the structural, mechanical, and electrical components of the unit and allows managers to expend appropriate annual dollars for long-term retention of the unit. This recognizes fully that at given intervals, rehabilitation--which may be costly--must be accomplished.

b. The short-term key to success lies in effective long-range planning which anticipates a reasonable level of maintenance and repair work, incorporates likely changes of occupancy, and includes reasonable contingency for unexpected maintenance and repair. At change of occupancy, special care is given to meshing the goals of the maintenance plans with the schedules and needs of individual families.

2. Delivery of Maintenance, Repair and Improvement Work to Quarters. Station forces shall effect continuous improvements through the following:

a. Optimizing the way service calls are handled;

b. Greater flexibility in the manner in which certain work is accomplished - either using public works forces or contracting with local firms;

c. Greater accuracy in billing procedures through the use of utility meters;

d. More user friendly billing procedures for keeping residents better informed; and

e. More efficient internal methods of reducing costs through the use of computer-aided scheduling and inventory control of component parts.

3. Responsiveness to the Individual Resident Needs

a. Individualized resident handbooks that detail the individual quarters will be provided to new residents as they are identified to move into the quarters.

b. Residents will no longer be required to sign annual budgets.

c. Procedures by which residents can request minor changes in their services and maintenance plans are being simplified.

d. Single points of contact for each resident will be initiated, coupled with periodic housing-initiated contact with residents.

e. Annual surveys will provide more direct communication between management and residents.

C. "THE RESIDENT'S GUIDE TO NAVY F&GOQs"

Specific, detailed guidance, forms and planning cycles to conform to higher authority and to carry out Navy policy are provided in The Resident's Guide to Navy F&GOQs. The guide is maintained by COMNAVFACENGCOM. An executive summary of this Guide, which describes the manner in which Navy operates F&GOQs, follows:

1. Resident Handbook. At notification of their assignment to a specific flag residence, flag and general officers will be

immediately provided with a personalized copy of a Resident Handbook. The handbook will contain this instruction and specific photographs, floor plans, color schemes and other information on their future home. It will include the CNO-approved long- (6-year) and short-range maintenance plans as well as information on appliances, furnishings, and local services. The intent is to ease the residents' transition into the quarters and to give them information needed during their residency. The handbook will be in a standardized format throughout the Navy.

2. Check In/Check Our Procedures. In connection with provision of the Resident Handbook, specific and Navy-wide standardized procedures are covered. They provide the primary mechanism for "personalization" of the unit within the overall CNO-approved maintenance plan. The procedures stipulate that incoming residents will be briefed on work to be accomplished and asked to provide input on color schemes and other discretionary items. Upon move-in, residents will be given a specific orientation on the unit. On move-out, they will be debriefed for suggestions on items to make the unit more livable.

3. Standards of Condition and Performance. Expectation levels between the resident and service provider are defined. Residents should expect professional, responsive service to all of their requests. Where services cannot be provided because of higher level prohibitions or funding constraints, they should expect concise explanations and, if possible, alternative courses of action. They are expected to cooperate with housing officials to assist in providing required access to the quarters where maintenance must be provided.

4. Definitions. Concise definitions of terminology used by Congress and OSD, and within Navy, are provided for the benefit of the resident to better understand the systems within which Navy operates F&GOQs.

5. Budgets. Annual budgets are prepared for each individual F&GOQ, based upon the CNO-approved 6-year maintenance plan.

Budgets are used to secure operating funds for each unit and include funds, if required, for historic preservation. Only budgets that exceed \$25,000 per year in maintenance and repair costs are required to be submitted to Congress. For such budgets, an engineering validation for major work is required, including an economic analysis for budgets exceeding \$50,000. Budget submissions going to Congress will be provided to F&GOQ residents for information, and are then submitted up the COMNAVFACENGCOM chain of command for approval by CNO and OSD before submission to Congress. Sample budget submissions as well as detailed instructions are provided for the base commander.

6. Cost Reports. In addition to the OSD-required annual cost report discussed in enclosure (1), residents are provided a quarterly report which explains the individual charges against the quarters during the year. The reports are intended to assist the resident and the base commander in understanding how expenses compare against the approved budget for the year and in making changes at mid-year, if required.

7. Historic Preservation. Navy has specific requirements based on the Historic Preservation Act of 1966, as amended, to maintain liaison with various historic preservation advisory councils and to incorporate historic preservation work into ongoing maintenance and repair if the F&GOQ is a historic property. Work attributable to historic preservation is separately identified to Congress in annual budget submissions, but does count against the \$25,000 annual threshold.

8. Furnishings. Per DoD policy, furnishings are authorized in the public entertainment areas of all F&GOQs. The public entertainment area is defined by OSD, as discussed in enclosure (1). Due to the uniqueness of entertaining in sub-tropical areas, Navy includes exterior patios within the definition of public entertainment area for the provision of furnishings.

a. In authorized areas of the quarters, Navy provides draperies and sheer curtains, carpeting, and such other furniture as may be required to supplement resident-owned items. In

overseas locations, subject to joint travel regulations, as much as 100 percent furnishings may be provided in F&GOQs, as in all other family housing.

b. Navy policy is that F&GOQs will be provided with appropriate modern appliances, "sized" to fit the personal and entertainment needs of individual units. Exemplary of such items are cooking stove(s), refrigerator, food freezer, installed or portable dishwasher, microwave oven, trash compactor, garbage disposal, and clothes washer and dryer. In those quarters designated for incumbents of Special Command Positions, as approved by OSD (see enclosure (1)), additional items for entertaining are allowed. These items include china, crystal, silver, table linens and kitchen utensils.

9. Grounds Maintenance.

a. Per OSD policy, as discussed in enclosure (1), grounds care is a resident responsibility for such items as the cutting, trimming and watering of lawns and small shrubs. Navy limits the resident's responsibility for grounds care to within 1/2 acre of the unit.

b. Navy policy is that a waiver may be granted which exempts the resident from this responsibility, based on individual and unique circumstances. Factors considered in the waiver process are:

(1) The size of the grounds.

(2) Unique circumstances which preclude the resident from caring for the assigned grounds, such as:

(a) Resident fills a Special Command Position.

(b) Yard is in excess of 1/2 acre or has extensive planted areas or landscaping.

(c) Quarters are prominently located and make a unique contribution to the appearance of the installation and are significantly more prominent and unique than surrounding homes and grounds maintained by their residents.

(d) Overseas security concerns for which other extraordinary measures are routinely taken.

Once a waiver has been granted by CNO it remains in effect unless a justifying factor changes as relates to either the resident or the unit. If a waiver was not granted for a unit, the field activity may resubmit a request to CNO if changing circumstances appear to merit a waiver.

10. Maintenance Planning Cycle. All Navy activities shall develop and submit 6-year maintenance planning cycles on F&GOQs, based on a facility inspection and subsequent execution of annual maintenance and repair work.

a. The initial maintenance plan is approved by CNO. It then becomes the basis for the annual budget submittals, as discussed in paragraph C.5 and in paragraphs B.1 and 2 of enclosure (1). Maintenance plans are updated by the owning installation, when and if required, because of emergent conditions and resubmitted for approval. This is mandatory where changes in cost and/or scope vary by more than 25 percent. The plans will be resubmitted routinely every fourth year for re-approval.

b. The 6-year maintenance plan, provided to residents in the Resident Handbook, will identify work in three general areas for each year:

(a) Annual routine cyclical and preventative maintenance and minor repairs.

(b) Change of occupancy costs, based on projected rotation cycles, which will include resident make-ready items.

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(c) Major repair and improvement items necessary to maintain the integrity of the facility.

To minimize disruption to residents, major items will be scheduled, where possible, for accomplishment during the change of occupancy period. Work accomplishment will be discussed with incoming residents for the period they are projected to be in the quarters. Scheduling will be made to coincide with resident preferences to the maximum extent possible, consistent with the type of work to be accomplished and the economics of the work involved.

c. When local circumstances dictate significant changes (25 percent difference in scope or cost) to the CNO-approved plan, annual budgets must provide full justification and should precede, or accompany, a revised plan for CNO approval.