

## APPENDIX D

### PRE-AWARD SURVEY GUIDELINES

#### A. GENERAL

This regulation, and DD Form 1811, Pre-award Survey of Contractor's/Carrier's Facility and Equipment, [Figure D-1](#), will be used when making pre-award surveys. Portions of the Federal Acquisition Regulation (FAR) and supplements thereto may be used by the Regional Program Manager (RPM) for guidance concerning generally accepted standards of capability, capacity and performance. Since it is not feasible to list all the criteria that makes a warehouse and its management satisfactory or unsatisfactory, the decision as to adequacy is a matter of judgment. The primary overall objectives to be considered involve the following questions: Will the warehouse afford proper protection to the property to be stored? Is the company capable of performing the required services properly? The RPM will be satisfied that the warehouse has adequate:

1. Protection from contamination, theft, fire, flood, rain, moisture, windstorm, or other hazards. The RPM may request the advice and/or opinion of the law enforcement authority in determining the adequacy of a separate storage location for firearms.
2. Storage methods such as proper stacking, ventilation, locator systems, and access for firefighting and inspection.

#### B. STRUCTURAL REQUIREMENTS

Facilities may be constructed of any modern building material normally used and generally accepted for the construction of warehouses, transportation terminals, and structures used for similar purposes. Materials may include, but are not limited to, brick, block, concrete, and rolled sheet metal, which are the most commonly used and accepted materials. As a minimum, the inspecting official will review the following areas during the on-site survey: construction, compliance with local building codes and ordinances, door and window closures, weather tightness, and adequacy of security procedures. Warehouses rated as 'wood-frame' or 'pole' buildings, as determined by the Insurance Services Office or other cognizant fire insurance rating organization, are not acceptable for the storage of personal property due to the extreme fire hazard associated with this type of construction.

#### C. ENVIRONMENTAL REQUIREMENTS

1. Facilities will be constructed or equipped with adequate devices which will reasonably ensure property will not be exposed to extreme heat, cold, moisture, high humidity, or other environmental conditions which would cause damage such as mold, mildew, and cracking or separation of finished and glued surfaces. Protective measures may include, but are not limited to, insulation, ventilators, ceiling and floor fans, dehumidifiers, and like devices that are intended to control or regulate the environment within a structure. The requirement for such built-in or external devices will be based on a review of the following factors: geographic location of the facility, weather conditions, previous experience, and incidences of damage claims for facilities within the same area which relate to mold, mildew, or articles which have deteriorated as a result of a climatic condition. Each facility will be evaluated on its own merits considering the above factors.
2. Inspecting officials will consult with local police, fire, and building departments when assessing a facility and further information is needed for approval. Warehouses constructed with exposed (bare), uninsulated metal walls and/or ceilings will provide a disinterested third party engineer's environment report certifying that the facility will provide stored Household Goods (HHG) with protection from extreme heat, cold, moisture, humidity, or other environmental conditions which could produce mold, mildew, and cracking or separation of finished/glued surfaces.

#### D. INSECT AND RODENT CONTROL

Warehouses will not show evidence of insect and/or rodent infestation. Warehousemen will have an established program, conducted every 30 days, either self-administered or provided by a reputable outside firm, for the control and extermination of insects and rodents, and will include moth control in all areas utilized for the storage of overstuffed furniture (e.g., couches, chairs), rugs, and pianos. Warehousemen will keep records to confirm the existence of the program.

#### E. HOUSEKEEPING

One of the most important items in warehousing is good housekeeping. Survey personnel will assure there are provisions for the collection and disposal of packing materials, crates, and other similar trash; that excessive dust and dirt are not prevalent; that working supplies are properly located; and that equipment is maintained in a sound and orderly condition.

#### F. REPAIRS

Warehouses which require major repairs to afford proper protection of property will not be approved. Reinspections will be made only after the RPM has been advised in writing by the Nontemporary Storage (NTS) Transportation Service Provider (TSP) or Storage In Transit (SIT) provider that repairs have been completed.

#### G. RESPONSIBLE MANAGEMENT AND OPERATION

Inspection records will contain evidence of good management and operational practices. Such evidence may be obtained through visual observation of the facility, equipment, and personnel and from information relating to credit standing and financial stability. Whenever a state or municipality requires a business firm to be licensed to operate a personal property storage warehouse, possession of such license will be verified. The determination that approved NTS TSPs continues to possess good management, financial stability, and operational practices will be accomplished at least annually by the contracting officer. Additional information with respect to determining the responsibility of prospective NTS TSPs is contained in the FAR, under Qualifications, which may be used by the RPM for guidance and advice.

#### H. FIRE PREVENTION AND PROTECTION

1. Minimum fire protection standards are based upon fire protection systems, fire insurance rates, and other factors. Warehouses that do not meet these minimum standards will not be approved for participation in the program. For overseas areas fire protection and prevention, standards will be established by the theater commander. Fire risk classifications are as follows:

		Limitation (pounds)
CLASS 1	Fully automatic supervised sprinkler system.	1,500,000
CLASS 2	Fully automatic unsupervised sprinkler system.	1,000,000
CLASS 3	Supervised detection and reporting system.	600,000

**NOTE:** When the fire risk classification increases or decreases, the warehouse classification will be adjusted. The above class designations and weight limitations apply to NTS facilities only.

- a. Fire protection systems will meet the requirement for insurance rate credit by the recognized fire insurance rating organization. Written evidence of the recognition of an installed fire protection system will be obtained by the NTS TSP/SIT provider from the cognizant fire insurance rating organization through the NTS TSP's/SIT provider's insurance company. Periodic inspection (bi-annually as a minimum) by the RPM will verify that the warehouseman is having the system properly maintained.

- b. All classes of warehouses will have an adequate source of water for fire-fighting purposes and a responsive fire department. Adequacy of the water supply and fire department will be based upon statements by the fire insurance rating organization, municipal fire department, or local authority having jurisdiction.
    - c. Weight limitation pertains to a warehouse or a fire separation thereof.
    - d. The Military Surface Deployment and Distribution Command is authorized to approve deviations from the above standards.
  2. Even though a warehouse may fall within an approved fire risk classification, it will not be approved unless it meets all requirements of the Tender of Service, and this Regulation.
  3. Warehouses will be approved and utilized In Accordance With (IAW) the standards and provisions of national codes (American Insurance Association, National Fire Protection Association, American Standards Association) unless local codes are more rigorous with respect to fire prevention and protection requirements; minimum clearance above stacks; width of aisles; accessibility to fire aisles; distribution of fire extinguishers; and outside storage of combustible materials. IAW national codes, the NTS TSP's, or SIT providers storage area will be separated from other occupants of a jointly occupied building by a fire wall or partition having a fire resistance rating sufficient to protect the warehouse from the fire exposure of the other occupant. The minimum separation will be a solid wall or partition, without windows, doors or other openings, having a fire resistance rating of not less than one hour.
  4. A warehouse operational layout fire plan is required as a part of the pre-award survey process. Additionally, all approved storage facilities will submit an initial and revised fire plan as outlined below. The layout fire plan will show the configuration of pallets or open-stack storage, racks, aisles, deck space, working areas, office space. Respective dimensions inclusive of wall clearances will be shown. This layout fire plan will be reviewed on site and be signed and dated by a fire department official for approval. The approved layout fire plan will be sent to the Regional Storage Management Office (RSMO) for permanent retention in the NTS TSP SIT providers file. Thereafter any change to the operational characteristic of the warehouse must be submitted to the RSMO in advance of the changes, for the RSMOs review and approval. After the RSMO review, the changes will be reflected on a modified or revised layout fire plan, approved by on-site review, signed, and dated by a fire department official. The modified layout plan will be sent to the RSMO RPM for retention. A copy of the current approved layout fire plan is to be posted in a prominent position within the warehouse to which it applies.
  5. The pre-award survey will verify that:
    - a. HHG are not exposed to hazardous materials or operations inside or outside the warehouse.
    - b. "No Smoking" signs are conspicuously posted in all storage areas and that "no smoking" restrictions are rigidly enforced.
    - c. Waste and refuse are removed from storage areas daily and will be kept in metal containers with tight-fitting metal lids.
    - d. Aisles are kept free of storage and equipment.
    - e. HHG are stored on skids, dunnage, pallet bases, elevated platforms, or similar aids that provide a two inch minimum clearance from the floor to the bottom-most portion of the property stored and are not in contact with exterior walls. Trash cans, extension ladders, lawn mowers, TV antennas, swing sets, and other like items are excluded from these requirements.
    - f. The height of HHG stacked loose does not exceed 10 feet.

- g. Heating, electrical, plumbing, and other systems are serviced annually (at a minimum), are maintained in sound condition, and meet all requirements of nationally recognized codes unless local codes or ordinances are more rigorous.
- h. Power equipment such as sweepers, pallet jacks, and forklifts are operated and/or garaged IAW nationally recognized codes, unless local codes and standards are more rigorous. An appropriate fire extinguisher, properly mounted, is required on all motorized warehouse equipment.
- i. Installed fire protection systems are serviced and maintained IAW nationally recognized codes, unless local codes are more rigorous, ensuring these systems are operational at all times. As a minimum, fire detection and reporting systems will be inspected every 30 days and sprinkler systems will be inspected every 90 days. A licensed or otherwise qualified, disinterested third party will perform the inspections.
- j. Firearms are stored within a member's/employee's storage lot. In those instances where a firearm will be stored separately (i.e., prescribed by law, firearm is only item in storage), the adequacy of the security area will be approved in writing by local law enforcement authority and the RSMO RPM.
- k. Portable containers, commercial or other similar owner loaded storage containers, are not allowed in DOD approved storage facilities without their contents being inspected and verified by the warehousemen. The inspection and verification will attest that there are no non-compatible or hazardous materials within the container. A written record of the inspection and verification, signed by a company official, must be maintained for all owner loaded containers and the record will be available for review by RSMO/TO personnel during an inspection of the facility.

## I. SECURITY

Security measures will conform to the following criteria; however, for overseas areas, the theater commander will establish security requirements.

1. Building. The walls and roof will be structurally sound, including windows, doors, and skylights.
2. Security Devices. Utilization of an electronic protection system is mandatory in areas identified by local law enforcement agencies as "high crime" rate areas. A burglar alarm system with AC/DC alternating power sources; or protective systems such as sound detectors, motion sensors, infrared beam sensors, and closed circuit television; is acceptable only when supervised and monitored at a central station on a 24-hour basis. Additionally, the warehousemen will have a program for the bi-annual inspection and maintenance of these systems.
3. Windows and Doors. All access walk-in doors, warehouse doors, exterior windows, and overhead doors that may permit warehouse entry by simply breaking the glass therein, will require the installation of heavy metal mesh or "chain-link" type fence, or equal materials installed so that they cannot be readily removed from the exterior, or electronic devices that detect the opening and/or the breaking of glass. This requirement does not apply to windows, the base of which is considered to be above the reach of a reasonably determined burglar or vandal. Skylights, cupolas, and roof vents require the same security measures as windows. When lesser constructed doors (as opposed to heavy duty doors) are used, they will be reinforced with metal bars or steel overlay to defend against forced entry.
4. Locking Devices. All doors and access hatches will have a double keyed locking system as a minimum. Electric controlled overhead doors, unlockable metal pins, or snap fasteners are not recognized locking devices and will not suffice as an alternative locking method. Exterior padlocks will be designed to prohibit the hasp from being cut. The door from the office to the

warehouse storage area will also be secured with a double-lock system. A double-lock system is not required if the office is within the confines of the warehouse walls and the exterior office doors are double locked. When the warehouse office is not within the confines of the warehouse walls and has a door connecting the office area with warehouse area, a double-lock system is required. This locking system is required on the door permitting entry to the office or the door permitting entry to the storage area. The door with the double-lock system will be metal, solid wood, or reinforced as stated in Paragraph I.3 above. When the doors/access hatches are adequately protected by an electronic protection system as described in Paragraph I.1 above, only one keyed locking device is required.

5. Van Security. Van doors will be secured with heavy duty (case hardened) padlocks or surface key locks.
6. Exterior Area. Recommend heavy-duty fence and lights be used when possible to deter crime.

#### **J. SUBCONTRACTING**

When it is in the best interest of the government, the RPM may approve subcontracting IAW the provisions of this regulation. Such approval will be confirmed in writing. Guidance contained in the FAR concerning Subcontracting Policies and Procedures may be used by the RPM to determine if subcontracting is appropriate.

#### **K. OPERATING AUTHORITY REQUIREMENTS FOR NTS TSPS**

A prospective NTS TSP engaged in interstate transportation will be responsible for obtaining a Certificate of Public Convenience and Necessity from the United States Department of Transportation or, if engaged in intrastate transportation, a certificate issued by the state regulatory body. In those instances where certain states recognize leasing and/or agency agreements to perform drayage services as an alternative to intrastate operating authority, the prospective NTS TSP will be responsible for furnishing such evidence of compliance with state law.

#### **L. EVALUATION OF FLOOD HAZARDS**

Prior to final approval, a flood plain report from the Federal Emergency Management Agency, or the United States Army Corps of Engineers or disinterested third party engineer/surveyor is required to determine if the prospective NTS TSP's, or SIT providers facility is in a potential 100-year flood area. Buildings with floor levels below the flood plain levels will not be approved.

#### **M. OTHER CONSIDERATIONS**

1. During pre-award surveys, it will be determined if the adjoining occupant is engaged in an operation that is hazardous or nonhazardous to the facility being surveyed. For example, does the adjoining occupant use, store, or manufacture any materials, which would be prohibited in a personal property storage facility? Under nonhazardous conditions, the minimum separation will be a solid wall or partition having a fire resistance rating of not less than one hour. When the adjoining occupant is engaged in a hazardous operation, a judgment will be made as to whether or not the hazard is of such a nature that entry or continued participation in the personal property program will be prohibited.
2. A common problem is the garaging and/or repair/maintenance of vehicles in warehouses. In view of the hazards associated with this practice, NTS TSPs, and SIT providers are not permitted to house or perform maintenance on a vehicle within the part of a structure used for the storage of personal property unless the storage/maintenance area is properly separated from the personal property storage area by walls having the National Fire Code prescribed degree of fire resistance. However, privately owned vehicles may be stored in the facility without fire wall separation if properly serviced (i.e., gas drained and battery disconnected with the terminals taped). If the vehicle will remain in storage over one year, the battery will be removed.

#### **N. TEMPORARY APPROVAL OF SIT WAREHOUSES**

The RSMO RPM may grant temporary approval when the following conditions have been met.

1. A written formal request from the TO is submitted to the RSMO stating that there is a critical need for storage space or other justification for temporary approval of a SIT facility. In any case it will be in the best interest of the government and not the best interest of the SIT provider.
2. Inspection by the local TO after permission is granted by the RSMO RPM.
3. Preparation of DD Form 1811, [Figure D-1](#), by the TO. This form will be forwarded to the RSMO.
4. Prior to granting temporary approval, the/SIT provider/warehouseman will have submitted to the RSMO and have approved all required documentation for warehouse approval. In addition all warehouse deficiencies will be corrected.
5. The RSMO RPM will issue a letter to the SIT provider and the TO granting temporary approval.
6. Permanent approval will be granted after inspection by the RSMO at a future date. In the event the RSMO finds any warehouse deficiencies, the RSMO will suspend temporary approval until such time as all deficiencies are corrected.

#### **O. CARRIER OR AGENT FACILITY REQUIREMENTS**

1. Administrative and Warehouse Personnel. The TSP for Carriage or warehouseman's warehouse will be staffed at all times during normal working hours with personnel capable of participating in a warehouse facility inspection. They must be able to provide the records and information requested by the RSMO or Personal Property Shipping Office (PPSO) Quality Control inspectors. They must also be able to perform actions within the warehouse as requested by the inspector (i.e., retrieve and open storage vaults, retrieve and identify items stored in racks, have access to all areas of the warehouse for visible inspection by the inspector, know location and how to operate all warehouse systems).
2. English Speaking and Writing Employee. All TSPs or their agents will have an English speaking and writing employee available at the warehouse facility during the RSMO/PPSO inspections.
3. Warehouse Manning. All warehouses must be manned during normal business hours. A TSP for Carriage or warehouseman which has multiple warehouses within the same metropolitan area will have the main warehouse facility staffed during business hours as described in Paragraph O.1. above. However the additional local facilities need not be staffed but will be inspected by the TSP for Carriage or warehouseman every normal business day. A written log sheet detailing the physical inspection will be maintained, dated, and signed by a representative of the TSP for Carriage or warehouseman to ensure compliance. The log will be available to the RSMO/PPSO inspectors during the inspection of the facilities.
4. A facility must be available for inspection by the RSMO/PPSO inspector within 30 minutes of their arrival at the warehouse location. A telephone contact will be provided by the TSP for Carriage or warehouseman to the RSMO/PPSO which may be utilized by the RSMO/PPSO inspector to request the opening of the facility for an inspection. This telephonic contact is for unmanned locations only; manned location inspections will be available for inspection upon arrival at the location by the RSMO/PPSO inspector. These requirements apply to Continental United States facilities approved for SIT shipments and only to SIT shipments located within the inspected facilities.

PRE-AWARD SURVEY OF CONTRACTOR'S/CARRIER'S FACILITIES AND EQUIPMENT				DATE (Yr/Mo/Day)	
INSTRUCTIONS: THIS SELF EXPLANATORY FORM IS TO BE COMPLETED IN DUPLICATE FOR EACH WAREHOUSE OR SPECIFIC AREA THEREOF IN WHICH HOUSEHOLD GOODS ARE TO BE STORED. THE ORIGINAL TO BE RETAINED BY THE RESPONSIBLE ACTIVITY, DUPLICATE TO THE CONTRACTOR/CARRIER.					
NAME AND ADDRESS OF FIRM (Include ZIP code)		SCAC	CONSTRUCTION OF BUILDING		
			WALLS		
			ROOF		
NAME OF OPERATING EXECUTIVE		FLOOR(S)	NUMBER OF FLOORS		
PHONE (Include AREA CODE.) BUSINESS: HOME:		BASEMENT			
ADDRESS OF STORAGE LOCATION (Include ZIP CODE.)		GIVE NARRATIVE DESCRIPTION OF BUILDING (Use reverse for diagram of storage area, if desired.)			
WAREHOUSE NUMBER	AREA (Floor, Fire Division, etc.)				
WAREHOUSE LICENSE NO.	OPERATING AUTHORITY				
OPEN FOR BUSINESS (Hours and days of week.)					
PICK-UP AND DELIVERY EQUIPMENT					
NUMBER OF TRUCKS	TYPE OF TRUCKS		TOTAL STORAGE SPACE (Square feet.)		
			OWNERSHIP OF BUILDING		
			<input type="checkbox"/> OWNED <input type="checkbox"/> LEASED (If leased complete the following and attach a copy of lease.)		
			LEASE EXPIRES _____ PHONE _____		
			NAME AND ADDRESS OF OWNER (Include ZIP CODE.)		
FIRE PROTECTION					
FIRE CONTENTS RATE (Based upon 80 percent co-insurance per \$100 per year.)					
DOD FIRE CLASSIFICATION CODE	WEIGHT LIMITATIONS (LBS.)		(CHECK "YES" OR "NO" AS APPROPRIATE)		
				CATEGORY OF BUSINESS	YES NO
NUMBER OF MILES TO NEAREST FIRE DEPARTMENT:		MINORITY BUSINESS ENTERPRISE			
NEAREST FIRE HYDRANT	NUMBER OF FEET FROM BUILDING:		SMALL BUSINESS CONCERN		
	POUNDS OF PRESSURE:		FIRE EXTINGUISHERS		
	<input type="checkbox"/> ADEQUATE <input type="checkbox"/> INADEQUATE		IS THERE A SUFFICIENT NUMBER?		
DESCRIBE FIRE PROTECTION SYSTEM		ARE THEY THE PROPER TYPE?			
		ARE THEY REGULARLY INSPECTED AND MAINTAINED?			
FREQUENCY OF TEST/INSPECTION:					
MAINTENANCE CONTRACT WITH		FIRE FIGHTING PLAN			
		IS A FIRE FIGHTING PLAN POSTED?			
		ARE ALL EMPLOYEES FAMILIAR WITH THE PLAN?			
CLIMATE PROTECTION					
		IS BUILDING PROTECTED FROM EXTREME COLD?			
		IS BUILDING PROTECTED FROM EXTREME HEAT?			
		IS BUILDING PROTECTED FROM EXTREME HUMIDITY?			
		IS VENTILATION ADEQUATE?			
SCALES					
TYPE AVAILABLE		DISTANCE FROM BUILDING (MILES)		ARE UTILITIES AND OTHER SYSTEMS SERVICED AT LEAST ANNUALLY?	
CERTIFIED	YES NO	CAPACITY		MATERIAL HANDLING EQUIPMENT	
				IS THE EQUIPMENT PROPERLY MAINTAINED?	
STORAGE METHODS (Give brief description)					
SMOKING					
RUGS		ARE "NO SMOKING" SIGNS POSTED?			
		IS "NO SMOKING" POLICY ENFORCED?			
HOUSEKEEPING					
UPHOLSTERED FURNITURE		IS BUILDING AND OUTSIDE AREA NEATLY KEPT AND FREE FROM HAZARDOUS MATERIALS?			
PIANOS		ARE COMBUSTIBLE WASTE MATERIALS STORED AT LEAST 50 FEET AWAY FROM FACILITY?			
SECURITY					
FIREARMS SECURITY		IS BUILDING EQUIPPED WITH BURGLAR ALARM?			
		IS A WATCHMAN ON DUTY?			
OTHER PROPERTY		DO POLICE PATROL THE AREA?			
		ARE DOORS AND WINDOWS ADEQUATELY PROTECTED?			
		IS SEPARATION FROM JOINT OPERATION OCCUPANT, IF ANY, ADEQUATE? (See "Hazardous Operation" below.)			
FLOODING					
HAZARDOUS OPERATIONS (Describe operations in or near building which may be hazardous to stored property.)		IS BUILDING SUBJECT TO FLOODING?			
		SIGNATURE (Inspecting Officer)		DATE (Yr/Mo/Day)	
		SIGNATURE (Warehouseman)		DATE (Yr/Mo/Day)	
		SIGNATURE (Contracting Officer/Trans. Officer)		DATE (Yr/Mo/Day)	
I certify that I have inspected the above described facility and find that, to the best of my knowledge, the information herein is true and correct.					
I certify that the conditions and policies of this warehouse are, to the best of my knowledge, as indicated above.					
I certify that I have reviewed this survey and <input type="checkbox"/> APPROVE, <input type="checkbox"/> REJECT the facility for storage of household goods.					

DD Form 1811, JUN 79 EDITION 1 AUG 73 IS OBSOLETE.

Figure D-1. DD Form 1811, Pre-Award Survey of Contractor's/Carrier's Facilities and Equipment

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