DEPARTMENT OF THE ARMY
U. S. Army Corps of Engineers
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Army Programs
CORPS OF ENGINEERS CIVIL WORKS DIRECT PROGRAM
PROGRAM DEVELOPMENT GUIDANCE
FISCAL YEAR 2008

1. **Purpose.** This Engineer Circular (EC) provides guidance for development and submission of the Corps of Engineers direct Civil Works Program for Fiscal Year 2008(FY08).

This guidance is consistent with FY07 guidance in that we will continue developing our program by eight business lines:

Emergency Management (EM);
Environment (EN);
Flood and Coastal Storm Damage Reduction (F&CSDR);
Hydropower (H);
Navigation (N);
Recreation (RC);
Regulatory (RG); and
Water Supply (WS),

and three functions

Expenses (E);
Revolving Fund (RF) (Plant Replacement and Improvement Program (PRIP)); and
Automation Program (AP).

Specifically excluded from coverage are mandatory program activities, such as those funded by Permanent Appropriations (PA) and the Coastal Wetlands Restoration Trust Fund (CWRTF).

Appendices I - VIII provide guidance for program development by each of the eight business lines within the Civil Works Program. Annexes A - C provide generic guidance on I (Investigations); C (Construction); and O&M Program matters, cutting across all business lines, as applicable. Annexes D - F provide guidance for program development for each of the three functional programs.

This EC supersedes draft EC 11-2-187 31 Mar 04 and draft EC 11-2-187 29 Apr 05

2. **Applicability.** This EC applies to all headquarters elements, major subordinate commands (MSCs), districts, and field support activities having Civil Works Program responsibilities.

3. **References.**

a. Public Laws:

(1)	PL 84-99	Flood Control and Coastal Emergencies
(2)	PL 85-500	Water Supply Act of 1958
(3)	PL 91-190	National Environmental Policy Act of 1969
(4)	PL 92-500	Federal Water Pollution Control Act Amendments of 1972
(5)	PL 93-251	Water Resources Development Act of 1974
(6)	PL 97-348	Coastal Barrier Resources Act
(7)	PL 99-662	Water Resources Development Act of 1986
(8)	PL 100-676	Water Resources Development Act of 1988
(9)	PL 101-508	Revenue Reconciliation Act of 1990
(10)	PL 101-591	Coastal Barrier Improvement Act of 1990
(11)	PL 101-601	Native American Graves Protection and Repatriation Act
(12)	PL 101-640	Water Resources Development Act of 1990
(13)	PL 102-580	Water Resources Development Act of 1992
(14)	PL 103-62	Government Performance and Results Act of 1993
(15)	PL 104-303	Water Resources Development Act of 1996
(16)	PL 105-33	Balanced Budget Act of 1997
(17)	PL 106-53	Water Resources Development Act of 1999
(18)	PL 106-541	Water Resources Development Act of 2000
(20)	PL 108-137	Energy and Water Development Appropriation Act, 2004
(21)	PL 108-447	Consolidated Appropriations Act, 2005
(22)	PL 109-103	Energy and Water Development Act, 2006

b. Executive Orders:

(1)	EO 11514	Protection and Enhancement of Environmental Quality
(2)	EO 12088	Federal Compliance with Pollution Control Standards, 1978
(3)	EO 12512	Federal Real Property Management, 1985
(4)	EO 12893	Principles for Federal Infrastructure Investment
(5)	EO 12906	Coordinating Geographic Data Acquisition and Access: The National Spatial Data Infrastructure
(6)	EO 13148	Greening the Government through Leadership in Environmental Management

c. Office of Management and Budget (OMB) documents:

(1) Budget of the United States Government, Fiscal Year 2007, Analytical Perspectives

(2) Budget of the United States Government, Fiscal Year 2007, Appendix
(3) OMB Circular A-11 Preparation and Submission of Budget Estimates

d. Department of the Army regulations:

(1) AR 11-2 Management Control
(2) AR 385-10 Army Safety Program

e. Corps of Engineers Engineer Circulars, Manuals, Pamphlets, Regulations, and policy announcements and letters

(1) EC 11-1-4	USACE Manpower - Corps of Engineers - Manpower Requirements Systems
(2) EC 11-2-180	Army Programs - Availability, Obligation and Use of General Expenses and Other Civil Funds in Fiscal Year 2001
(3) EC 200-1-2	FUSRAP Policy
(4) EM 1110-1-2909	Geospacial Data and Systems
(5) EP 1130-2-500	Partners and Support (Work Management Guidance and Procedures)
(6) ER 5-1-11	Program and Project Management
(7) ER 11-1-320	Civil Works Emergency Management Programs
(8) ER 11-2-220	Civil Works Activities General Investigation
(9) ER 11-2-240	Civil Works Activities - Construction & Design
(10) ER 11-2-290	Civil Works Activities, General Expenses
(11) ER 37-2-10	Accounting and Reporting Civil Works Activities
(12) ER 200-2-3	Environmental Compliance Policies
(13) ER 1105-2-100	Guidance for Conducting Civil Works Planning Studies
(14) ER 1110-1-8156	Policies, Guidance, and Requirements for Geospacial Data and Systems
(15) ER 1110-2-100	Guidance for Conducting Civil Works Planning Studies
(16) ER 1110-2-1302	Civil Works Cost Engineering
(17) ER 1130-2-500	Partners and Support (Work Management Policies)
(18) ER 1130-2-510	Hydroelectric Power Operations and Maintenance Policies
(19) ER 1130-2-540	Environmental Stewardship Operations and Maintenance Policies
(20) ER 1165-2-119	Modifications to Completed Projects
(21) ER 1165-2-131	Local Cooperation Agreements for New Start Construction Projects
(22) ER 1165-2-400	Recreational Planning, Development, and Management Policies

(23) Policy Announcement - Chief of Engineers announcement, 26 Mar 02, subject: USACE Environmental Operating Principles

(24) Policy Letter - Policy Guidance Letter 61, 27 Jan 99, subject: " Application of Watershed Perspective to the Corps of Engineers Civil Works Program and Activities"

f. Other. 2002 Federal Personnel Guide, Key Communications Group, Inc.

4. **Distribution.** This information is approved for public release. Distribution is unlimited.

5. **Conventions.** The following designations are used for selected one-year periods:

CCY = current calendar year
CFY = current fiscal year (extending from 1 October CCY to 30 September CCY+1 before 1 January, latest, and 1 October CCY-1 to 30 September CCY thereafter)
PY = program year (CFY+2 before 1 October, next, and CFY+1 thereafter) = FY08
PY - 1 = one year before PY = FY07
PY - 2 = two years before PY (CFY before 1 October, next, and CFY-1 thereafter) = FY06
PY - 3 = three years before PY (CFY-1 before 1 October, next, and CFY-2 thereafter) = FY05
PY + N = program year plus N fiscal years.

Note that 1 October of PY-1 is 1 October of CCY, until 1 January, next, when it becomes 1 October of CCY-1.

6. **Program Development.**

a. **Government Performance and Results Act Guidance.**

(1) **Guidance Development Status**. The "Government Performance and Results Act of 1993" (GPRA), PL 103-62 is the foundation for present-day program development within the federal government. GPRA requires that agencies develop strategic plans and annual performance plans for serving the nation, and reports on how effective and efficient performance actually was for any period just completed. This has led to establishment of results-oriented performance planning, measurement, and reporting throughout the Federal government. The current Civil Works Strategic Plan was released in Mar 04, with the understanding that Army and OMB would continue to work on performance measures and targets tied to the strategic goals and objectives. A summary of the Civil Works strategic goals are as follows:

(a) Provide sustainable development and integrated management of the Nation's water resources.

(b) Repair past environmental degradation and prevent future environmental issues.

(c) Ensure that projects to meet authorized purposes and evolving conditions.

(d) Reduce vulnerabilities and losses to the Nation and the Army from natural and man-made disasters, including terrorism.

(e) Be a world-class public engineering organization.
Meanwhile, Army is developing its program based on projected merit of program investment increments. Guiding principles of its performance-based program development are presented below, under "Army Policy."

(2) **Civil Works Five Year Development Plan.**

a. The Civil Works Five Year Development Plan purpose is to present an overview on how the funding for the Civil Works program over a five-year period will produce results that contribute to achievement of the strategic goals and objectives in the Civil Works Strategic Plan. The five-year plan focus is to undertake projects and activities that provide the highest net economic and environmental returns on the Nation's investment.

b. To help in preparing the 2008-2012 five-year plans, each MSC/division will develop five-year funding streams for each project. The funding streams will be the basis for the PY budget and the 2008-2012 Five-Year Development Plan (FYDP) which will be submitted to Congress and Office of Management and Budget along with the budget submission. After the Divisions submit their five-year funding streams, a CW five-year plan will be prepared which will contain three scenarios. The three scenarios are, a) the low scenario, this scenario will be the five-year ceiling program, b) the "medium" scenario will be the based on the PY budget and OMB's out-year targets, and c) the high scenario will be based on PY-1 appropriations levels and adapted from the recommended program. Divisions' five-year programs must be included in the 30 June 2006 submission to avoid delays and ensure that disagreements, changes are addressed and allow for timely approval before a final five-year plan is prepared for final submission to Congress and OMB in August 2006.

(3) **Initial Guidance.** The Operation and Maintenance, Program successfully established results-oriented business program development procedures for six business programs in 1996 as a Pilot GPRA Project for OMB. The business programs include EM, EN, F&CSDR, H, N, and RC. The development procedures were further evolved into today's procedures - models - and served as examples for development of models for the two other business lines - RG and WS. The program development procedures are presented in Appendices I - VIII.

b. **Presidential Policy.**

(1) **Presentation of Programming Results.** Congress established its appropriation accounts by program function, such as investigations, construction, and operation and maintenance. Consistently, OMB programs by program function. To this end, it maintains 10-year planning estimates, or ceilings, for each appropriation account of the Civil Works Program. The ceilings reflect long-term effects of the President's policies for the various programs, projects, and

activities (PPAs) funded by each account, and serve as benchmarks for use in evaluating Congressional actions. The 10-year period accommodates adequate definition of long-term resource requirements. These ceilings are presented, for all accounts, in OMB's MAX database.

(2) **Economic Assumptions.** Economic assumptions underlying Presidential policy of reference 3.c.(1), Budget of the United States Government, Fiscal Year 2007, Analytical Perspectives, are reflected in Table 1. These assumptions, along with related factors presented in the Federal Personnel Guide of Key Communications Group (KCG), Inc., and Civil Service Retirement System (CSRS) - to - Federal Employees Retirement System (FERS) workforce conversion data of HQUSACE Human Resources Office, are shown for PY-3 through PY+19. The assumptions and related data cover base rates for federal civilian permanent workers, reflecting pay and burden factors; pay raises for these workers applicable to both changing and fixed base rates; and inflation for "goods and services" of federal civilian temporary and nonfederal workers, and nonpay items.

(a) **Pay and Burden Rates.** Base rates (against which pay raises apply) reflect assumed pre-raise pay and burden rates. Pre-raise pay rates are 1.000, by definition, for regular pay, and assumed to be 0.02 for awards. Assumed burden rates reflect assumed government contributions for worker benefits. The rates comprise two parts - one part for government contributions under the CSRS; the other, under the FERS. The first part (including contributions for retirement, health insurance, Medicare, and life insurance) is shrinking, while the second part (including contributions for regular, "Thrift Savings," and Old Age Survivors Disability Insurance (OASDI) retirement; health insurance; Medicare; and life insurance) is growing. This results from permanent force "attrition" and subsequent "turnover" through the hiring of more workers under FERS. With an annual permanent force attrition of 7 % and associated turnover initially representing a considerable share of that, the CSRS part is expected to become negligible by FY21. Class 1 "updating factors" reflect the year-over-year change in base (resulting from change in burden), the associated year-over-year raises, and whatever raise absorption may pertain.

(b) **Pay Raise Assumptions.** Pay raise assumptions for federal civilian permanent workers are shown in reference 3.c.(1), Table 11-1, "Economic Assumptions." Assumed pay raise rates include base and locality components. (The base component is different from the base rate, discussed above, against which the base component applies.) Base components, reflecting the Employment Cost Index (ECI), apply nationally. Locality components, reflecting conditions of local markets, apply locally. Allocation of pay raise rates to base and locality components is based on the number and distribution of workers eligible for locality pay. For PY-2, the national allocation to these components was 0.021 and 0.017, or 55 % and 45 % of the 38% total raise rate. The national allocation for PY-1 has yet to be determined, therefore, the composite raise rate is used without refinement. Class 1 rates in Table 1 are based on composite raises for all years.

(c) **Inflation Rates.** Inflation rates reflect assumed price increases for "goods and services" of temporary federal and nonfederal workers, and for nonpay items. The “Balanced Budget Act of 1997,“ PL 105-33, requires that the Gross Domestic Product (GDP) percent change, year-over-year chained price index (1996 = 100) rates be used to develop “baseline estimates” reflecting, instead of Presidential policy, continued operations under current law and current year appropriations. The baseline program based on these estimates is discussed in OMB’s Circular A-11, “Preparation and Submission of Budget Estimates.” At the recommendation of OMB, these rates were used as Class 2 rates of Table 1. Class 2 “updating factors” reflect the year-over-year inflation and whatever inflation absorption may pertain.

(3) **President’s Management Agenda (PMA).** The President’s Management Agenda addresses six initiatives, specifically:

(a) strategic management of human capital

(b) competitive sourcing

(c) improved financial management

(d) expanded e-government

(e) real property, and

(f) budget and performance integration

The last of these six initiatives deals with program development. It entails using performance information to improve program management and investment decisions. To evaluate the effectiveness and efficiency of agency programs, OMB has developed the Program Assessment Rating Tool (PART) - an objective, easily understood questionnaire which facilitates reaching findings that are credible and useful in improving performance and decision-making. The PART includes performance measures.

Agency status and progress in addressing the PMA are monitored by OMB in a “scorecard” format. Status and progress each may be summarized by one of three possible overall ratings - green, yellow, and red, from best to worst. On its latest quarterly scorecard, the Corps’ received four red, one yellow, and one green rating for status, include a red for budget and performance integration, yellow for competitive sourcing and green for strategic management of human capital. Our goal is to receive green ratings for status in accomplishment of all initiatives.

c. **Army Policy.**

(1) **Performance-based Program Development.** Performance-based program development is development of only those programs, and only those parts of those programs, that

can be justified by the results produced, or to be produced. Results may be in the form of outputs or outcomes. Performance-based program development is designed not only to ensure prosecution of only clearly justified programs, but also, to ensure that business lines increments are added such that the first-added increment provides the best results or returns, the second-added increment provides the second-best results or returns, etc. The increments are added in order of priority, both within and across business lines, to build total programs of whatever size, depending on available funding.

(2) **Business Lines Programming.** In response to GPRA, the Corps established its business lines by program purpose, such as navigation, environment, and flood and coastal storm damage reduction, rather than by function (e. g. investigations, construction, operation and maintenance, etc.). Consistently, the Corps programs by program purpose, and, once Army finishes program development, assists Army in cross-walking results to appropriation accounts, set up by function, for use by OMB in developing the President's program. Business lines include navigation, environment, flood control and coastal storm damages, hydropower, recreation, regulatory, emergency management, and water supply. Each of these business lines is fully addressed in its own appendix.

(3) **Performance**.

(a) **Measures.** Performance measures are written criteria by which to gauge progress in accomplishment of any particular performance objectives, goals, and missions. For the Civil Works Program, the Corps has eight sets of performance measures - one for each business line. They are used, not only as standards by which to judge performance based on project or program results, but also, to project performance contributions of investment increments, discussed later, for consideration in prioritization of increments to be added in program development.

(b) **Results.** Performance results are products of operation of the PPAs. They are determined through collection of data, by performance measure, describing the extent to which performance objectives, goals, or missions, were met through operation of the PPA. They are used, not only to evaluate program performance and judge program worthiness after the fact, but also, to evaluate the reasonableness of performance measures.

(4) **FC,MR&T Project.** Programs for the FC,MR&T Project will be developed in accordance with guidance provided for comparable functions of other programs.

(5) **Specifically Authorized Studies and Projects.** For specifically authorized studies and projects the emphasis is on maintaining continuity in the workflow once a new start decision has been made. In general, there are only two new start decision points for all Army proposed cost-shared projects - initiation of the reconnaissance phase study and project construction. Likewise, Preconstruction Engineering and Design (PED) studies may be budgeted before release of the Division Engineer's (DE's) Transmittal Letter provided the DE's Letter will be released. However, if any feasibility study (other than for inland waterways) was not subject to

efficiencies and controls of cost-sharing, a new start review and approval would be needed for PED. Likewise, a new start decision would be needed for a feasibility study being initiated after, say, an O&M-funded appraisal without an intervening reconnaissance new start decision.

d. **Corps Policy.**

(1) **General.** In response to GPRA, the Corps established its business lines by program purpose, such as emergency management, environment, flood and coastal storm damage reduction, rather than by function. Consistently, the Corps programs by program purpose, and, once Army finishes program development, assists Army in translating results to program function for use by OMB in developing the President' program.

(2) **Local Sponsor.** Districts should collaborate with Local Sponsors on the budget development. Please follow the guidance for Disclosure of Budgetary information. The President's Budget, after presentation to Congress contains the only releasable budgetary information. This budgetary or process information must be kept confidential until officially released to the public. Such information includes funding account, study, project, and state. Instructions on policies and procedures for disclosing budgetary information are contained in OMB guidance circular and are issued annually by CECW-ID.

(3) **Environmental Operating Principles.** By reference 3.e. (23), 26 Mar 02, the Chief of Engineers announced the USACE Environmental Operating Principles. These principles apply across all business programs and accounts. They are:

(a) strive to achieve environmental accountability, in order to maintain the environment in a healthy, diverse, and sustainable condition necessary to support life;

(b) recognize the interdependence of life and the physical environment, proactively considering environmental consequences of Corps programs and acting accordingly in all appropriate circumstances;

(c) seek balance and synergy among human development activities and natural systems by designing economic and environmental solutions that support and reinforce one another;

(d) continue to accept responsibility and accountability under the law for activities and decisions under our control that impact human health and welfare and the continued viability of natural systems;

(e) seek ways and means to assess and mitigate cumulative impacts to the environment, bringing systems approaches to the full life cycle of our processes and work;

(f) build and share an integrated scientific, economic, and social knowledge base that supports a greater understanding of the environment and impacts of our work; and

(g) respect the views of individuals and groups interested in Corps activities, listen to them actively, and learn from their perspective in the search to find innovative win-win solutions o the nation's problems that also protect and enhance the environment.

(4) **Geospatial Data and Systems.** Key to successful implementation of the Watershed Perspective will be the sharing of data internally and with others. To ensure that data and information technology are consistent and compatible throughout the Corps, each District shall develop an Enterprise Geospatial Information System (eGIS) initiative that fits into the Division's Enterprise GIS Program Management Plan and the Corp's Geospatial Enterprise Architecture (CeA), as outlined in Engineer Manual 1110-1-2909, Geospatial Data and Systems. As part of the eGIS initiative, each MSC shall establish, and maintain for easy access, its own geospatial database repository into which its districts shall input their project data and other data essential to multi-purpose water and related land resources management within their watersheds. Such other data might include data on water and land use regulation, water control, and environmental and emergency management. Furthermore, to the fullest extent practicable, all districts will prioritize historical program and project data and input it into the E-GIS databases.

(5) **Micro-computer Assisted Cost Estimating System (M-CACES).** A complete and reliable Micro-computer Assisted Cost Estimating System (M-CACES) baseline cost estimate and realistic workflow and funding schedule are essential to preparing a 10-year program. Projections of work and funding requirements will be consistent with the President's PY-1 budget, as modified by any Congressional action in the meantime. However, the funding schedules should be reviewed and adjusted continuously to reflect the sponsor's financial capability and project progress.

(6) **Watershed Principles.** Watershed studies are planning initiatives that have a multi-purpose and multi-objective scope and accommodate flexibility and collaboration in the planning process. Possible areas of investigation include flood damage reduction activities, ecosystem restoration, navigations, water supply and recreations. The watershed principles require team thinking about water resources development and management in the context of multiple purposes rather than single purposes, and thus, facilitates the search for comprehensive and integrated solutions; improve opportunities for public and private groups to identify and achieve common goals by unifying on-going efforts and leveraging resources; identify a combination of recommended actions (a Watershed Management Plan) to be undertaken by various partners and stakeholders in order to achieve local, tribal, regional, and national water resources management goals identified in the study and may or may not identify further budgetable Corps studies or implementation projects; leverage resources, including cost shared collaboration, and integrates programs and activities within and among Civil Works programs, and with other Federal, tribal state and non-governmental organizations, to improve consistency and cost effectiveness.

(7) **River Basins and Systems.** A systems approach or watershed approach is needed to ensure that investments are integrated into a whole that preserves or enhances performance and

sustainability at the system level. A system approach requires consideration of the investment needs and priorities of all the business programs within the watershed. All PY (FY 08) budget items requests (studies, construction, and O&M) will include the USGS Hydrologic Unit Code (HUC) sub-region (4 digits) codes. These codes can be found at http://water.usgs.gov/nawqa/sparrow/wrr97/geograp/geograp.html. MSCs will identify all systems within their respective regions of the US and develop budget priorities that are consistent with investing in one or more of the following aspects of the system: in the highest risk portions of the system; that will result in the most improvement in performance; that contribute to increased navigation reliability and safety; that contribute to increased flood damages prevented; that identified as a watershed, and may include multiple individual projects and components. Some large watershed could be comprised of more than on system (e.g. the Mississippi River watershed has the Upper Mississippi River system, the MR&T system, and tributaries as separate systems). Analytical perspectives should be developed to help determine the mix in PY of investments in maintenance, operations improvements, reallocation, major rehabilitation, new construction, planning, and design that will maximize system efficiency, safety, reliability and sustainability over time.

(8) **Operations and Maintenance Basins**. **PY O&M budget will be formulated on a watershed/system basis and, if Congress concurs on the benefit of planning and carrying out the O&M program in accordance with system-wide priorities, the O&M program would be managed by watershed and business line, rather than project-project. Operation and maintenance work funded in this manner will allow managers in the field more flexibility to address uncertainties and change conditions throughout the fiscal year, consistent with budget and appropriations decisions.**

Proposed PY funding will be consolidated according to Civil Works program areas, such as commercial navigation and flood damage reduction, for each of the 21 major river basins in the United States, as established by the US Geological Survey. Specific projects that would receive funding in each basin also are identified by name.

(9) **Construction Contracts**. **Refer to guidance for construction contract in Annex B and EC 11-2-189, Execution of the Annual Civil Works Program.**

(10) Rehabilitation projects are defined in Section 205 of WRDA 92 "with respect to inland waterway projects, as economically justified, structural restoration of major project features that extends project life more than 2 years, or structural modifications that enhance operational efficiency, and that exceed certain cost thresholds. Continued maintenance may be viewed as the alternative to rehabilitation, and so rehabilitations should compete against maintenance. Also, since rehabilitations are not as large as replacements they can be programmed more easily in the Operation and Maintenance account".

(11) Replacement projects are greater in scope. A replacement involves the principal facility component that enables production of project output e.g. replacement of turbines and generators at hydropower plants, replacement of failing lock, recapitalizing or upgrading facilities.

(12) Plant Replacement and Improvement Program. Submission of documents to support new Plant Replace and Improvement Program (PRIP) projects are contained in Annex E along with referenced materials. Both large and small projects are reviewed by the HQ Prioritization Group which makes recommendations to the Senior Program Budget Advisory Committee on the disposition with respect to inclusion in the program. Good planning dictates that justification, economic analysis, estimates, and other submission materials are prepared well in advance of this budget review, since it is only one year away from project execution. Submissions of projects outside of the normal budget cycle are discouraged except for situations dictated by extraordinary circumstances**.**

e. **Alternative Multiyear Programs.**

(1) **Introduction.** OMB ceilings reflect intent of the President's 10-year program from a national perspective. However, Army may recommend the distribution of funding within the ceiling for Civil Works and may elect to recommend alternative funding levels. To this end, it can select alternative work mixes and associated funding levels, by functional account, that best meet scheduled commitments, program priorities, and capabilities. Emphasis or de-emphasis of programs, projects, and activities should always provide for the most efficient and productive use of funds.

(2) **Programs Developed by Corps.** In the interest of developing an optimum Civil Works Program within funding constraints (as yet undefined), headquarters, U. S. Army Corps of Engineers (HQUSACE) must develop two alternative multiyear programs - an “initial program,” based on Army policy and a “capability program,” based on capability-level production by project.

(a) **Business Line Increments.** Business line increments are defined in each applicable business line. They are prioritized by MSCs for each of their business lines, then, reviewed and modified or approved by HQUSACE and, ultimately, ASA(CW). They are added to the “initial” program in order of priority within each business line. Their priorities are based on their relative efficiencies and effectiveness in accomplishing approved performance objectives, goals, and missions. The objectives, goals, and missions include serving specific water and related land resource management purposes, meeting statutory requirements, and promoting national heath and safety. Justification statements present the relationships between investment increments, incremental contributions to achieving objectives, goals, and missions, and incremental funding. Making these relationships clear to all parties within the Corps, OMB, Congress, and the public is important to gaining support for recommended programs.

(b) **Initial Program.** The initial program is the first business line increment for each business line. Criteria for initial levels are presented, as applicable, in Appendices I - VIII. For each business line and account program, HQUSACE must develop a realistic, multiyear initial program reflecting PY-2 work allowances and projected current year appropriations and meeting further requirements for program formulation presented in the appendices and/or annexes covering the programs. (Note that this is not the same program represented by "baseline estimates" required by reference 3.a.(8), PL 101-508, and discussed in reference 3.c.(3) OMB's Circular A-11).

(c) **Capability Program. When developing capabilities, District should fully fund all contracts $10 million or less; for contracts greater than $10 million, treat them as incrementally funded (i.e. continuing contract, base bid + option, multiple year contract); when stating capabilities, in addition to the optimally funded capabilities, provide one or two logical increments less that the optimal capability with a brief explanation of what can be accomplished at each funding increment. It is extremely important that Districts and MSCs carefully consider Capability amount. The 10 year program recommendations to OMB will be derived from the Capability program.**

(3) **Programs Developed by Army**. Based on HQUSACE recommendations, OASA(CW) will develop a "ceiling program," based on Presidential policy, by adding the highest-return business line increments nationwide to HQUSACE's initial program. Additional increments will be added to develop an above-ceiling "recommended" program.

7. **Cost Estimates.**

a. **Economic Assumptions.** As explained above, the Administration's economic assumptions address inflation and adjustments through PY-1. Table 1 provides cost estimate updating rates based on these assumptions, extrapolated through PY+19. These rates may be extended beyond PY+19 using the procedures described in Footnote 16 of the table. They are used, as explained below, to update all study and project cost estimates.

b. **Updating.** As shown in Table 1, all costs of Corps work are grouped into just two "classes" - Class 1 and Class 2. Class 1 includes only costs of Corps civilian permanent workers. Class 2 includes all other costs, including costs of Corps civilian temporary workers. Each class has its own set of rates for cost estimate updating. Nevertheless, each set is used in the very same way - through execution of the "algorithm" described in the table. The two cost classes and their rates are discussed next.

(1) **Corps Civilian Permanent Worker Cost.** The Class 1 rates in Table 1 are applicable to the PY-1 pay raise base. They derive from "updating factors" incorporating effects of then-year pay raises and a changing pay raise base. The pay raises reflect standard nationwide pay raises and locality pay increments. The breakdown between the two is based on local pay gaps and must be determined each year. Use these rates to update Corps civilian permanent worker cost

estimates for all programmed work of all studies, projects, and activities.

(2) **Corps Civilian Temporary and NonCorps Worker and Nonpay Cost.** The Class 2 rates of Table 1 are applicable to the PY-1 base of all costs other than those for Corps civilian permanent workers, ranging from costs of Corps civilian temporary workers, and consultants and Architect Engineers used in the various preconstruction planning and construction stages of work, to real estate costs. They derive from "updating factors" reflecting standard nationwide inflation. Use these rates to update Corps civilian temporary and nonCorps worker and nonpay cost estimates for all programmed work of all studies, projects, and activities.

8. **Project Economics.**

a. **Discount Rates.** A discount rate of 5 1/8% will be used to determine the "current" economics of any project. For projects funded for construction, the "applicable" rate is the one in effect when construction funds were first appropriated. For projects never funded for construction, the applicable rate is the "current" rate, unless the project qualifies for the 3 1/4% rate under the "grandfather" clause in Section 80 of the Water Resource Development Act of 1974, PL 93-251. Even if "grandfathered" for budgetary purposes the actual current rate should be also used and results shown. In addition, as noted in paragraph 9 below, costs and benefits, and remaining costs and benefits should be computed and displayed at a 7 percent discount rate.

b. **Evaluation.**

(1) **Benefit/Cost Ratios.** As required, in support of funding requests, benefit-cost ratios will be evaluated based on the benefits in the latest approved official document, such as Feasibility Report, Chief of Engineers Report, Limited or General Reevaluation Report (LRR or GRR), Engineering Documentation Report (EDR), or other report. In computing BCRs, deflate the current project costs to the price levels of such benefits. Exceptions to this "deflation of cost method" may be granted when a new economic update is performed and approved at the appropriate level (usually MSC level).

(a) **PEDs and Continuing and New Construction Projects.** This data will be used in formulation of the President's PY Budget. For new start PED projects, the fiscal year of the approval date of the latest economic analysis must not precede the fiscal year of the MSC program submission by more than 3 years. For example, for any new PED project recommended in your July submission, the approval date of the document containing the most recent economic analysis can be no earlier than 1 October CCY-4 - the first day of PY-5. This point in time precedes the start of the fiscal year in which you are making your submission by 3 years. If the fiscal year of the approval date is more than 3 years ago, you must perform a reevaluation to show that the project remains justified. Such reevaluation will be the first item of work upon receipt of funds and will be documented in an LRR to be submitted in support of any request for follow-on funding. The reevaluation will involve no major new analysis. It will be limited to reviewing and updating previous assumptions and limited surveying, sampling, and application

of other techniques to develop a reasonable estimate of project benefits. For any continuing PED project, in order to assure currency of economic justification and sponsor acceptance, the fiscal year of the date of the latest approved economic analysis, or update, must not precede the fiscal year of the MSC submission by more than 3 years. Provided updates are performed in accordance with the plan in the feasibility report and/or the Project Management Plan, MSCs may approve them.

(b) **New Construction Projects.** For any project or element proposed as a new construction, the fiscal year of the approval date of the latest economic analysis must not precede the fiscal year of the MSC program submission by more than 3 years. For example, for any new construction project or element in your initial submission, the approval date of the document containing the most recent economic analysis can be no earlier than 1 October CCY-4 - the first day of PY-5. This point in time precedes the start of the fiscal year in which you are making your submission by 3 years. If the fiscal year of the approval date is more than 3 years ago, you must perform a reevaluation to show that the project remains justified. Such reevaluation will be the first item of work upon receipt of funds and will be documented in an LRR to be submitted in support of any request for follow-on funding. The reevaluation will involve no major new analysis. It will be limited to reviewing and updating previous assumptions and limited surveying, sampling, and application of other techniques to develop a reasonable estimate of project benefits. If the limited reevaluation uncovers major changes that could affect project formulation or sizing, then additional PED rather than construction funds must be requested to undertake a complete GRR.

(2) **Approval of Post-authorization Documents.** MSCs have approval authority for post-authorization documents that are certified as being in accordance with law and policy for projects not requiring a Washington-level decision or additional congressional authorization. Decision documents for projects not in accordance with policy or those requiring action by the Chief or ASA(CW), or requiring additional congressional authorization, must be submitted to headquarters, U. S. Army Corps of Engineers (HQUSACE).

9. **Report to Congress of Benefit/Cost Ratios.** Executive Order 12893, "Principles for Federal Infrastructure Investment," requires that benefits, costs, and benefit-cost ratios for new infrastructure investments of all federal agencies be evaluated at a discount rate of 7% to facilitate comparison and decisionmaking. This rate approximates the average real pretax return to capital in the private sector. The total benefit/cost ratios and remaining benefit / remaining cost ratios (RBRCs) for all continuing and new construction projects, each based on a 7% discount rate, will be input into PRISM. A list of these projects and ratios will be reported to Congress as part of the PY budget request. More specifics on computing RBRCs are included in Annex B, Construction.

10. **Manpower.** No manpower data is required by this EC. CERM-M will use current resourcing standards of reference 3.e.(2), “USACE Manpower - Corps of Engineers - Manpower Requirements Systems,” and PY-2 through PY+3 workload to develop PY manpower

requirements by appropriation account for the OMB program submission. In early CCY+1, once the President's Program has been resolved for PY, then manpower data compatible with the program will be input in accordance with the then current EC (to be published in January of CCY+1).

11. **Definitions. Phase Codes definitions/applications are defined in Table 3 for the Appendices.**

12. **Submissions.**

a. **Summary.** Required MSC submissions, recipients, means of input, numbers of copies, and due dates are discussed at length in the appendices and summarized in Table 2. Due dates are designed to spread the workload. They must be met.

b. **Input Instructions.** Input instructions are provided by various means, including, in addition to this EC, User's Manuals, system websites, and e-mail messages.

c. **ADP Databases.** Data is input to databases of up to five ADP systems. These include P2, Project and Resource Information System for Managers (PRISM), Information Technology Investment Portfolio System (ITIPS), Recreation Budget Evaluation System (Rec-BEST) and Environmental-Stewardship Budget Evaluation System (E-S BEST). These databases are open; they will close on the various dates shown in Table 2.

(1) **General Provisions.**

(a) Proposed activities and resources for O&M; RG; and the O&M portion of FC,MR&T will be loaded into Primavera Project Manager by all MSC/Districts. "Remaining Items" in these accounts will be handled separately by HQUSACE. With the exception of South Atlantic Division (SAD), when a District or MSC completes the loading of activities into P2, it will run a PRISM procedure which will transfer selected P2 data elements at an appropriate level of detail into PRISM. The MSC/District will then use PRISM to enter certain additional performance indicators, and to provide an MSC ranking within each business line of all PRISM budget items across appropriation accounts.

(b) With the exception of SAD, all MSC/Districts will use the Program and Budget System (PBS) module of PRISM to submit data for I, C, (and corresponding portions of FC,MR&T) and FUSRAP studies and projects in accordance with the data requirements specified in the applicable annexes and appendices. "Remaining Items" in these accounts will be handled separately by HQUSACE. Each MSC may, at their option request HQUSACE to roll the PY-1 (FY07) PRISM data over to PY (FY08) to serve as a starting point for the submission. MSC/Districts will then update and adjust the PRISM data as needed.

(c) SAD will use P2 rather than PRISM for the PY submission in order to provide an

operational test of the PRISM-replacement functionality which has been developed in P2. Separate detailed guidance and training will be provided to SAD.

(d) Data for RC and the Environmental Stewardship part of the EN program will be submitted through use of Rec-BEST and E-S BEST, respectively. Extracts of Rec-BEST and ES-BEST will be loaded into PRISM by **mid May**, to allow districts and MSCs to review and evaluate their budgets comprehensively, across business lines. Additional PRISM uploads will be done on district or MSC request to the BEST Help Desk at ERDC. As district and MSC review continues, necessary changes to recreation and environment stewardship budget data will be coordinated and made in Rec-BEST and ES-BEST, as appropriate. Changes to data in PRISM will be made through subsequent uploads from Rec-BEST and ES-BEST. The BEST technical team from ERDC will coordinate uploads with the PRISM team.

(e) Upon completion of the submission by MSC/Districts, data for each business line will be extracted from PRISM (and P2 for SAD) by HQUSACE staff and provided to each HQUSACE business line manager for development of the nationwide program.

(2) P2 for O&M.

(a) **Business Line.** P2 provides a project level code to identify the project's primary business line. This code may be over-ridden in P2 Primavera Project Manager at the activity level for specific activities which differ from the project's overall primary business line. **Several Business Line choices available in P2's list of values are not applicable for this budget submission and will not be transferred to PRISM, including "OTH" - Other, "SOTH" - Support for Others, "EM" - Emergency Management, and "RE" - Real Estate. The business line choice "ENV" - Environment should not be used and will not transfer to PRISM. Instead, use "ENV-Ecosystem", ENV-Steward", or "ENV-FUSRAP". The "JNT" - Joint business line should not used for a project's primary business line classification, but should be used as the business line over-ride activity code on applicable activities in P2 Primavera Project Manager. Joint activities in O&M multipurpose hydropower projects (cat-class 300) will transfer to the "Hydropower" business line in PRISM (and P2-OFA). Joint activities in other O&M projects will transfer to the project's primary business line.**

(b) **Project Funding Increments.** An activity code named "CW FY08 Funding Increment" will be used in P2 Primavera Project Manager to identify groupings of activities within a business line and within a project. The valid values for this data element are identified in the business line appendices in this EC. **One of these values must be assigned to each activity in order for the activity to be included in the transfer to PRISM**. For all business lines, value 1 indicates that the activity belongs to the "Initial" increment as defined in the applicable business line appendix. It is possible that a project will not have any activities coded as 1.

(c) **Phase Code**. Each activity in P2 which is to be included in the transfer to PRISM must be assigned a Phase Code, which is an activity code in P2 Primavera Project Manager. The list

of valid Phase codes is at Table 3.

(d) **Aggregation and Budget-Item-ID.** The P2-to-PRISM transfer procedure will use the P2 "CW FY08 Funding Increment" and ”CW Phase Code” activity codes to generate budget items in PRISM within each project and business line. In addition, the P2-to-PRISM transfer procedure will generate a data field named “Budget Item ID” to provide separate budget items in PRISM for each construction contract. For each activity which is resourced for Construction Contract Services in P2 Primavera Project Manager, the transfer procedure will place **the P2 activity number and the P2 project number in the Budget Item ID field and create a separate budget item in PRISM. The transfer procedure will aggregate all non-construction-contract activities and resources within a unique project (at the PWI/CWIS level), business line, increment, and phase into one consolidated non-contract budget item in PRISM.**

(e) The RC program and the Environmental Stewardship part of the EN program use REC-Best and E-S Best to complete the development of their budget packages. The budget data for these two businesses will be transferred directly from the Best programs to PRISM when necessary or requested. It is recommended that the breakdown of these packages also be added to P2 Primavera Project Manager by each MSC/District so that a complete set of activities for all businesses within each project will reside in P2.

(f) The sum of all requested amounts for all activities within a project should represent the project's obligation capability.

(g) **Funding Levels.** The activity code called "Funding Level" is required in P2 Primavera Project Manager. There are two funding levels – non-deferrable and deferrable. All O&M and RG activities should be tagged as non-deferrable.

(h) **Activity Rankings.** Each activity may have a rank number assigned to it, and duplicate ranks are allowed. Activity rankings will be used to determine the relative priority of activities within a project, district, and MSC. However, the MSC rank that is added in PRISM will be the primary ordering rank used within the budget. Therefore, the activity ranks in P2 Primavera Project Manager are optional. (An MSC ranking will be required in PRISM within each business program across the I; C, O&M and FC,MR&T appropriation accounts. The MSC ranking in PRISM will be considered by HQUSACE as the final MSC ranking.)

(i) **Performance Output/Indicators.** Performance output/indicators are described in the applicable appendices and annexes.

(j) **Joint Activities.** Joint activities on multi-purpose hydropower (cat-class 300) projects will be entered into P2 Primavera Project Manager under work category codes 606xx and 616xx, and Phase codes “OJ” and “MJ”. Joint activities on other O&M projects will use Phase codes “OJ” and “MJ”. **See paragraph 12.c.(2)(a) above for business line code instructions for joint**

activities.

(k) **PMBP Portal.** Detailed instructions concerning operation of P2 Primavera Project Manager and other tools within P2 are available on the PMBP Portal at http://pmbp.usace.army.mil .

(3) **PRISM Transfer Procedures.** Specific instructions concerning how to run the P2-to-PRISM transfer procedure will be provided separately by email and on the PRISM User's Manual web page, accessible at http://www.usace.army.mil/inet/functions/cw/cecwb/prism/. The procedure will be available by **15 May 2006.** The transfer procedure may be run separately for each business line and district.

(4) **PRISM.**

(a) **Performance Measure / Business Line Data Entry Screens.** The PBS module of PRISM provides Performance Measure / Business Line data entry screens which allow for submission of budget data. These screens are accessed from item #7 on the PBS menu. It is also possible to download the data to Excel using PBS menu item #24, make updates in Excel, and upload from Excel to PRISM using PBS menu item #25. The data requirements for each business line are detailed in the business line appendices. Additional instructions concerning the PRISM data entry screens and the download/upload process will be provided separately by email and on the PRISM User's Manual web page accessible at http://www.usace.army.mil/inet/functions/cw/cecwb/prism/. The data entry screens and upload process will be available by **15 May 2006**.

(b) **Level of Detail.** Refer to the business line appendices to determine at what level of detail to enter the individual budget items for each project and study. A particular study or project in PRISM is defined by its CWIS/PWI number, District, and type of funds (appropriation and category-class-subclass). Projects may be further broken out into sub-projects. Entries are also split into one or more business lines and one or more project funding increments for each applicable business line. In addition, the “Phase Code” data field defines a further level of required breakout. See Table 3 for a list of valid Phase codes. Finally, the individual business line appendices may define additional required levels of breakout, such as individual contracts. As described in paragraph 12.c.(2)(d) above, the P2-to-PRISM transfer procedure will create separate budget items in PRISM for each P2 activity resourced as a construction contract. All other costs will be consolidated on a separate budget item within each unique project, business line, increment, and phase. In PRISM, these budget items should be manually adjusted to ensure that E&D and S&A costs are included on the applicable contract budget items rather than on the consolidated “other” budget item.

(c) **Funding Level / Increment. Valid values for the project funding increment code are: 1 2, 8, 9 for I and C (not including CAP), and 1, 2, 3, 4, 5, 7, 8, 9 for OM. Increments 1-9 are available for CAP, and increments 1-5 are available for FUSRAP**. **Multiple budget**

items can be used within each increment to further define work. Value "1" is used to identify an "Initial" business line increment as defined in the applicable business line appendix. Other values are used as needed for additional project increments of work ranked in order of performance and meeting the criteria established by the business line for each level or increment. The number of increments of work for each project will vary from one project to another. It is possible that a project will not have a funding item coded as "1", in which case the project's first increment will be coded as "2" or other lower increment. **Unbudgetable items** will be assigned to **increment 9**. Unbudgetable Items are defined as studies/projects that are not budgetable e.g. infrastructure, etc.

(d) For each budget item, the PY Federal Corps (and PY Inland Waterway Trust Fund, if applicable) funding request amount will need to be entered, along with the MSC rank. MSC ranking is required only within each business line, and not across business lines. In the P2 -to-PRISM transfer procedure, the rankings entered into P2 Primavera Project Manager will not be brought over to PRISM because these programs will come over to PRISM at an aggregated level. The MSC ranking in PRISM will be considered by HQUSACE as the final MSC ranking.

(e) The sum of all PY funding requirements for all increments and business lines on a project should equal the project's Capability amount.

(f) The Performance Measure / Business Line data entry screens will also provide for entry of performance measure ranking criteria as defined in the applicable business line appendices.

(g) **PWI/CWIS Numbers**. **PRISM uses the PWI/CWIS number to identify studies and projects. New studies and projects which do not already have a PWI/CWIS number assigned will use the P2 system-generated P2 Project ID number as the PWI/CWIS in PRISM. The P2 Project ID number will also be used as the AMSCO number in CEFMS for new projects which do not already have an AMSCO assigned. In the case where multiple new P2 projects are created which are all associated with a single line in the Corps budget submission to OMB and Congress, a new P2 Program Code will be assigned. Requests for new Program Codes must be approved by HQUSACE through the MSC's RIT. Upon approval the new code will be made available in the P2 system for assignment to applicable P2 projects. In this case, the Program Code value will be used as the PWI/CWIS in PRISM and as the AMSCO in CEFMS**.

(5) **ITIPS.** Instructions for input to the ITIPS database were provided by CECI-TR in the latest ITIPS User's Manual, accessible at http://www.usace.army.mil/itips. These instructions cover input of automation requirements, discussed in Annex F. This database remains open; but input is required by the date shown under "Automation Program" in Table 2.

(6) **Rec-BEST.** A web-based tool has been developed for field use in calculating Recreation performance measures for O&M activities. Rec-BEST **MUST** be used to develop recreation O&M budget packages for FY 08. Rec-BEST may be accessed at

http://corpslakes.usace.army.mil/employees/Rec-Best.html along with directions for its use. See Appendix VI for further information concerning Rec-BEST.

(7) **E-S BEST.** A web-based tool has been developed for field use in calculating Environmental- Stewardship performance measures outputs for O&M activities. E-S BEST **MUST** be used to rank FY 08 Environmental–Stewardship O&M and MR&T workpages. E-S BEST may be accessed at http://corpslakes.usace.army.mil/employees/esbest/esbest.html
.

d. **E-mail and FTP Data.**

(1) **Justification Statements and Enacted Fact Sheets. The 2006 Conference Report directed the Corps to expand the justification information provided to Congress. The Enacted Sheets will be used to provide a detailed analysis of activities and projects funded in the current year but for which no funds are requested in the budget.** Refer to Table 2 for schedule.

(a) **General**. Complete your updates of illustrations 1 (Enacted Fact Sheets), A-2.1 through A-2.4, B-2.4, C-2.1, C-2.5a through C-2.5c, C-3.1, C-3.2, C-4, and I-1.1 of the appendices for I, C, O&M, FC, MR&T, and FUSRAP items, as applicable, by dates specified in Table 2.

(b) Use 10-point regular Arial font, automatic line height, line spacing of 1, and margins of 1" top and bottom, and 0.5" both sides. (In "File," "Page Setup," "Margins," set bottom margin at 1.5" and footer margin at 1.0" from bottom edge of page. This provides a 0.5" footer height for printing the footer and page number.) Do not number pages.

(c) Develop project completion schedules consistent with the President's budget funding amounts, and reflect these schedules in your PB-2As. These schedules will be provided to the Appropriations Committees for the record. Do not show future advanced appropriations in the summarized financial data on your justification sheets. Prepare the summarized financial data in accordance with the examples in Illustration B-2.4 of Annex B.

(d) Submit justification statements, as completed, via e-mail to your RIT, as appropriate, for review. Coordinate e-mailing logistics with your RIT, beforehand.

(e) Justification Materials for Studies, PED, and Construction Projects Submission. Draft justification materials are to be provided for all studies, PEDs, projects that were not in PY-1 (FY 07) budget and are proposed for inclusion in the Army's recommendations to OMB. See Table 2 for the due date for these draft materials. Justification materials for new work are due earlier than justification material for other work.

(f) **Revised Submission.** Between the times of the initial and Congressional submissions, revised submissions may be required for various reasons, including changes in funding for PY-1 effected by appropriations. Submit these as specifically requested.

(g) **Congressional Submission.** The ultimate products of the justification development process are two volumes of justification books for Congress - one volume of justification material for each business line and one volume for enacted projects. Each division is responsible for developing its own data using whatever software it chooses, such as computer-aided design (CAD), and Microsoft Word and Excel software. However, ultimately, each division must convert its book to an Adobe Acrobat 7.0 file for efficient electronic transmission and publication. In order to ensure that your book will "present" in the Adobe Acrobat file as it does in the development software file, you must select the Adobe Acrobat printer in the development software before finalizing your product in that software. For example, to ensure that what you see in Word is what you get in Adobe Acrobat, you must select "File," "Print," "Printer," "Acrobat PDFWriter" in Word before finalizing in Word. Doing this first of all will spare you untold lost time and frustration. Of course, if you want to print your finalized file at a local printer, simply select the printer and print, but do not modify the file while the local printer is selected.

(h) Prepare a table of contents list studies and projects alphabetically by Business Line by Account. Do not include page numbers. Page numbers will be included at Headquarters during book assembly. On each page of the document and maps, show the date of Army's press conference (to be provided later) centered in the bottom margin, 1" from its bottom edge. Prepare status maps in accordance with reference 3.e.(10), except, do not include the disclosure statement noted in paragraph 1 on the maps.

(i) Justification documents for **Replacement** projects are required for C projects, including justification statements, status maps and PB-2As. **Justification documents for Major Rehabilitation are required for O&M.** For major rehabilitation of inland waterways locks and dams and associated structures, show half of funding from the Inland Waterway Trust Fund.

(j) For other O&M projects, show funding for "operations" and "maintenance" work separately. Copy PY funding for these parts from guidance to be provided later, ensuring that the total of amounts copied matches your division's total. Update individual project amounts to reflect your latest projection of PY-1 obligations. Round all funding amounts to the nearest $K. Add the following statement (less quotation marks) after the introductory paragraph for each category, as applicable:

”For recreation areas, part of the requested amount will be offset by a transfer from the Special Recreation Use Fees Special Fund (SRUF)"

(m) Include major rehabilitation requirements for projects as part of single line item entries on the justification of estimate statements with the following remark (less quotation marks) under "Reason for Change and Major Maintenance Items:"

"Includes Major Rehabilitation at $XXX. See justification following this table."

(k) Identify States for each of the following items: Scheduling Reservoir Operations,

Inspection of Completed Works, Project Condition Surveys, and Surveillance of Northern Boundary Waters. Refer to Annex C.

(l) Submit these as specifically requested later. Submit final versions, printed front to back and collated into a single book (with a cover like last year's, including the disclosure statement, and paginated and dated table of contents, budget summary, and status maps, as applicable) in a single Adobe Acrobat 7.0 file.

(2) **Other.** The Emergency Management Business Program Manager (BPM) will provide instructions to cover FC&CE activities of former Annex D, requiring input by e-mail or FTP directly to that office by dates specified in Table 2.

e. **Hardcopy Data.** Provide hardcopy items required (e. g., certifications, etc.) by dates specified in Table 2.

f. **Document Marking.** All submissions required by this EC are not to be released outside the Department of the Army. See reference 3.e.(10), ER 11-2-240, “Civil Works Activities - Construction & Design,”, for instructions regarding the marking of documents for restricted distribution.

13. **Balance-to-Complete Report.** Districts will update the Balance-to-Complete Report (PRISM/PBS Report 15) for PED and construction projects by the date shown under “Main Part” in Table 2. Records for active status PED and construction projects must include total estimated federal costs. (PED balances-to-complete must include the federal costs of PED plus construction.) Give special attention to active status PED and construction projects, as they are the subject of periodic Congressional questions on project balances-to-complete. CECW-IN is the proponent of this report; however, CECW-IP account managers will review the contents of the report when necessary to meet requirements.

14. **Certifications of Compliance.** You must submit, to CECW-ID, at least two, and possibly four, certifications that your program submission complies with laws and an Executive Order. The two certifications always required include one by district commanders regarding compliance with an Executive Order on data sharing, and one by the MSC directors of programs management regarding compliance with law on use of management controls. The other two possibly required are both by district commanders - both regarding compliance with coastal barrier laws. Each certification is discussed below.

a. **Executive Order on Geospatial Data.** Reference 3.e.(10), ER 1110-1-8156, "Policies, Guidance, and Requirements for Geospatial Data and Systems," and EM 1110-1-2909, "Geospatial Data and Systems," assist USACE in protecting its investment in geospatial data and systems and in complying with Executive Order 12906, "Coordinating Geographic Data Acquisition and Access - The National Spatial Data Infrastructure." USACE collects a variety of geospatial data to produce products such as river and harbor maps, charts, and drawings; real

estate maps; environmental and economic studies; and engineering studies and drawings. Paragraph 7.g(4) of the ER explains that, beginning with the FY97 Civil Works program cycle, each district commander will submit a certification, modeled after Illustration 2, certifying that his command has documented new geospatial data that it has created and made this documentation (metadata) available via the National Geospatial Data Clearinghouse on the Internet. The certification is due by the date shown under “Main Part” in Table 2.

b. **Coastal Barrier Laws.** OMB's Circular A-11, Section 12.5(s) states that estimates must not include any new federal expenditures or financial assistance prohibited by the “Coastal Barrier Resources Act” (CBRA), PL 97-348. In addition, the ”Coastal Barrier Improvement Act of 1990,” PL 101-591, amending CBRA, requires that the Corps certify annually to Congress and the Secretary of Interior that it was in compliance with the provisions of CBRA, as amended, during the previous fiscal year. Therefore, each District Commander whose district includes areas covered by the Coastal Barrier Resources System will submit two certifications - one modeled after each Illustration 3A and 3B certifying, respectively, that his program request is in compliance with these laws and that no funds were obligated in the past fiscal year (PY-2) for purposes prohibited by them. Note that PL 101-591 added new units to the Coastal Barrier Resources System. The certifications are due by dates shown under Main Part in Table 2.

c. **Management Control Law.** Federal agencies are required by law to establish "management controls" for the activities they manage, and to provide assessments of their effectiveness to the President and Congress, annually. To this end, functional proponents identify requirements for compliance with law, including safeguarding assets, ensuring adequate records, and promoting efficiency and effectiveness of program accomplishment, and reflect them in checklists. Army's management control effort, implemented by AR 11-2, “Management Control,” specifically includes the Civil Works Program. The new management control checklist for Civil Works Program Development is provided as Illustration 4. This is for use by programs management organizations in MSCs and districts, as explained below:

(1) Use the checklist during development of your program submission. District commands will use it first; then MSCs, when reviewing and modifying district submissions.

(2) A "no" response to a checklist question suggests a potential management weakness. However, if it is the result of a special case or specific exception, then probably there is no management weakness. You are the judge. If you determine that a weakness exists, you must correct it as quickly as resources and essential mission priorities permit. No upward reporting is required.

(3) If a management weakness requires the attention or awareness of the next higher level of management, it is a *"material weakness."* This is a judgment call on the relative seriousness of the problem. It is made at each progressive echelon, based on each manager's professional judgment. Material weaknesses discovered by districts are reported to the MSCs, which determine whether to report them to CECW-BD. The reports must specify corrective actions taken or planned. The highest echelon receiving the report will evaluate the corrective actions, provide assistance, if needed, and track progress. Consult AR 11-2 for help in determining

whether a weakness is "material."

(4) Do not send checklists to HQUSACE. Each MSC director of programs management will submit a certification, modeled after Illustration 5, certifying that the checklist was used by the districts, as applicable, and MSC. The certification is due by the date shown in Table 2.

15. **Coordination.** The CECW staff will work closely with MSC office staffs throughout the program development process to assure that the CECW recommended program, as well as alternative programs, are thoroughly coordinated. Coordination will continue after receipt of OMB's passback and during development of Army's proposed appeal. The 10-year program will be revised, as necessary, to reflect resolution of the passback appeal and final President's Program.

FOR THE COMMANDER:

8 Appendices	(See Table of Contents)	DON T. RILEY
6 Annexes	(See Table of Contents)	Major General U.S. Army
		Directorate of Civil Works

ILLUSTRATION 1
FACT SHEET
(Identify INVESTIGATIONS, CONSTRUCTION, OR FC, MISSISSIPPI RIVER AND TRIBUTARIES, OPERATION & MAINTENANCE account)
Enacted Studies and Projects

BUSINESS LINE: (Identify Navigation, Flood and Coastal Storm Damage Reduction, Environment, Recreation, Hydropower, or Environmental Infrastructure)

PROJECT/STUDY NAME:

AUTHORIZATION:

LOCATION:

DESCRIPTION:

SUMMARIZED FINANCIAL DATA ($000)	FY 2007 ($000) Study/PED/Construction (Identify one)
Estimated Federal Cost	$ x,xxx
Estimated Non-Federal Cost	x,xxx
Cash	x,xxx
Other	x,xxx
Total Estimated Cost	$ x,xxx
Allocation thru 2004	$ x,xxx
Allocation for FY 2005	x,xxx
Allocation for FY 2006	x,xxx
Conference Amount for FY 2007	x,xxx
Allocation for FY 2007	x,xxx
Balance to Complete after FY 2007	x,xxx
Benefit to Cost Ratio Applicable rate (____%)	
Remaining Benefits Remaining Costs Ratio (7%)	

FY 2007 ACTIVITIES: (Describe Recon/Feas/PED/ Construction activities, draft reports, agreements, contract award dates (mm/yy), etc.)

EARLIEST ATTAINABLE COMPLETION FY FOR PHASE: (Indicate earliest attainable completion FY for feasibility study, PED, or construction phase, as applicable.)

OTHER INFORMATION: (Address changes in study/PED/project cost, authorization issues (e.g. 902 limit), status of agreement, any difference from work specified in budget documents or appropriations committee reports.)

ILLUSTRATION 1 (Continued)
FACT SHEET

CONGRESSIONAL INTEREST: (Name, district)

DISTRICT:

Date:

ILLUSTRATION 2

DATE:_____

CERTIFICATION OF COMPLIANCE WITH SECTION 3(D) OF EXECUTIVE ORDER 12906

and SECTION 8.j of ER 1110-1-8156

I hereby certify that the PY program for the _____ (district, division, or laboratory name) Civil Works Program does not include an implicit or explicit request for funds to collect, produce, or acquire Geospacial data that is available through the National Geospacial Data Clearinghouse and that all possible data collection partnerships identified through the Clearinghouse were investigated. The _____ (district, division, or laboratory name) has also contributed metadata to the National Geospacial Data Clearinghouse in accordance with ER 1110-1-8156.

Colonel, Corps of Engineers

Commanding

FOR ILLUSTRATION PURPOSES ONLY

(TO BE TYPED AS NECESSARY)

ILLUSTRATION 3 A

DATE: _____

CERTIFICATION OF COMPLIANCE WITH COASTAL BARRIER RESOURCES ACT

I hereby certify that the PY program for the _____ (district name) District Civil Works Program does not include a request for funds which would result in any new federal expenditures or financial assistance prohibited by the Coastal Barrier Resources Act (PL 97-348), as amended by the Coastal Barrier Improvement Act of 1990 (PL 101-591).

Colonel, Corps of Engineers
Commanding

FOR ILLUSTRATION PURPOSES ONLY
(TO BE TYPED AS NECESSARY)

ILLUSTRATION 3 B

DATE: _____

CERTIFICATION OF COMPLIANCE WITH COASTAL BARRIER RESOURCES ACT

I hereby certify that no Civil Works Program funds were obligated in PY-2 by the _____ (district name) District for any new federal expenditures or financial assistance prohibited by the Coastal Barrier Resources Act (PL 97-348), as amended by the Coastal Barrier Improvement Act of 1990 (PL 101-591).

Colonel, Corps of Engineers

Commanding

FOR ILLUSTRATION PURPOSES ONLY

(TO BE TYPED AS NECESSARY)

ILLUSTRATION 4
MANAGEMENT CONTROL EVALUATION CHECKLIST

FUNCTION. The function covered by this checklist is Civil Works Program Development.

PURPOSE. The purpose of this checklist is to assist programs management organizations in USACE major subordinate commands (MSC) and districts in evaluating key management controls in development of their annual program requests. It is not intended to cover all controls.

INSTRUCTIONS. Become thoroughly familiar with the contents of the Program EC and read paragraph 13 before completing the checklist. Answers must be based on the **actual testing** of key management controls (such as **document analysis, direct observation, sampling, simulation, other).** Answers which indicate deficiencies must be explained and corrective actions indicated in support documentation.

TEST QUESTIONS:

1. Are funding schedules continuously reviewed and adjusted to reflect Congressional actions, the local sponsors' financial capability, and project progress?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

2. Does development of the multi-year programs follow the guidance included in the applicable appendices of the Program EC?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

3. Are alternative multi-year program proposals fully documented?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

ILLUSTRATION 4 (Continued)
MANAGEMENT CONTROL EVALUATION CHECKLIST

4. Is the multi-year Capability program independent of the other programs, yet consistent with Army policy and approved project cooperation agreements?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

5. Have the "Class 1" rates of Table 1, “PY Program, Cost Estimate Updating,” been applied to the pay-related costs for Civilian employees?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

6. Have the "Class 2" rates of Table 1, “PY Program, Cost Estimate Updating,” been used to update costs for consultants and AEs used in the various preconstruction planning and construction stages of work?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

7. Have the "Class 1" and “Class 2" rates of Table 1, “PY Program, Cost Estimate Updating,” been used for the period PY-1 through PY+19 for all activities?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

8. Has the procedure in Footnote 8 of Table 1, “PY Program, Cost Estimate Updating,” been used to determine rates for use in updating cost estimates beyond PY+19?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

ILLUSTRATION 4 (Continued)
MANAGEMENT CONTROL EVALUATION CHECKLIST

9. Are the appropriate discount rates being used to compute the benefit-cost ratios of projects?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

10. Is the fiscal year of the approval date of the current economic analysis?

a. For new and continuing PED, not more than three years older than the fiscal year of the submission date of the program request to HQUSACE?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

b. For new construction starts, not more than three years older than the fiscal year of the assumed program decision date by the Administration and Congress?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

11. Were benefit-cost ratio computations based on benefits in the latest approved economic analyses and current project costs deflated to the price levels of such benefits?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

12. Are new start recommendations justified based on NED benefits, or responsive to restoration and protection of environmental resources, including fish and wildlife habitat, i. e., inland and coastal wetlands, other aquatic and riparian habitat?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

ILLUSTRATION 4 (Continued)
MANAGEMENT CONTROL EVALUATION CHECKLIST

13. Do recommended new construction starts have firm M-CACES baseline cost estimates?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

14. Have new start recommendations been screened according to the criteria established in the Program EC?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

15. Are data in the Construction, and Investigations illustrations compatible, showing that:

a. construction capability is shown for the fiscal year following PED completion?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

b. project cost estimates are identical?
Tested by:
Response: YES_____ NO_____ NA_____

Remarks:

[NOTE: Help make this a better tool for evaluating management controls. Submit suggestions for improvement to HQUSACE (CECW-ID), Washington, D. C. 20314-1000.]

ILLUSTRATION 5

DATE:_____

CERTIFICATION OF USE OF MANAGEMENT CONTROL EVALUATION CHECKLIST

I hereby certify that the PY _____ (major subordinate command name) Division Civil Works Program was developed making full use of the Management Control Evaluation Checklist.

Director of Programs Management

FOR ILLUSTRATION PURPOSES ONLY

(TO BE TYPED AS NECESSARY)

Table 1 FY 08 Cost Estimate Updating Ra

Table 2 Summary of Submission Requirem

TABLE 3
PHASE CODE DEFINITIONS AND USE

CODE	PHASE	DEFINITION/APPLICATION	APPROS.
R	Reconnaissance	For studies in Reconnaissance phase	I
F	Feasibility	For studies in Feasibility phase	I
P	Preconstruction Engineering and Design	For projects in PED phase	I
C	Construction	For projects in Construction phase	C
CR	Replacements	**For Replacements projects in Construction (Principal facility component that enables production of project outputs e.g. replacement of failing lock, recapitalizing or upgrading facilities)**	C
CS	Construction for dam safety assurance, seepage, static instability	For all projects in Construction phase for dam safety assurance, seepage and static instability	C
SS	Study for dam safety assurance, seepage, static instability leading to construction	For study activities specifically pertaining to dam safety assurance, seepage and static instability	C
DC	Deficiency Correction	For those deficiency correction items that migrated from Construction to O&M	C or O&M
O	Operations	For operations activities in O&M	O&M
M	Maintenance (regular, not major or rehab)	For regular normal maintenance activities in O&M	O&M
MM	Major Maintenance	For major maintenance activities in O&M	O&M
MR	Major Rehabilitation	**For Major Rehabilitation projects in O&M (Restore or ensure continuation of project functions or outputs)**	O&M
OJ	Operation Joint Activities	For joint operations activities at projects authorized for multiple purposes	O&M
MJ	Maintenance Joint Activities	For joint maintenance activities at projects authorized for multiple purposes	O&M
OF	Operations for AT-FP Facility Protection/CISP	For all Facility Security and Protection operations activities	O&M
MF	Maintenance for AT-FP Facility Protection/CISP	For all Facility Security and Protection maintenance, replacement, installation and improvement activities including CISP	O&M
DS	Federal Sand + Sec 111	For those Federal sand and Section 111 items that migrated from Construction to O&M in FY 07	O&M
DF	Dredged Material Disposal Facility (DMDF)	For all Dredged Material Disposal Facilities, formerly included in Construction, to be listed as individual line items	O&M
BO	Biological Opinion (legal requirement)	For those Biological Opinion items that migrated from Construction to O&M in FY 07	O&M
BD	Beneficial Use of Dredged Material + Sec 204	For those beneficial use and Section 204 items that migrated from Construction to O&M in FY 07	O&M
MT	Mitigation	For those non-endangered species biological mitigation items that migrated from Construction to O&M in FY 07	O&M
XA	FUSRAP PA//SI	For FUSRAP PA/SI Phase	FUSRAP

XB	FUSRAP RI-ROD	For FUSRAP RI-ROD Phase	FUSRAP
XC	FUSRAP RA	For RUSRAP RA Phase	FUSRAP

EC 11-2-187
10 May 06

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EMERGENCY MANAGEMENT
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Appendix I
EMERGENCY MANAGEMENT

I-1. Background. The Flood Control and Coastal Emergencies (FCCE) program was established in 1955 by Public Law 84-99, as amended (33 USC 701n).

I-2. Purpose. The Corps FCCE Program purpose is to provide for Disaster Preparedness to include preparedness activities under Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.), Emergency Operations, Rehabilitation of Flood Control Works damaged or destroyed by floods and the rehabilitation of Federally authorized and constructed Hurricane/Shore Protection Projects (HSPP) damaged or destroyed by wind, wave or water action of an other than ordinary nature, provision of Emergency Water, Advance Measures to prevent or reduce flood damage when there is an imminent threat of unusual flooding and participation in the Hazard Mitigation program.

I-3. Objectives. Table I-1 immediately below displays the FCCE Program Objectives and Performance Measures published in the March 2004 Civil Works Strategic Plan. The CW Strategic Plan was developed with an explicit assumption of an unconstrained resource environment to encourage an unconstrained assessment of the nation's water resources needs and potential Corps response. Preparation of the PY (FY 08) Budget Request requires the recognition of a constrained budget environment and the ongoing effort to evolve better budget linked performance measures. Table I-2 displays the program performance measures and performance ranking and rating criteria which support and/or supplement Table I-1 program objectives and performance measures to reflect the near term realities of a constrained PY budget environment.

TABLE I-1
Strategic Plan Objectives and Performance Measures

Program Objectives	Performance Measures
1. Attain and maintain a high, consistent state of preparedness.	– Planning Response Team Readiness index – PL84-99 Response Team Readiness index – Percent of scheduled inspections performed for all non-Federal Flood Control Works in Rehabilitation and Inspection Program (RIP), as required by ER 500-1-1
2. Provide a rapid, effective, efficient all-hazards response.	– Percent of time solutions are developed and implemented (either repaired to pre-flood conditions or possible non-structural alternative) prior to next flood season
3. Ensure effective and efficient long-term recovery operations.	– Percentage of Federal and non-Federal flood control works in the Rehabilitation and Inspection Program with a satisfactory condition rating

I-4. Performance Measures. The FCCE program is a well-established, multi-facetted program that encompasses disaster preparedness, response and recovery activities in support of federal, state and local stakeholders. Due to the emergency nature of this program, funding must be available for preparedness and response requirements. To achieve the FCCE goals, the following program budget objectives and rating criteria are established for PY program. We have also established a system of ranking criteria that are more detailed than those in the Strategic Plan and will permit objective evaluation of expenditure of funds.

TABLE I-2
Measures Rating Criteria

Program Measures	Measure Rating Criteria
Planning Response Team Readiness index.	This measure tracks the percent of the time that Planning Response Teams for a given mission area are in the Green state of readiness (trained, staffed, ready to deploy).
PL84-99 Response Team Readiness index.	This measure tracks the percent of the time that PL84-99 Response Teams are in the Green state of readiness at the beginning of flood/hurricane season (trained, fully staffed, ready to deploy).
FCW (Levees, floodwalls, etc.) inspections performed.	Percent of scheduled inspections performed for all non-Federal Flood Control Works in RIP, as required by ER 500-1-1.
Deployable Tactical Operations System (DTOS) Readiness Index	Measures the readiness status of the national deployable support equipment and teams.
Develop/maintain/exercise preparedness plans	Measures development/maintenance/exercising of contingency plans, SOPs, Guides, etc. IAW 1yr/5yr. MSC/District workplans (Flood/Hurricane/FRP (natural disasters), etc.)
Execution of the National Training, Exercise and Evaluation and Corrective Action	Measures the effective execution of the national (USACE-wide) readiness life cycle
Conditional rating of Federal and non-Federal flood control works	Tracks the condition of Federal and non-Federal FCW (approximately 3000) in the RIP. Provides an opportunity to judge program and expected project performance as the projects age and potentially deteriorate. Measurement reflects cumulative percent of projects with satisfactory rating (national database).
PRT Performance	Measures the performance of PRT mission/functional during response in support of FEMA/DHS under the FRP.
ESF #3 Cadre Performance	Measures the performance of ESF #3 TL/ATL during response in support of FEMA under the FRP.

Restoration of damaged FCW.	Percent of time solutions are developed and implemented (either repaired to pre-flood conditions or possible non-structural alternative) prior to the next flood season

I-5. Budget Screening Criteria. Definition of desired performance targets developed with an understanding of past funding constraints and projected funding constraints. If funds are not sufficient to execute all program activities, the following criteria will be utilized to address deficiencies and prioritize the expenditure of available funds. (The following criteria is not intended to imply that all funding will necessarily be eliminated in a given category before moving to the next priority):

–Limit or eliminate training and exercises for response personnel
–Postpone the rehabilitation of damaged FCW
–Eliminate advance measures activities
–Limited emergency operations capability
–Reduce or eliminate funding for EM staff at all levels

I-6. RATING AND RANKING CRITERIA FOR PY BUDGET DEVELOPMENT.

a. **INITIAL PROGRAM**. The FY2008 initial amount of $68M needed for Flood Control and Coastal Emergencies (FCCE) Program is the median annual expenditures during the period FY 87 to FY 05. The initial program will be used for baseline preparedness to include planning, coordination, limited training and exercising with key local, state and other Federal stakeholders/partners under our own statutory authorities and in support of the Federal Emergency Management Agency (FEMA); minimal training of USACE response personnel/teams; purchasing, stockpiling and maintenance of critical supplies and equipment; providing critical facilities support (Emergency Operations Centers and Deployable Tactical Operations Centers); emergency operations; and limited rehabilitation of damaged FCW and advance measures. This funding level has a 50% probability of being exceeded in any given year.

b. **PERFORMANCE BASED BUDGET INCREMENT(S**). Add additional budget item to perform all mission activities, such as essential training and exercises, advance measures, emergency response, recovery and rehabilitation. The additional requirement of $21M is based on the average annual expenditure from FY 87 to FY 05 for all FCCE activities (Preparedness, Emergency Operations, Rehabilitation, Advance Measures, Emergency Water, Hazard Mitigation). The initial program plus performance based increments of $80 million has approximately 25% probability of being exceeded in any given year.

I-7 SPECIAL CONSIDERATIONS OR SPECIAL RATING CRITERIA. USACE plans for all natural disasters, but response and recovery under its own authority (FCCE) are limited to-- fights floods (direct and technical assistance), provision of emergency water, advance measures, and restoration of federal/non-federal flood control works. All other responses are funded by external authorities (i.e. Stafford Act).

a. Due to the uncertainty of the number and severity of disasters, it is difficult to determine the program funding requirements for activities other than the baseline operational and preparedness costs.

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SUB-APPENDIX II-1
OVERVIEW

II-1.1. **Introduction.**
Numerous Federal laws and executive orders establish National policy for and Federal interest in the protection, restoration, conservation and management of environmental resources. These provisions include compliance requirements and emphasize protecting environmental quality. They also endorse Federal efforts to advance environmental goals, and a number of these general statements declare it national policy that full consideration is to be given to the opportunities that projects afford to ecological resources. Recent water resources authorizations have enhanced opportunities for Corps involvement in studies and projects to specifically address objectives related to the restoration of ecological resources and ecosystem management. Specific authorities for new individual studies and projects to restore ecological resources have also been provided in legislation. Examples of legislation that broadly supports Federal involvement in the restoration and protection of ecological resources include:

- Federal Water Project Recreation Act of 1965, as amended
- The National Environmental Policy Act of 1969, as amended
- Water Resource Development Acts of 1986, 1988, 1990, 1992, 1996, 1999, and 2000
- Coastal Wetlands Planning, Protection and Restoration Act of 1990 (Title III of P.L. 101-646)

II-1.2. **Components of the Environment Business Line**.

a. The Environment Business Line includes the Corps Ecosystem Restoration studies and projects, Stewardship and the Formerly Utilized Sites Remedial Action Program. A portion of the funding for Research and Development and corporate data collection activities will also be charged to the Environment Business Line but these items will be budgeted similar to previous years. Although the Environmental CAP (sections 1135, 204, and 206) is part of the Environment Business Line, it will be budgeted in accordance with guidance in Annex B.

b. Ecosystem Restoration is funded primarily from the Investigations, Construction, and Mississippi River and Tributaries accounts. One item, Inspection of Completed Works, Ecosystem Restoration, is funded from the Operation and Maintenance account. Related budget development guidance is found in Annexes A, B, and C. The goal of ecosystem restoration is to restore degraded ecosystem structure, function, and dynamic processes to a less degraded, more natural condition. The goal is to accomplish this in a cost effective manner.

c. Stewardship is funded from the Operations and Maintenance and Mississippi River and Tributaries, Maintenance accounts and related budget development guidance is found in Annex C. As a matter of law and good environmental practice, the Corps provides stewardship of its projects lands and waters to sustain healthy natural resources and cultural resources that occur on this federal estate and takes action to minimize adverse environmental impacts.

d. The Formerly Utilized Sites Remedial Action Program has its own account and information required to develop the initial and capability level funding programs is found in Sub-Appendix 4 of this Appendix. The purpose of the program is to clean up contaminated sites throughout the United States where work was performed as part of the Nation's early atomic energy program.

II-1.3. **Performance Based Budget Levels**. In performance based budgeting, items should be arranged in a continuum from most to least productive. Criteria have been developed for the Initial funding level for each business line and budget items meeting these requirements will be identified in the budget submissions. The establishment of an Initial level will assure a uniform starting point for building the PY

budget. The criteria for the Initial level are located in Annexes A, B, and C as well as in each Sub-Appendix of this Appendix. The ranking criteria have been developed to aid in production of a budget that contributes to achievement of the performance measures. The basis for adding increments of work in terms of budget request for a study or project will be based on the demonstrable benefits. Items will be added in priority order reflecting the performance measures and ranking criteria for the Business Line. Rational for any exceptions to this rule, must be documented in the data submission to Headquarters.

a. Within the continuum of budget items two funding levels have been identified for Investigations and Construction. These consist of the Initial level discussed above, and the second level consisting of all the remaining budgetable items.

b. Within the Operations and Maintenance Account each Business Line has defined an Initial level consisting of minimal funding for critical and essential items. These are discussed in detail in Annex C and each of the Business Line Appendixes. Subsequent work packages will be ranked based on the performance criteria and ranking factors for the Business Line and placed in priority order into a maximum of six increments above the initial increment.

II-1.4. **Additional Information**. More detailed information on the budget development, including minimum eligibility requirements, the definitions of the Initial and Capability Programs, and terms such as New Start and New Phase are found in the Main EC and budget account Annexes A, B, and C. The following sections describe the three components included in the Environment Business Line in more detail, including performance measures, ranking criteria and data requirements for development of the PY budget.

II-1.5. **Ranking.** Each of the three components in the Environment Business Line will be ranked individually. Ranking will be within the individual component only and not across the Environment Business line.

Sub-Appendix II-2
ECOSYSTEM RESTORATION

II-2.1. **Background**. In response to the increasing National emphasis on environmental restoration and preservation, and project and programmatic authorities contained in various Water Resources Development Acts, the Corps recognizes ecosystem restoration as one of its primary mission areas within the Civil Works Program. This Sub-Appendix provides guidance for preparing the FY 2008 budget request. It is consistent with and does not alter the plan formulation and project justification guidance contained in ER 1105-2-100.

II-2.2. **Purpose**. The goal of ecosystem restoration is to restore degraded ecosystem structure, function, and dynamic processes to a less degraded, more natural condition. Restored ecosystems should mimic, as closely as possible, conditions which would occur in the area in the absence of human changes to the landscape and hydrology with a minimum of continuing human intervention. This includes an emphasis on species native to the project location. Those restoration opportunities that are associated with wetlands, riparian and other floodplain and aquatic systems are most appropriate for Corps involvement. The focus of projects/activities implemented under this section of the guidance is the restoration of ecosystems and ecological resources and not restoration of cultural and historic resources, aesthetic resources, clean up of hazardous and toxic wastes or recreation.

II-2.3. **Civil Works Program Objectives**. Table II-2-1 immediately below displays the Ecosystem Restoration Objectives and Performance Measures published in the March 2004 Civil Works Strategic Plan. Preparation of the FY 2008 Budget Request requires the recognition of a constrained budget environment and the ongoing effort to evolve better budget linked performance measures. Table II-2-2 displays the Ecosystem Restoration objectives, performance measures and/or performance ranking and rating criteria which support and/or supplement Table II-2-1 objectives and performance measures to reflect the near term realities of a constrained FY 08 budget environment. Additionally, the strategic plan emphasizes the development of projects within a watershed framework and collaboration with other agencies and organizations. This is reflected in the data requirements.

TABLE II-2-1
Goals, Objectives and Performance Measures in the Civil Works Strategic Plan

Goal 2: Repair past environmental degradation and prevent future environmental losses.	
Objective 2.1. Restore degraded, significant ecosystems structure, function, and process to a more natural condition.	
Objective	Performance Measures
<u>Ecosystem Restoration</u> 2.1.1. Invest in restoration projects or features that make a positive contribution to the Nation's environmental resources in a cost-effective manner.	Acres of habitat restoration completed. River miles of habitat restoration completed. Acres/river miles of nationally significant habitat restoration completed per dollar invested.

II-2.4. **Ecosystem Restoration Performance Measure**

a. Since 1986, the Corps has received increased authority to implement ecosystem restoration projects and the number of implemented projects has increased dramatically in the last decade. These projects range in size from a few acres to several thousand acres, such as the Everglades. A wide variety of ecosystems and habitat types are involved and the techniques used are as varied as the problems addressed. In order to support continued investment in ecosystem restoration activities the results need to be documented. The purpose of this budget guidance is to establish performance measures and ranking criteria, that when used to evaluate each study and project, will result in the formulation of a justified and supportable budget.

b. A nationwide perspective must be maintained to assure that available funding is used to provide the most cost effective restoration of significant ecosystems. It is also important to support timely completion of high performance studies and projects so that the expected benefits may be achieved as soon as possible. As our knowledge of ecosystem benefits and feasible restoration techniques increases, it is also important to have the capability to initiate new studies. The ranking criteria to be used in development of the PY budget are designed to assure that the available funding provides the greatest public benefit for the investment while continuing to investigate restoration opportunities and completing projects in a timely manner so that benefits may be achieved as soon as possible. To achieve the Ecosystem Restoration goal, the budget objectives and ranking criteria contained in Table II-2-2 are established for the FY 2008 budget. Each of the objectives and criteria are designed to demonstrate that each budget item makes sense and contributes to the Civil Works objectives and the Ecosystem Restoration goal.

TABLE II-2-2
Ecosystem Restoration Budget Ranking Criteria

CW Program Objective	Budget Objective	Ranking Criteria
Invest in restoration projects or features that make a positive contribution to the Nation's environmental resources in a cost-effective manner	Keep ongoing studies or PEDs proceeding at an efficient rate if likely to produce recommendation for project (I)	- Significance – scarcity - connectivity - special status species - self-sustaining - plan recognition Acres Years to complete Other purpose outputs
	Start new phase of studies or PED (I)	Significance Acres Other purpose outputs
Same	Complete on-going studies and PEDs (I)	Significance Acres Other purpose outputs
Same	Complete ongoing construction phases to start getting benefits (C)	Significance Acres Other purpose outputs
Same	Keep on-going construction proceeding at an efficient rate. (C)	Significance Acres Years to complete Other purpose outputs
Same	Initiate new construction (C)	Significance Acres Other purpose outputs Years to complete

c. The information requested and ranking criteria developed will allow us to measure our performance. Acres will be included for each ecosystem restoration project, or separable project element. The last year of construction funding (excluding funding for authorized monitoring and adaptive management) will be used to indicate that the project is complete. The five performance components developed indicate significance of the habitat being restored. For the purposes of budget development "Nationally Significant Habitat" will be defined as studies and projects that achieve the maximum score in the following three components; Scarcity, Connectivity, and Special Status Species. These three items were chosen since these are the most scientific measures of significance. In addition both Scarcity and Special Status Species are linked to nationally recognized criteria. Additional information about the ranking criteria is found in paragraph II-2.8 and in Table II-2-3.

d. In order to achieve the above objectives, an Initial level has been defined to assure uniformity across the country in building annual budgets from the same point. A system of ranking criteria has been established that is more detailed than the criteria in the Strategic Plan and will permit objective evaluation of incremental investment choices to assure that budget requests above the initial level provide the greatest benefit for that investment. The initial level and the system of ranking criteria will facilitate making informed and wise budgetary decisions.

II-2.5. **Budget Screening Definitions.**

a. New Start Definition.

(1). A New start is defined as an active authorized study or project which has not received an initial work allowance and that fits into at least one of the following business lines: commercial navigation; inland navigation; flood and storm damage reduction and ecosystem restoration.

(2). The New Start definition will apply to Reconnaissance studies, Pre-construction Engineering and Design (PED), and Construction Projects, as well as any new efforts under the Remaining Items category. Any PED, which has not been funded in the Conference Report for the past three years, will also be considered a New Start. For Feasibilities, see New Phase definition. Basic eligibility criteria for construction new starts are found in Annex B.

b. New Phase Definition. A study or project is considered to be in a NEW PHASE once it has completed the current phase that is funded and ready for budgeting in the follow-on phase, e.g. from Reconnaissance to Feasibility or Feasibility to PED, e.g. Seamless PEDs are a new phase.

II-2.6. **Ecosystem Restoration Criteria for Development of the Initial Level in the FY08 Budget**. The initial level includes budget items that comply with the following rules for each appropriation. Items funded in the MR&T account should follow the I, C and O&M rules as appropriate.

a. Investigations (I) (for studies and engineering and design)

(1) Studies: The initial level for each study will be no more than the amount in the PY-1 budget for that study. If a study budgeted in PY-1 will be completed in PY-1 or is no longer likely to produce a high performing project, the initial level for that study will be zero.

(2) PED. The initial level for each PED will be no more than the PED amount in the PY-1 budget for that PED. For PEDs that could be seamlessly funded for the first time in PY, the initial level will be zero. If a continuing PED is no longer likely to produce a high performing project, the initial level for that PED will be zero.

(3) Remaining Items – Initial level will be established by HQ.

b. Construction (C). Enter each contract as an individual line item. The initial level for each project or separable element is limited to: 1. For continuing or base-plus-options contracts (the base amount only, no options) to the amount needed for earnings (no more, no less) in PY for estimated contractor earnings on contracts funded in the PY-1 budget and continuing into PY, plus contract management, E&D during construction, and real estate activities associated with continuing construction of that project or separable element: or 2. The amount necessary to fully fund continuing contract with a remaining balance of less than $10 million plus the associated contract management, E&D during construction, and real estate activities. Projects identified in the PY-1 budget for consideration for suspension and other projects not budgeted in the PY-1 will have an initial level of zero.

c. Operations and Maintenance. Inspection of Completed Works is an operations item subject to the limit on the initial level of 75 percent of the FY 07 MSC budget as shown in Table C-2.6.

II-2.7. **Performance Based Budget- Additional Levels.**

(a) For I and C there will be one additional level for budgetable items. Additional budget items above the initial level should consist of logical, needed increments of work that contribute to the Civil Works program goals. In those cases where the initial amount (limited by the FY 2007 amount or ongoing contract requirements) is not sufficient to cover the continuing PMP requirements, the next increment should identify that amount. The basis for adding increments of work in terms of budget request for a project will be based on the demonstrable beneficial impact on increasing benefits by accelerating project completion and/or improved performance, such as cost savings achieved by combining work items. Budget items should be added in priority order based on the performance components and ranking criteria shown in Table II-2-3. Rational for any exceptions to this rule, must be documented in the Special Considerations column. For C, each contract requires a separate line item.

(b) For O&M the Inspection of Completed Works – Ecosystem Restoration items may be included in the initial level based on complexity and age of the features. Each District will have an entry for every state in which an inspection is proposed in accordance with the guidance in Annex C.

II-2.8 **Systems Approach.**

a. Consistent with the Civil Works Strategic Plan a systems approach or watershed approach is needed to ensure that investments are integrated into a whole that preserves or enhances performance and sustainability at the system level. A systems approach requires consideration of the investment needs and priorities of all the business lines within the watershed. All FY 2008 budget item requests (studies, construction, and O&M) will include the USGS HUC sub-region (4 digits) codes. These codes may be found at http://water.usgs.gov/nawqa/sparrow/wrr97/geograp/geograp.html.

b. MSCs will identify all systems within their respective regions of the US and develop budget priorities that are consistent with investing in one or more of the following aspects of the system: in the highest risk portions of the system; that will result in the most improvement in performance; that contribute to increased navigation reliability and safety; that contribute to increased flood damages prevented; that contribute to addressing significant regional or national ecological problems. A system will generally be identified as a watershed, and may include multiple individual projects and components. Some large watersheds could be comprised of more than one system (e.g. the Mississippi River watershed has the Upper Mississippi River system, the MR&T system, and tributaries as separate systems). Analytical perspectives should be developed to help determine the mix in FY 2008 of investments in maintenance, operations improvements, reallocation, major rehabilitation, new construction, planning, and design that will maximize system efficiency, safety, reliability, and sustainability over time.

c. Studies (reconnaissance and feasibility) and PED that have multiple outputs (watershed or multi-purpose) will be budgeted in the primary business line. When the project moves into construction the construction requests will be by appropriate business line.

II-2.9. **Ecosystem Ranking Criteria and Additional Information.**

a. The ranking criteria developed for use in preparing the FY 2008 budget include a variety of factors to do with readiness, timeliness, cost effectiveness, and performance. For the PY, five performance components have been developed. These items provide an indication of the significance of the resources being restored and will have a substantial bearing on how projects are ranked. The goal will be to put together a budget that, overall, has the highest rank possible using these criteria while reflecting sound fiscal policy. The five performance components are: Scarcity; Connectivity; Special Status Species; Self-

Sustaining; and Plan Recognition. Scarcity, Connectivity, and Self-Sustaining will each have a maximum point total of twenty. Special Status Species and Plan Recognition will each have a maximum point total of ten. Projects receiving the top scores in Scarcity (20 points), Connectivity (20 points) and Special Status Species (10 points) will be considered as providing nationally significant habitat restoration. The number of years to completion of the phase is important. It may be more efficient to add increments of work that will allow completion of a project than to initiate a new start. Information about collaboration consisting of tangible support from interests other than the non-Federal sponsor, the physical scale of the restoration, cost, phase, relation to other purposes for multipurpose projects, watershed status for studies, and status of cost-share agreements will also be used to arrive at a balanced budget recommendation that insures continued positive contributions to the Nation's resources. The criteria have been developed to apply to individual line item-funded studies and projects. The separable elements of programmatic authorities should also be evaluated using these criteria. Separable elements within programmatic authorities should have unique CWIS/PWI numbers and subproject names.

b. The data elements to be included in PRISM or derived from data in PRISM are described in Table II-2-3 and an example of the excel sheet that we will use to analyze the data provided is shown in Illustration II-2-1. It includes columns for each of the ranking criteria plus some columns that will help us answer frequently asked questions. These fields and the performance components will be evaluated and will evolve over time based on experience with performance based budgeting. A limited number of items will be required for the "Studies, Surveys and Inspection of Completed Works- Ecosystem Restoration" work category code in the Operation and Maintenance account.

c. Many of the data elements in PRISM will be the same for all contracts related to a single project or separable element. Items which may vary for each contract include AP, AP Abbrev, CCS, funding level, phase, phase status, phase completion, dates of agreements, and narrative justification. Phase completion refers to the completion of the phase for the project or separable element not for the contract. As an example LY should not be used as the status of the construction phase for a contract that is not the final contract for a project or separable element even though the output of the budget item might be completion of the contract. Federal budget request, Budget Item ID, Output of Budget item and Dist, MSC ranks must be unique for each entry. The remaining elements will be the same but unique for each project or separable element, except separable elements may share PWI/CWIS numbers in some cases and will have the same Project Name but distinct subproject names.

d. Three new columns have been added to provide data to respond to the Council on Environmental Quality's annual wetlands data call. This information will help to determine the amount of the FY 2008 budget that will contribute to the three larger categories of actions: restore or create, improve, or protect.

e. Investigations account, Construction account and Operations and Maintenance Account items will be ranked separately. Watershed and multipurpose Reconnaissance, Feasibility and PED phases will only be entered in the business line that is expected to be the primary purpose and not split among multiple business lines.

f. Construction projects that are currently ineligible for inclusion in the budget, e.g. not yet cleared by administration will be entered in Level 8. Construction projects that are inherently unbudgetable, e.g. Environmental Infrastructure will be entered in Level 9.

II-2.10. **Projects Previously Budgeted in Ecosystem Restoration Construction Account**. Eight projects in part or in whole previously budgeted in the Construction Account, Ecosystem Restoration Business Line were moved to the Operations and Maintenance Account in FY 2007. Beginning in FY 2008, these projects will **ultimately** be budgeted in the O&M account of the business line of the original project (navigation, flood and coastal storm damage reduction, hydropower) following the instructions in

Appendices III, IV, and V. However, **initially**, these projects and features will be entered in the environment business line, following the rules for ecosystem restoration construction. Use the O&M appropriation code and CCS, the ENR Business line code and a funding level/increment code of 7 (for information only). The projects included in this category are:

NAD	Assateague
NAD	Poplar Island
NAD	Lower Cape May
NWD	Columbia River Fish Mitigation
NWD	Chief Joseph Gas Abatement
NWD	Howard Hanson Dam Ecosystem Restoration
NWD	Missouri River Fish and Wildlife Recovery
NWD	Willamette River Temperature Control

For projects responding to mandatory BiOp requirements:

Increment 7 - Amount required to maintain minimum progress on BiOp and avoid jeopardy and limited to 75% of FY07 PBUD

Increment 7.1 - Remaining amount above the 75% limit required to maintain planned progress on BiOp and avoid jeopardy

Increment 7.2 - Capability increment for priority items required by the BiOp

For projects not in response to mandatory BiOp requirements, follow rules for Construction.

After OMB Passback these budget items will be removed and replaced with <u>one</u> increment at the operating projects allocated to the appropriate business line (consistent with cost allocation tables). Both the initial budget request and the final allocated amounts will be input into PRISM. After Passback the data will be input to P-2.

TABLE II-2-3
Ecosystem Restoration Study and Project Information

The data provided in this table will allow for ranking the ecosystem restoration projects to develop a budget consisting of cost effective projects that efficiently provide significant ecosystem restoration benefits. The data in this table will be pulled from PRISM at the MSC (except for SAD) and HQ levels. If the item required for this table is not applicable, do not leave it blank (the exception is the ranking columns for higher organizational levels). Enter NA so that it is clear the absence of information is not an oversight. This information will be available for incorporation into a spreadsheet similar to the one in Illustration II-2-1. Every column must have an entry. For columns where data is not required as indicated by the code at the bottom of the spreadsheet in Illustration II-2-1, if the data is entered directly into PRISM then the cells should auto fill with NA. Otherwise enter NA as necessary. Additionally, for a PWI/CWIS with more that one budget item, many fields will auto fill for subsequent budget items.

If the spreadsheet is used and items are entered in the order listed below and the PRISM data entry rules are followed, it may be uploaded directly into PRISM. For use during evaluation and ranking, columns may be hidden or rearranged. Dates should be entered in dd-mon-yyyy format (15-MAR-2006), fiscal year should be entered as 4 digits (2006), all dollar and other numeric entries should be in thousands unless the data field definition specifically instructs otherwise.

Items funded in the MR&T account should follow the rules for the I, C, and O&M accounts as appropriate. The first 22 items are required for all budget items in all accounts.

1. BUSINESS LINE = ENR for Ecosystem Restoration

2. EROC = Two character code for district, such as B1 for Memphis District.

3. AP = PRISM Appropriation Code, such as A for Investigations.

4. AP ABBREV = Appropriation Abbreviation, such as I for Investigations.

5. CCS = Category/class/subclass code. Be sure to refer to the lists of codes in Annexes A, B, and C to find the correct code for each item.

6. PWI/CWIS = Project Identification Code, 6 digit project identification code used in PRISM. Separable elements should have unique codes.

7. SUBPROJECT ID = A code which identifies a separable element or subproject which is a child of the parent PWI/CWIS.

8. STATE = Enter the two letter abbreviation for the primary state in which the study, project, or separable element is located.

9. BUDGET ITEM ID = A code to uniquely identify multiple entries within the same project, business line, and increment. System generated, no entry required.

10. MSC = Three letter code for MSC such as SAD

11. DIS = Three letter code for District such as NWK.

12. FUNDING LEVEL/INCREMENT = Enter a “1” if the budget item meets the requirements for inclusion in the Initial level as defined in this Sub-Appendix. Enter a “2” if the budgetable item should be considered for the second level. Every project may not have a budget item in the initial level, in which case the first time the project is listed enter a “2”. A project may have multiple budget items in level 2. For construction projects that are currently ineligible, e.g. not yet cleared by administration: enter Level 8. For construction projects that are inherently unbudgetable, e.g. Environmental Infrastructure: enter Level 9. For (O&M) Inspection of Completed Environmental Works: enter 1-5 (in accordance with the guidance in Annex C)

13. DIS RANK = The budget item’s rank in the district’s request.

14. MSC RANK = The budget item’s rank in the MSC request.

15. HQ RANK = The budget item’s rank in the HQ request. HQ will complete this item. This item must be left blank.

16. ARMY RANK = The budget item’s rank in the Army request. HQ will complete this item. This item must be left blank.

17. PROJECT NAME = Name of project as entered in PRISM

18. SUBPROJECT NAME = Name of subproject/separable element identified in PRISM

19. BASIN CODE = The USGS Hydrologic Unit Codes (HUC) will be used to identify systems/watersheds. The four-digit code for the appropriate sub-region as defined by USGS will be entered for every budget item. These codes may be found at http://water.usgs.gov/nawqa/sparrow/wrr97/geograp/geograp.html. Some programmatic elements may cover more than one sub-region. If there are separable elements enter the code that is appropriate for the separable element. If there are no separable elements enter the code applicable to most of the project or area where funding will be applied.

20. PHASE = A letter code will be used to indicate phase. The codes that are applicable to ecosystem restoration studies and projects are: R = Reconnaissance; F = Feasibility; P = Preconstruction Engineering and Design Phase; C = Construction; O = Operations and would apply to Inspections of Completed Projects. For projects moved from the Ecosystem Business line, C account to another business line O&M account in FY 2007 one of the following should apply: DS = Federal sand + section 111; BO = Biological Opinion (RPA); or BD = Beneficial use of dredged material.

21. PHASE STATUS = Status of the Phase listed in column 14 will be indicated with a letter code. NP = New Phase; CN=Continuing; LY= Last year of phase. Only use LY if FY2008 is the last year for which funding will be requested for the phase. The only exception is for Construction with authorized monitoring and/or adaptive management. In those cases LY should be entered if no additional funds will be required to physically complete the project after the PY. For Reconnaissance and Construction initiation, a new start should be coded as a New Phase in this column. If a study or a project is completing one phase and starting a new one in the PY (e.g. finish Feasibility and start PED), each should be a separate entry (one LY and one NP).

22. PHASE COMPL = Required for all items in all accounts. The fiscal year the phase for which funds are being requested is scheduled to complete. This is a numeric. The Reconnaissance phase

ends with execution of a Feasibility Cost Sharing Agreement, or a report recommending no Federal action. For FY 2008 budget development, use the date of the Division Engineer's Transmittal of the report to HQ as the end of the Feasibility phase. The PED phase ends with completion of first set of plans and specifications and execution of the PCA. Construction completion is defined as physical completion with the project turned over to the non-Federal sponsor to operate and maintain. For items in the O&M account, enter the PY unless the requested funds are scheduled to be carried over.

23. FEDERAL (CORPS) BUDGET REQUEST = The amount requested for the work proposed to be accomplished with this budget item in FY 2008. This may or may not be the total FY 2008 budget request for the study, project, or O&M item. The sum of all entries for this PWI will be its Capability. Additional budget items are not additive and each must provide measurable contributions to performance. Each construction contract should be a separate budget item.

24. CONTRACT TYPE = Required for all items in Construction and any contract with a remaining amount over $10,000,000 in any phase. Enter one of the following: CC for continuing contract; CF for fully funded contract; or CB for base contract with options.

25. FY PROJECT or SEPARABLE ELEMENT COMPLETE = The fiscal year that the entire project or separable element is scheduled to be complete (the last year that funds other than O&M, will be requested). If increment request is to accelerate phase this date may change from date in a previous increment.

26. LAST YEAR BUDGETED = Required only for items in the Investigation and Construction accounts. Enter the most recent Fiscal Year this study or project was included in the President's Budget (any phase).

27. LAST YEAR FUNDS APPROPRIATED = Required only for items in the Investigation and Construction accounts. Enter the most recent Fiscal Year this study or project received an appropriation (any phase).

28. LAST AMOUNT APPROPRIATED = Enter the amount of funds (conference report amount) contained in the appropriation indicated in item 27 above for this study or project

29. BALANCE TO COMPLETE = The PY-1 uninflated balance in $1000s to complete study (if in reconnaissance or feasibility) or project or separable element. Should be consistent with the Total Project Cost.

30. FCSA DATE = Required only for items in the Investigation and Construction accounts. The actual or scheduled date of the FCSA. Enter the date - dd/mon/yyyy – e.g. 15 Mar 2003. If the budget request is to accelerate the reconnaissance phase, this date may change from the initial entry.

31. PED DATE = Required only for items in the Investigation and Construction accounts. The actual or scheduled date of the PED Agreement. Enter the date - dd/mon/yyyy – e.g. 15 Mar 2003. If the budget request is to accelerate phase, this date should change from the initial entry. For a new Reconnaissance NA may be appropriate.

32 PCA DATE = Required only for items in the Investigation and Construction accounts. The actual or scheduled date of the PCA. Enter the date - dd/mon/yyyy – e.g. 15 Mar 2003. If the budget request is to accelerate phase, this date should change from the initial entry. For Reconnaissance and new Feasibility studies NA may be appropriate.

33. MONITORING/ADAPTIVE MANAGEMENT = Required only for PED or Construction phases and is to be based on either the Chief's Report or project authorization. Enter the number of years subsequent to physical completion of the project. Enter 0 if no monitoring or adaptive management is recommended or authorized and NA for other phases.

34. WATERSHED STUDY = Required only for Reconnaissance phase and Feasibility studies. At a minimum must have multiple purposes. Enter the code(s) for the other purpose(s). Flood and Coastal Storm Damage Reduction = F, Navigation = N; Recreation = R; Hydropower = H, Water Supply = W. If there are other purposes in a Watershed study that are not Corps missions then enter an O and list in Project Description. Multiple codes may be entered in this column. Watershed studies should be listed in the business line that is expected to be the primary purpose and not split among multiple business lines. Enter NO if the study is not a watershed study.

<u>Watershed Studies</u>

- Require team thinking about water resources development and management in the context of multiple purposes rather than single purposes, and, thus, facilitates the search for comprehensive and integrated solutions.
- Improve opportunities for public and private groups to identify and achieve common goals by unifying on-going efforts and leveraging resources.
- Identify a combination of recommended actions (a Watershed Management Plan) to be undertaken by various partners and stakeholders in order to achieve local, tribal, regional, and national water resources management goals identified in the study and may or may not identify further budgetable Corps studies or implementation projects.
- Leverage resources, including cost shared collaboration, and integrates programs and activities within and among Civil Works programs, and with other Federal, tribal state and non-governmental organizations, to improve consistency and cost effectiveness;

35. FUNDING OF OTHER PURPOSES = Required for Construction phase. Displays the budget request amounts entered in other business lines for this project. System generated, no entry required.

36. COLLABORATION = Required for all but Reconnaissance phase and Inspection of Complete Works. This criterion is intended to reflect levels of support for the subject project. An indication of the breadth of support for a study or project is the number of interests that support Corps ecosystem projects with financial and/or material investments. The collaborative support for Corps projects is defined as contributions from other than the Non-Federal Sponsor – for example, includes stakeholders, non-governmental organizations/agencies not necessarily a party to the cost-sharing agreement. Such contributions include funds, materials, group volunteer efforts, or services that reduce the non-federal costs, or which proportionately reduce cost sharing for the Federal and Non-Federal Sponsor. Collaboration is not simply involvement in normal coordination activities such as attending meetings. A Coastal America recognized project would be an example of a collaborative effort.
Entries are as follows:

High (H) = ten or more contributors other than the sponsor, each contributing either materials, services, funds or a combination of these items. [Note: in accordance with policy volunteered services would have the effect of lowering the cost share of both the Corps and the Non-Federal Sponsor, and would not solely reduce the sponsor's share.]

Medium (M) = more than one but less than ten additional contributing, non-sponsors.

Low (L) = no more than one additional non-Federal entity contributing a share of the total project costs.

37. PROJECT DESCRIPTION = Entry is required for all phases of the study/project. Entry needs to clearly and succinctly describe the project features and the intended outputs. Entries will be ***125*** words (625 characters) or less. Include information on type of project, list ecosystem features, and other pertinent information. If using dredged material, mention the navigation project source. Note the habitat type(s) using the codes in Illustration II-2-2. Complete sentences are not required.

38. TOTAL PROJECT COST = Required only for PED and Construction phases. The total project cost ($1000s) includes the Federal and non-Federal costs of PED and Construction. It also includes cost shared monitoring and adaptive management costs. The figure will be derived from PRISM and is to include all Federal and non-Federal costs for PED and Construction. The project description and work to be performed should be consistent with the J-sheets. The cost should be the uninflated cost but consistent with the fully funded cost in the J sheet.

39. TOTAL ECOSYSTEM RESTORATION COST = Required only for PED and Construction phases. This is the figure that will be used when asked the cost of the ecosystem restoration outputs. This entry is for the cost of ecosystem restoration elements only. Be sure to exclude the costs of recreation or environmental education features in this column. For a multipurpose project, this column would include the separable and joint costs of the ecosystem restoration features only. For a single purpose ecosystem restoration project without recreation features the entries in columns 34 and 35 should be identical. Cost in $1000s.

40. ACRES = Required only for PED and Construction phases. The area used for the Cost Effectiveness/Incremental Cost analysis (CE/ICA) analyses is the quantity to enter. This does not change the need for a quality component in the CE/ICA analyses. The actual number of acres should be entered in whole numbers. Stream miles will be converted to surface acreage under normal flow.

41. COST PER ACRE RESTORED = Required only for PED and Construction phases. The total ecosystem restoration cost in column 39 divided by the number of acres in column 40 expressed in $100s per acre. This will be a calculated field and entered by the system.

42. Narrative Justification. In *100* words (500 characters) or less provide additional support for the ranking of the study/project. Items a-c **must** be provided in this order or enter NA as appropriate. Use a., b, and c, to refer to the individual items.

a. Legal requirements [specify, court orders or lawsuits, reasonable and prudent alternatives to avoid jeopardy, settlement agreements, etc.].

b If mitigation included type of habitat being mitigated and number of acres.

c. For Inspection of Completed Works, list the projects to be inspected.

The following **may** be provided. Use the letters to denote which items have been included.

d. Unresolved policy issues

e. Other significant descriptors.

f. Any other special factors that should be considered in ranking the project, such as urban area.

Significance. Items 43-52 are required for all items funded in the Investigations and Construction accounts. Blank entries will equal zero. The scores for items 43, 45, 47, 49 and 51 will be totaled and serve as an indication of the significance of the proposed restoration. Only one option may be selected in each of these items. For example if the proposed project contributes to a national plan (10 points) as well as a state plan (2) points only 10 points may be entered. The first score is the maximum points available for each item. The basis for the ranking assigned for Scarcity, Connectivity, Special Status Species, and Plan Recognition **must** be documented. The term "regional" is defined as involving two or more states; a state and comparable entity in Canada or Mexico; a state and a Tribe; two Tribes, an area of a size comparable to the previous items, or an area covered by an activity that has significant Federal legal and multi-agency support even though entirely within one state such as a Joint Venture area identified under the North American Waterfowl Management Plan, rather than a smaller geographic area.

43. SCARCITY = The scarcity of the habitat to be restored. This criterion is based on trend information and relative abundance of the habitat. Restoration of a scarce resource that was always scarce or one at the limits of its range, and is relatively stable would rate zero.
Scoring is as follows:

20 = Nationally scarce habitat and becoming scarcer (declining trend) as demonstrated by a Federal, regional, or state/Tribal report, or general scientific agreement as documented by professional publications/societies.

10 = Regionally scarce and becoming scarcer as demonstrated by a Federal, regional, or state/Tribal report, or general scientific agreement as documented by professional publications/societies.

5 = Other declining habitat.

0 = A habitat type that is stable at natural levels or improving beyond natural levels.

44. Document the basis for the score in column 43 in 200 characters; such as: 90% of (type of habitat) lost in x (size of or name of region) area since yyyy (year) as documented in... Examples of reports might be North American Waterfowl Mgt Plan documents and NOAA's Essential Fish Habitat documents. Additional potential sources may be found in "Significance in Environmental Project Planning: Resource Document" IWR Report 96-R-7 at *http://www.iwr.usace.army.mil/iwr/pdf/96r07.pdf* .

45. CONNECTIVITY = This criterion addresses the extent to which a project facilitates the movement of native species by contributing to the connection of other important habitat pockets within the ecosystem, region, watershed or migration corridor.
Scoring is as follows:

20 = Project makes a physical connection between existing habitat areas within a corridor or larger landscape reducing population isolation, expanding home ranges, or providing access to areas supporting life requisites as recognized by or demonstrated by community or species models. An example would be restoring the connection between two pockets of what was once a larger wetland, or two patches of bottomland hardwood forest separated by drained agricultural land, or removal of a dam to open up additional habitat. For specific species, action provides critical life requisites (sites or habitats providing foraging, breeding or cover) that complete or expand the functionality of the system contributing to the stability of the species or population.

10 = Project improves suitability of an existing connection or corridor, or expands functional area(s) within a splintered migratory corridor or home range. For example, expanding resting or foraging areas that improve the functionality or carrying capacity of the system.

0 = the project is an isolated unit. For example, a project that takes advantage of an opportunity to restore a portion of a drained field.

46. Document the basis for the score in column 45 in 200 characters; such as: connect x National and y state wildlife areas, connect 5 tracts totaling x acres. Include a list of the primary species used to justify score.

47. SPECIAL STATUS SPECIES = The project must provide a significant contribution to some key life requisite of a species to receive points in this category. The demonstrated presence or potential presence of a species of concern in the project area is not sufficient to justify a score above zero. Scoring is as follows:

10 = Project provides habitat for life requisites that complete or add to existing life requisites within the project's area of influence or footprint for Federally listed or candidate threatened or endangered species.

5 = Project provides habitat for life requisites that complete or add to existing life requisites within the project's area of influence or footprint for species covered by international treaty, such as International Migratory Birds.

3 = Project provides habitat for life requisites that complete or add to existing life requisites within the project's area of influence or footprint for State listed or candidate species.

0 = None.

48. Document the basis for the score in column 47 in 200 characters by listing species and life requisite met (e.g. e.g. – bald eagles/nesting habitat). Cite discussion with resource agencies responsible for managing the special status species in the project area. The discussion should be documented in an mfr or email. Cite a federal recovery plan if applicable.

49. PLAN RECOGNITION = This criterion recognizes Corp ecosystem restoration projects that contribute to watershed or basin plans as emphasized in the “Civil Works Strategic Plan”. This criterion ranks the importance of the plan that the Corps project supports.
Scoring is as follows:

10 = A Corps study or project that contributes to a multi-agency comprehensive watershed or basin plan developed in support of Federal priorities as demonstrated in laws or specifically authorized programs such as. Everglades, CALFED, Chesapeake Bay plan, etc.

5 = A Corps study or project that contributes to a multi-agency regional watershed or basin plan. Examples of this would include plans developed by groups such as the Delaware Basin Commission, or plans pertaining to Joint Venture Areas under the National Waterfowl Management Plan.

2 = A Corps study or project that contributes to a State/Tribal or local watershed or basin plan.

0 = A Corps project that does not contribute to any collaborative comprehensive or watershed or basin plan.

50. Document the basis for the score in 49. Include the include name and date of plan used as the basis of the score.

51. SELF-SUSTAINING = This requirement applies to only the PED and Construction phases. Enter NA for Reconnaissance and Feasibility phases. The ideal goal of most restoration is a self-sustaining ecosystem consisting of natural processes. The cost of the average annual O&M per acre (using the number of acres in column40) will be used as an indicator of the level of human intervention needed to maintain the restoration outcome. The most recent cost estimates or the actual costs of O&M (if greater than the latest estimate) will be used in this calculation.
Scoring is as follows:

20 = Low relative O&M costs. The average annual O&M cost per acre must be $15.00 or less.

10 = Medium relative O&M costs. The average annual O&M cost per acre is greater than $15.00 but less than $100.00.

0 = High relative O&M costs. The average annual O&M cost per acre equals or exceeds $100.00.

52. TOTAL SCORE = The sum of the scores entered in columns 43, 45, 47, 49, and 51. PRISM will auto fill.

53. NATIONALLY SIGNIFICANT = If the study/project received the highest score possible in the Scarcity, Connectivity, and Special Status Species columns, then enter a “Y” for yes in this column. Enter an “N” for no. This column will auto-fill in PRISM.

54. NUMBER OF INSPECTIONS = This item is to provide for funds to inspect completed ecosystem restoration projects and ecosystem restoration features of multi-purpose projects. These funds will be in the O&M account. See table C-2.3c “Work Category Codes and Definitions – O&M Operations Accounts” in Annex C, for the full definition of “Inspections of Completed Work, Ecosystem Restoration. This was a new funding category for FY 2007. Districts will enter amounts in P2 in the

same manner used for Inspection of Completed Works for Flood Damage Reduction. Enter the number of ecosystem restoration projects or features that will be inspected with the amount requested. This category is not for inspection of features completed as mitigation. The CCS for this item is 640 and the PWI is 081816.

55. OUTPUT OF BUDGET ITEM. In 40 words (200 characters) or less indicate what the FY 2008 budget amount accomplishes. For example, initiate or complete a study, contract or project, reduce the study time x months, or contract work more efficiently, or link to other work in watershed more efficiently.

56-58. These three columns are required for PED and Construction. This data is required so that we will have a basis for stating how our budget relates to the President's wetland goals. The Council on Environmental Quality definitions of the terms in the column headings will be used. These definitions are found in Table II-2-4. The acres should be wetland acres as identified from the habitat types (Table II-2-3) entered in the project description. A project or separable element may report acres in more than one of these columns. Acres should be entered in whole numbers.

56. Acres Restored or Created.

57. Acres Improved.

58. Acres Protected.

Table II-2-4
Council on Environmental Quality Wetlands Accomplishment Definitions

Accomplishment	Results	Definition
Restore or create	Results in a gain of wetland acres	*Creation* of wetlands that did not previously exist on an upland or deepwater site. These actions are referred to as "establishment" by the White House Wetlands Working Group (WHWWG). *Restoration* of a former wetland to its natural/historic function and resulting value. Typically, such a former wetland had been drained for some purpose. These actions are known as "re-establishment" by the WHWWG.
Improve	Results in a gain of wetland functions or quality, rather than additional acreage	Repair of the natural/historic functions and associated values of a degraded wetland. The WHWWG refers to these actions as "*rehabilitation*" of wetlands. Rehabilitation results in a gain in wetland quality. Heightening, intensification, or improvement of one or more selected functions and associated values. The WHWWG called these types of actions "*enhancement*." Enhancement is undertaken for a purpose such as water quality improvement, flood water retention, or wildlife habitat. Enhancement results in the gain of selected wetland functions and associated values but may also lead to a decline in other wetland functions and values.
Protect	Preserves acreage but does not result in an addition of acres.	Acquisition of land or easement of at least 30 years duration.

Illustration II-2-1
Sample Spread Sheet
Ecosystem Ranking Criteria and Additional Data

Revised spreadsheet for FY 08

Ecosystem
Restoration spreadsh

Illustration II-2-2
Habitat Types and Codes to be Used for Ecosystem Restoration

No change from FY07

habitatmar05.xls

Sub-Appendix II-3
ENVIRONMENT-STEWARDSHIP

II-3.1. **Introduction.** The Corps is responsible for the management of 456 existing water resources projects located in 43 states. Each project's construction and operation is authorized under unique authorities for single or multiple-purposes such as navigation, flood control, hydropower, fish and wildlife, recreation and water supply. Included in those authorized projects and entrusted to Corps stewardship are streams, rivers, lakes, and their adjacent lands - totaling nearly 12 million acres and nearly 56,000 shoreline miles. In operating and maintaining its multi-purpose projects, the Corps integrates the management of the existing diverse natural resources (such as fish, wildlife, forests, grasslands, wetlands, soil, air, water) and cultural resources, with the provision of recreation opportunities. Guidance for accomplishing stewardship activities may be found in ER 1130-2-540. As a matter of law and good environmental practice, the Corps provides stewardship of its projects lands and waters to sustain healthy natural resources and cultural resources that occur on this federal estate and takes action to minimize adverse environmental impacts. The Environment-Stewardship vision is to provide healthy project lands and waters for future generations.

II-3.2. **Purpose.** The Corps Environment-Stewardship mission is to manage, conserve and/or protect the natural and cultural resources at Corps operating water resources projects, consistent with project authorities and ecosystem sustainability approaches; consistent with the USACE Environmental Operating Principles; to meet environmental standards; and to serve the needs of present and future generations. Environment-Stewardship provides management of natural and cultural resources to achieve healthy, sustainable conditions, and fosters healthy lands and waters by balancing public uses and needs.

II-3.3. **Goals, Objectives, and Performance Measures.**

a. Environment-Stewardship seeks to fulfill the Civil Works (CW) goal to ensure that projects perform to meet authorized purposes and evolving conditions. Table II-3-1 displays the Environmental Stewardship Objectives and Performance Measures described in the Civil Works Strategic Plan for FY 2004 – FY 2009, dated March 2004. Preparation of the FY 08 budget request requires the recognition of a constrained budget environment and the ongoing effort to evolve better budget linked performance measures. Table II-3-2 displays the FY 08 Stewardship objectives and performance measures which support and/or supplement the Civil Works Strategic objectives (Table II-3-1) and performance measures, to reflect the near term realities of a constrained FY 08 budget environment.

TABLE II-3-1	
Civil Works Strategic Plan Objectives and Performance Measures*	
Environmental Stewardship Objectives	Performance Measure
Ensure healthy and sustainable lands and waters associated with natural resources on Corps lands held in public trust, to support multiple purposes.	Percent of acres with completed natural resources inventories.
Protect, preserve, and restore significant ecological resources in accordance with Master Plans.	Percent of projects requiring Master Plans in accord with current regulations.
Ensure that the operation of all Civil Works facilities and management of associated lands complies with the environmental requirements of all relevant Federal, State, and local laws and regulations.	Percent of all significant findings corrected annually. Percent of all identified major findings corrected annually.
Meet the mitigation requirements of authorizing legislation or applicable Corps decision document.	Percent of Corps administered mitigation lands (acres) that meet the requirements in the authorizing legislation or relevant Corps of Engineers decision document Percent of completed projects that have successfully met mitigation goals.

***** From the FY 04-09 Civil Works Strategic Plan, dated March 2004. **See Table II-3-2 for the adjusted FY 08 budget-linked objectives and performance measures to be used in development of the FY 08 Environment-Stewardship budget.**

b. Our ability to accomplish the Environment-Stewardship objectives depends heavily on certain key factors that are the focus of the FY 08 budget-linked objectives and performance measure outputs as presented in Table II-3-2. The key factors associated with accomplishing Environment-Stewardship objectives include that basic information must be available about the natural resources that exist on Corps operating projects. Further, there must be some evaluation of the condition and significance of those resources, at the project and within the watershed ecosystem -- to manage them effectively and efficiently, and to comply with the law and other resource protection mandates, such as legislatively authorized mitigation and Endangered Species Act mandates. Additionally, significant cultural resources that occur on project lands must be managed in accord with several federal protection mandates. Also, project Master Plans, which guide the manager in making informed and wise decisions on project land use proposals, must be up-to-date and in accord with regulation (ER and EP) 1130-2-550. (This regulation and guidance requires that Master Plans include a land classification that designates environmentally sensitive areas and include meaningful natural resources management objectives. The Master Plan promotes the identification, protection, conservation and sustainability of natural resources.) To build a highly effective and efficient budget, performance measures are utilized to attribute priority to that work which contributes to accomplishing the Environment-Stewardship objectives and results.

TABLE II-3-2	
FY 08 Environment-Stewardship Budget-Linked Objectives and Performance Measures	
Budget-Linked Objectives	Performance Measure
Assure compliance with natural resources environmental mandates and legal requirements	**Mitigation Compliance** - Percent of total Corps administered mitigation acres, or percent of total required pounds/or individuals of mitigation fish produced, that will meet the requirements in the authorizing legislation or applicable Corps authorization decision documents.
	Endangered Species Protection - Percent of total federally listed species associated with Corps operating projects for which the Corps is meeting Endangered Species Act responsibilities.
Protect and preserve cultural resources	**Cultural Resources Management** - Percent of total projects that will meet federally mandated cultural resources management responsibilities.
Ensure healthy and sustainable natural resources conditions.	**Healthy and Sustainable Lands and Waters** – Percent of total Corps fee-owned acres that will be classified as in healthy and sustainable condition.
	Level One Natural Resources Inventory Completion - Percent of total acres requiring Level One Natural Resources Inventory for which the Level One Natural Resources Inventory will be complete.
Balancing public uses of natural resources	**Master Plan Completion -** Percent of total projects requiring Master Plans for which the Master Plans will be completed in accord with ER 1130-2-550.

c. Full descriptions of the FY 08 Environment-Stewardship budget-linked performance measures are provided in Illustrations II-3-1 to II-3-6.

II-3.4. **Environment-Stewardship Program Development – General Instruction**.

a. The Environment-Stewardship (E-S) budget will be performance-based. It will be built by the development of incrementally justified budget packages for prudent work that realistically may be accomplished during the budget year and that provides quantifiable, efficient, and increased outputs toward the current Environment-Stewardship performance measures. Each included budget package will provide quantified outputs toward a single primary performance measure that reflects the primary reason why the budget package is justified and the category of outputs anticipated from the work. So that stand-alone decisions may be made, each proposed budget package will consider and include all the costs (i.e. of the primary, as well as supporting, activities) that are necessary to accomplish the proposed work and result in performance output.

b. **Joint Activities – Joint Costs**. See guidance provided in Sub-Annex C-2, paragraph C-2.3.b.

c**. Environment-Stewardship Budget Evaluation System (E-S BEST)**. A web–based tool has been developed for field use in calculating Environment-Stewardship performance measure outputs for stewardship O&M activities and budget packages. E-S BEST will use data provided by the Operations Manager, to calculate a value for each budget package's performance measure output. Using these measures, E-S BEST will rank all E-S budget packages at the District, Division, and HQ levels. (See E-S BEST Flow Chart in Illustration II-3-7.) **E-S BEST must be used to rank FY 08 Environment-Stewardship O&M and MR&T O&M budget packages. All E-S BEST data must be entered by the project by 5 May 2006**. Extracts of E-S BEST will be loaded into PRISM in early May, to allow districts and MSC to review and evaluate their budgets comprehensively, across business lines. Additional PRISM uploads will be done on district or MSC request to the E-S BEST technical team at ERDC. As the budget review continues, necessary changes to E-S budget data will be coordinated and made in E-S BEST, with subsequent uploads to PRISM as necessary. E-S BEST, along with directions for its use, may be accessed through the NRM Gateway at http://corpslakes.usace.army.mil/employees/esbest/esbest.html.

d. **Well-Written Budget Package Descriptions and Funding Arguments**. In this performance based budget, every Environment-Stewardship budget package must relate to an increase in program performance or results. These linkages must be clear to all levels of reviews, both internal and external (e.g., OMB or Congress) to the Corps. Care should be taken to write all budget package descriptions clearly and concisely so that the reader can understand and appreciate the work for which funds are being requested. Well-written justifications are essential to convince reviewers who are not familiar with the work to fund your needs.

e. Each budget package will be assigned to one of the E-S incremental funding categories based on the performance measure output criteria and ranking factors specified for each increment. These criteria and ranking factors are described in the paragraphs that follow. Budget packages assigned in the described increments will be used to develop the HQ proposed Civil Works Ceiling, Recommended and Capability programs.

II-3.5. **Budget Increments for Environment-Stewardship.** See also the guidance for O&M program Increments, in the Project Operations and Maintenance Sub-Annex C-2 of this EC. Environment-Stewardship budget increments are generally defined by the requirement for the work proposed in each, by outputs toward the current E-S performance measures (Table II-3-2) as assessed by performance measure output criteria, and by the priority work contained in each increment, as assessed through ranking factors. Each increment will include budget packages that must provide justified and quantifiable outputs toward one or more of the current performance measures. All six-performance measures apply through each increment; however, the performance measure output criteria and ranking factors vary. These are described specifically in paragraph II-3.6. General descriptions of each of the Environment-Stewardship Increments follow in the paragraphs below.

a. **Initial Increment**. Each MSC will build an Environment-Stewardship Initial Increment budget that is based on performance measure outputs and that includes the minimum amount of funding necessary to accomplish only those "essential", "critical", or "must-do" project work efforts that are necessary to meet mandated and legal requirements, to meet minimum project operating requirements, and to prevent the loss of significant natural and cultural resources in the budget year. The Initial Increment will seek to provide the greatest benefit for the investment, based on performance measure outputs, while avoiding violation of: legal mandates for natural and cultural resources stewardship, environmental compliance, operation, and safety; and avoiding termination of existing contracts or those to be awarded in or before FY 2007. As stated in the Project Operation and Maintenance Sub-Annex C-2 of this EC, to establish a consistent starting point for the Initial Increment, each MSC will create an Initial increment for each Business Line, except Recreation, so that the total cost across all business lines, excluding Recreation is

not greater than 75% of the MSC total in PY-1 (FY 2007) as listed on Table C-2.6. The Environment-Stewardship business is O&M funded and will be subject to this guidance. The Initial Increment will be used as a starting point in developing the HQ Civil Works E-S Ceiling level program for the budget year.

b. **Increment 2.** This increment will incorporate those additional budget packages that meet the criteria to be included in the Initial Increment; however, they may not be accommodated in the Initial Increment due to the MSC Initial Increment total cap presented in Table C-2.6. As in the Initial, Increment 2 is based on performance measure outputs and includes the minimum amount of funding necessary to accomplish only those remaining "essential", "critical", or "must-do" project work efforts that are necessary in the budget year to meet mandated and legal requirements, to meet minimum project operating requirements, and to prevent the loss of significant natural and cultural resources. Increment 2 also will seek to provide the greatest benefit for the investment, based on performance measure outputs, while avoiding violation of: legal mandates for natural and cultural resources stewardship, environmental compliance, operation, and safety; and avoiding termination of existing contracts or those to be awarded in FY 2007 or before. Increment 2 will include priority work and will be the next added Increment of funding considered in the development of the HQ Civil Works E-S Recommended level program for the budget year.

c. **Increment 3.** This increment is to incorporate those budget packages that are beyond the general scope of the Initial Increment and Increment 2. Increment 3 will directly support the prudent, realistic, and efficient operation, management and maintenance of project natural and cultural resources. Budget packages included in Increment 3 must be performance based and provide quantified and increased output (in addition to that of the Initial Increment and Increment 2) toward one or more of the E-S performance measures. Increment 3 will also be prioritized for relative efficiency and effectiveness in accomplishing the performance objectives and outputs, and will reflect funding amounts that can realistically be obligated in the budget year based on in-house technical capability, and as applicable, realistic financing capability on the part of non-Federal sponsors. As fiscal constraints dictate and efficient performance outputs justify, budget packages of Increment 3 will be evaluated in developing the HQ Civil Works E-S Recommended and Capability level programs for the budget year.

II-3.6. **Performance Measure Output Criteria and Ranking Factors - by Increment.** All six-performance Environment-Stewardship performance measures apply through each increment; however, the performance measure output criteria and associated ranking factors for budget packages vary. Below, the overall outputs to be achieved are described for each performance measure, followed by the more specific performance output criteria and budget package ranking factors that are applicable in each E-S budget Increment. Budget packages in any increment must meet one or more of the performance output criteria for that increment. It is not necessary however to build or include budget packages for every performance measure in each increment. Build and include only those that are applicable to the project. Each budget package will be developed and assigned in E-S BEST to a single E-S performance measure, and in a single appropriate E-S increment in accord with the following.

a. **Mitigation Compliance**. Budget packages are for operations, management and maintenance requirements identified and/or specified in project authorization legislation or project authorization decision documents, that are necessary to mitigate for adverse impacts to ecological resources unavoidably induced by Corps project construction or operation. See Illustration II-3-1. (Note: since mitigation can occur on other than fee-owned land, no land ownership criteria are fixed to the location of outputs toward this performance measure as long as there is an authorized Corps obligation.) "Mitigation" considered under this performance measure <u>does not include compensatory requirements that result from routine real estate out-grant actions or routine O&M actions</u>. The "Mitigation Compliance" performance measure will be assigned in E-S BEST to those budget packages that provide this output. The amount of mitigation performance output to be generated by "Mitigation Compliance" budget packages (e.g. number of mitigation acres directly affected, number of pounds or individuals of fish

produced, etc.) will be recorded in E-S BEST.

(1) **Mitigation Compliance – Initial Increment.** Include priority work and funding that may be accommodated within the total MSC Initial Increment dollar limit (see Sub-Annex C-2, Table C-2.6).

(a) Performance Output Criteria. Include budget packages for:
- specifically authorized mitigation work necessary in the budget year.

(b) Ranking Factors. Priority should be given to budget packages:
- for the operations, management and maintenance of essential work as required by Congressional authorization or HQ approved project authorization decision document;
- that maximize efficiency of funds invested for this purpose.

(2) **Mitigation Compliance - Increment 2.** Budget packages will result in the complete operations, management and maintenance of the project mitigation requirements at the level of efficiency and effectiveness as described for the Initial increment. Include those remaining priority "Mitigation Compliance" budget packages that surpass the capability of funding within the MSC Initial Increment dollar limit, but are needed to satisfy mitigation requirements of the budget year.

(a) Performance Output Criteria. Same as for the Initial Increment.

(b) Ranking Factors. Same as for the Initial Increment.

(3) **Mitigation Compliance - Increment 3.**

(a) Performance Output Criteria. Include budget packages:
- for inventory techniques and practices beyond a required evaluation that support operations, management and maintenance requirements that are necessary for the project to manage authorized fish and wildlife mitigation activities and facilities.

(b) Ranking Factors. Priority should be given to budget packages:
- for recommended practices included and described in approved Corps Feature Design Memoranda or other project authorization decision documents, or Operational Management Plans;
- that maximize efficiency of funds invested for this purpose.

b. **Endangered Species Protection.** Budget packages are for operations, management and maintenance requirements necessary to comply with Endangered Species Act (ESA) requirements and for the protection of endangered and threatened species that occur on the project lands or that are impacted by project operation. See Illustration II-3-2. The "Endangered Species Protection" performance measure will be assigned in E-S BEST to budget packages that are to accomplish these outputs. Budget packages will indicate the minimum amount of funding necessary to accomplish the work in the budget year.

(1) **Endangered Species Protection – Initial Increment.** Include priority work and funding that may be accommodated within the total MSC Initial Increment dollar limit (see Sub-Annex C-2, Table C-2.6).

(a) Performance Output Criteria. Include budget packages:
- to conduct the minimum Endangered Species Act (ESA) coordination/consultation activities necessary for project operation;
- to implement required "reasonable and prudent alternatives" (to avoid likely "jeopardy" or

adverse critical habitat modification to federally listed species) or non-discretionary "reasonable and prudent measures" (outlined in incidental take statements);

- to implement other mandatory items specified in an applicable Final ESA Biological Opinion (Note: Do not include funding for the implementation of mitigation, or conservation recommendations, or other discretionary measures identified as a result of ESA consultation);
- that implement critical and essential management practices on Corps fee-owned properties, for Federally-listed endangered or threatened species that are not otherwise protected by "reasonable and prudent alternatives" and/or non-discretionary "reasonable and prudent measures" - to prevent imminent (in budget year) jeopardy to their continued existence or imminent (in the budget year) adverse modification to their habitat;
- to implement Corps accepted measures to protect federally listed species which are the subject of a Draft ESA Biological Opinion indicating a strong likelihood of "jeopardy" or adverse habitat modification to a federally listed species, or that mandatory measures will likely be necessary to avoid that opinion. Budget package justification must identify the anticipated date of the signed Final Biological Opinion.

(b) Ranking Factors. Priority should be given to budget packages:

- for federally listed endangered or threatened species with Final Biological Opinions;
- for federally listed endangered or threatened species with Draft "Likely Jeopardy" Biological Opinion;
- for other federally listed endangered or threatened species;
- that maximize efficiency of funds invested for this purpose.

(2) **Endangered Species Protection - Increment 2**. Budget packages will result in the complete operations, management and maintenance of project endangered species protection requirements at the level of efficiency and effectiveness as described for the Initial increment. Include those remaining priority "Endangered Species Protection" budget packages that surpass the capability of funding within the MSC Initial Increment dollar limit, but that are needed to satisfy protection requirements of the budget year.

(a) Performance Output Criteria. Same as in the Initial Increment.

(b) Ranking Factors. Same as in the Initial Increment.

(3) **Endangered Species Protection - Increment 3.**

(a) Performance Output Criteria. Include priority budget packages:

- for research, monitoring or modeling required beyond evaluation to support the operations, management and maintenance requirements necessary for the project to implement "reasonable and prudent" project operation alternatives, or measures, on Corps fee-owned properties - as specified in Final ESA Biological Opinions, Final Recovery Plans, *Feature* Design Memoranda, Operational Management Plans, or other decision documents relating specifically to a particular operating facility;
- to implement Conservation Measures for federally listed species as described in Biological Opinions issued to the Corps by the U.S. Fish and Wildlife Service, and/or the National Marine Fisheries Service (USFWS/NMFS);
- to implement protection practices for State listed endangered or threatened species to prevent the adverse impact to such species.

(b) Ranking Factors. Priority should be given to budget packages:

- for federally listed endangered or threatened species with a final Biological Opinion;

- federally listed endangered or threatened species with Final Recovery Plans;
- for state listed endangered or threatened species;
- that maximize efficiency of funds invested for this purpose.

c. **Cultural Resources Management**. Budget packages are for operations, management and maintenance requirements to meet federally mandated responsibilities for the management of significant cultural resources. Authorities include but may not be limited to Sections 106 and 110 of the National Historical Preservation Act (NHPA), Section 3 of the Native American Graves Protection and Repatriation Act (NAGPRA), and Sections 4 thru 9 of the Archeological Resources Protection Act (ARPA). The term "significant cultural resources" means "historic property" as defined in Section 301 of NHPA and "inadvertent discoveries" as defined in Section 3 of NAGPRA; and "archeological resources" as defined in section 3 of ARPA. See Illustration II-3-3. The "Cultural Resources Management" performance measure will be assigned in E-S BEST to budget packages that are to accomplish these outputs. Budget packages will indicate the minimum amount of funding necessary to accomplish the work in the budget year.

(1) **Cultural Resources Management – Initial Increment**. Include priority work and funding that may be accommodated within the total MSC Initial Increment dollar limit (see Annex C-2, Table C-2.6).

(a) Performance Output Criteria. Include budget packages:

- to prevent imminent threats to historic properties as defined in NHPA Section 301, inadvertent discoveries as defined in NAGPRA Section 3 and archeological resources having religious or cultural significance as defined in ARPA Sections 3 and 4 through preservation and protection or by implementing appropriate mitigation measures;
- to complete the NHPA Section 106 "process", tribal consultation and coordination, law enforcement and other management measures identified in statutory, regulatory, and operational management directives.
- to complete requirements for specific cultural resources surveys, testing, evaluation, analysis needed prior to the initiation of critical O&M work.

(b) Ranking Factors. Priority should be given to budget packages:

- for National Register of Historic Places (NRHP) listed resources on Corps fee-owned property);
- for NRHP listed resources on Corps administered, less-than-fee owned, properties;
- for resources eligible for listing on the NRHP;
- for required activities in support of the OMP proposed development or proposed land disturbances;
- for work that completes the development a project HPMP during the budget year;
- that maximize efficiency of funds invested for this purpose.

(2) **Cultural Resources Management - Increment 2**. Budget packages will result in the complete operations, management and maintenance of the project cultural resources management requirements at the level of efficiency and effectiveness as described for the Initial increment. Include those remaining priority "Cultural Resources Management" budget packages that surpass the capability of funding within the MSC Initial Increment dollar limit, but that are needed to satisfy management requirements of the budget year.

(a) Performance Output Criteria. Same as in the Initial Increment.

(b) Ranking Factors. Same as in the Initial Increment.

(3) **Cultural Resources Management - Increment 3**.

(a) Performance Output Criteria. Include priority budget packages:
- to manage cultural resources properties of unknown NRHP eligibility, but may still have consideration under various statutory authorities.

(b) Ranking Factors. Priority should be given to budget packages:
- to implement work on Corp fee-owned properties;
- that are in support of and in accord with the project OMP;
- to prepare a Historic Property Management Plan;
- that maximize efficiency of funds invested for this purpose.

d. **Healthy and Sustainable Lands and Waters.** Budget packages are to improve and or maintain specific or general conditions for natural resources on Corps fee-owned lands such that those acres will be moved from a "degraded" or "transitioning" condition, to a condition that is classified as healthy and "sustainable". See Illustration II-3-4. The "Healthy and Sustainable Lands and Waters" performance measure will be assigned in E-S BEST to budget packages that are to accomplish these outputs. Budget packages will indicate the minimum amount of funding necessary to accomplish the work in the budget year.

(1) **Healthy and Sustainable Lands and Waters – Initial Increment**. Include priority work and funding that may be accommodated within the total MSC Initial Increment dollar limit (see Sub-Annex C-2, Table C-2.6).

(a) Performance Output Criteria. Include budget packages necessary:
- to accomplish basic and essential stewardship functions for the protection of project natural resources on Corps fee-owned acreage;
- to protect Corps fee-owned lands and waters against encroachments and imminent loss of significant natural resources (including soils, vegetation, and animal species) due to erosion, wildfire, pest outbreaks, trespass, or human activities and/or environmentally induced events (e.g. include activities such as minimal boundary monitoring/surveillance, essential evaluation of and response to land use requests such as road or utility right-of way requests by non-Corps entities, compensation requirements resulting from routine real estate out grants and routine O&M actions, fire/pest prevention, timber theft monitoring; fish and wildlife sustainability practices such as counts, evaluation and/or monitoring);
- to operate project facilities directly related to the stewardship of natural resources (e.g. include activities such as fish passage facilities operation, water quality monitoring as required for fish health and safety, and transportation of fish);
- to provide oversight and coordination of environmental stewardship activities related to the management of the Shoreline Management Program.

(b) Ranking Factors. Priority should be given to budget packages:
- that benefit projects with higher total numbers of Shoreline Use Permits and/or Real Estate outgrants currently in effect;
- that achieve significant progress in moving fee-owned lands from a "degraded" to "transitioning" status (see Illustration II-3-4);
- that protect environmentally sensitive areas that are designated in accord with ER/EP 1130-2-550 and that are identified in the project Master Plan;
- that directly detects, controls, or prevents the introduction of invasive species populations;

- that benefit significant species that are identified in project authorization documents and that are susceptible to loss, but that are not otherwise protected by legislated mitigation measures;
- that maximize efficiency of funds invested for this purpose.

(2) **Healthy and Sustainable Lands and Waters - Increment 2**. Budget packages will result in the complete operations, management and maintenance of the project natural resources protection requirements at the level of efficiency and effectiveness as described for the Initial increment. Include those remaining priority "Healthy and Sustainable Lands and Waters" budget packages that surpass the capability of funding within the MSC Initial Increment dollar limit, but that are needed to satisfy natural resources protection requirements of the budget year.

(a) Performance Output Criteria. Same as in the Initial Increment.

(b) Ranking Factors. Same as in the Initial Increment.

(3) **Healthy and Sustainable Lands and Waters - Increment 3.**

(a) Performance Output Criteria. Include priority budget packages:
- to implement management practices to meet operational goals and objectives presented in project Master Plan and Operations Management Plan (OMP) for Corps fee-owned properties (e.g. shoreline management planning, boundary maintenance, preparation of the OMP, evaluation of land use requests, fire or pest management, comply with federal natural resources protection laws);
- to implement management practices to meet operational goals and objectives presented in project OMP for Corps easement properties;
- for any discretionary activities, conditions and facilities requested by US Fish and Wildlife Service, National Marine Fisheries Service and/or a State that are in accord with a HQUSACE approved final decision document.

(b) Ranking Factors. Priority should be given to budget packages:
- to prevent natural resources degradation or loss;
- to protect environmentally sensitive areas designated in accord with ER/EP 1130-2-550 and identified in the project Master Plan;
- for work accord with the recommended schedule and management practices prescribed in the project OMP;
- for special status species;
- for work to be accomplished in partnership with public or private entities that result in leveraged resources (e.g. challenge partnerships);
- that maximize efficiency of funds invested for this purpose.

e. **Level One Natural Resources Inventory Completion.** Budget packages are for operations, management and maintenance requirements to complete components (Vegetation, Wetlands, Project Land (Soils) Capability and Special Status Species) of the Level One Natural Resources Inventory. The minimum Level One Natural Resources Inventory, including the above components, is required on Corps fee-owned properties in accordance with ER 1130-2-540, to develop natural resource management objectives and land use classifications for the Master Plan and Operational Management Plan (see Illustration II-3-5). The "Level One Natural Resources Inventory" performance measure will be assigned in E-S BEST to budget packages that are to accomplish these outputs. Budget packages will indicate the minimum amount of funding necessary to accomplish the work in the budget year.

(1) **Level One Natural Resources Inventory Completion – Initial Increment.** Include priority work and funding that may be accommodated within the total MSC Initial Increment dollar limit (see Sub-Annex C-2, Table C-2.6).

(a) Performance Output Criteria. Include budget packages:

- to identify and describe the natural resources situated on the project fee-owned acreage, or anticipated to occur on the project fee-owned acreage (i.e. any component of the minimum Level One Natural Resources Inventory: special status species, vegetation, wetlands or land (soils) capability).

b) Ranking Factors. Priority should be given to budget packages with the most effective combination of the following factors:

- work is needed to evaluate and determine the status of federally listed species thought to occur on the project;
- one third or more of the project fee-owned boundary is immediately adjacent to developed (commercial, residential, and industrial) lands;
- work supports development of an impending Master Plan supplement or update;
- work completes an individual inventory component, or a combination of inventory components, during the budget year;
- maximized efficiency of funds invested for this purpose.

(2) **Level One Natural Resources Inventory Completion - Increment 2.** Budget packages will result in the completion of natural resources inventory component(s) at the level of efficiency and effectiveness as described for the Initial increment. Include those remaining priority budget packages that are needed to satisfy minimum "Level One Natural Resources Inventory" requirements for the budget year, but that surpass the capability of funding within the MSC Initial Increment dollar limit.

(a) Performance Output Criteria. Same as in the Initial Increment.

(b) Ranking Factors. Same as in the Initial Increment.

(3) **Level One Natural Resources Inventory Completion - Increment 3.**

(a) Performance Output Criteria. Include priority budget packages:

- to initiate, continue, or complete any component, or combination of components, of the Level One Natural Resources Inventory on Corps fee-owned properties to develop natural resource management objectives and land use classifications for the Master Plan.

(b) Ranking Factors. Priority should be given to budget packages with the most effective combination of the following factors:

- number of federal and state listed endangered and threatened that potentially occur on project lands;
- work included will result in the completion of the recommended Level One Natural Resources Inventory scheduled for the project;
- maximized efficiency of funds invested for this purpose.

f. **Master Plan Completion.** Budget packages are for work necessary in the budget year to complete a Master Plan supplement or update that includes natural resources management objectives, identifies environmentally sensitive areas, and meets requirements of ER/EP 1130-2-550, during the budget year. See Illustration II-3-6. The "Master Plan Completion" performance measure will be assigned in E-S BEST to budget packages that are to accomplish these outputs. Budget packages will indicate the

minimum amount of funding necessary to accomplish the work in the budget year.

(1) **Master Plan Completion – Initial Increment.** Include priority work and funding that may be accommodated within the total MSC Initial Increment dollar limit (see Sub-Annex C-2, Table C-2.6).

(a) Performance Output Criteria. Include budget packages:

- to initiate, continue, or complete a Master Plan supplement or update where the natural resources on Corps fee-owned lands face imminent threat from commercial, residential and industrial development on private lands immediately adjacent to the project boundary.

(b) Ranking Factors. Priority should be given to budget packages with the most effective combination of the following factors:

- one third or more of the project fee-owned boundary is immediately adjacent to developed (commercial, residential, and industrial) lands;
- age of Master Plan;
- budget package completes the project Master Plan or supplement in the budget year;
- maximized efficiency of funds invested for this purpose.

(2) **Master Plan Completion - Increment 2.** Budget packages will result in the completion of Master Plan or Master Plan supplements at level of efficiency and effectiveness as described for the Initial increment. Include those remaining priority budget packages that are needed to satisfy “Master Plan Completion” requirements of the budget year, but that surpass the capability of funding within the MSC Initial Increment dollar limit.

(a) Performance Output Criteria. Same as in Initial Increment.

(b) Ranking Factors. Same as in Initial Increment.

(3) **Master Plan Completion - Increment 3.**

(a) Performance Output Criteria. Include budget packages:

- to update Master Plans in accord ER 1130-2-550 for all fee-owned property on operating Corps administered projects.

(b) Ranking Factors. Priority shall be given to budget packages that provide the most effective combination of the following factors:

- work is to update natural resources objectives, land use classification and the specific identification of all environmentally sensitive areas, on Corps fee-owned properties;
- age of the existing master plan;
- work is in accord with schedule to complete the plan;
- maximized efficiency of funds invested for this purpose.

ILLUSTRATION II-3-1

ENVIRONMENT – STEWARDSHIP
FY 08 PERFORMANCE MEASURE
MITIGATION COMPLIANCE

GOAL: Assure compliance with environmental mandates and legal requirements (Corps mitigation outputs meet the requirements of authorizing legislation or relevant Corps decision document.)

Key Result Areas: Environment Stewardship Results and Justification

Customer: Public

Measure: Percent of Corps administered mitigation lands (acres), or the percent of pounds/numbers of mitigation fish produced at mitigation hatcheries, meeting the requirements in the authorizing legislation or relevant Corps of Engineers authorization decision document.

> ***Mitigation lands***: Mitigation lands are those lands on which mitigation measures are taken to compensate for adverse ecological impacts unavoidably caused by Corps projects or activities. For the performance measure, these lands are those authorized by Congress or approved by HQUSACE in a formally documented authorization decision document.
>
> ***Mitigation fish hatcheries***: Mitigation fish hatcheries are those facilities which are which are funded or operated by the Corps for the taking, fertilization, incubation and hatching of fish eggs, and rearing of young fish to be released, to compensate for unavoidable adverse impacts to fish species caused by Corps projects.
>
> ***Corps administered*** lands: Corps lands either managed by the Corps or lands licensed permitted or leased from the Corps.

Definition: Number of designated Corps administered mitigation lands (acres) meeting mitigation requirements divided by the total number of designated Corps administered mitigation lands (acres), **or** number of pounds (or number of individual) fish produced in a mitigation hatchery, divided by the number of pounds (or number of individuals) of fished required to be produced at a mitigation fish hatchery to meet the mitigation requirement for the budget year.

Demonstrates: Status of Corps efforts to meet mitigation requirements.

Unit of Output: Acres **or** number of pounds or individuals of fish

Data Source: OMBIL, E-S BEST

ILLUSTRATION II-3-2

ENVIRONMENT – STEWARDSHIP
FY 08 PERFORMANCE MEASURE
ENDANGERED SPECIES PROTECTION

GOAL: Assure compliance with environmental mandates and legal requirements identified in Federal law

Key Result Areas: Environment-Stewardship Results and Justification

Customer: Public

Measure: Percent of federally listed species associated with Corps operating projects for which the Corps is meeting Endangered Species Act (ESA) requirements or responsibilities.

Definition: Total number of federally listed species for which the Corps project is meeting ESA requirements or responsibilities divided by the number of federally listed species that occur on, or that are linked to the operation of the Corps project.

Demonstrates: Status of Corps efforts to meet ESA requirements.

Unit of Output: Number of federally listed species

Data Source: OMBIL

ILLUSTRATION II-3-3

ENVIRONMENT – STEWARDSHIP
FY 08 PERFORMANCE MEASURE
CULTURAL RESOURCES MANAGEMENT

GOAL: Protect and preserve cultural resources.

Key Result Areas: Environment-Stewardship Results and Justification

Customer: Public

Measure: Percent of projects meeting federally mandated cultural resources management responsibilities.

Definition: The total number of Corps projects meeting federally mandated cultural resources management responsibilities divided by the total number of Corps projects with federally mandated cultural resources management responsibilities.

Demonstrates: Status of Corps efforts to protect and preserve cultural resources.

Unit of Output: Projects complying with federally mandated cultural resources responsibilities.

Data Source: OMBIL

ILLUSTRATION II-3-4

ENVIRONMENT – STEWARDSHIP
FY 08 PERFORMANCE MEASURE
HEALTHY AND SUSTAINABLE LANDS AND WATERS

GOAL: Manage natural resources to assure a healthy and sustainable condition and fully integrate the Corps of Engineers Environmental Operating Principles (EOPs).

Key Result Areas: Environment-Stewardship Results and Justification

Customer: Public

Measure: Percent of healthy and sustainable acres on Corps fee-owned property.

> ***Sustainable:*** Meets the desired state. The acreage is not significantly impacted by any factors that can be managed and does not require intensive management. The acreage also meets operational goals and objectives set out in project Operational Management Plan (OMP) or other applicable management document. These acres are considered healthy and sustainable for future generations. Only minor management practices may be required to maintain the health. For the purposes of this measure, Project Operations Lands (occupied by prime facilities such as the project office, dam, locks and other facilities) identified in the Master Plan are to be classified as "sustainable".
>
> ***Fee-Owned***: Real property for which the U.S. has <u>all</u> rights, titles, and interest.

Definition: The number of Corps fee-owned acres classified as in a sustainable condition versus the total number of Corps fee-owned acres.

The result for this measure provides an indicator of the status of all Corps fee-owned acres (land and water). This indicator shall be the overall condition of project acreage as assigned during the inventory and classification of vegetation on Corps fee-owned land. The National Vegetation Classification System (NVCS) is the system that the Corps has adopted for the Level One Natural Resources Inventory and the vegetation classes of the NVCS will be the reference unit for which the condition will be assigned. The NVCS data collection will be supported in the Environment-Stewardship module of OMBIL beginning in FY 05. The measure of sustainable acres will use the NVCS if the Corps fee lands have been classified using the NVCS. **Special note:** Many projects have used other vegetative classification systems in the conduct of their Level One Natural Resources Inventory. During the initial 4 years of implementation of this measure and of data transition to the NVCS, those other systems may be used along with "best professional judgment" to quantify the number of sustainable fee-owned acres.

Each project will identify and categorize their project fee-owned acres into the four following categories:

> **a. Sustainable** – Meeting desired state. The acreage is not significantly impacted by any factors that can be managed and does not require intensive management. The acreage also meets operational goals and objectives set out in project OMP or other applicable management document. These acres are considered healthy and sustainable for future generations. Only minor management practices may be required to maintain the health.

b. Transitioning – Managed to meet desired goals. The acreage is impacted by human or other environmental factors that require management of the acreage to meet goals and objectives outlined in the project OMP or other applicable management document.

c. Degraded – Does not meet desired goals. The acreage is significantly impacted by human or other environmental factors that prevent the acreage from meeting desired goals outlined in the project OMP or other management documents. The acreage is not considered healthy. Intense management may be required to meet desired goals.

d. Not Assessed – The acreage has not been assessed against operational goals and objectives and thus a condition rating cannot be determined.

Demonstrates: Status of Corps efforts in achieving the goal of 100% environmental sustainability.

Unit of Output: Acres

Data Source: OMBIL

ILLUSTRATION II-3-5

ENVIRONMENT – STEWARDSHIP
FY 08 PERFORMANCE MEASURE
LEVEL ONE NATURAL RESOURCES INVENTORY COMPLETION

GOAL: Manage natural resources to assure a healthy and sustainable condition, and fully integrate the Corps of Engineers Environmental Operating Principles (EOPs).

Key Result Areas: Environment-Stewardship Results and Justification

Customer: Public

Measure: Percent of minimum Level One Natural Resources Inventory completed on Corps fee-owned real properties.

Fee Owned: Real property for which the U.S. has all rights, titles, and interest (not partial).

Minimum Level One Natural Resources Inventory: The completion of Level One natural resources inventories at Corps Civil Works projects is required in accordance with ER 1130-2-540. For the purposes of this performance measure the minimum Level One natural resources inventory shall consist of the completion of four component items:

- Project vegetation acreage classification and quantification, in accord with the Federal Geographic Data Center *National Vegetation Classification System* (though sub-class level). See http://www.fgdc.gov/standards/status/sub2_1.html

- Project wetland acreage classification and quantification, in accord with the US Fish and Wildlife Service *Classification of Wetlands and Deepwater Habitats of the United States.* See http://wetlands.fws.gov/Pubs_Reports/Class_Manual/class_titlepg.htm

- Project land (soils) capability classification and quantification, as defined by the Natural Resources Conservation Service –Land Capability Classes. See www.nrcs.usda.gov/technical/land/meta/m6175.html

- Special Status Species (Federal and State listed endangered and threatened species) identification and assessment for potential existence on project acreage. See http://endangered.fws.gov/wildlife.html - Species, and various State Natural Heritage sites.

Definition: The sum total number of acres of completed inventory for each component of the minimum Level One inventory (vegetation, wetlands, land capability and special status species), divided by four (4) times the total number of Corps fee owned acres. The proportion (percentage) yielded will be used to evaluate the relative completeness of the Level One Natural Resources Inventory.

Demonstrates: Status of Corps efforts in completing basic natural resources inventories which are necessary for sound resource management decisions and strategies development.

Unit of Output: Acres

Data Source: OMBIL

IILLUSTRATION II-3-6

ENVIRONMENT – STEWARDSHIP
FY 08 PERFORMANCE MEASURE
MASTER PLAN COMPLETION

GOAL: Foster healthy lands and waters by balancing public uses and needs, and fully integrate the Corps of Engineers Environmental Operating Principles (EOPs).

Key Result Areas: Environment-Stewardship Results and Justification

Customer: Public

Measure: Percent of Corps-operated water resource projects with completed Master Plans in compliance with Engineering Regulation (ER) 1130-2-550.

> ***Master Plan***: The Master Plan is a document that guides the development, management and public use of the project.
>
> ***Engineering Regulation (ER) 1130-2-550***: This regulation and its companion guidance, Engineering Pamphlet (EP) 1130-2-550, provide both the policy and guidance governing the preparation and development of Master Plans and Operational Management Plans.

Definition: The number of project required Master Plans in compliance with ER 1130-2-550 divided by the total number of project required Master Plans.

Master Plans shall be developed and kept current for all civil works projects and other fee-owned lands for which the Corps has administrative responsibility for management. To be considered compliant with policy and guidance in ER/EP 1130-2-550, a Master Plan shall address regional and ecosystem considerations, project resource capabilities and suitabilities, and expressed public interests and desires. Of critical importance to Environmental Stewardship, Master Plans shall include a land classification system in accordance with ER/EP 1130-2-550 (that recognizes environmentally sensitive areas) and includes specific natural resource management objectives that support the EOPs.

Demonstrates: Corps commitment to fully integrate environmental stewardship and the Corps Environmental Operating Principles in the management of operating projects.

Unit of Output: Compliant Master Plan

Data Source: OMBIL

ILLUSTRATION II-3-7
E-S BEST FLOW CHART

Stage 1: Current Conditions → **Stage 2: Initial Increment → Stage 3: Increment 2 Budget Packages** → **Stage 4: Increment 3 Budget Packages**

Current conditions of project natural resources will be described here.

For both Stage 2-Initial* and Stage 3-Increment 2** "must-do" work: <u>One budget package will be developed for each E-S performance measure output in each increment, as applicable</u> to the project (Mitigation Compliance, Endangered Species Protection, Cultural Resources Management, Healthy and Sustainable Lands and Waters, Level One Natural Resources Inventory Completion, Master Plan Completion). There will be only one budget package per performance output*.
***For Initial Increment Only:** The total of all budget packages included this increment must be within the total MSC Initial Increment dollar limit.
****For Increment 2 Only:** Include remaining "must-do" work that surpasses the capability of funding within the MSC Initial Increment dollar limit.

Examples (same for Initial and Increment 2):

Performance Output Budget Package:
<u>Mitigation Compliance</u>– 8 K

Description and Justification Statement
Work Package (Work Category Code) A—5K
Work Package (Work Category Code) B—3K

Performance Output Budget Package:
<u>Endangered Species Protection</u>– 15 K

Description and Justification Statement
Work Package (Work Category Code) A—5K
Work Package (Work Category Code) B—8K
Work Package (Work Category Code) C—2K

Increment supports reasonable, realistic and prudent project operations, management and maintenance. One <u>or more</u> budget packages (pkg) may be developed for each applicable E-S performance measure output (Mitigation Compliance, Endangered Species Protection, Cultural Resources Management, Healthy and Sustainable Lands and Waters, Level One Natural Resources Inventory Completion, Master Plan Completion).

Examples:

Performance Output Budget Package 1:
<u>Level One NR Inventory Completion</u>– 10 K

Description and Justification Statement
Work Pkg (Work Category Code) A—3K
Work Pkg (Work Category Code) B—4K
Work Pkg (Work Category Code) C—3K

Performance Output Budget Package 2:
<u>Level One NR Inventory Completion</u>– 35 K

Description and Justification Statement
Work Pkg (Work Category Code) A—15K
Work Pkg (Work Category Code) B—20K

Performance Output Budget Package 3:
<u>Master Plan Completion</u>– 56 K

Description and Justification Statement
Work Pkg (Work Category Code) A—20K
Work Pkg (Work Category Code) B—36K

Sub-Appendix II-4
FORMERLY UTILIZED SITES REMEDIAL ACTION PROGRAM

II-4.1. **Introduction.**
a. In 1998 Congress directed the Corps to conduct response actions on early atomic energy program sites subject to the administrative, procedural, and regulatory provisions of the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) and the National Oil and Hazardous Substances Pollution Contingency plan. This program, called the Formerly Utilized Sites Remedial Action Program (FUSRAP) was begun in 1970s by a predecessor agency to the Department of Energy. Response actions under CERCLA consist of: sampling and assessment of contaminated areas, characterization of site conditions, determination of the nature and extent of contamination, selection of the necessary and appropriate response actions as lead Federal agency, cleanup and closeout of sites and other actions necessary for remediation. In addition, the Corps assesses whether other potentially responsible parties are involved and addresses stakeholder environmental and regulatory issues.

b. Twenty-one sites still under evaluation and/or remediation were transferred from DOE to the Corps in FY1998. Two of these sites have been remediated and transferred back to DOE for long-term stewardship. Response activities on three more sites are essentially completed and are in the process of being transferred to DOE for long-term stewardship. Since FY 1998 DOE has identified an additional 12 sites as eligible for FUSRAP. The Corps uses a Potential Sites budget line item to fund the Preliminary Analysis/Site Inspection (PA/SI) for new eligible sites referred by DOE. The Corps has completed the PA/SI on eight of these sites, eliminating three of them from further consideration and adding four of these sites into the program for the reason of budgeting additional activities after concluding that a release or threat of release of a hazardous substance exists that warrants response action under CERCLA. Congressional direction resulted in adding one of the sites. The Corps is completing the PA/SI on three of the remaining sites and just starting the PA for the latest referred site. Funds were budgeted for a total of twenty-two sites in FY07.

II-4.2. **Purpose.** To cleanup contaminated sites throughout the United States where work was performed as part of the Nation's early atomic energy program.

II-4.3. **Goals and Objectives.** The major objectives of the FUSRAP program are to evaluate and remediate, as necessary, sites identified by the Department of Energy (DOE) as eligible for consideration under FUSRAP. Each FUSRAP divisions' multi-year program should be developed and conducted in such a manner that projects are completed as soon as possible and at the lowest cost consistent with cleanup criteria that are fully protective of human health and the environment, responsive to regulatory and community interests, and in accordance with the current and reasonably foreseeable future land use.

Table II-4-1
FUSRAP Environmental Performance Measures:

Strategic Goal #2 - Repair past degradation and prevent future environmental losses. From the March 2004 Civil Works Strategic Plan
Strategic Objective 2.3 --- Assist in cleanup of contaminated, hazardous, toxic, and radioactive waste sites as authorized or requested by others.
Performance Measures:
#1 - Number of individual properties returned to beneficial use on a cumulative basis.
#2 – Cumulative percentage of FUSRAP funding that is expended on cleanup activities rather than studies.
#3 – Cubic yardage of contaminated material.
#4 – Number of Records of Decision (RODs) signed on a cumulative basis by the U.S. Army Corps of Engineers.
#5 – Number of Remedial Investigations Completed.
#6 – Number of Remedies in Place or Response Complete.
#7 – Total Cost of disposing of contaminated material as measured in cubic yards.
#8 – Number of Action Memorandums signed.

II-4.4**. Ranking Process.**

a. Project activities lending themselves directly to accomplishment of the FUSRAP objectives and sub-objectives will be prioritized using the following factors to assist in assuring that program goals are being met. The FUSRAP Civil Works Program Manager will hold a program meeting in the third quarter of the fiscal year to analyze the current year budget, and to project the 10-year requirement at a program level. The team will draft an initial budget increment and additional increments as discussed below. The ranking factors are as follows:

- complete Preliminary Assessment to identify presence of demonstrable or potential threat
- eliminate demonstrable threat to public health, safety, or the environment;
- eliminate potential threat to public health, safety or the environment;
- Federal Facility Agreements (FFA) or other legal/contractual/regulatory requirements;
- completion of final response action;
- efficient design/construction schedule;
- completion of current study or removal phase (RI/FS, EE/CA, etc);

- local support; and
- potentially responsible party issues.

b. The initial program is defined using the following criteria:

(1) Activities necessary to maintain site security and meet legal mandates.

(2) Preliminary Assessments/preliminary legal analysis of potential new sites at minimum sufficient level to determine if immediate human health or environmental safety threats exist. This criterion will be used to identify projects in the potential sites line item within the FUSRAP budget and from any available unobligated carryover funds.

(3) Continue previously awarded contracts for removal or remediation projects under construction. No new construction contracts.

(4) Continue previously awarded contracts for Remedial Investigation/ Records of Decision activities. Only award new RI/ROD contracts where human health and/or environmental safety threats need to be characterized.

(5) Site closeout activities sufficient to meet legal and health and safety requirements and transition sites to DOE in efficient fashion.

(6) Removal Actions necessary to meet CERCLA criteria for time critical or non-time-critical removals.

(7) Activities necessary to facilitate participation by potentially responsible parties, either as performers of work or contributors of funds toward remediation and closeout.

II-4.5. **Performance Based Budget Increments.** Add additional budget items for logical, needed increments that contribute to the program goals in the table above.

II-4.6. **Program Phases.** Pre-Construction/Implementation.

a. **Preliminary Assessment (PA).** A PA is a limited-scope investigation to collect readily available information about a site and its surrounding area. The PA is designed to distinguish, based on limited data, between sites that pose little or no threat to human health and the environment and sites that may pose a threat and require further investigation. The PA also identifies sites requiring assessment for possible emergency response actions.

b. **Site Inspection (SI).** SI is an on-site inspection to determine whether there is a release or potential release and the nature of the associated threats. The purpose is to augment the data collected in the preliminary assessment and to generate, if necessary, sampling and other field data to determine if further action or investigation is appropriate.

c. **Remedial Investigation (RI).** RI is the process undertaken to determine the nature and extent of the problem presented by a release, which emphasizes data collection and site characterization. The remedial investigation is generally performed concurrently and in an interdependent fashion with the feasibility study.

d. **Feasibility Study (FS).** FS is a study undertaken to develop and evaluate alternatives for remedial action.

e. **Engineering Evaluation/Cost Analysis (EE/CA).** This document is prepared in the case of a non-time critical removal action. The EE/CA is an analysis of removal alternatives and must satisfy environmental review and administrative record requirements, and provide a framework for evaluating and selecting alternative solutions.

f. **Record of Decision (ROD).** The ROD is a document prepared in accordance with the requirements of 40 CFR 1505.2 that provides a concise public record of the agency's decision on a proposed action. It identifies alternatives considered in reaching the decision, the environmentally preferable alternative(s), factors balanced by the agency in making the decision, and mitigation measures and monitoring to minimize harm.

g. **Remedial Design (RD).** RD is an engineering phase that follows the Record of Decision when technical drawings and specifications are developed for subsequent remedial action.

h. **Remedial Action (RA).** RA is the actual construction and implementation of a remedial design that results in long-term site cleanup.

i. **Removal Action (EE/CA)**. An Engineering Evaluation/Cost Analysis (EE/CA) documents a removal action that is used where a site presents a relatively time-sensitive, non-complex problem that can and should be addressed relatively inexpensively. But even expensive and complex response actions may be removal action candidates if they are relatively time-sensitive.

APPENDIX III
FLOOD AND COASTAL STORM DAMAGE REDUCTION
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Appendix III
FLOOD & COASTAL STORM DAMAGE REDUCTION

III-1. Background. The Corps has had the mission of reducing flood damages from the mid- 1800's. Today we plan, design, implement and operate projects that reduce damages from both riverine and coastal flooding. Many of the projects provide other outputs such as hydropower, water supply, ecosystem restoration and recreation. Corps flood and coastal storm damage reduction (F&CSDR) efforts range from technical assistance to small, local protection projects (levees or non-structural flood damage reduction measures) to major dams. Today, most Corps constructed flood protection projects are owned and operated by sponsoring cities, towns, and agricultural districts. However, the Corps continues to maintain and operate 383 dams and reservoirs for flood damage reduction as well as some levee systems and is authorized to continue shore renourishment at over 90 hurricane and storm damage reduction (coastal) projects.

III-2. Purpose. The Corps F&CSDR goal is to reduce the Nation's flood risk by investing in flood and coastal storm damage reduction solutions in environmentally sustainable ways when the benefits exceed the costs. Our program enhances the quality of American life by reducing flood risk to both life and property, providing additional benefits to individuals, communities, and the national economy.

III-3. Civil Works Program Objectives. Table III-1 immediately below displays the Flood and Coastal Storm Damage Reduction Program Objectives and Performance Measures published in the March 2004 Civil Works (CW) Strategic Plan. The CW Strategic Plan was developed with an explicit assumption of an unconstrained resource environment to encourage an unconstrained assessment of the nation's water resources needs and potential Corps response. Preparation of the FY 2008 Budget Request requires the recognition of a constrained budget environment and the ongoing effort to evolve better budget linked performance measures. Table III-2 displays the program objectives, performance measures and/or performance ranking and rating criteria which support and/or supplement Table III-1 program objectives and performance measures to reflect the near term realities of a constrained FY 2008 budget environment.

TABLE III-1
Strategic Plan Objectives and Performance Measures

Program Objectives	Performance Measures
1. Invest in flood and coastal storm damage reduction solutions when the benefits exceed the costs	- Remaining BCR (project specific measure)
2. As approved and funded, provide range of assistance to support sustainable regional, basin-wide, or watershed planning and activities in partnership with others	- The incorporation of watershed principles into the plan formulation process via guidance and training
3. Deliver project benefits as quickly as possible within available resources 4. De-authorize projects that no longer: (a) show a positive benefit-to-cost ratio or (b) have the active support of a local cost-share sponsor.	- Percent change in constant dollar balance to complete programmed work on all ongoing, budgetable construction project - Deauthorization is a separate program
5. Operate and maintain Corps infrastructure to ensure that designed levels of flood protection are realized	- Percent of time flood and coastal storm damage reduction infrastructure sustains functional purpose - Percent of projects maintained at design level

III-4. F&CSDR Performance Measures.

a. The Corps F&CSDR program is well established and valued, however our ability to continue to reduce flood risks to meet the needs of current and future generations is dependent upon adequate investments. Such investments provide for the necessary investigations of problems and development of projects, timely implementation of authorized projects, proper inspections of Corps and local projects, preventative maintenance or facility modernization or improvement, improvements to ensure the reliability and safety of projects, adequate data collection or improvements to increase operational efficiencies. The purpose of this budget guidance is to ensure the development of convincing rationale and justification of the budget request to accomplish the goal of reducing flood risk.

b. Accordingly, a nationwide perspective must be maintained to assure that available funding provides the greatest public benefit for the investment. The safety and security of our existing infrastructure must be maintained, new investigations to address serious flood risks must be conducted and our uncompleted projects must be brought on line quickly so that benefits may be achieved as soon as possible. To achieve the F&CSDR program goal, the following budget objectives and ranking criteria are established for the FY 2008 program. Each of the objectives and criteria are designed to demonstrate that each budget item makes sense and contributes to the CW objectives and the F&CSDR program goal.

TABLE III-2
Flood & Coastal Storm Damage Reduction
Budget Ranking Criteria

CW Program Objective	Budget Objective	Ranking Criteria
1,2 and 3	Keep ongoing studies or PEDs going if likely to produce recommendation for project (I) or start new phase of studies or PED (I) to address critical needs	• Date of agreement – executed or expected • Number of people at risk in 100 yr floodplain (population in 100 yr floodplain) • Combined flood risk factors • Estimated average annual damages (without project) • Watershed study – Y/N • Benefit to Cost Ratio – only for PED
2 and 3	Complete ongoing construction to start getting benefits and reduce future flooding with new construction (each contract should be a budget line item) (C)	• Remaining Benefits Remaining Costs Ratio for project • Net Benefits • Other purpose outputs by BP (ENRWH) • Combined risk factors

TABLE III-2 Flood & Coastal Storm Damage Reduction Budget Ranking Criteria		
CW Program Objective	**Budget Objective**	**Ranking Criteria**
5	Initiate and complete dam safety projects (C) Conduct dam safety, seepage or static instability studies (C)	• Relative Risk of failure – risk compared to other Corps dams (Portfolio Risk Assessment) • Number of people at risk in 100 yr floodplain (population in 100 yr floodplain)
5	Operations - Assure that projects perform as designed (O&M)	• % of design level available (may be less than 100% due to reduced conveyance, pool restrictions or storage limits, seepage, or other reduced level of protection)% of design level available (reduced conveyance, pool restrictions, seepage (levees), reduced level of protection) • O Index as total damages prevented divided by cumulative O costs (HQ will calculate) • % of all required inspections, surveys that can be accomplished with a given budget increment
5	Maintenance - Assure that projects perform as designed (O&M)	• % of design level available (may be less than 100% due to reduced conveyance, pool restrictions or storage limits, seepage, or other reduced level of protection) • M Index as total damages prevented divided by cumulative M costs (HQ will calculate) • Special legal mandates– Y or N describe in remarks • Safety issues – Y or N describe in remarks

III-5. Budget Screening Criteria.

a. New Start Definition – A new start is defined as an active authorized study or project which has not received an initial work allowance and that fits into at least one of the following Business Lines: commercial navigation; inland navigation; flood and storm damage reduction; environmental restoration, water supply, hydropower, or recreation.

b. The New Start definition will apply to the Reconnaissance, Pre-construction Engineering and Design (PED), and Construction Projects, as well as any new efforts under the Remaining Items category. Any PED which has not been funded in the Conference Report for the past three years will also be considered a New Start. For Feasibilities and PEDs, see New Phase definition.

c. New Phase Definition - A study or project is considered to be in a NEW PHASE once it has completed the current phase that is funded and ready for budgeting in the follow-on phase (e.g., from Reconnaissance to Feasibility or Feasibility to PED). Seamless PEDs are a new phase.

III-6. Rating and Budget Increments for FY 2008 Budget Development.

a. In order to achieve the objectives shown in Table III-2, we are establishing budget increments to assure uniformity across the country in building annual budgets from the same point. Budget increments reflect the eligibility criteria described in the following paragraphs. Increment 1 (Initial) will receive priority consideration for budget development. These budget increments in conjunction with the objectives and ranking criteria will assist in making informed and wise budgetary decisions to support our program goal. Budget requests in both, initial level and second level increments, must be prioritized by each MSC across all appropriations.

b. Systems Approach –

(1) Consistent with the Civil Works Strategic Plan a systems approach or watershed approach is needed to ensure that investments are integrated into a whole that preserves or enhances performance and sustainability at the system level. A systems approach requires consideration of the investment needs and priorities of all the business lines within the watershed. All FY 2008 budget item requests (studies, construction, and O&M) will include the USGS HUC sub-region (4 digits) codes. These codes may be found at <http://water.usgs.gov/nawqa/sparrow/wrr97/geograp/geograp.html>

(2) MSCs will identify all systems within their respective regions of the US and develop budget priorities that are consistent with investing in one or more of the following aspects of the system; in the highest risk portions of the system; that will result in the most improvement in performance; that contribute to increased navigation reliability and safety; that contribute to increased flood damages prevented; that contribute to addressing significant regional or national ecological problems. A system will generally be identified as a watershed, and may include multiple individual projects and components. Some large watersheds could be comprised of more than one system (e.g. the Mississippi River watershed has the Upper Mississippi River system, the MR&T system, and tributaries as separate systems). Analytical perspectives should be developed to help determine the mix in FY 2008 of investments in maintenance, operations improvements, reallocation, major rehabilitation, new construction, planning, and design that will maximize system efficiency, safety, reliability and sustainability over time.

(3) Studies (reconnaissance and feasibility) and PED that have multiple outputs (watershed or multi-purpose) will be budgeted in the primary business line. When the project moves into construction, the construction requests will be by appropriate business line.

(4) Combined Flood Risk Factors have been added to capture the non-monetary aspects of flood damage reduction projects. The depth, velocity and warning time factors should be assessed for the with-out project condition and should be representative of the average hydrologic conditions in the project area. They should represent conditions in the flooded area that are, in general, the most likely to cause severe injury or loss of life. Similarly, egress conditions should assess the capability of the population to avoid potential dangerous situations in light of the warning times available. Special considerations should be highlighted in the Risk Remarks field. A proxy for residual economic

damages will be calculated from the Average Annual Damages and Average Annual FDR Benefits fields.

c. INITIAL LEVEL. The initial level includes budget items that comply with the following rules for each appropriation.

(1) Investigations (for studies and engineering and design)

(a) Studies: The initial level for each study will be no more than the amount in the PY-1 budget for that study. See paragraph 2b below for contract limits. If a study budgeted in PY-1 will be completed in PY-1 or is no longer likely to produce a high performing project, the initial level for that study will be zero.

(b) PED, The initial level for each PED will be no more than the PED amount in the PY-1 budget for that PED. For PEDs that could be seamlessly (no new start decision needed) funded for the first time in PY, the initial level will be zero. See paragraph 2b below for contract limits. If a continuing PED is no longer likely to produce a high performing project, the initial level for that PED will be zero.

(c) Remaining Items (R&D, data collection, PAS, etc) – Initial Level will be established by HQ.

(2) Construction (Includes: specifically authorized projects, replacement projects, dam safety projects, deficiency corrections projects and dam safety, seepage, static instability studies (formerly in O&M) program).

(a) Dam safety, seepage and static instability studies will be submitted under construction. Each dam safety assurance study (or group of similar studies for the same project) (WCC = 60233) should be a line item in the PRISM submission and identified with PHASE CODE = SS. Most likely it would be in increment 1 but not necessarily. The Purpose field should include what is being studied, the expected report completion date, if not completing in the PY, the additional $ needed to complete, and estimated cost (magnitude) of the construction cost. Additional increments may be included but it must be clearly shown what the additional funding would accomplish. In general, the initial increment will be to continue existing contract/proceed at existing level of effort, and additional increments would be to accelerate the work due to criticality of the study. These individual studies will be evaluated at HQ with the dam (levee) safety staff and ranked based on the same criteria as dam safety projects. The highest ranking studies will be combined, by HQ, into “the wedge” in the final budget presentation. This information is needed for defending the amount of the dam safety “wedge” in C and the expected overall cost of the dam safety program.

(b) Enter each contract as an individual line item. The initial level for each project or separable element is limited to; 1. for continuing or base-plus-options contracts (the base amount only, no options) the amount needed for earnings (no more, no less) in PY for estimated contractor earnings on contracts funded in the PY-1 budget and continuing into PY, plus contract management, E&D during construction, and real estate activities associated with continuing construction of that project or separable element; or 2. the amount necessary to fully fund continuing contracts with a remaining balance of less than $10 million plus the associated contract management, E&D during construction, and real estate activities. Projects identified in the PY-1 budget for consideration for suspension and other projects not budgeted in PY-1 will have an initial level of zero.

(3) Operations and Maintenance.

(a) Operations increments will be submitted separately from maintenance increments. The initial level will seek to provide the greatest benefit for the investment consistent with performance measures and sufficient to meet bare bones requirements for operation and maintenance of the existing infrastructure. Use approved inspection reports (with dates) to strengthen justification in the "Remarks" field. For each MSC the combined amount for operations and maintenance will be limited to 75% of the FY 07 budget as shown in Annex C. This initial amount is for all MSC's O&M requirements as prioritized below. Simple pro-rata allocations by district and / or project will not result in the expected performance based budget and should not be used. Note that the initial increment must include the amount necessary to fully fund continuing contracts with a remaining balance of less than $10 million plus the associated contract management, E&D during construction, and real estate activities. The following items may be included in the initial level:

- Bare bones operations costs (usually dams) – may not be full 24-hour operation on site
- Bare bones maintenance (usually dams) – not **all** maintenance needs
- On-going major maintenance – does not include new major maintenance
- Critical maintenance – does not include routine maintenance
- On-going (studies (dam safety work is in C) and work) major rehabs of high risk projects – does not include new rehabs
- Inspections of completed works – For requests by state, need to state in the remarks how many of the total projects to inspect will be inspected with the funds requested. It is not expected that 100% will be in the initial increment.
- Scheduling of reservoir operations, including necessary instrumentation, etc.
- Cooperative gaging program costs
- Water management program costs
- Critical sedimentations surveys – limited to projects where sedimentation would have imminent adverse impact on flood control storage
- Update of water control manuals, limited to coordination and dam tender instruction costs
- Studies and surveys for updating flood damage functions for oldest 10% of projects
- Legally required water quality modeling
- O&M for environmental compliance for threatened/endangered or other federally recognized significant species.
- Update drought contingency management plans in areas of severe droughts.

(b) Joint Costs - See discussion in Annex C

(c) Projects Previously Budgeted in Ecosystem Restoration Construction Account. Eight projects in part or in whole previously budgeted in the Construction Account, Ecosystem Restoration Business Line were moved to the Operations and Maintenance Account in FY 2007. Beginning in FY 2008, these projects will **ultimately** be budgeted in the O&M account of the business line of the original project (navigation, flood and coastal storm damage reduction, hydropower) following the instructions in Appendices III, IV, and V. However, **initially**, these projects and features will be entered in the environment business line, following the rules for ecosystem restoration construction. Use the O&M appropriation code and CCS, the ENR Business line code and a funding level/increment code of 7 (for information only). The projects included in this category are:

NAD Assateague
NAD Poplar Island
NAD Lower Cape May
NWD Columbia River Fish Mitigation

NWD Chief Joseph Gas Abatement
NWD Howard Hanson Dam Ecosystem Restoration
NWD Missouri River Fish and Wildlife Recovery
NWD Willamette River Temperature Control

For projects responding to mandatory BiOp requirements:
Increment 7 - Amount required to maintain minimum progress on BiOp and avoid jeopardy and limited to 75% of FY07 PBUD
Increment 7.1 - Remaining amount above the 75% limit required to maintain planned progress on BiOp and avoid jeopardy
Increment 7.2 - Capability increment for priority items required by the BiOp

For projects not in response to mandatory BiOp requirements, follow rules for Construction.

After OMB Passback these budget items will be removed and replaced with one increment at the operating projects allocated to the appropriate business line (consistent with cost allocation tables). Both the initial budget request and the final allocated amounts will be input into PRISM. After Passback the data will be input to P-2.

d. SECOND LEVEL

(1) Investigations and Construction

(a) All additional budget requests for each contract (or meaningful portion of studies in the case of Investigations) will be included in a MSC prioritized list. The additional amounts and priorities must be justified based on the performance measures and ranking criteria displayed in Table III-2. Rationale for any exceptions to this rule must be documented in the remarks column. For Construction, each line item will represent a contract with associated management costs and each contract (with associated management costs) will be a line item. The type of contract is also to be identified (continuing contract, fully funded contract, or base contract with options). It is not expected that contracts for studies or design will be large enough to be separately identified and contract type is not necessary.

(b) Watershed studies/ projects will be given priority in accordance with the following criteria:

- Requires consideration of water resources development and management in the context of multiple purposes rather than single purposes, and, thus, facilitates the search for comprehensive and integrated solutions.
- Improves opportunities for public and private groups to identify and achieve common goals by unifying on-going efforts and leveraging resources.
- Identifies a combination of recommended actions (a Watershed Management Plan) to be undertaken by various partners and stakeholders in order to achieve local, tribal, regional, and national water resources management goals identified in the study and may or may not identify further budgetable Corps studies or implementation projects.
- Leverages resources, including cost shared collaboration, and integrates programs and activities within and among Civil Works programs, and with other Federal, tribal state and non-governmental organizations, to improve consistency and cost effectiveness;

(c) For shore protection projects that require beach renourishment in the PY, the necessary Federal funds should be identified, along with all associated performance data, and assigned an increment code of “9”.

(2) Operations and Maintenance

(a) Additional increments (up to 4 more beyond initial) for both operations and maintenance may be included but it must be clearly shown what the additional funding would accomplish. In general, initial increment requests will be to continue existing contract/proceed at existing level of effort, and additional increments would be to accelerate the work due to criticality of the effort. **For example**, a budget request of $x for maintenance (or operations) in increment 1 allows operation at 80% of design and another request of $y for maintenance (or operations) in increment 2 brings operation up to 95% of design. By considering the additional 15% of design performance with the average annual damages and number of people in the floodplain, a relative ranking of this project can assigned (both at the MSC and finally at the HQ levels).

(b) Joint Costs -. See discussion in Annex C

(c) For projects, or segments of projects, that have dam safety issues, special effort should be made to ensure that all funding requests are prioritized based on risk and reliability. Major studies, repairs, monitoring, instrumentation, modifications and rehabilitation should be prioritized as part of the MSC Portfolio Risk Assessment screening (PRA). The results of the PRA screening should include rankings based on probability of failure, human risk and economic risk; an estimate of annual funding requirements for the Seepage and Stability Wedge funds for FY08-FY13; and, lists of risk reduction for major types of problems. The funding for these activities has been moved from O&M to construction. Normal O&M activities that impact on the safety of the structure but are not specific dam safety activities (WCC=60233) should continue to requested in O&M.

III-7. Data Required. The data required for ranking PY budget requests as the national budget is built is shown in Table III-3 *(spreadsheet)*

a. DEFINITIONS. The definitions for individual data elements are on the "Definitions" tab of the spreadsheet.

18 May FDR budget worksheet

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HYDROPOWER
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Appendix IV
HYDROPOWER

IV-1. Background. The earliest hydropower plants at Corps projects were constructed at navigation dams, as joint efforts with electric utility companies. The utilities built the power plants, and the Corps usually built the navigation locks. Later, Congress authorized the Corps to construct its own power plants at dams being built for flood control, navigation and other purposes. Most of these projects were placed into service during the decades following World War II. The Corps is the largest owner/operator of hydroelectric power plants in the United States and the single largest producer of hydroelectric power in the United States. Many of the projects provide other outputs such as navigation, flood damage reduction, water supply, ecosystem restoration and recreation. The Corps has 75 plants with 350 generating units representing a total installed capacity of 20,750 megawatts and produces about 70 billion kilowatt-hours a year.

IV-2. Purpose. The Corps' hydropower goal is to provide reliable hydroelectric power services at the lowest possible cost, consistent with sound business principles, in partnership with other Federal hydropower generators, the Power Marketing Administrations, and Preference Customers, to benefit the Nation.

IV-3. Civil Works Program Objectives. These are presented in the March 2004 Civil Works Strategic Plan.

TABLE IV-1
Strategic Plan Objectives and Performance Measures

1. Invest in hydropower rehabilitation projects when the benefits exceed the costs.	- Remaining Benefits to Remaining Cost Ratio (project specific measure)
2. Future: Invest in environmentally sustainable hydropower infrastructure improvements where economically justified.	- To be developed in the future.
3. Provide reliable hydroelectric power. 4. Provide peaking hydroelectric power. 5. Maintain capability to provide hydroelectric power efficiently.	- Unit forced outage rate. - Physical condition/failure risk index.
6. Ensure that projects perform to meet authorized purposes and evolving conditions. Note: A program goal was not specifically identified for Hydropower; however, Joint Activities at multi-purpose hydropower projects should strive to achieve these objectives.	- De-rated generating units. - No measures identified for Joint Activities, but funding requests must be for critical requirements to avoid forced facility closures, public or worker life safety concerns, and/or legal mandates or treaty and Endangered Species Act compliance requirements for the budget year.

IV-4. Hydropower Performance Measures.

a. Competition for Federal funds is very intense and getting tighter each year. In recent years, hard choices had to be made in distributing scarce Federal dollars. In a constrained funding environment, the many worthwhile maintenance needs has to be prioritized across the entire spectrum of projects. Therefore, available resources had to be concentrated on the highest priority projects in terms of maximizing benefits.

b. In the hydropower program, funds will be directed primarily toward those facilities that will result in increased reliability for power generation, improve the efficiency of aged infrastructure, and rehabilitate facilities in a deteriorated state. The Corps' Hydropower program is well established and valued. However, the ability to continue to provide clean environmentally sustainable energy at the lowest sustainable cost to meet the needs of current and future generations is dependent upon adequate investments. Such investments provide for the necessary investigations of problems and development of projects, timely rehabilitation of authorized projects, facility modernization or improvement, reliable operation and availability of generating units, preventive maintenance, condition assessments and adequate data collection and improvements to increase operational efficiencies. The purpose of this budget guidance is to ensure the development of a convincing rationale and justification of the budget request.

c. Accordingly, a nationwide perspective must be maintained to ensure that available funding provides the greatest public benefit for the investment. The safety**,** security and environmental sustainability of existing infrastructure must be maintained, new evaluations to address high yield rehabilitation of hydropower infrastructure must be conducted, critical maintenance items backlog must be reduced and uncompleted projects must be brought on line quickly so that benefits may be achieved as soon as possible. To achieve the hydropower goals stated above, the following objectives and performance measures are established for the FY 2008 program. Each of the objectives and measures are designed to demonstrate that each budget item makes sense and directly contributes to meeting the objectives and stated goals.

d. In order to achieve these objectives and assure uniformity across the country in building annual budgets, minimum funding levels have been defined. Also established is a system of performance measures that are more detailed than those in the Civil Works Strategic Plan. This will permit objective evaluation of incremental investment choices to assure that budget requests above the minimum provide the greatest benefit for the investment. These minimum funding levels and the system of performance measures will go a long way to making informed and wise budgetary decisions to support stated mission goals.

IV-5. Budget Screening Criteria. Definition of desired performance targets are developed with an understanding of past funding constraints and projected funding constraints.

a. New Start Definition - New start is defined as an active authorized study or project which has not received an initial work allowance and that fits into at least one of the following business lines: navigation; flood and storm damage reduction; environmental restoration, water supply, hydropower, or recreation.

b. Any Pre-Engineering and Design (PED) projects that has not been funded in the conference report for the past three years will also be considered a New Start. The New Start definition will apply to Recons, PEDs, and Construction Projects, as well as any new efforts under the Remaining Items category. For Feasibilities, see New Phase definition.

c. New Phase Definition - A study or project is considered to be in a NEW PHASE once it has completed the current phase that is funded and ready for budgeting in the follow-on phase, e.g. from Reconnaissance to Feasibility or Feasibility to PED, e.g. Seamless PEDs are a new phase.

TABLE IV-2
Hydropower
Budget Ranking Criteria

CW Program Objective	Budget Objective	Ranking Criteria
1,2, 3, 4, 5 and 6	Adequately fund R&D products to gain future efficiencies (I)	Not applicable to Hydropower Business Line. R&D is funded under remaining items for the overall Civil Works Program.
1,2, 3, 4, 5 and 6	Complete ongoing major rehab projects to start getting benefits (C)	Remaing Benefits/Remaingin Cost Annual net benefits Completion in budget year.
3, 4, 5 and 6	Assure that projects perform reliably as designed (O&M)	Number of De-Rated Units (Plant Level). MW-Yrs (Specific Investment) Portion of nameplate capacity restored from investment made multiplied by remaining life of unit in years. This does not include units de-rated for lack of water, regulatory requirements, policy decisions unrelated to physical deficiences or other unmanageable conditions.
3, 4, 5 and 6	Make sure projects are available for peaking power requirements (O&M)	MW-Yrs: Benefit for restoration of generating unit in Forced Outage status (MW nameplate capacity multiplied by remaining life of unit in years).
1, 3, 4 and 5	Ensure capability to provide power efficiently (O&M)	Improvement of risk based plant condition measure for key power components based on the HydroAMP tool condition/failure risk assessment method developed by the Hydroelectric Design Center Beta tested in FY05. MW-Yrs (Specific Investment) Where HydroAMP data is lacking benefits for improvement in Average Unit Age may be used as a continuing interim measure of plant condition. Nameplate capacity multiplied by life extension in years achieved by investment made.

5	Ensure that projects perform to meet authorized purposes and evolving conditions.	No forced facility closures in the budget year. No project public access life safety deficiencies in the budget year. No project workplace life safety violations. No court ordered, legal mandate or treaty violations (includes ESA) in the budget year.

IV-6. Rating and Ranking Criteria For FY 08 Budget Development.

a. INITIAL PROGRAM INVESTIGATION AND CONSTRUCTION. The initial program is defined by the criteria below for Investigation (I) and Construction (C) appropriations.

(1) I: Not applicable to the Hydropower Business Line.

(2) C: Enter each contract as an individual line item. The initial level for each project or separable element is limited to; 1: For continuing or base-plus-options contracts (the base amount only, no options) the amount needed for earnings (no more, no less) in PY for estimated contractor earnings on contracts funded in the PY-1 budget and continuing into PY, plus contract management, E&D during construction, and real estate activities associated with continuing construction of that project or separable element: or 2 The amount necessary to fully fund continuing contracts with a remaining balance of less than $10 million plus the associated contract management, E&D during construction, and real estate activities. Projects identified in the PY-1 budget for consideration for suspension and other projects not budgeted in PY-1 will have an initial level of zero

b. MINIMUM OPERATIONS AND MAINTENANCE. The minimum program for hydropower Operations and Maintenance will consist of the following Increments 1 through 5. Work Category Codes must be entered for each work O&M item in all increments to distinguish Power Operations and Maintenance items from Joint Activity Operation and Maintenance items. The Initial Increment 1 will seek to provide the greatest benefit for the investment consistent with performance measures and sufficient to meet minimum legal responsibilities for environmental compliance**,** operation and safety. Subsequent increments will provide additional benefits as measured by the performance measures. Simple pro-rata allocations by district and/or project will not result in the expected performance based budget and should not be done. All increments must document performance according to the appropriate Business Lines criteria. Operations items should be submitted separately from maintenance items, i.e., do not aggregate or sum operations and maintenance items together as one item.

(a) **Increment 1** – **Initial Increment**. Items included in the initial increment should only be critical “must have” items that can be completed in the PY. The combined amount for each MSC for the initial increment is limited to 75 percent of the FY07 Presidential Budget amount for O&M. Work items that can be included in this increment are Critical Power Specific Operations and Maintenance Activities (Work Category Codes 603XX & 613XX), Critical Joint Operation & Maintenance Activities (Work Category Codes 606XX & 616XX). Also, other items can be included to avoid maintenance staff reductions to a level that will preclude performance of basic routine preventive maintenance activities, forced facility closure, public or worker life safety concerns, or violation of court orders, legal or treaty obligations in the budget year.

(b) **Increment 2 – Additional Operation and Maintenance Items.** Primarily, Increment 2 should include O&M items that the MSC considers necessary but are not critical to minimum operation and maintenance of the facility. If there is remaining critical activities above the 75% included in Increment

1, these activities should be included in Increment 2. Regional justification statement will be used for ranking purposes. For line item comparison purposes, the following specific repair and replacement work packages will transfer directly into PRISM without aggregation with other work packages (regardless of which funding increment they are entered in) and must meet one or more of the following criteria:

(1) Funding to restore a regionally critical generating unit that is in Forced Outage status. Benefits for ranking purposes expressed in MW-Yrs (MW of nameplate capacity of generating unit multiplied by remaining life of generating unit in years).

(2) Funding to restore the de-rated capacity of a generating unit. Benefits for ranking purposes expressed in MW-Yrs (MW of de-rated capacity restored multiplied by remaining life of generating unit in years).

(3) Funding to improve the condition or reduce failure risk of a critical power component under the HydroAMP condition assessment methodology. In lieu of MW-Yrs, a numeric code must be entered to reflect the component type as follows:

1 = Generator
2 = Turbine
3 = Governor
4 = Exciter
5 = Transformer
6 = Circuit Breaker
7 = Surge Arrestor
8 = Batteries

(4) Funding to extend the life of the generating unit. Benefits for ranking purposes expressed in MW-Yrs (MW of nameplate capacity of generating unit multiplied by number of years the generating life has been extended in years).

(c) **Increments 3 through 5** – Operation and Maintenance requirements that do not specifically meet the requirements above, that are deemed to be prudent and necessary, and can be completed in the budget year should be ranked in these increments.

IV-7. Performance Based Budget Increment(s). Add additional budget items for logical, needed increments that contribute to the program goals for the PY. These additional work packages should be identified with adequate data to present a clear understanding of the benefits and improved performance that can be achieved and represented by the performance measures listed in Table IV-2. Performance measures will also be used to support increased funding for major rehab of high yield hydropower facilities and all capabilities in the PY for each study and project. The studies and projects included within the capabilities need not be scheduled for completion within the PY.

IV-8. Joint Costs Activities.

a. See Annex C – 2.3(b) for guidance on Joint Cost Activities.

TABLE IV-3

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Appendix V
NAVIGATION

V-1. Background. The Corps has had the mission of navigation since 1824. Today we plan, design, operate and maintain projects that support 2.47 billion tons of commerce. Many of the projects provide other outputs such as flood damage reduction, hydropower, water supply, ecosystem restoration and recreation. The Corps operates and maintains 926 projects ranging from shallow-draft harbors, inland navigation systems with 240 locks at 195 sites, to major deep-draft ports.

V-2. Purpose. The Corps Navigation goal is to provide safe, reliable, efficient, effective and environmentally sustainable waterborne transportation systems for movement of commerce, national security needs, and recreation.

V-3. Civil Works Program Objectives. Table V-1 displays the Navigation Program objectives and Performance Measures published in the March 2004 Civil Works Strategic Plan. The CW Strategic Plan was developed with an explicit assumption of an unconstrained resource environment to encourage an unconstrained assessment of the nation's water resources needs and potential Corps response. Preparation of the Program Year (PY) for FY 2008 Budget Request requires the recognition of a constrained budget environment and the ongoing effort to evolve better budget linked performance measures. Table V-2 displays the program objectives, performance measures and/or performance ranking and rating criteria which support and/or supplement Table V-1 program objectives and performance measures to reflect the near term realities of a constrained PY budget environment.

TABLE V-1

Navigation Objectives and Performance Measures

Program Objectives	Performance Measures
Obj.1: Invest in navigation infrastructure when the benefits exceed the costs.	- Remaining BCR (project specific measure) - Annual net benefits
Obj. 2: Support sustainable regional, basin-wide, or watershed planning and activities in partnership with others.	- Percent of projects recommended in Chief's reports that apply watershed principles
Obj. 3: Fund high-priority O&M.	- Percent change in dollar amount of essential backlog at key facilities.
Obj. 4: Operate and manage the navigation infrastructure so as to maintain justified levels of service in terms of the availability to commercial traffic of high-use navigation infrastructure (waterways, harbors, channels).	- Percent of time navigation infrastructure with high levels of commercial traffic sustains its functional purpose.

V-4. Performance Measures.

a. Competition for Federal funds is very keen and getting tighter each year. In recent years, we have had to make some very hard choices in distributing scarce Federal dollars. In a

constrained funding environment, we must prioritize the many worthwhile investment opportunities and ongoing maintenance needs across the entire spectrum of projects. This means that we have to concentrate available resources on the highest priority projects in terms of reducing risk and providing optimal reliability to maximize benefits. In the Navigation program, we are directing funds primarily to those harbors and waterway systems and segments that provide the highest return from commercial navigation. The Corps Navigation program is well established and valued, however our ability to continue to provide navigation to our ports, waterways and harbors to meet the needs of current and future generations is dependent upon adequate investments. Such investments provide for the necessary investigations of problems, and development of solutions, timely implementation of authorized projects, reliable operation and availability of our infrastructure, preventative maintenance, facility modernization or improvement, and adequate data management information systems, which are all directed at increasing operational capabilities and efficiencies. The purpose of this budget guidance is to ensure the development of convincing rationale and justification of the budget request.

b. Accordingly, a nationwide perspective must be maintained to assure that available funding provides the greatest public benefit for the investment. The safety, security, and reliability of our existing infrastructure must be maintained; new investigations to assure high yield navigation investments are advanced; and projects that are under construction must be brought on line quickly so that benefits may be achieved as soon as possible. Inland navigation has been and continues to be a significant contributor to the national and international movement of bulk commodities, and it is evident that these waterways will also be called upon to handle containerized movements currently taxing the capacity of coastal ports and adding to congestion on the nation's highways and rail lines. As stewards of the nation's inland navigation assets, the U.S. Army Corps of Engineers, in partnership with stakeholders, strives to maintain an inland waterway system capable of handling transportation demands in an efficient and reliable manner. A cursory review of the Corps inland navigation assets reveals that on a nationwide basis over half of all projects have or will soon exceed their original 50-year design life. In response, the Corps must pursue an on-going program to rehabilitate, modify, or replace structures and components exhibiting a deteriorating ability to meet system demands.

c. To achieve the Navigation objectives in Table V-1, the following budget strategies and performance measures are established for the PY budget development. Each of the budget strategies and measures are designed to demonstrate that each budget item makes sense and contributes to the Navigation goals and supporting objectives.

V-5. Budget Screening Criteria.

a. New Start Definition – A New Start is defined as an active authorized study or project which has not received an initial work allowance and that fits into at least one of the following Business Lines: navigation; flood and storm damage reduction; environmental restoration, water supply, hydropower, or recreation.

b. The New Start definition will apply to Reconnaissance, Pre-construction Engineering and Design (PED), and Construction Projects, as well as any new efforts under the Remaining Items category. Any PED which has not been funded in the Conference Report for the past three years will also be considered a New Start. For Feasibilities, see New Phase definition.

TABLE V-2	
BUDGET STRATEGY	**Ranking Criteria**
Keep ongoing studies or PEDs going if likely to produce recommendation for project (I) or start new phase of studies or PED (I)	Date of Agreement – executed or expected Commercial tonnage increase % reduction in delay costs Years to complete Watershed study –y/n Benefit to Cost Ratio – PED only
Complete ongoing construction to start getting benefits of high performing navigation projects (each contract should be separate line item) (C)	RB/RC Other purpose outputs by BP
Initiate and complete major rehabilitations (C and O&M)	Inland Waterways Users Board priority Relative risk of failure RB/RC
Initiate and complete dam safety/dam seepage projects (C)	Relative risk of failure – risk compared to other Corps dams (portfolio risk assessment if available in PY) Critical loss of pool and /or navigation
Operations - Assure that projects perform as designed (O&M)	% of time project is available to operate as designed Cumulative benefits Cumulative O&M costs for above benefits (over set time period)
Maintenance - Make sure projects are safe to operate (managing risk) (O&M)	% of unscheduled closures % of time project supplies appropriate level of service % of time project is unsafe for lack of maintenance high risk system component
Fund adequate data collection (Remaining Items (I, C, O&M)	Consequence of inadequate data

c. New Phase Definition - A study or project is considered to be in a NEW PHASE once it has completed the current phase that is funded and ready for budgeting in the follow-on phase, (e.g. from Reconnaissance to Feasibility or Feasibility to PED). Seamless PEDs are a New Phase.

V-6. Rating And Ranking Criteria for PY Budget Development.

a. Stakeholders' Perspectives for Funding Needs and Development of Five-Year Management Plans. From the National Navigation Performance Metrics workshops and regional stakeholders' conferences, contributions from the Stakeholders and Corps leadership were derived to help frame the Navigation program performance-based budgeting concept. The key Stakeholders' themes were reliability improvements, risk reduction, linking investments to underpinning the national economy, durability of Navigation systems, Navigation systems responsiveness to International trade growth, and justified efficiency improvements in Navigation. To follow the "Citizen-centered" principle expressed in the President's Management Agenda, Stakeholders' perspectives must be considered, and the legitimate input should be incorporated into the Navigation budgetary process. Accordingly, each MSC, district, project manager or

project management team will work with appropriate local/regional partners and stakeholders to develop a Five-Year Management Plan for their respective projects. The plans will incorporate performance based budgeting concepts and develop the future direction based on the current restricted funding environment. The plans should be comprehensive and address anticipated study, construction, operations and maintenance requirements.

b. In order to achieve the objectives shown in Table V-2, we are establishing budget increments to assure uniformity across the country in building annual budgets from the same point. Budget increments reflect the eligibility criteria described in the following paragraphs. Increment 1 or Initial Increment will receive priority consideration for budget development. These budget increments in conjunction with the objectives and ranking criteria will go a long way to making informed and wise budgetary decisions to support our program goal.

c. Navigation Systems. The navigation system relationship of each Navigation project/segment will be considered when developing the Navigation program. A systems approach or river basin approach is needed to ensure that investments are integrated into a whole that preserves or enhances performance at the system level. This approach will help to implement the goals of the Strategic Plan. This approach applies most obviously to the inland waterways, but also has applications in other areas, such as in coastal navigation and regional sediment management. For instance, in the case of a major inland waterway, analytical perspectives should be developed to help determine the mix in the PY of investments in maintenance, operations improvements, major rehabilitation, new construction, planning, and design that will maximize system efficiency, safety, and reliability over time.

d. Initial Level. The initial level includes budget items that comply with the following rules for each appropriation.

(1) Investigations (for studies and engineering and design).

(a) Studies: The initial level for each study will be no more than the amount in the PY-1 budget for that study. If a study budgeted in PY-1 will be completed in PY-1 or is no longer likely to produce a high performing project, the initial level for that study will be zero.

(b) PED. The initial level for each PED will be no more than the PED amount in PY-1 budget for the PED. For PED's that could be seamlessly funded for the first time in the PY, the initial level will be zero. If a continuing PED is no longer likely to produce a high performing project, the initial level for that PED will be zero.

(c) Remaining Items (R&D, data collection, PAS, etc.) – initial level will be established by HQ.

(2) Construction (Includes: specifically authorized projects, certain major rehabilitation projects (those major rehabilitation projects characterized as repairs to restore capability will be included in O&M for the PY), dam safety projects, CAP projects, and dam safety/seepage program).

(a) For the initial level funding for Construction refer to Annex B.

(3) Operation and Maintenance (O&M).

(a) Navigation Segments. Inland waterway operation and maintenance costs should be broken out by major waterway segment. Harbor projects and major waterway segments will be grouped into a lower-cost sub-program and a higher-cost sub-program based on whether for

each project or segment the annual average costs per ton of commercial cargo are less than or more than $2.00. Minimum funding amounts will be identified only for the projects and segments in the lower-cost sub-program. The minimum funding amounts should be for the "must have" activities that are identified using performance metrics, including consideration of the impact of the activities on the reliability and safety of navigation. For both sub-programs, above-minimum funding should be identified for certain projects and segments based on the totality of their commercial transportation, subsistence, commercial fishing, public transportation, and harbor of refuge benefits. Above-minimum funding also should be identified in the higher-cost sub-program for caretaker activities at unfunded projects and segments.

(b) The initial level will seek to provide the greatest benefit for the investment consistent with performance measures and sufficient to meet minimum legal responsibilities for environmental compliance**,** operation and safety. Subsequent increments will provide additional benefits as measured by the performance measures. All increments must document performance according to the appropriate Business Lines criteria. The last increment for each project is the capability level. Operations increments will be submitted separately from maintenance increments. This means that for some projects there will be an operation line item and a maintenance line item in the initial level and subsequent levels.

(c) For each MSC the combined amount among all Business Lines for operation and maintenance for the initial increment will be limited to 75% of the PY-1 (FY 07) budget shown in Table C-2.6. This initial amount is for all the MSC's O&M requirements as prioritized below. Simple pro-rata allocations by district and/or project will not result in the expected performance based budget and should not be done.

(d) Additional O&M criteria. (Definition of terms will follow)

(1) Sufficient to meet minimum legal responsibilities for operation, safety and environmental compliance: examples follow

[a] Subsistence Harbors
[b] Caretaker activities
[c] Critical Harbors of Refuge
[d] Project Condition Surveys

(2) *Multipurpose projects when those projects are included in the minimum programs of other business lines and not a separable element*

(3) Work required by treaties
(4) Removal of Aquatic Growth

(Note Surveillance of Northern Boundary Waters moved to the Flood Damage Reduction Business Line.)

V-7. O&M Initial Increment Level. This is the first increment in the Ceiling Level.

a. **<u>What is included: What is not.</u>**

(1) Bare Bones Operations costs (locks): May not be full 24-hour operation.

(2) Bare Bones maintenance (locks): Would not be all maintenance needs.

(3) Critical minimal level of dredging at high use commercial deep draft, shallow-draft and inland projects or high use segments of projects: No advanced maintenance dredging.

(4) Dredging Subsistence Harbors: Does not include point of origin harbor.

(5) Dredging Critical Harbors of Refuge: Does not include all Harbors of Refuge.

(6) Caretaker funding for projects or segments not expected to be funded.

(7) On-going major maintenance of high use projects or segments: Does not include new major maintenance.

(8) Critical maintenance of dredged material placement sites for 3 above: Does not include routine maintenance of dredged material placement sites.

(9) Construction of Dredged Material Disposal Facilities (DMDFs) for 3 above. These activities were formerly included in a Construction Remaining Item.

(10) Water/Environmental Certification for critical maintenance dredging for 3 above: Does not include all certification needs.

(11) Bare Bones Project Condition Surveys (PCS) (include Low-Use): Does not include all anticipated PCS needs.

(12) Critical studies for high risk coastal structures: Does not include studies of all structures.

(13) Bare bones debris/drift removal/obstruction removal at high use ports: Does not include all anticipated removal needs.

(14) Critical studies to complete DMMPs for construction of dredged material placement sites: Does not include routine, non-time critical DMMPs.

(15) On-going (studies and work) major rehabilitations of high-use projects: Does not include new rehabilitation projects.

(16) Critical minimal level Removal of Aquatic Growth (RAG) for high use projects: Does not include all Removal of Aquatic Growth.

b. **O&M Increment 2.** This is the second increment within the Ceiling Level.

(1) Removal of Aquatic Growth for other high use projects.

(2) Other Project Condition Surveys (PCS) (include Low-Use) beyond Bare Bones.

(3) Gate replacement /rehab study on high risk, system impacts.

(4) Critical advanced maintenance dredging on high use projects.

(5) Critical on-going non-routine maintenance.

(6) Critical minimal level of dredging and operations of low-use subgroup that have commerce, commercial fishery, multi-agency requirements, and/or public transportation.

NOTE: Items for Surveillance of Northern Boundary Waters previously included in the Navigation Business Line has been moved to the Flood Damage Reduction Business Line.

c. All other increments will be performance based increments up to your Capability Level.

V-8. PERFORMANCE BASED BUDGET INCREMENT(S). Navigation will only use five increments this PY. Add additional budget items for logical, needed increments that contribute to the program goals. Ranking will be based on ranking criteria shown in the spreadsheet Table V-3 and listed below. The basis for adding increments in terms of budget request for a project will be based on the demonstrable beneficial impact on increasing average annual net benefits by accelerating project completion, or improved performance, additional outputs or increased reliability in the PY. There are three key performance measures that will be considered: (1) reduction in years to completion, (2) increase in annual net benefits, and (3) BCR (for PEDs) and RBRCR (for construction and rehabilitations).

V-9. SPECIAL CONSIDERATIONS OR SPECIAL RATING CRITERIA.

a. This attempts to account for considerations that don't fit under the above budget development considerations. This includes support to strategic national defense needs, critical public health and safety issues, or other substantive criteria that warrant consideration for budgeting.

b. Risk and Reliability Index. A Risk and Reliability assessment will be performed for all maintenance items, including all major maintenance, critical backlog, non-recurring and major rehabilitation items. Recognizing the ongoing dialogue between Corps MSCs and districts with stakeholders, meetings already conducted, and significant progress made in developing Risk and Reliability analyses and algorithms, HQUSACE will not dictate a single set process. A Risk and Reliability Index with definitions/descriptions of the criteria and ranking will be developed and utilized by each MSC using the progress already made in this arena. The index or assessment will include criteria to evaluate risk of failure (minimally high, medium or low) and the consequences or impacts of failure to commercial navigation. If the risk of failure is high but consequences are low or minimal, the item should not be scored as a 1. The indexes or assessments will be submitted to the Navigation Business Line Manager in HQUSACE for acceptability and consistency and will be used for maintenance items as stated above. A rank of 1 through 5 with 1 being the highest or the most critical requirement and 5 being the lowest or least critical requirement will be used. Any maintenance item that is not assigned with a rank of 1 from the Risk and Reliability assessment will not be Included in the Initial Increment. Any item without a Risk and Reliability rank will not be included in the BY funded level. The embedded file is an example of a Risk Assessment process for maintenance items.

FY07 Nav Annex V
Example of Risk Asse

c. Funding for minimum fleet dredges follows the dredge. If the requirements for the minimum fleet dredge do not materialize, the funds programmed for the dredge will be reprogrammed to other minimum fleet dredging requirements.

d. Major Rehabilitation Construction will be included as unique line items, not hidden under the parent project. For example, the major rehabilitation items for Markland Locks and Dam will not be included in the Ohio River project maintenance items. These items migrated to O&M from Construction in the FY 07 cycle and need to remain identifiable. Major Rehabilitations characterized as repairs to restore capability are to be included in O&M.

e. Major Rehabilitation studies will be included as unique line items, not hidden in a general Operation line item for the parent project, marked with the appropriate Phase code.

f. Dredged Material Disposal Facilities (DMDFs) will be included as unique line items, with the appropriate Phase code. These items migrated to O&M from Construction in the FY 07 cycle and need to remain identifiable.

g. There will be a navigation sub-program: operation and maintenance of low-use harbor channels and operation and maintenance of low-use waterway segments. Each element of the sub-program will have its own minimum funding level, performance indicators, and above-minimum funding increments. (See Table V-4) Low-use sub-program elements will be reflected as budget increments. Ensure that data in the worksheet are included for tonnage and system ton-miles and code the increment as either a low-use waterway segment or low-use harbor channel (see Paragraph V-10).

h. Projects Previously Budgeted in Ecosystem Restoration Construction Account. Eight projects in part or in whole previously budgeted in the Ecosystem Restoration Business Line for Construction were moved to O&M in FY 2007. Beginning in the PY, these projects will **ultimately** be budgeted in the O&M account of the business line of the original project (navigation, flood and coastal storm damage reduction, hydropower) following the instructions in Appendices III, IV, and V. However, **initially** these projects and features will be entered in the environment business line, following the rules for ecosystem restoration construction. Use the O&M appropriation code and CCS, the ENR Business line code and a funding level/increment code of 7 (for information only).

The projects included in this category are: Assateague, Poplar Island and Lower Cape May in NAD; and Columbia River Fish Mitigation, Chief Joseph, Howard Hanson, Willamette Temperature Control and Missouri River Fish and Wildlife Recovery in NWD.

For projects responding to mandatory BiOp requirements:

Increment 7 is the amount required to maintain minimum progress on BiOp and avoid jeopardy and limited to 75% of the FY 2007 President's Budget;

Increment 7.1 is the remaining amount above the 75% limit required to maintain planned progress on BiOp and avoid jeopardy;

Increment 7.2 is the capability increment for priority items required by the BiOp.

For projects not in response to mandatory BiOp requirements, follow rules for Construction.

V-10. DEFINITIONS. The following definitions refer to the O&M criteria.

a. High-Use Projects – those deep- and shallow-draft navigation projects with one million tons or greater, and those waterways with both one million tons or greater and one billion system ton-miles or greater.

b. Project Condition Surveys – those hydrographic surveys needed to determine the program year conditions of projects in caretaker status or that are not funded separately. This work does not include testing, sampling or any other activity that should be included in a specific project funded budget package. The PCS items will be by state and will indicate the total number of projects that could be surveyed and the number of projects that will be performed as part of the line item. All PCS will not be included in a single line item.

b. Water/Environmental Certification – those activities needed to acquire certification in the PY to allow dredging to proceed that are not funded separately. This work does not include any activity that should be included in a specific project funded budget package. The Certification items will be by state and will indicate the total number of projects that could be certified and the number of certifications that will be performed as part of the line item. This will be handled like the PCS line items. All Certifications will not be included in a single line item.

c. Subsistence Harbors – those harbors that are dependent upon the navigation project as there principal means of receiving goods and services, and for which alternative means of delivery are not practicable. An example would be Tangier Island off the coast of Virginia or the Channel Islands off the California coast.

d. Critical Harbors of Refuge – those harbors that offer safe haven to boaters that represent the sole site for protection based on a public safety based regional distance criteria. Authorization as a Harbor of Refuge does not automatically make a harbor critical.

e. Caretaker Activities – There are inland navigation systems and projects that will not be funded. Some minimal level of funding will be required to place these projects in a caretaker mode. We should address concern for the public's health and safety, environmental impacts resulting from full cessation of operations and how best to address them, review legal requirements placed on that project and ensure that litigation issues are addressed in a caretaker plan, review any unintended consequences on other waterways, and establish a communication plan to include messages, FAQ, roll out strategy, web site information, and draft media release. Caretaker status is an extremely low level of funding for minimal effort.

V-11. Low-Use Navigation Sub-Program.

a. The performance indicators include three indicators that flag work on low-use navigation features. These are: (1) Waterway project has less than 1 billion system ton-miles of commercial cargo annually; (2) activity is for a waterway segment, upstream of which less than 1 million tons of cargo move annually; and (3) harbor projects have less than 1 million tons of commercial cargo annually. Activities meeting both criteria (1) and (2) will be included as a low-use waterway segment. Activities meeting criterion (3) will be included as a low-use harbor channel. For this sub-program, use the additional performance criteria provided in Table V-4 for assisting in the evaluation of activities and projects.

TABLE V-4
Low-Use Navigation Channels and Low-Use Waterway Segments

Sub-program		**SCREEN**	**SCREEN**	**Indicators**	**Indicators**	**Indicators**	**Indicators**	**Indicators**
		Minimum						
Low-Use Nav channels		<1 million tons	5-Year Avg cost per ton	commercial fishery outputs	Return on investment	Public health and safety	Public transportation	Purpose
Low-Use Waterway segments		< 1 million tons on systems with < 1 billion system ton-miles	5-Year Avg cost per ton	BCR based on savings per ton table	Multipurpose values	Public health and safety	Caretaker	Investment issues

Low-Use Harbor Channels Minimum:
Supports some commercial fishery output;
Supports public transportation (ferries, tour boats);
Ensures boater safety (inlet dredging to reduce breaking wave hazards);
Project costs yield outputs / benefits exceeding costs;
Purpose should reflect results of investment (so what).

Low-Use Waterway Segments Minimum:
Compute BCR based on transportation savings (average tons per year table);
Supports other business line purposes (flood damage reduction, recreation, environmental, water supply, etc.);
Port investment status (recent or planned port expansion/investments);
Commercial tonnage trends upward;
Ensures basic public health and safety;
Caretaker costs for non-budgeted segments.

b. Regional Navigation Needs Funding. For those low-use navigation projects that do not compete well on an individual basis and so are a lower priority, but combined together provide significant benefits to a region, each MSC where appropriate will link the individual projects together in a regional item to combine the merits of those projects for a region. For example, the South Oregon Coast Ports could “pool” their funding requirements to be treated as a single item. Thus, although all individual ports on the Oregon will not be funded for all their needs, a minimum amount could be provided to address the most critical needs for the region in the PY and issued to the most critical needs at the time of execution. Port A, B and C may be funded in PY while Ports D, E and F would anticipate funding in BY+1. The linkage of individual projects in a regional-type evaluation must be done in a rational way. This is not a gambit to get additional funds for projects that do not merit it. Other examples are the Great Lakes ports, the New England coastal harbors, the Gulf coast harbors, and the South Atlantic coast. The association of the projects into regions should be included in the Purpose, Consequences and Remarks columns so HQUSACE can make a proper evaluation.

V-12. Joint Costs. See Annex C, Paragraph C-2.3.b. for Joint Activities - Joint Costs.

V-13. Navigation Criteria Matrix. Below are the data elements and definitions for the embedded Navigation Criteria Matrix (Excel worksheet). These definitions for individual data elements are also in the "Definitions" tab of the embedded worksheet.

a. Note that dollars amounts should be in thousands ($000). Waterborne Commerce data should also be in thousands, but this data are already rounded to thousands in OMBIL and Waterborne Commerce data sources.

b. Unique Entries. Fields marked with an * are expected to be different for each increment amount. It would be expected that additional funds would show improvement in appropriate performance indicators. Other items would be the same for the same CWIS numbers *and hopefully will populate automatically.*

c. Criteria Matrix Data Elements and Definitions.

Col #. Column Title: Definition.

(1) **BUSINESS LINE:** Enter "NAV" for Navigation.

(2) **EROC:** Two character code for district, such as B1 for Memphis District.

(3) **AP:** PRISM Appropriation code, such as A for Investigations, B for Construction, C for Operation and Maintenance, EN for MR&T-Study, ER for MR&T-Construction, ES for MR&T-O&M.

(4) **AP ABBREV:** Appropriation abbreviation, such as I for Investigations. System generated, no entry required.

(5) **CCS:** Category / class / subclass code.

(6) **PWI/CWIS:** Project identification code.

(7) **SUBPROJECT ID:** A code which identifies a separable element or subproject which is a child of the parent PWI/CWIS.

(8) **STATE:** Enter the two-digit state abbreviation.

(9) **BUDGET ITEM ID*:** A code to uniquely identify multiple entries within the same project, business line, and increment. System generated, no entry required.

(10) **MSC:** Three letter code for MSC such as SAD. System generated, no entry required.

(11) **DIS:** Three letter code for district such as NWP. System generated, no entry required.

(12) **FUNDING LEVEL/INCREMENT*:** Budget increment for the amount requested. Enter a "1" if the increment meets the requirements for inclusion in the initial level as defined in this Appendix. For I and C, enter a 2 for all additional budget requests above initial level 1. Each entry will reflect a contract or a meaningful portion of a study. For O&M, enter a number 2 to 5 for each increment for a project above the initial level. Every project may not have an increment in the initial level (1), in which case the first time the project is listed will be as a "2" level or other lower increment. Each increment should provide measurable positive contributions to the applicable business line performance measures.

(13) **DIS RANK*:** This budget item's rank in the district's request.

(14) **MSC RANK*:** This budget item's rank in the MSC's request.

(15) **HQ RANK:** This budget item's rank in HQ's request - will be completed by HQ.

(16) **ARMY/ASA RANK:** This budget item's rank by ASA(CW) - will be completed by HQ.

(17) **PROJECT NAME:** Name of project as entered in PRISM.

(18) **SUBPROJECT NAME:** Name of subproject/separable element identified in PRISM.

(19) **BASIN CODE:** Enter the 4 digit USGS HUC sub-basin code for the increment request - http://water.usgs.gov/nawqa/sparrow/wrr97/geograp/geograp.html.

(20) **PHASE:** A letter code will be used to indicate phase. The phase codes are: R=Reconnaissance; F=Feasibility; P=PED; C=Construction; CR=Replacements; O=Operations; M=Maintenance (regular, not major or rehab); MM=Major Maintenance; MR=Major Rehabilitation; OJ=Operation Joint Activities; MJ=Maintenance Joint Activities; OF=Operation for AT-FP Facility Protection; MF=Maintenance for AT-FP Facility Protection/CISP. Additional Phase codes are: DS=Federal Sand and Section 111; DF=Dredged Material Disposal Facilities; DC=Deficiency Correction; SS=Study for Dam Safety Assurance, seepage, static instability leading to construction; CS=Construction for Dam Safety, Seepage, Static Instability; BO=Biological Opinion; BD=Beneficial Uses of Dredged Materials and Section 204; MT=Mitigation. This may or may not be unique for a given CWIS.

(21) **PHASE STATUS:** Status of the phase will be indicated with a letter code. NP=New Phase; CN=Continuing; LY=Last Year of phase (be sure that this agrees with PHASE COMPL date). For Reconnaissance and Construction initiation, a New Start should be coded as a New Phase in this column. If a study or project is completing one phase and starting a new one in the PY (e.g., finish Feas and start PED), each should be a separate entry (one a LY and one NP). This may or may not be unique for a given CWIS.

(22) **PHASE COMPL*:** The year that the phase for which funds are being requested is scheduled to complete. For O&M enter the PY unless the requested funds are scheduled to be carried over. This is applicable for O&M Major Maintenance items. If increment request is to accelerate phase, this date should change from initial one.

(23) **FEDERAL (CORPS) BUDGET REQUEST*:** The Federal (Corps) amount requested for this increment; sum of all increments for this CWIS will be its capability (see IWTF Cost for C). Each increment should provide measurable positive contributions to the applicable business line performance measures.

(24) **IWTF BUDGET REQUEST*:** The Inland Waterways Trust Fund amount requested for this increment; for C the sum of all Federal (Corps) and IWTF increments for this CWIS will be its capability. Each increment should provide measurable positive contributions to the applicable business line performance measures.

(25) **CONTRACT TYPE:** A letter code will be used to indicate Contract Type. Contract Type codes are: CC=Continuing contract; CF=Fully Funded contract; CB=Base contract with Options.

(26) **HW TYPE:** Navigation Activity, Harbor or Waterway Type. SD=Shallow-Draft Harbor; LSD=low use Shallow-Draft Harbor; DD=Deep-Draft Harbor; LDD=low use Deep-Draft Harbor; WW=Waterway; LWW=low use Waterway; PCS=Project Condition Surveys; SNW=Surveillance of Northern Boundary Waters; RAG=Removal of Aquatic Growth; RSM=Regional Sediment Management.

(27) **HW TYPE USE CODE:** Use Code for Low Use Navigation Activity, Harbor or Waterway Type. Required for projects/items that are Low Use (LSD, LDD, LWW): CT=Caretaker; FT=Ferry (Public) Transportation; HR=Critical Harbor of Refuge; NS=National Security; SB=Subsistence Harbor; SF=Safety (Search & Rescue, USCG Station, etc.). A project can have multiple Use Codes, for example if it is a Subsistence Harbor and a critical Harbor of Refuge. A brief explanation should be provided in the Remarks Column.

(28) **LATEST COM TON:** The commercial tons for the latest available year from OMBIL (Waterborne Commerce data).

(29) **5-YR AVG COM TON:** The last five-year average annual commercial tons from OMBIL (Waterborne Commerce data).

(30) **LATEST SYS TON MILES:** The system or trip ton-miles for the latest available year from OMBIL (Waterborne Commerce data).

(31) **5-YR AVG SYS TON MILES:** The last five-year average annual system or trip ton-miles from OMBIL (Waterborne Commerce data).

(32) **5-YR AVG $/TON:** Five-year average total O&M costs divided by five-year average annual commercial tons for the same period from OMBIL for Waterborne Commerce and O&M financial data.

(33) **TOTAL VALUE OF CARGO:** Total dollar value of the cargo for the project at current price levels. Available from Waterborne Commerce data.

(34) **VALUE OF EXPORT CARGO:** Dollar value of the export cargo for the project at current price levels. Available from Waterborne Commerce data.

(35) **% TIME AVAIL*:** Percentage of time project is available to perform as designed with limits from deferred maintenance, dam safety issues, etc. It would be expected that additional increment requests would show improvement in appropriate performance indicators. Explain in Remarks.

(36) **BCR:** The project's benefit cost ratio at 7% and current price levels.

(37) **RBRCR:** The project's remaining benefits - remaining costs ratio at 7% and current price levels. See Annex B for discussion.

(38) **BCR – Applicable:** The project's benefit cost ratio at the applicable interest rate.

(39) **RBRCR – Applicable:** The project's remaining benefits - remaining costs ratio at applicable rate.

(40) **APPLICABLE RATE:** The applicable interest rate - See main EC paragraph 8a.

(41) **BCR – Current:** The project's benefit cost ratio at the current interest rate. See main EC paragraph 8a.

(42) **RBRCR – Current:** The project's remaining benefits - remaining costs ratio at current rate. See main EC paragraph 8a.

(43) **TOT PROJ COST:** The total project cost includes the Federal and non-Federal costs of PED and Construction. This will be a rough estimate for a Reconnaissance New Start. During the Reconnaissance and Feasibility Phases use the estimate being developed for use in the appropriate report. Subsequently the figure will be derived from PRISM and is to include all Federal and non-Federal costs for PED and Construction. Be consistent with J-sheet.

(44) **PROJECT DESCRIPTION:** Main features/Navigation segment, 50 words or less. Complete sentences are not required. Maximum of 250 characters.

(45) **PURPOSE*:** State proposed use of the increment amount (be as specific as possible) and what the increment amount accomplishes (what are we getting for this amount of $). Key points to be able to distinguish from other increment or other projects. For dam safety items (inspections and studies), the "Purpose" field should include what is being studied, the expected report completion date, if not completing in the PY, the additional $ needed to complete, and estimated cost (magnitude) of the construction cost. It would be expected that additional increment requests would show improvement in appropriate performance indicators. Maximum of 160 characters.

(46) **CONSEQUENCES*:** What is penalty (consequence) if not funded this PY - increment amount needed to comply with safety, settlements, loss of service, structural failure, etc. It would be expected that additional increment requests would show improvement in appropriate performance indicators. Maximum of 160 characters.

(47) **REMARKS*:** Additional critical information to support increment amount that is not in the other fields and what is called for from other fields. Use to explain Dis & Div ranks, lack of data in required fields, special legal or other requirements, safety issues, etc. Provide rationale to support funding of O&M Major Maintenance Items under C. Document infrastructure at significant risk to justify budget requests. It would be expected that additional increment requests would show improvement in appropriate performance indicators. For projects with an N/A in any field, such as BCR and RBRCR, explain why they are not required (empty cells sort to the bottom). Maximum of 600 characters.

(48) **RISK AND RELIABILITY INDEX:** Based on the Risk and Reliability Analysis developed by the MSC for all maintenance items, including major maintenance, critical backlog, non-recurring and major rehabilitation items, a Rank of 1 through 5 will be assigned, with 1 being the highest or most critical requirement and 5 being the lowest or least critical requirement. This is to help document infrastructure at significant risk.

(49) **OTHER PURPOSES:** The other outputs provided by the project. N=Navigation; F=Flood Damage Reduction; H=Hydropower; E=Environmental; R=Recreation; W=Water Supply.

(50) **FUNDING OF OTHER PURPOSES:** Displays the budget request amounts entered for other business lines for the project. System generated, no entry required.

(51) **LAST YEAR BUDGETED:** Enter the last fiscal year this study or project had funds included in the President's Budget.

(52) **LAST YEAR APPROPRIATED:** Enter the last fiscal year this study or project was appropriated funds (conference report).

(53) **LAST AMOUNT APPROPRIATED:** Enter the appropriated amount (conference report amount) for this study or project contained in the appropriation indicated in “LAST YEAR FUNDS APPROPRIATED” entry.

(54) **WATERSHED:** Is this a watershed study or project? Y or N based on criteria in EC.

(55) **LEGAL MANDATE:** Special legal mandates – Y or N and then describe in remarks.

(56) **SAFETY ISSUES:** Safety issues – Y or N and then describe in remarks.

(57) **DAM SAFETY IMPACTS:** For dam safety/seepage project - what other purposes (by Business Line) would be impacted if there was a failure. Maximum of 160 characters.

(58) **REL RISK:** For dam safety/seepage projects - Relative Risk of failure – risk compared to other Corps dams (Portfolio Risk Assessment – if available for FY 07). Maximum of 160 characters.

(59) **FCSA Date:** The actual or scheduled date of the FCSA. If increment request is to accelerate phase, this date should change from initial one.

(60) **PED Date:** The actual or scheduled date of the PED Agreement. If increment request is to accelerate phase, this date should change from initial one.

(61) **PCA Date:** The actual or scheduled date of the PCA. If increment request is to accelerate phase, this date should change from initial one.

“Empty cells go to the bottom”

Navigation
Worksheet 18 May 06

APPENDIX VI
RECREATION
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Appendix VI
RECREATION

VI-1. **Background.** The Corps is the nation's leading Federal provider of outdoor recreation opportunities. As the host of more than 375 million visitors a year, the Corps plays a major role in meeting the outdoor recreation needs of Americans. Corps recreation projects contribute economically and socially to the communities in which they are located, providing a natural resource setting for visitors to reap the benefits to their physical, mental and spiritual health from engaging in outdoor activities.

VI-2. **Recreation Mission and Goal.** The Corps Natural Resources Management (NRM) mission statement is:

> "The Army Corps of Engineers is the steward of the lands and waters at Corps water resources projects. Its Natural Resources Management Mission is to manage and conserve those natural resources, consistent with ecosystem management principles, while providing quality outdoor public recreation experiences, to serve the needs of present and future generations. In all aspects of natural and cultural resources management, the Corps promotes awareness of environmental values and adheres to sound environmental stewardship, protection, and compliance and restoration practices. The Corps manages for long-term public access to, and use of, the natural resources in cooperation with other Federal, State, and local agencies as well as the private sector. The Corps integrates the management of diverse natural resources components such as fish, wildlife, forests, wetlands, grasslands, soil, air, and water with the provision of public recreation opportunities. The Corps conserves natural resources and provides public recreation opportunities that contribute to the quality of American life".

a. The NRM mission statement recognizes the strong interrelationship between the health of the natural resources and the quality of the recreation experience provided. The portions of the above mission statement that are directly related to recreation are underlined. Our recreation program goal is to enhance the quality of American life by providing benefits to individuals, communities, the national economy and the environment.

b. Table VI-1 immediately below displays the Recreation Program Objectives and Performance Measures published in the March 2004 Civil Works Strategic Plan. Preparation of the FY 08 Budget Request requires the recognition of a constrained budget environment and the ongoing effort to improve the linkage of budget to performance. The performance measures which support and/or supplement Table VI-1 program objectives and performance measures to reflect the near term realities of a constrained FY 08 budget environment are described in paragraph VI-14 below.

TABLE VI-1
Strategic Plan Objectives and Performance Measures

Program Objectives	Performance Measures
Provide justified outdoor recreation opportunities in an effective and efficient manner at Corps operated water resources projects.	National Economic Development Benefit
Provide continued outdoor recreation opportunities to meet the needs of present and future generations.	Customer Satisfaction
Provide a safe and healthful outdoor recreation environment for Corps customers	Facility Condition Index

VI-3. **Recreation Budget Goals and Objectives.** Although the Corps recreation program is well established, stable and well regarded, our ability to continue to provide high quality recreation experiences to meet the needs of current and future generations is jeopardized by constrained funding. Years of sub-optimal funding have precluded preventative maintenance or facility modernization or improvement, including improvements to increase operational efficiencies, resulting in an aging and outdated recreation infrastructure.

a. Accordingly, a concentrated nationwide emphasis must be placed on assuring available funding provides the optimum nationwide recreation program for the nationwide investment. To achieve this goal, the following recreation budget objectives are established for the FY 08 program.

(1) Initial investments must provide equivalent public opportunity, at consistent service levels, across the Corps national recreation program.

(2) Initial and incremental investments must reflect the results of operational efficiencies analyses and implementation.

(3) Existing recreation infrastructure critical to meeting current and future needs must be maintained and protected.

(4) Recreation opportunities must provide a safe, healthful and accessible experience.

(5) All recreation opportunities must be provided consistent with environmentally sustainable development and environmentally friendly business practices for the benefit of future generations.

b. In order to achieve the above objectives, two tasks must be accomplished.

(1) We must conscientiously and objectively determine equivalent initial funding levels, to assure all projects across the country are starting annual budgets from the same point.

(2) We must establish a system of performance measures that will permit objective evaluation of various investment choices to assure incremental investments above initial provide the greatest benefit for the investment, while maintaining consistent public service levels. The FY 06 and FY 07 budgets provided a great deal of information about the performance of alternative investment choices. In the FY 08 budget, we must continue to improve our investment choices, using refined performance measures to improve data accuracy.

c. Once an appropriate and equivalent initial funding level has been established and a system of effective performance measures is implemented, informed and wise decisions can be made to meet our goal of providing the greatest public benefit for the nationwide budgetary investment.

VI-4. **FY 08 Recreation Budget Focus Areas.** The following focus areas should be considered when developing incremental recreation budget packages for FY 08.

a. Efficiency Improvements**.** Investments in efficiency improvements to support and maintain current performance levels at justifiable initial cost optimizes the nationwide recreation program for the nationwide investment. Work packages should be developed to fund efficiency improvements that will result in decreased future O&M costs.

b. Recreation Area Modernization**.** The modernization of recreation sites and facilities involves updating existing facilities to meet current guidelines and user needs, as well as modifying facilities and

services to improve efficiency and effectiveness. Ongoing identification of modernization needs and budgeting to accomplish the most critical of these needs is important to the Corps overall, long-term management of its recreation program. Modernization activities will be funded through O&M work packages above initial. A new Work Category Code (WCC), 61515, was developed in FY 07 to facilitate submittal and evaluation of modernization work. All costs for the modernization, replacement or additions for modernization to recreation facilities and structures such as trails, campgrounds, picnic areas, restrooms, showers, boat ramps, parking areas, roads, grounds, utilities associated with recreation use, buildings used for recreation purposes should be included in WCC 61515. Work using this WCC must meet current standards as identified in EM 1110-1-400 and should be bundled in logical packages that assure the biggest return on investment can be realized in the shortest amount of time. Only those packages that make "good business sense" should be included. Packages using this WCC cannot be included in the Initial funding level.

c. Critical Maintenance. Critical maintenance is defined as maintenance that if not performed in the budget year will result in the loss of a necessary component of the recreation infrastructure. Work packages to fund critical maintenance should be identified with an indicator in Rec-BEST so the total program requirement can be quantified. Critical maintenance items may be new items in FY08. It is not required that they were identified in the previous year's budget to qualify as critical. Identifying a work package as critical maintenance indicates this is higher priority work than routine O&M for the recreation program. Critical maintenance will only be budgeted in Increment 3.

d. Accessibility Improvements for Persons With Disabilities. The Corps has a legal obligation to provide accessibility to public recreation sites, facilities and programs in accordance with statutory requirements and codified guidelines. Non-compliance with these requirements and guidelines constitutes a civil rights violation. Accordingly, improvements required to meet these requirements and guidelines are a priority for funding. Funds allocated in the President's budget for this purpose in the President's budget and subsequently appropriated must be expended for this purpose. Improvements required to meet statutory requirements and codified guidelines, and for which budget packages should be developed, include:

(1) Improvements to facilities constructed after 1984, when the Uniform Federal Accessibility Standards (UFAS) were published, which do not meet UFAS guidelines. UFAS guidelines may be found at http://www.access-board.gov/ufas/ufas-html/ufas.htm. Accessibility improvements made to such facilities (i.e. those constructed after 1984 which do not meet UFAS guidelines) must comply with current guidelines, which may be found at http://www.access-board.gov/ada-aba/final.htm.

(2) Improvements required to make recreation programs, i.e. camping, picnicking, boating, swimming, etc., accessible. For the purposes of budgeting Corps recreation program requirements, a program is defined on a project basis. Therefore, if a camping program is available at recreation areas operated by the Corps on a water resources development project, at least one camping opportunity (campsite, plus associated facilities, plus the route between associated facilities) on the project must be accessible. Improvements required to meet program accessibility requirements must comply with current guidelines.

e. Additional work to improve accessibility to meet public demand may also be budgeted as improvements in Increment 3, however, it will not receive the same priority for funding.

VI-5. **Recreation Maintenance.** See Annex C, Operations and Maintenance, paragraph C-2.6, Operation and Maintenance Unfunded Requirements Reporting Requirements. It is important to identify and budget for all justified unfunded maintenance requirements for recreation within capability for the budget year. (Capability is described in EC 11-2-187, paragraph 6,e,(2)(c).) Work packages should be developed in Increment 3 to address all requirements for unfunded maintenance. Unfunded maintenance

is defined as those unfunded maintenance work items that are required and should have been funded in the previous year (FY 07) to provide reasonable assurance that project performance goals can continue to be met and that undue risk of failure is avoided. If these maintenance requirements are not identified, we have an incomplete understanding of our total budgetary requirements, regardless of what is or is not funded. Recreation maintenance may be identified further as critical in accordance with paragraph VI – 4(c) above. An indicator code for critical maintenance activities is provided in Rec-BEST.

VI-6. **Increased Recreation Fee Collection.** Efforts continue to obtain legislative authority for the Corps to retain all or a portion of the recreation use fees collected, with the primary objective of funding maintenance and improvement of recreation sites and facilities. Accordingly, in conjunction with the FY 08 budget development, efforts should be made to identify opportunities to enhance fee collection as appropriate and in accordance with existing policy and guidance. Implementation guidance will be developed for any additional authorities obtained. Our success in increasing recreation use fee collection will impact directly our success in meeting goals related to the Cost Recovery performance measure discussed in paragraph VI-14 below.

VI-7. **Recreation Program Performance Improvement Initiative (RPPII).** The RPPII is currently under development and is designed as a multi-year long-range plan to address the Recreation Business Line challenges in providing recreation opportunities at a consistent, affordable and acceptable level as defined by performance metrics. The RPPII will establish a process to evaluate the current performance of recreation areas and projects, identify appropriate strategies to improve performance, and monitor and measure success. Products developed through the RPPII will provide assistance to Operations Project Managers in developing and justifying appropriate budget proposals, as well as in executing the appropriated program. Information about the RPPII may be found at http://corpslakes.usace.army.mil/employees/rppii/rppii.html

VI-8. **Visitor Centers.** Two new Work Category Codes (WCCs) were developed for the FY 07 budget for Visitor Center Operations, WCC 60514, and Visitor Center Maintenance, WCC 61514. Visitor Center costs previously included under WCCs 60511 and 61511 respectively should now be included in the new WCCs. This includes costs for Types A, B, and C visitor centers. This should not result in an increase in total budget. The sum of 60511 and 60514 should not be more than the previous total for 60511. The sum of 61511 and 61514 should not exceed that previously budgeted for 61511. The new WCC simply allows us to distinguish between costs for visitor centers and costs for other recreation sites and facilities. The descriptions for the new Visitor Center WCCs are:

a. WCC 60514: Includes all costs associated with the operation of visitor centers, including personnel costs; custodial services; snow, ice and debris removal; lawn and shrubbery maintenance; landscaping; grounds; tour operator services; utilities and supplies; exhibits (interior and exterior); supporting costs of cooperating associations, heating and cooling systems, audio visual programs, building material and equipment costs.

b. WCC 61514: Includes all costs for the maintenance and repair, replacement, additions and efficiency improvements to, or retirement of, visitor center buildings, displays, audiovisual systems, heating and cooling systems, landscaping, grounds, exhibits and utilities.

VI-9**. Customer Comment Card Program.** The customer comment card program is administered by Corps project staff to obtain feedback systematically from visitors on the quality of facilities and services at Corps managed recreation areas. The written comments offered by visitors can be especially helpful for identifying the facility and service improvements that are most needed at recreation areas. Accordingly, visitor comments obtained through the comment card program should be considered when

developing recreation program budget packages. Visitor comments that demonstrate the need for a particular budget package should be referenced in the budget package description.

VI – 10. **Initial Program Definition.** Pursuant to the Recreation Budget Goals and Objectives established in paragraph VI.3, the following definition of Initial funding for the Corps recreation program is established. The Initial program for recreation will not be based upon any previous year's budget, although previous year's budgets may be used for grounding purposes to prevent dramatic funding swings, based on inaccurate performance data. This Initial program definition is unique to the recreation business program; Initial definitions for other business programs may be found in their specific appendices. Budget increments above Initial must be justified by the incremental benefits to be delivered, as described by the performance measures.

a. Initial – Operations & Maintenance and Mississippi River and Tributaries Maintenance. The Initial funding level for each project is the minimum funding needed to provide acceptable service to 75 percent of existing visitors. The parks or facilities that represent the most efficient program in serving 75 percent of existing visitors should be included in Initial. The less efficiently operating parks that serve the remaining 25% of visitors at acceptable levels should be included in Increment 2.

(1) NOTE: This definition will be used for budget development purposes only, to establish an equivalent platform among projects on which to build a performance based budget. This budget development guidance will not be used to determine the appropriate execution of the recreation program following appropriation of funds. Guidance to assist decision making regarding major changes in recreation program operation, to include park closures, is available elsewhere as operational guidance, not budget development guidance.

b. The definition of “acceptable service” is provided in paragraph VI.12. Care should be taken to use the service level criteria properly to assure accurate computations. "Existing recreation visitation" means current visitation occurring at currently open recreation areas.

c. Funding for all activities encompassed by Work Category Codes 60511, 60513, 60514, 60520, 60541, 60542, **60550**, 60560, 60591, 60592, 61511 and 61514 that serve 75% of existing recreation visitation in designated recreation areas (excluding access points, overlooks, and Class E campgrounds) at acceptable service levels in the most efficient program will be included in Initial. **Annual recurring costs for non-recurring work items, such as minor roof repairs, painting of comfort stations, road patching, sign replacements, exhibit repairs, etc., should be budgeted in 61511 and 61514 in Initial and in increment 2. Maintenance requirements which are scheduled, such as roof replacement, road re-paving, renovation of comfort stations, fabrication or installation of visitor center replacement exhibits ;etc. should be budgeted in 61511 and 61514 in Increment 3. Only those maintenance costs essential to provide acceptable service IN THE BUDGET YEAR should be included in the Initial increment or Increment 2.**

d. The minimum funding to assure the health and safety of visitors to areas outside designated recreation areas, including access points, overlooks, Class E campgrounds and dispersed areas will be included in Initial. This includes maintenance of buoys and lake-wide navigation aids necessary to assure the health and safety of visitors.

e. For WCC 60550, Real Estate Management for the Recreation Function, the minimum funding necessary to perform only the most basic oversight of existing recreation outgrants will be included in Initial. Costs to accomplish real estate activities required to issue a new recreation outgrant should be included in Initial also, if the new outgrant will result improved program efficiency, i.e. public recreation opportunities will be provided at less cost to the government. WCC **61550** and WCC 61510 have been revised to reflect only those real estate activities directly related to the recreation program.

f. For recreation projects with no Corps operated recreation areas (PL 89-72 projects and/or projects where all recreation areas are outgranted), the minimum costs to provide necessary oversight of existing recreation outgrants will be included in Initial in WCC 60550. Minimum costs to fulfill Corps requirements for visitor health and safety should be included in Initial in WCC 60511. (Costs for non-routine maintenance, i.e. facility replacement, for minimum health and safety should be included in Increment 3.)

g. For WCC 60560, Environmental Compliance Management for the Recreation Function, the work required to comply with environmental protection mandates (i.e., laws, executive orders and court orders) will be included in Initial. Include the amount of funds required to meet minimum environmental compliance and safety standards; satisfy other legally binding requirements.

h. For C and MR&T construction, see Annex B. In FY 08, there will be no work packages developed for recreation in I or MR&T studies.

VI -11. **Increments Above Initial.** The Recreation program will have 2 budget increments above Initial.

a. Increment 2. Increment 2 will include the minimum funding needed to provide acceptable service to the 25 percent of existing visitors not accommodated in Initial. The most efficient program to accomplish this purpose should be reflected in Increment 2. This Increment serves only the remaining 25% of visitors. It does not include any facility improvements or non-routine maintenance, other than **those maintenance costs critical to provide acceptable service IN THE BUDGET YEAR,** as defined in paragraph VI – 9(c) above.

b. Increment 3. This Increment will include most non-routine maintenance activities and all facility improvements and enhancements, modernization, and new facility construction. No WCCs for Operations Features may be used in Increment 3. Budget packages submitted in Increment 3 should focus on a primary purpose which can be identified by the appropriate indicator as defined in paragraph VI – 13. Inappropriate bundling of work items should be avoided. A detailed description of the planned work should be provided in the description field in Rec-BEST. A clear description could improve consideration of a budget package for funding. Descriptions should be clear, concise and accurately identify the work to be accomplished. Identify the risks and consequences if not funded, as well as the benefits/performance improvements, if funded. Include items such as: current conditions, deteriorated/outdated features, annual cost savings, health, safety and management issues resolved, increased revenues, improved efficiencies, and other pertinent information that quantifies the work to be accomplished. If the work package includes work that can be broken into subparts, with associated costs, the breakdown should be included in the description.

VI–12. **Service Levels**. Developing our budgets using "acceptable service levels" will help us achieve more consistent public service levels across the country. Acceptable service levels protect the safety of our customers and the integrity of Government assets, as well as assure satisfactory interaction between agency staff and visitors. The guidelines provided in Table VI-12 should be used to determine requirements for acceptable service **during the three consecutive peak months of project visitation** in your budget submittal for camping, day use, and/or multipurpose recreation areas. Do not apply the service guidelines to access points, overlooks or Class E camp areas.

a. Acceptable service levels range from 39 – 45, with low-intensity use parks at 39, medium-intensity use parks at 42, and high-intensity use parks at 45. The range is established based upon the use or visitor demand placed on facilities rather than the kind or degree of development in the park. A 200 site Class A campground, which has moderate occupancy on a typical summer weekend may require less service than a small day use park located near a city that gets intensive use all week long. Service levels above the target should be reduced actively through the budget process to achieve consistent public

service across the Corps. You should develop your initial budget, as well as all work packages above Initial, to provide services within this range as appropriate by intensity of use level. These guidelines were adapted from those developed by the Southwestern Division, as part of their Justified Levels of Service effort. Please note that "Visitor Contacts" has been added as an element of "Visitor Assistance" below.

TABLE VI-2
ACCEPTABLE LEVELS OF SERVICE

Services (Peak Season)				**Max Score**	**Score[0]**
Facility Cleaning[1]	2 days per week (4)	5 days per week (8)	Daily (10)	**10**	
Facility Mowing[2]	6 in. or less 50% of time (4)	6 in. or less 75% of time (8)	6 in. or less 95% of time (10)	**10**	
Visitor Assistance[3]	Ranger Patrols, Daily; Visitor Contacts Daily (3)	Ranger Patrols; Daily; Law Enforcement Agreement in Place; Visitor Contacts daily with periodic water **safety/interpretive** programs (6)	Ranger Patrols, More than once daily on weekends; Weekend law enforcement patrols; Visitor contacts daily with water **safety/interpretive** programs weekly (8)	**8**	
Gate Attendant/Park Host[4]	Gate staffed on weekends only (3)	Gate staffed less than 7 days per week but always on weekends (6)	Gate staffed 7 days per week (8)	**8**	
Reservations[5]	Yes (2)			**2**	
Urgent Repairs[6]	Correct within 4 or more days (4)	Correct within 1-3 days (8)	Correct within 24 hrs (10)	**10**	
Routine Repairs[7]	Correct within 14-30 days (2)	Correct within 5-14 days (4)	Correct within 1-4 days (6)	**6**	
Grand Total				**54**	

Rating	Points	Point Total For Park Services
Below	Low Intensity Use - 0-38 Points Medium Intensity Use – 0 -41 Points High Intensity Use – 0-45 Points	
Acceptable	**Low Intensity Use – 39** **Medium Intensity Use - 42** **High Intensity Use – 45**	
Above	Low Intensity Use – 40 or More	

	Medium Intensity Use – 43 or More High Intensity Use – 46 or More	

0. When calculating points for each service, the range is from 0 to the maximum for each service. If the service provided falls between the values listed in the columns for each service you may select a value between those numbers in the columns.
1. Includes such things as cleaning of restrooms, shower/toilet buildings, vault toilets, change houses, and bath houses.
2. Includes improved mowing areas located around such things as buildings, facilities, sites, beaches, playgrounds, trail heads, multi-purpose fields/activity areas and along park roadways. Arid areas that require little or no mowing should be scored as "7".
3. A ranger patrol equals a minimum of one trip by one or more uniformed Corps rangers through a park.
4. Gate is staffed by volunteer, contractor or Corps employee. Staffed gate is person on site during 3 peak months of visitation.
5. Reservations for camp sites, shelters or other facilities.
6. "Urgent repairs" are to correct problems that render a site or park unusable or unsuitable for use. Includes such things as electric and plumbing repairs. Examples: A major water leak would be an urgent repair, but a dripping faucet would not. Replacing a stop sign would be an urgent repair. Pruning a storm damaged limb above a campsite would be an urgent repair, but pruning a broken limb in a natural area would not. Without urgent repairs, our customer cannot have full use of the site or facility. (NOTE: All deficiencies or hazards which threaten health or safety must be corrected immediately or the affected site or facility closed to public access.)
7. "Routine repairs" are repairs that should be completed in a fairly short time, but are not urgent. Routine repairs would not require an important visitor facility to be shut down if not completed. Routine repairs do not include major or periodic maintenance, unfunded maintenance, modernization activities, new construction, facility replacement or other work budgeted in Increment 3. Routine repairs do not include operational maintenance or services such as facility cleaning, mowing or trash pickup. Routine repairs may include non- recurring work items budgeted in 61511 such as roof patching, sign repair or replacement of damaged non-critical signs, graffiti removal, blading roads and camp pads to repair ruts and potholes, dripping faucet repair, repairing a nonfunctional hand dryer, repair of broken picnic tables, grills and fire rings, repair or replacement of damaged partitions and window screens an other non-urgent repairs to structures and facilities.
8. Use your best professional judgment supplemented with your estimate of the area's occupancy rate when determining use intensity. High Intensity Use -- an area with 100% to 75% of the sites/parking lots occupied on weekends during the peak use season; Medium Intensity Use -- an area with 75% to 25% of the sites occupied on weekends during the peak use season; Low Intensity Use -- an area with less than 25% of the sites/ parking lots occupied on weekends during the peak use season.

VI–13. **Work Package Indicators.** When developing work packages above the Initial program, Operations Project Managers should consider the goals and objectives for the recreation program and FY 08 budget development, as described in this Appendix. Accordingly, the following recreation packages are suggested as appropriate and should be identified with the appropriate indicator(s) in Rec-BEST. Work packages with other purposes may be appropriate and may be included without an indicator.

a. Two sets of indicators are provided to categorize work packages. The first set describes the primary purpose of the work package. Only one of the primary purpose indicators should be applied to a single work package.

b. Packages for non-operational, non-routine maintenance, such as road paving, roof replacement, erosion control, or utility infrastructure repairs or replacement, i.e. water or sewer systems.

c. Packages for accessibility improvements, to accommodate persons with disabilities, including packages to fund inventory assessments. A sub-indicator is provided to indicate the budget package corrects a legal deficiency resulting in a civil rights violation, as defined in paragraph VI – 4(d).

(1) NOTE: Any facility construction or major renovation must meet current standards. Accordingly, any budget package to construct or renovate facilities should incorporate the costs to meet accessibility requirements, as it would include costs to meet safety requirements or other engineering guidelines. The accessibility indicator is not appropriate for such budget packages unless the primary reason to do the work is for accessibility improvements. If the work would not be done if the site or facility were already accessible, a different indicator should be used,

d. Packages for efficiency improvements for existing sites and facilities to realize future O&M savings. A field is provided in Rec-BEST to capture the estimated average annual O&M savings resulting from the investment in the first 5 years following the investment.

e. Packages for new facility construction within an existing recreation area, when such facility construction can be justified on a benefit cost basis.

f. Packages for critical maintenance work. Critical maintenance is defined as work that, if not accomplished in the Budget Year, will result in failure of a necessary component of recreation infrastructure. Work that will restore an inoperable facility to operability may be defined as critical maintenance, if the facility is a necessary component of recreation infrastructure. For example, if the only shower building in a Class A campground was damaged in a storm and rendered unsafe for visitor use, the costs to repair the building and restore it to public use could be identified as critical maintenance.

(1) The secondary set of indicators further describes the work. More than one indicator may apply to a single work package. All indicators that apply should be attached to each work package.

(a) Packages for work to be done in partnership with other private or public entities, such as challenge partnerships, which results in leveraging Corps resources. A field is provided in Rec-BEST to capture the estimated leveraged value of the budget package, i.e. the amount of partner investment in funds, goods or services that would be realized from funding the package.

(b) Packages that will result in expected increased recreation use fee collection of 10% or more for the recreation area or areas affected by the work.

(c) Packages for work that includes a **critical** health and safety component.

VI-14. **Recreation Budgetary Performance Measures.** The following performance measures have been developed for application in the FY 08 budget development, review and defense. The incremental change in performance values for these measures will be calculated for each work package developed in Rec-BEST. The three performance measure values will then be normalized to achieve a single value that will be used to rank all work packages at the district, MSC and national levels. See paragraph VI.18. Recreation Budget Evaluation System (Rec-BEST), below for more information.

a. Recreation Unit Day Availability (RUDA) - This is an output performance measure of recreation capacity or opportunity.

b. Facility Condition Index (FCI) - This is an output measure of the quality of the opportunities provided to our visitors.

c. National Economic Development (NED) Benefit - This is an efficiency measure of our provision of quality opportunities.

d. Customer Satisfaction has been identified in the Civil Works Strategic Plan as a performance measure for the Corps recreation program. For FY08, we will report nationwide performance values for this measure. Customer satisfaction is an outcome measure, which is dependent upon the amount and quality of the opportunities provided.

e. Beneficiary Payment/Agency Spending, calculated by dividing recreation use fees collected by recreation funding/expenditure, has been identified as a Recreation Program performance measure. This measure will not be used as a budgetary measure in FY 08; however, nationwide values for this measure will be reported to OMB. The applicability of this measure will be defined further in the future.

VI-15. **Recreation Budget Construction**. The recreation budget will be constructed using the information delivered as requested in paragraphs VI-10 through VI-13 above. The Recreation Program Team will evaluate the information available and construct a coherent budget that addresses the Recreation Program Mission, Goals and Objectives; the Recreation Budget Goals and Objectives; and focus areas identified above.

a. The Initial program is the starting point on which the performance based recreation budget is constructed. This Initial program will be developed starting with the Initial packages submitted by each project. Using the difference between existing service levels and acceptable service levels, some leveling of Initial budgets among projects will be accomplished. The total amount of the Initial program will be balanced with above Initial requirements to construct an overall, affordable program that best addresses the Recreation Program Goals and Objectives within the context of the total Corps budget. The Initial program will deliver quantified performance values for the 3 budgetary performance measures – RUDA, FCI, and NED Benefit.

b. The sum of the Initial program and Increment 2 represents the total funding requirement to provide acceptable service to 100% of our customers. This is important information, and care should be taken to assure it is an accurate reflection of that requirement. This total requirement is considered when the ceiling level service program is constructed. An indicator with a text field is provided in Rec-BEST to document if the total of Initial and Increment 2 increased significantly in FY 08 because of increased O&M requirements resulting from Congressional Adds in prior years. The year and description of the Congressional Add should be noted in the text field.

c. Work packages in Increment 3 will be evaluated based on the incremental change in the 3 budgetary performance measures resulting from accomplishing the work. This will provide a single ranking value that will permit ranking of all work packages from 1 to X, from highest to lowest performing work.

d. Work packages in Increment 3 will also be identified by work package indicators, which further describe the work to be done. This will permit the segregation of work into categories within which the highest performing work can be identified. For example, the highest performing critical maintenance can be identified. The highest performing accessibility improvements to be accomplished in partnership with others can be identified. All modernization work can be evaluated based upon its expected increase in fee collection. The combinations of these various data elements result in the capability to create an overall program that is responsive to the Corps requirements, as well as to the interests of OMB, Congress and our customers, within a performance based environment.

VI-16. **Operations and Maintenance Business Information Link (OMBIL) Data Requirements.** Data to compute recreation performance measures will be maintained in OMBIL. Operations Project Managers should assure that all recreation projects are properly identified in OMBIL with a project site area of type "recreation" and that all OMBIL data required for budget development has been entered and is up to date prior to budget development. For FY 08, the following OMBIL data will be required by recreation area:

a. Visitation

b. Recreation Area Managing Agency

c. Recreation Area sub-type

d. Numbers of camp sites

e. Numbers of day use parking spaces

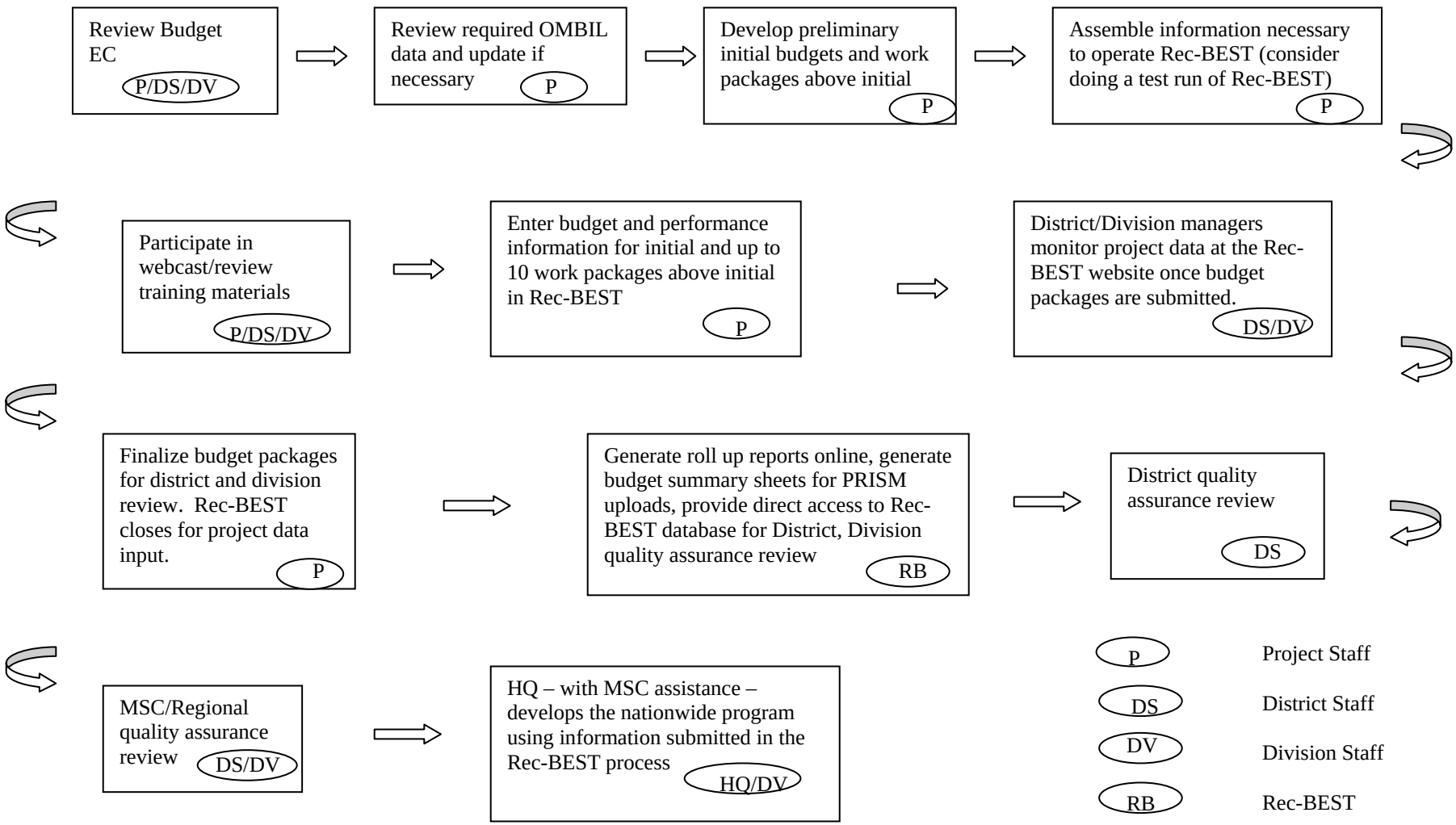
f. Visitor Center Type

g. Campground Class

VI-17. **Recreation Budget Evaluation System (Rec-BEST).** A web-based tool was developed and first deployed for field use in calculating recreation performance measures for O&M activities in FY 2006. Rec-BEST uses OMBIL data, supplemented with data provided by the Operations Project Manager, to calculate a value for each of the performance measures associated with each budget package. Using the incremental change in these performance values, Rec-BEST ranks all recreation budget packages at the district, division and HQs levels. Rec-BEST **MUST** be used to develop recreation O&M budget packages for FY 08. All recreation budget requirements must be entered into Rec-BEST, regardless of funding source. All Rec-BEST data must be entered by 14 April 2006. Rec-BEST may be accessed through the NRM Gateway at http://corpslakes.usace.army.mil/employees/Rec-BEST/Rec-BEST.html along with directions for its use.

a. Rec-BEST will not be used for C work packages. No I work packages will be developed for recreation. For C packages, the 3 recreation performance measures should be calculated manually and input to PRISM.

ILLUSTRATION VI-1
FY 08 Recreation Budget Development Work Flow



APPENDIX VII
REGULATORY
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Appendix VII
REGULATORY

VII-1. Background. The Regulatory program protects the aquatic environment by regulating dredge and fill and other construction-related activities in jurisdictional waters of the United States. This responsibility is mandated by the Clean Water Act and the Rivers and Harbors Act of 1899 and other laws. The Corps evaluates and issues over 80,000 permits a year for projects with potential impacts on waters of the United States, including wetlands.

VII-2. Objectives. The Regulatory Objectives and Performance Measures are provided below in Table VII-1, "Regulatory Goals and Performance Measures." These goals and performance measures were developed through a collaborative process with the Corps and OMB and are taken from the Program Analysis and Review Tool (PART) program administered by OMB. The Performance Measures were developed to link the Regulatory Budget to performance that would provide data on the effectiveness of the program. For example, the Objective "No Net Loss of Aquatic Resources" would be defined by data captured through Performance Measures 1 through 6. Based on the national budget priorities, the Corps would be provided funds to administer the Program. Because the Corps Regulatory program is predominantly a labor-based program, dollars allocated to the Program are directly correlated to the target percentages for each of the Performance Measures. The percentage targets for each of the performance measures are not only designed to judge performance of these objectives based on available budget, data collected during the compliance visits (i.e., percent of sites meeting performance criteria or mitigation success) and in percentages of permit decisions made in 60 or 120 days provide information on the success of the Regulatory Objectives. Higher target percentages for Performance Measures will result in more comprehensive data which will provide a better measure of success for the Objectives.

VII-3. Activities.

The program has historically categorized, allocated, and expended funds within the following categories:

Activity	Category
Permit Evaluation	100
Enforcement and Resolution	210
Studies	300
Other Regulations	400
Environmental Impact Statements	500
Administrative Appeals	600
Compliance: Authorized activities and mitigation	800

This categorization allows the program managers to distribute funds in particular categories and track utilization. These accounts will also provide information on the effectiveness of the program within each of the categories.

TABLE VII-1 Regulatory Goals and Performance Measures	
No Net Loss of Aquatic Resources	**1. Individual Permit Compliance** The Corps shall complete compliance inspections on XX% of all individual permits issued and constructed within the preceding fiscal year.
Avoidance and Minimization of Impacts to Aquatic Resources	**2. General Permit Compliance**. The Corps shall complete compliance inspections of XX% of all General Permits (GPs and NWPs) with reporting requirements issued and constructed within the preceding fiscal year.
	3. Mitigation Site Compliance The Corps shall complete field compliance inspections of XX% of active mitigation sites each fiscal year. Active mitigation sites are those sites authorized through the permit process and are being monitored as part of the permit process but have not met final approval under the permit special conditions (success criteria).
	4. Mitigation Bank/In Lieu-Fee Compliance The Corps shall complete compliance inspections/audits on XX% of active mitigation banks and in lieu fee programs annually.
	5. Resolution of Non-compliance Issues. The Corps will reach resolution on non-compliance with permit conditions and/or mitigation requirements on XX% of activities determined to be non-compliant at the end of the previous fiscal year and determined to be non-compliant during the current fiscal year.
	6. Resolution of Enforcement Actions. The Corps shall reach resolution on XX% of all pending enforcement actions (i.e., unauthorized activities) that are unresolved at the end of the previous fiscal year and have been received during the current fiscal year.
Expedite Permit Processing	**7. General Permit Decisions.** The Corps shall reach permit decisions on XX% of all General Permit applications within 60 days.
	8. Individual Permits. The Corps shall reach permit decisions on XX% of all Standard Permits and Letters of Permission (LOPs) within 120 days. This standard shall not include Individual Permits with Formal Endangered Species Act (ESA) Consultations.

VII-4. Goals/Performance Measures:

a. Performance Measure 1. Individual Permit Compliance. The Corps shall complete compliance inspections of XX% of all individual permits issued and constructed (or under construction) within the preceding fiscal year (may use compliance certification forms in accordance with NWP General Condition 14 to determine which projects to inspect).

b. Performance Measure 2. General Permit Compliance. The Corps shall complete compliance inspections of XX% of all General Permits (GPs and NWPs) with reporting requirements issued and constructed (or under construction) within the preceding fiscal year (May use compliance certification forms in accordance with NWP General Condition 14 to determine which projects to inspect).

c. Performance Measure 3. Mitigation Site Compliance. The Corps shall complete field compliance inspections of XX% of active mitigation sites each fiscal year. Active mitigation sites are those sites authorized through the permit process and are being monitored as required by the permit conditions but have not met final approval under the permit special conditions (success criteria). The measure does not include mitigation banks and in lieu fee programs.

d. Performance Measure 4. Mitigation Bank/In Lieu Fee Compliance. The Corps shall complete compliance inspections/audits on XX% of active mitigation banks and in lieu fee programs annually.

e. Performance Measure 5. Resolution of Non-Compliance Resolution with Permit Conditions. The Corps will reach resolution on non-compliance with permit conditions and/or mitigation requirements on XX% of activities determined to be non-compliant at the end of the previous fiscal year and determined to be non-compliant during the current fiscal year. Resolution for this measure shall include removal of the fill material, processing of an After-The-Fact permit, a requirement to complete some type of compensatory mitigation (voluntary restoration or payment of in-lieu fees), referral to EPA or Assistant US Attorney (AUSA), or resolution by the requirement for monetary compensation as a punitive measure.

f. Performance Measure 6. Resolution of Unauthorized Activities. The Corps shall reach resolution on XX% of all pending enforcement actions (i.e., unauthorized activities) that are unresolved at the end of the previous fiscal year and have been received during the current fiscal year. Resolution for this measure shall include removal of the fill material, processing of an After-The-Fact permit, a requirement to complete some type of compensatory mitigation (voluntary restoration or payment of in-lieu fees), referral to EPA or AUSA, or resolution by the requirement for monetary compensation as a punitive measure.

g. Performance Measure 7. Processing of General Permits. The Corps shall reach permit decisions on XX% of all General Permit applications within 60 days.

h. Performance Measure 8. Processing of Individual Permits. The Corps shall reach permit decisions on XX% of all Standard Individual Permits and Letters of Permission (LOPs) within 120 days. This standard shall not include Individual Permits with formal Endangered Species Act (ESA) Consultations.

VII-5. General Submission Guidance. Data will be entered into the P2 Program and District/Division resource requests will be generated in a report. A separate Budget (inactive) WBS will be added below the existing WBS. Data will be input to reflect resource needs for the funding levels outlined in VII-9. MSC's must insure that submissions reflect uniform and consistent levels of work effort among the

districts and those submissions accurately reflect the required level of service. Resources required by the division should be programmed under Expenses. However, one Level 1 Regulatory activity should be submitted to cover costs for a single GS-13 Appeal Review Officer at the division. It will not be submitted under a selected district but as a division project.

VII-6. Types of Activities (Projects) and Work Functions. Resource needs under the Regulatory appropriation should be submitted for up to seven activities (projects). Resources will be further identified according to P2 Resource codes. The seven Regulatory activities are Permit Evaluation- 100, Enforcement- 210, Studies-300, Other Regulations-400, Environmental Impact Statements (EISs)-500, Administrative Appeals-600, and Compliance- 800.

VII-7. Definition of Activities (Project) Categories. Regulatory is divided into seven activity categories:

a. Permit Evaluation (100). Includes all costs related to the review and evaluation of permit applications under Section 9, 10, 103 and 404 as well as environmental assessments supporting this review. Cultural resource investigations, jurisdiction determinations, public hearings, and other activities related to application evaluation are included as are general permit development and consideration of activities under general permits. Cost for support items such as automated permit tracking systems or other computer or micrographic support and equipment purchases should be identified in description/argument. All resource requests will be entered in the sub-accounts 110 for Standard Permits (Individual, Letter of Permission and Denial), 120 (General Permits – including development) and 130 (Other permit work not involving specific permits).

b. Enforcement (210). Includes all costs related to those activities associated with unauthorized activities and jurisdiction determinations related to enforcement actions, ground and aerial surveillance, and follow-up on violations. Historically, approximately 18% to 25% of national resources were allocated for enforcement, including compliance costs. Establishment of the Compliance category has necessitated a re-appraisal of the enforcement costs without inclusion of compliance efforts.

c. Studies (300). Includes all costs related to studies such as jurisdiction studies (actual jurisdiction determinations are included under permit evaluation), mapping, wetland studies, shoreline inventories, and collection of data for environmental databases. Resource requests must be grouped by an identified and defined specific study. Studies may be submitted at any level depending on their priority; however, it is recommended that funds for studies be prioritized after all on board (mid FY 06) labor is covered.

d. Other Regulations (400). Includes all costs related to administration of the miscellaneous regulations such as danger zones and restricted areas, plus review of Section 402 applications. Recent security concerns may require a need for funds for administration of restricted areas and danger zones.

e. Environmental Impact Statements (EISs) (500). Includes all costs required for preparation of EISs when Corps is the lead or a cooperating agency. In most cases, these costs are associated with Corps review and management only; applicants are responsible for development and analysis. Approval by the MSC and Headquarters is required where the Corps Regulatory Program proposes to provide more than management and review services for any EIS. Resource requests will be grouped by identified and defined EISs. Any new project-specific EISs will be resourced under the Branch organization codes since review will occur in the Regulatory branch. Some resource requests for programmatic EISs may require support from other offices and those organization codes should be used. All EISs must be identified as either ongoing or projected and the percent probability of the EIS being required should be indicated. Costs associated with the review of non-Corps EISs are included under Permit Evaluation, unless the review is of an in-depth nature requiring more than $5,000. No request for EIS may be submitted where the EIS is not specifically identified. Costs for EIS's may be submitted at Level 1 and 2 if the EIS is on

going or a determination has been made it will be undertaken. An EIS, where there has been a preliminary decision that it will likely be needed, should be placed in Level 3, ranked below any request tied to performance.

f. Administrative Appeals (600). Costs to support one grade 13 Appeal Review Officer, in Level 1, for Regulatory decisions, including travel and related costs, at division offices; and any appeals costs at districts.

g. Compliance (800). Includes all costs related to compliance inspections for a percentage of the authorized activities and mitigation sites (including mitigation banks, in-lieu fee programs, and site specific mitigation). This category includes costs associated with resolution of non-compliance found as part of inspections as well as administrative civil penalties for non-compliance.

VII-8. Definition of Resources.

a. Labor (LABOR). Fully burdened labor costs required to pay salaries and benefits of personnel (except contracted personnel) and normal office operational costs to support these personnel according to the service provided at each level, i.e., only manpower and costs related to manpower necessary to meet the performance measures should be included at that level. Labor will be input by organization code (Regulatory, all support by other District elements, and work by other Corps elements). At the third level, additional manpower may be shown but in requests ranked below those needed to meet the performance goals. Items to include are: overhead costs not separately charged under another P2 resource code such as rent, utilities, communications, computer systems, travel, training, reproduction, supplies, etc.

b. Vehicle Costs (GSAVEH). All projected vehicle costs to perform work at the identified activity level.

c. Printing (PRINTING). All printing costs associated with the identified activity level.

d. Other contractual services (OTHCONSVC). Any contractual services required at the identified activity level. All mission support type contracts must by listed (new or renewal of existing contracts). Examples of work to be shown are: aerial photography; inspection contracts; cost sharing agreements with states or other Federal agencies; contractual personnel; personnel from other agencies paid with Regulatory funds; data gathering contracts.

e. Travel (TRAVEL). All direct-charged travel costs required to meet goals of identified activity level.

f. Any other appropriate P2 resource code required to meet stated Regulatory Program goals. Resources shall be entered at the appropriate activity and funding level.

g. ORM/G-ORM Costs. Costs associated with the migration to ORM 2.0, GIS support, and required hardware support should be provided in supplemental comments and be included in the totals for Level 1 funding. Districts should coordinate with the local IM personnel and Institute for Water Resources (IWR) to develop a strategy to upgrade computer hardware that meet the minimum ORM hardware requirements (or greater) and that meet the federal buy program standards for staff work stations. Districts should consider submitting budget requests for historical data clean up and data management strategies to meet ORM 2.0 data entry standards.

VII-9. Funding Levels and Increments. District Regulatory resource requirements should be submitted in three Funding Levels including Increments for performance, non-performance mandatory work, and non-mandatory non-performance related work as described below. The Level 1 Funding program is designed to provide a balanced, fully operational, albeit reduced, program with the performance targets specified in Increment 1.

Costs to support more than one performance measure may be combined provided the request includes only costs to meet the measures for one of three program categories (permit evaluation, enforcement, and compliance). For Performance Measure 8, insure funds are included to process all Individual Permits while meeting the standard for those permits with no ESA requirement. Funding arguments should indicate differences or similarities with current levels of effort. Requests for new FTEs (not authorized in mid FY 2005) must be identified as new FTEs in the Labor resource description. Increment 2 and Increment 3 reflect the additional resources required to meet performance measure targets indicated below. Total Funding levels for Level 1 should include Increment 1 and any additional resources required for Increment 4, mandatory non-performance related work (Includes work in categories 130, 400, and 600. Resource requests for Increment 5 (high priority SAMPS and/or other watershed management plans, GIS analytical tools, acquisition of spatial data sets, and/or development of spatial assessment tools may be submitted within Total funding for Level 2 or 3 if they will provide significant benefit to management of the program workload.

a. **Increment 1**. Resource requests should be submitted with Increment 1 (minimum) requirements allowing the performance as defined below. Increment 1 reflects the FY 06 performance targets that are currently in place. Increment 1 was designed to provide a balanced, fully operational, albeit reduced, program with the following performance targets.

Compliance requests(s) to meet the following levels of performance:

Performance Measure 1	Individual Permit Compl Insp	Level 1 Target: 15%
Performance Measure 2	General Permit Compl Insp	Level 1 Target: 5%
Performance Measure 3	Mitigation Site Compl Insp	Level 1 Target: 15%
Performance Measure 4	Mitigation Bank/ILF Compl Insp	Level 1 Target: 50%
Performance Measure 5	Resolution of Non-compliance	Level 1 Target: 25%

Enforcement requests(s) to meet the following level of performance:

Performance Measure 6	Resolution of Unauthorized Activities	Level 1 Target: 25%

Permit Evaluation requests(s) to meet the following levels of performance:

Performance Measure 7	Processing of General Permits	Level 1 Target: 90%
Performance Measure 8	Processing of Individual Permits	Level 1 Target: 65%

b. **Increment 2**. The incremental increase of all resource requests at Increment 2 should allow the district to provide (but not exceed) the following increased levels of service and performance. Increment 2 was designed to meet the performance goals for permit processing along with an increase in compliance and enforcement efforts from Increment 1. Some additional requests, not directly contributing to meeting the measures may be submitted provided they are essential to support the other resources needed to meet the performance targets below.

Compliance request(s) to meet the following levels of performance:

Performance Measure 1	Individual Permit Compl Insp	Level 2 Target: 20%
Performance Measure 2	General Permit Compl Insp	Level 2 Target: 10%
Performance Measure 3	Mitigation Site Compl Insp	Level 2 Target: 20%
Performance Measure 4	Mitigation Bank/ILF Compl Insp	Level 2 Target: 75%
Performance Measure 5	Resolution of Non-compliance	Level 2 Target: 30%

Enforcement request(s) to meet the following level of performance:

Performance Measure 6	Resolution of Unauthorized Activities	Level 2 Target: 30%

Permit Evaluation request(s) to meet the following levels of performance:

Performance Measure 7	Processing of General permits (Level 1 meets stated goal for Performance Measure 7)	None required
Performance Measure 8	Processing of Individual Permits	Level 2 Target: 75%

c. Increment **3**. Additional incremental requests should be submitted to meet the increased performance standards identified below for Level 3. The requirements for the Level 3 requests represent the fully funded program, meeting all stated Program Objectives. After requests have been submitted to meet the performance targets, additional, non-mandatory requests to enhance the program may be submitted. NOTE: Districts which are currently exceeding any of the performance measure targets in Level 3, costs for manpower in these areas should be redirected to work to support the other performance measures.

Compliance package(s) to meet the following levels of performance:

Performance Measure 1	Individual Permit Compl Insp	Level 3 Target: 50%
Performance Measure 2	General Permit Compl Insp	Level 3 Target: 20%
Performance Measure 3	Mitigation Site Compl Insp	Level 3 Target: 30%
Performance Measure 4	Mitigation Bank/ILF Compl Insp	Level 3 Target: 100%
Performance Measure 5	Resolution of Non-compliance	Level 3 Target: 40%

Enforcement package(s) to meet the following level of performance:

Performance Measure 6	Resolution of Unauthorized Activities	Level 3 Target: 40%

Permit Processing Requirements — None required
(Level 2 meets stated goal for Measures 7 and 8).

d. Increment 4. All mandatory, non-performance related work (e.g. work in categories 130, 400, 600)

e. Increment 5. All non-mandatory, non-performance related work (e.g. work in categories 300 and 500)

VII-10. FTE Output Measures. All requests for Regulatory labor shall result in a calculation of FTEs by one of the P2 tools. *IMPORTANT*: In order to insure that labor requests are funded, districts should be certain that the appropriate number of FTEs is reflected; a zero will result in a resource request being ranked below most labor-related requests and possibly not being funded. Division Offices should check FTE calculations thoroughly.

VII-11. Points of Contact. Questions pertaining to policies, procedures, or format of the Regulatory Program activity should be referred to HQUSACE, Dr. Mark Sudol, (202) 761-8560 or Margaret Gaffney-Smith at (202) 761-4229.

VII-12. Submission Requirements. The suspense date for submission of required materials from divisions is 30 June 2006.

VII-13. Division Funding & Staffing Summary. Each district will prepare and submit electronically to its division office the funding and staffing information summary in Table VII-2. Staffing summary should be developed from the resource requirements of each Funding Level and created in P2. Divisions will forward these to HQUSACE (Mark Sudol or Meg Gaffney-Smith) electronically in an excel table format and also prepare and submit a division-level Table (same format as Table VII -2). The division table will sum district amounts for each category and level (cumulatively and by district). Divisions will also forward copies of the individual district tables to headquarters. Divisions will include the division office amounts for Administrative Appeals to the summary table.

Table VII-2

Division/District: Example

Funding Summary

($000)

Funding Level	Increment 1. Performance for Mandatory Accounts	Increment 2. Performance for Mandatory Accounts	Increment 3. Performance for Mandatory Accounts	Increment 4. Mandatory, Non-performance related work	Increment 5. Non-Mandatory, Non-performance related work	Funding Level Total	FTE Totals (Reg Staff/All)
Funding Level 1							
Funding Level 2							
Funding Level 3							

APPENDIX VIII
WATER SUPPLY

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Appendix VIII
WATER SUPPLY

VIII.1. Background. The Corps of Engineers has provided water supply storage space in its multi-purpose reservoirs for many years. Based on 2005 data, approximately 9.76 million acre feet of municipal and industrial (M&I) water supply storage space are included in 136 reservoir projects in 25 states plus Puerto Rico. Approximately 96% of this storage is under contract for present or future use. Although the primary responsibility for developing water supplies for domestic, municipal, industrial and other purposes rests with State and local interests, M&I storage space may be recommended for inclusion in any Corps reservoir pursuant to the Water Supply Act of 1958. Studies associated with reallocation of water for M&I and/or environmental purposes; although not considered low priority, must compete with all activities in a constrained budget environment.

VIII.2. Purpose. As one of the nation's largest water management agencies, the U.S. Army Corps of Engineers plays an important role in ensuring that Americans have enough water to meet their needs. The Water Supply program currently provides some 3.8 billion gallons of water per day to allow State and local interests to supply cost-effective water to homes, businesses and farms nationwide.

VIII.3. Goals and Objectives. Table VIII-1 immediately below displays the Water Supply Program Objectives and Performance Measures published in the March 2004 Civil Works Strategic Plan. The CW Strategic Plan was developed with an explicit assumption of an unconstrained resource environment to encourage an unconstrained assessment of the nation's water resources needs and potential Corps response. Preparation of the FY 08 Budget Request requires the recognition of a constrained budget environment and the ongoing effort to evolve better budget linked performance measures.

TABLE VIII-1
Water Supply Objectives and Performance Measures

Program Objectives	Performance Measures
In partnership with non-Federal water management plans and consistent with law and policy, manage Corps reservoirs to provide water supply storage in a cost efficient and environmentally responsible manner.	Acre-feet of storage under contract versus acre-feet available. Percentage of costs covered by revenues returned to Treasury.

VIII.4. Performance Measures.

a. The Corps Water Supply program is well established and valued, however our capability to continue to supply storage is dependent on our ability to demonstrate cost-efficiency of water storage and need for additional storage space for water supply purposes. OMB suggested the performance measures contained in Table VIII-1 as part of the deliberations on the Corps Strategic Plan. Both measures reflect on the ability of the Water Supply program to return revenues to the Treasury. In that regard a secondary program objective will be to increase revenues to the Treasury through the reallocation of storage space from other authorized purposes and the timely collection of payments from existing water supply contracts. The Corps water supply program is very cost effective. Our 2004 data show an annual collection of $16.8 million in principal and interest (P&I) payments and an additional collection of $10.0 million for O&M expenditures. The cost to the districts to collect this $26.8 million is $1.3 million. In addition, $176.2 million in P&I has already been collected in those cases where the P&I was

repaid prior to or during construction. All collections are returned to the U.S. Treasury as miscellaneous receipts.

b. For the purposes of budget development, the term "acre-feet available" will be defined as acre feet of storage authorized for M&I water supply. For the performance measure “percentage of costs covered by revenues returned to Treasury”, the **water supply costs** will be defined as the sum of the annual water supply portion of joint-use O&M costs plus any specific costs associated with the water supply purpose, e.g., studies, collections, operation and maintenance of specific water supply facilities, administrative costs associated with managing and maintaining water supply storage agreements, etc. **Water supply revenues** will be defined as the annual water supply repayment of investment or capital costs plus the annual water supply payment of joint-use and specific O&M costs. These water supply costs and revenues will be assigned to the water supply purpose.

c. This development of specific and joint-use costs and the assignment of these costs to the water supply purpose is a continuation of the feature initiated in the FY 07 budget. The joint-use costs to be assigned to water supply are determined by the water supply agreements in effect with each of our water supply sponsors.

d. In order to achieve the above objective, we are establishing minimum funding levels, to assure uniformity across the country in building annual budgets from the same point. The minimum program is defined by the criteria below for each appropriation.

(1) I:

(a) No new starts. Previously budgeted studies and surveys including reallocations only.
(b) Remaining items (like the Section 22 program, etc).

(2) C:

(a) No new starts.

(3) O&M.

(a) Sufficient to meet minimum legal responsibilities for operation and safety including monitoring for drought conditions and management of water control and quality activities for water supply.
(b) Costs to manage, modify and maintain existing water supply agreements including any cost associated with lawsuits and the renegotiation of expiring agreements etc.
(c) Costs associated with billings and collections including delinquent payments.
(d) Previously budged studies excluding reallocation studies, which migrate to I after initial assessments (see Annex C).
(e) Costs associated with operation and maintenance of specific water supply conduits and making project gate changes specifically for water supply.
(f) Remaining items.

e. Table VIII-2 on the following page displays the program objectives and ranking criteria which supports and / or supplements Table VIII-1 objectives and performance measures to reflect the near term realities of a constrained FY 08 budget environment.

TABLE VIII-2
Budget Ranking Criteria

Objectives	Ranking Criteria
In partnership with non-Federal water management plans and consistent with law and policy, reallocate storage space from other project purposes.	Acre-feet of storage under study versus cost of study. .
Insure the timely collection of payments from existing water supply contracts	Revenues collected versus cost of collection.

VIII.5. Rating and Ranking Criteria for FY 08 Budget Development. I studies, at the reconnaissance or feasibility level, or O&M funded initial assessments evaluating reallocation of storage space from other project purposes that will otherwise increase revenues to the Treasury will be given priority for budgeting purposes. Priority will be based on the above performance measure, acre-feet of storage versus cost of study, with consideration given to studies that are multi-objective in scope such as watershed/comprehensive studies.

VIII.6 Special Considerations or Special Rating Criteria. The work category codes for water supply are described in Annex C. For joint costs, the districts will use P2 and the appropriate work category codes to request funds for joint cost operations activities and joint cost maintenance activities for each project. These requests should be placed in the appropriate increment based on performance metrics. When P2 is loaded into PRISM, the PRISM system will assign the appropriate phase code (OJ or MJ) and assign the joint cost to the primary business line. The joint cost activities will be ranked in that business line according to its criteria.

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SUBANNEX A-1
INVESTIGATIONS
(RCS CECW-B-12)

A-1.1. Applicability. This annex provides Program guidance and procedures for all activities in the Investigations (I) appropriation title and comparable ones from the Flood Control, Mississippi River and Tributaries (MR&T) appropriation title, where appropriate. A listing of all I activities follows. MR&T activities are listed only when applicable. The list identifies the location of guidance within this annex for each Category/Class/Subclass and categorizes the responses that Divisions are required to make by this EC.

Activity	Category/ Class/ Subclass		Guidance Provided in Subannex	Division Response (Yes or No)
	I	MR&T		
Navigation Studies	901-110			
Navigation - Reconnaissance	-111	908-111	A-2	Yes
Navigation - Feasibility	-112	-112	A-2	Yes
Flood Damage Prevention Studies	-120			
Flood Damage Prevention - Reconnaissance	-121	-113	A-2	Yes
Flood Damage Prevention - Feasibility	-122	-114	A-2	Yes
Shoreline Protection Studies	-130			
Shoreline Protection - Reconnaissance	-131		A-2	Yes
Shoreline Protection - Feasibility	-132		A-2	Yes
Special Studies	-140			
Special - Reconnaissance	-141	-115	A-2	Yes
Special - Feasibility	-142	-116	A-2	Yes
Ecosystem Restoration Studies	-TBD			
Ecosystem Restoration-Reconnaissance	-143		A-2	Yes
Ecosystem Restoration Feasibility	-144		A-2	Yes
Watershed/Comprehensive Studies	-150			
Watershed/Comprehensive - Reconnaissance	-151	-117	A-2	Yes
Watershed/Comprehensive - Feasibility	-152	-118	A-2	Yes
Special Investigations	-171		A-3	Yes
FERC Licensing Activities	-172		A-3	Yes
Interagency Water Resources Development	-173		A-3	Yes
Inventory of Dams	-174		NA	No
National Estuary Program	-175		A-3	Yes
North American Waterfowl Management Program	-176		A-3	Yes
National Marine Fisheries Program	-177		A-3	Yes

Activity	Category/ Class/ Subclass		Guidance Provided in Subannex	Division Response (Yes or No)
	I	MR&T		
Interagency and International Support	901-178		A-3	Yes
Coordination with Other Water Resources Agencies	-181		A-3	Yes
Water Quality Management	-184		NA	No
Coastal Zone Management	-185		NA	No
Planning Assistance to States	-186		A-3	Yes
National Wild & Scenic Rivers System	-187		NA	No
Technical and Engineering Assistance on Shore and Streambank Erosion (Sec 55)	-188	908-119	NA	No
Legislative Phase I Studies (FDP)	-194	-132	A-2	Yes
Collection and Study of Basic Data	NA	-120	NA	No
Stream Gaging	-210		NA	No
Precipitation Studies	-220		NA	No
International Waters Studies	-240		A-3	Yes
Flood Plain Management Services	-250		A-3	Yes
Hydrologic Studies	-260		A-3	Yes
Scientific and Technical Information Centers	-270		NA	No
Coastal Field Data Collection	-280		NA	No
Transportation Systems	-291		NA	No
Environmental Data Studies	-292		NA	No
Flood Damage Data	-295		NA	No
Automated Information Systems Support	-294		NA	No
Research and Development	-300		NA	No
	-500		NA	No
Preconstruction Engineering and Design				
Projects not yet Authorized for Construction	-400	-140	A-2	Yes
Ecosystem Restoration Projects	-410			
Navigation Channels and Harbors	-421	-141		
Navigation Locks and Dams	-422			
Watershed/Comprehensive Projects	-430			
Shoreline Protection	-440			
Flood Control, Local Protection	-451	-142		
Flood Control Reservoirs	-452			
Multiple Purpose Power	-460			
Projects Authorized for Construction	-600	-160	A-2	Yes
Ecosystem Restoration Projects	-610			
Navigation Channels and Harbors	-621	-161		
Navigation Locks and Dams	-622			
Watershed/Comprehensive Projects	-630			
Shoreline Protection	-640			
Flood Control, Local Protection	-651	-162		
Flood Control Reservoirs	-652			
Multiple Purpose Power	-660			

A-1.2 Organization and Structure. Subannex A-2 includes all specifically Programmed activities – Reconnaissance and Feasibility Studies, Restudies/Reviews, and Preconstruction Planning and Design (PED). It provides guidance on feasibility studies and PEDs, including new starts. Subannex A-3 covers all other activities funded by the Investigations appropriation title and the Flood Control, Mississippi River and Tributaries counterparts.

A-1.3 Definitions. The following definitions are provided to assist you in identifying surveys and projects to be included in the submission of the Investigations program. Please refer to the following definitions when choosing one of the above-mentioned cat/class/subclass designations. A multi- purpose study or project must be identified with the heading of the primary purpose of the particular study or project and not multi-purpose. For example, watershed studies will be flagged separately in PRISM, they could be a study with the primary output of Ecosystem Restoration (or another purpose such as Flood Damage Reduction) but still have watershed objectives. Please use the ccs designated for the reconnaissance phase or the feasibility phase of the study and not those identified as the category heading, e.g. the 110, 120, 130, 140, 150, these particular ccs's should only be used in rare instances when the work does not fit into the reconnaissance or feasibility phases and/or occasionally for a HQ national study which does not fall under the Survey level of effort, but fits into the Remaining Items categories e.g. ccs 140 for Special Studies. Although the Ecosystem Restoration ccs's are listed under the Special Studies heading, they are clearly identified as a national priority output the same as navigation, flood damage prevention and shoreline studies.

a. Navigation Studies. Navigation studies seek to provide safe, reliable, and efficient waterborne transportation systems (channels, harbors, and waterways) for movement of commerce, national security needs, and recreation.

b. Flood Damage Reduction Studies. Studies seek to prevent or reduce flood damages through the use of structural or non-structural measures. Structural measures include dams with reservoirs, dry dams, channelization measures, levees, walls, diversion channels, ice-control structures, and bridge modifications. Non-structural measures reduce flood damages without significantly altering the nature or extent of flooding by changing the use made of the flood plains, or by accommodating existing uses to the flood hazard Non-structural measures are flood proofing, permanent relocation of structures, flood warning/preparedness systems, and regulation of flood plain uses.

c. Shoreline Protection Studies. Studies seek to provide hurricane and storm damage reduction caused by wind-generated and tide-generated waves and currents along the nation's ocean coasts, Gulf of Mexico, Great Lakes and estuary shores.

d. Ecosystem Restoration Studies. Studies seek to identify means to restore degraded ecosystem structure, function, and dynamic processes to a less degraded, more natural condition. This does not include actions normally considered to be remediation of hazardous material.

e. Watershed/Comprehensive Studies. Watershed studies are planning initiatives that have a multi-purpose and multi-objective scope and accommodate flexibility and collaboration in the planning process. Possible areas of investigation include flood damage reduction activities, ecosystem restoration, navigation, water supply, and recreation. Districts are encouraged to pursue this approach.

- Requires consideration about water resources development and management in the context of multiple purposes rather than single purposes, and, thus, facilitates the search for comprehensive and integrated solutions.

- Improves opportunities for public and private groups to identify and achieve common goals by unifying on-going efforts and leveraging resources.
- Identifies a combination of recommended actions (a Watershed Management Plan) to be undertaken by various partners and stakeholders in order to achieve local, tribal, regional, and national water resources management goals identified in the study and may or may not identify further budgetable Corps studies or implementation projects.
- Leverages resources, including cost shared collaboration, and integrates programs and activities within and among Civil Works programs, and with other Federal, tribal state and non-governmental organizations, to improve consistency and cost effectiveness;

f. Special Studies. This category should be used only in special cases, where the survey or project has a National perspective and is not tied to one project purpose or business line; most often these will be HQ funded items.

g. Reconnaissance Phase completion: The Reconnaissance phase ends with the execution of a feasibility Cost Sharing Agreement or a report recommending no Federal action.

h. Feasibility Phase completion: The Feasibility phase ends on the **date the Division Engineer's Transmittal of the final feasibility report to Headquarters.**

i. PED Phase completion: The PED phase ends after completing the first set of plans and specifications or when the PCA is executed.

j. NEW START is defined as an active authorized study or project which has not received an initial work allowance and that fits into at least one of the following business lines: navigation; flood and storm damage reduction; environmental restoration, water supply, hydropower or recreation. The New Start definition will apply to Recons, PEDs in certain circumstances, and Construction Projects, as well as any new efforts under the Remaining Items category. For Feasibilities, see New Phase definition.

k. NEW PHASE: A study or project is considered to be in a NEW PHASE once it has completed the current phase that is funded and ready for budgeting in the follow-on phase, e.g. from Reconnaissance to Feasibility or Feasibility to PED, e.g. Seamless PEDs are also considered to be a new phase. Funding increments for all phases will be identified by an action code in PRISM; For a new recon, you should enter: New Phase (NP), however, once a study is underway, an action code will then be entered into PRISM as follows, continuing (CN); Last year of phase (LY) .

SUBANNEX A-2
SPECIFICALLY PROGRAMMED STUDIES AND PROJECTS - NEW AND CONTINUING

A-2.1. Ten-Year Programs.

a. **Overview and Objectives.** The major objective of the Investigations program is to study and design projects that provide solutions to water resources problems. Each division's ten-year program should be developed and conducted in such a manner that an orderly flow of urgently needed, properly designed, locally supported projects that are in accord with current policies and priorities are available for inclusion in the Corps construction program. The reconnaissance phase must be programmed not to exceed 12 months, unless written approval has been received from HQUSACE (HQUSACE - RIT) to extend beyond 12 months, and the feasibility study period should be 36 months or less. Preconstruction engineering and design (PED) for most projects should be scheduled for accomplishment within two years of completion of the feasibility report with engineering annex. In such a manner a project can be made available for construction about six years after initiating the reconnaissance phase.

b. **Initial Level**.

(1) Studies: The initial level for each study will be no more than the amount in the PY-1 budget for that study. If a study budgeted in PY-1 will be completed in PY-1 or is no longer likely to produce a high performing project, the initial level for that study will be zero.

(2) PEDs: The initial level for each PED will be no more than the PED amount in the PY-1 budget for that PED. For PEDs that could be funded for the first time in the PY, the initial level will be zero. If a continuing PED is no longer likely to produce a high performing project, the initial level for that PED will be zero.

(3) Remaining items (R&D, data collection, PAS, etc) – initial level will be established by HQ.

c. **Capability Level.** (PRISM LVL C). The items in this level represent the maximum that could be executed in the PY. The Capability level funding for each fiscal year, including inflation allowances, should reflect the amounts that can realistically be **obligated** during the 10-year period, PY through PY+ 9, based on in-house technical capability and a realistic financing capability on the part of the non-Federal project sponsor. It is extremely important that Districts and Divisions (MSCs) carefully consider Capability level amounts, and not merely copy the Initial Level amounts into the Capability Level unless the Initial Level amounts actually reflect their Capability Level efforts.

A-2.2. Performance Based Budget Increments.

a. **Ranking.** Please refer to Appendices I-VIII for the specific performance measures and ranking criteria for each business line. The performance measures developed by each business line will be used to add each item to the proposed budget.

b. **CECW Program.** CECW will review the I portion of the Civil Works Program considering the national criteria in effect mid-summer PY-2 and guidance from ASA(CW) and OMB. CECW may increase or decrease the total for I. Once the initial level is established, investment increments will be added in accordance with priorities in each business line. To be considered for inclusion in the FY 08 program each study must meet the following criteria prior to applying the business line performance/ranking criteria:

- be in accord with current policy
- urgency of implementation of problem solution
- have local support for continuation of activity
- likely participation of non-Federal sponsor in implementation of solution
- scheduled activity completion date
- compliance with NEPA and other environmental regulations appropriate for the stage of the effort.

A-2.3. Program Description and Procedure.

a. **Project Development Process**.

(1) **In General**. The development of each new project or separable element will adhere to the standard project development process, as follows.

(a) **Studies**. There will be a two-phased study leading to a feasibility report in accordance with sections 905 and 105 of the Water Resources Development Act (WRDA) of 1986, as amended. A feasibility report is needed to support environmental compliance, policy review, engineering and design, and a project cooperation agreement (PCA). A feasibility report will be prepared even in those instances where the project or separable element is authorized before completion of the feasibility report. The feasibility phase will be carried out under a cost shared feasibility cost sharing agreement (FCSA), except for feasibility studies carried out before WRDA 1986 took effect, feasibility studies for inland waterway projects, and studies to dispose of or reduce costs at existing Federal projects.

(b) **Preconstruction Engineering and Design (PED)**. PED will begin after issuance of the Division Engineer's Transmittal Letter of the final feasibility report and will be carried out under a design agreement until execution of the applicable PCA. The design agreement will provide for concurrent financing of design 75 percent Federal and 25 percent non-Federal. When construction is initiated, the design costs will be folded into total project costs and the Federal and non-Federal shares will be brought into balance in accordance with the cost sharing in the applicable PCA. A design agreement is not required for the following: an inland waterway project; a dam safety assurance, seepage correction, or static instability correction project; a major rehabilitation project; deficiency correction at a Federally operated project; or a project or separable element for which the non-Federally financed portion of engineering and design during construction costs alone would exceed the total non-Federal cash share for the project or element, the non-Federal share is reduced under ability to pay rules, engineering and design during construction costs are less than $100,000, or engineering and design was initiated before FY 1997.

(c) **Budgeting**. All studies and all PEDs, engineering and design during construction activities for new projects and separable elements that are consistent with policy will be budgeted as studies and PED, respectively, in the Investigations account or the study/design portion of the Flood Control, Mississippi River and Tributaries (MR&T) account. However, engineering and design during construction may be budgeted in the Construction account or the construction portion of the MR&T account if the applicable project or element is authorized, is supported by the Administration for construction, and either is budgeted as a new start or has received construction appropriations.

(d) **Post-Feasibility Modifications**. Once the feasibility report has been completed for a project, additional engineering and design, economic and environmental analyses, and evaluations often result in the identification of potential project modifications. Each potential modification that is identified (whether during PED, pre-PCA engineering and design during construction, or during design and construction under a PCA) should be subjected to a reconnaissance-level examination to determine whether the

modification so changes or would change project scope or functions, beyond the scope and functions described in the completed feasibility report, that it required or would require additional authorization, beyond the current authorization or the authorization contemplated in the completed feasibility report.

(1) Examination and documentation of a simple cost increase without a change in scope or functions may be undertaken as part of PED or construction. If additional authorization is required as a consequence of the simple cost increase, a Post-Authorization Change Report should be prepared.

(2) Examination and documentation of design changes that would not require additional authorization may be undertaken as part of PED or construction. However, if such design changes are material changes to the basic project features or output levels and the original project already is covered by a PCA, work on the material changes should be undertaken under a design agreement, and construction of the material changes should not be commenced until the PCA has been amended to reflect the material changes.

(3) A modification that required or would require authorization beyond the current authorization or the authorization contemplated in the completed feasibility report, and that extends, expands, or adds functions to the original project described in the completed feasibility report, is beyond the scope of the original project. If such an added function is physically integral to the original project, the modification will be treated as a substitute plan and, if the substitute plan is pursued, work on the original project will be suspended, then concluded in an orderly manner. An extension, expansion, or physically separable added function will be treated as a new project if it is unauthorized or is separately authorized, or it will be treated as a new separable element if it is authorized as a modification to the original project. Following the reconnaissance-level examination, the substitute plan, new project, or new separable element will be developed in accordance with the standard project development process discussed above, beginning with its own feasibility study.

(4) **The development of a new project (including a substitute plan) or a new separable element will not be undertaken as a "reevaluation" of the original project, and will not be funded as part of engineering and design or construction of the original project.** However, once the feasibility report for a new separable element has been completed, the new separable element may be included in PED, engineering and design during construction for the project along with other separable elements, and may be included in the PCA for the modified project if the new separable element is authorized and has received construction funds.

b. **Feasibility Studies.**

(1) **Description.**

(a) **Regular Studies.** This encompasses all studies in Codes 901-110 through 153 and 908-111 through 118 and includes continuing studies, Federally funded and cost-shared, and new starts for reconnaissance phase studies. Cost sharing is not applicable to single purpose inland navigation studies on the nations inland waterways system in accordance with ER 1105-2-100, para 2-12.b.(4).

(b) **Review of Completed Projects.** A reconnaissance and then a feasibility phase at 50-50 cost sharing will be required for all studies, including studies of reconstruction projects, unless the sole purpose of study is to dispose of a Federal project or reduce Federal expenses (i.e., disposal or turn over to local interests lock and dam projects with little or no commercial traffic). In this case the funding will be 100% Federal. For studies utilizing the "Review of Completed Projects" (Section 216) authority there must be an initial appraisal or reconnaissance report prepared using O&M funds under Inspection of

Completed Works or individual projects prior to recommending a new start (reconnaissance or feasibility depending on the depth of study under O&M) under the Investigations Program. The initial appraisal or reconnaissance report prepared under the O&M program should be limited to an expenditure of $20,000. If more than $20,000 is required, approval should be requested from CECW-I, including sufficient information to justify the additional expenditure. Review of an operating Corps project may provide an effective mechanism for evaluating problems and opportunities in a watershed context. In such cases, the initial appraisal would be the vehicle for determining whether the project meets current day needs as well as identifying key stakeholders for participation in the subsequent feasibility process. The studies/projects programmed in accordance with this paragraph should utilize the appropriate Category/Class/Subclass (CCS) of paragraph A-1.1 that correlates with the Business Line when initiating a new phase and discontinue the use of the 160 CCSs.

(2) **Eligibility and Selection for Funding.**

(a) **New.** New starts include all active authorized feasibility studies which have not received an initial work allowance and are eligible for funding based on their justification. The needs to be addressed should be of broad national scope and significance and should include at least one of the following: commercial navigation; inland navigation; flood damage reduction; hurricane and storm damage reduction; ecosystem restoration, and reallocation of existing storage or addition of storage to an existing project that would increase vendible outputs where there is no construction cost to the Federal government;. Final selection for inclusion in the program will require justification on the specifics and history of the need or problem and evaluation of the extent to which the proposed effort meets the appropriate business line performance and ranking criteria. The justification should be able to demonstrate the urgency for funding of the reconnaissance phase in the PY. In addition, based on recent expression of community interest, the Division Commander should believe there is a potential sponsor for the feasibility phase, one who understands the two-phase process and who would be willing to participate. Funds to initiate a new reconnaissance study will be issued with initial FY work allowances; however, the 12-month reconnaissance phase will be measured from the date of initial obligation of funds. Proposals for new Reviews of Completed projects must be accompanied by the completed initial appraisal or reconnaissance report prepared with O&M funds.

(b) **Continuing.** All active authorized continuously funded studies or previously funded cost shared studies that local interests fully support and that are judged likely to lead to implementation of a solution are eligible for funding in the PY. In addition, the study must address at least one of the needs of commercial navigation, flood damage reduction, hurricane and storm damage reduction, or ecosystem restoration. Continuing studies include feasibility studies resulting from an approved 905b reconnaissance report and a certified reconnaissance phase. These studies may be budgeted as continuing “spinoff” feasibility studies, however, they must have been clearly identified in the certified reconnaissance report to be included in the budget. When a certified reconnaissance phase identifies more than one “spin-off” feasibility study, one of those feasibility studies may carry the same PWI number as the parent reconnaissance study. Each additional “spin-off” study will be given a new PWI number and each one must be budgeted separately. Normal feasibility cost-sharing rules apply. Justification sheets should identify the original 905b authorization for continuity and to provide an audit trail. “Spin-off” feasibility studies should be clearly identified in the parent reconnaissance phase. Studies not clearly identified in the reconnaissance phase may not be considered continuing studies and will require a new start decision.

(c) **Resumption.** A Investigations resumption is a study which was stopped but can now be resumed. Specifically a study that (1) was not included in the PY-1 Program or was not funded in the conference report which accompanied the PY-1 appropriation act and (2) was not funded in the conference report which accompanied the PY-2 appropriation act is a resumption. Where resumption of

a feasibility study, that has heretofore been fully Federally funded, is proposed, the PY request will be for an update of the reconnaissance phase consistent with current policies at full Federal expense. Further work on the feasibility phase will be cost shared 50-50, except for inland navigation. Resumptions will be subjected to review in the same manner as New Starts.

c. **Preconstruction Engineering and Design (PED).** PED is concurrently financed with non-Federal sponsors. Sponsors must assure that they understand and are ready to sign a design agreement and have funds available to finance the PED portion of the design of a project. PED will ultimately be cost shared at the rate for the project to be constructed but will be initially financed through the PED period at 25% non-Federal. Any adjustments that may be necessary to bring the non-Federal contribution in line with the project cost sharing will be accomplished in the first year of construction. There are five programs of PED.

(1) **Description.**

(a) **PED Under the Concepts of Two-phase and Cost-shared Planning.** PED that are justified and result from cost shared studies conducted under the two phase procedures may be programmed and justified as a continuing activity. Subject to the availability of funding, initial funding will be programmed in the fiscal year the feasibility report with engineering annex is completed. Normally funds will be allotted immediately after the Division Engineer's Transmittal Letter. The intent is to include PED in the Program request as continuing activities as long as the anticipated project to be recommended is in accord with current priorities and a non-Federal sponsor is ready to contribute 25% of the PED cost during PED by stating their readiness to sign a design agreement. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction, including in most cases the plans and specifications for the first significant contract. The project data summary, Illustration A-2.5, includes a data element to distinguish PEDs in this group from the other PED types.

(b) **Traditional PED.** This is PED on projects that have resulted from feasibility studies that were not accomplished under the two phase, cost-shared planning process. Normally, initial funding will be programmed in the fiscal year the feasibility report is completed. Funds will be allotted immediately after the Division Engineer's Transmittal Letter if the funds have been Programmed and appropriated. These projects will have to compete for new start status and will not be included in a Program request as a new start unless specifically approved by the ASA(CW) and concurred in by the OMB and a non-Federal sponsor is ready to contribute 25% of the PED cost during PED by stating their readiness to sign a design agreement. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction, including in most cases the plans and specifications for the first significant contract.

(c) **PED for Projects Authorized for Planning and Engineering Only.** PED for projects authorized for planning and engineering by the Water Resources Development Act of 1986 are included in this group. These projects will be Programmed for initiation of PED only after new start selection by ASA(CW) and concurrence by OMB. By definition, the planning and engineering phase will include all work required to submit a feasibility report with engineering annex, and will be cost shared 50/50 with a non-Federal sponsor. In accordance with Section 301 of Water Resources Development Act of 1990, if the sponsor provides 50 percent of the cost of the feasibility study the design phase will be treated as cost of construction. The design phase will include all work after the feasibility phase, including the Design Documentation Report (DDR) and plans and specifications for the first significant contract, and will be cost shared according to project purpose. A non-Federal sponsor must be ready to contribute 25% of the PED cost during PED by stating their readiness to sign a design agreement. Normally, there

will be no reconnaissance phase for these projects. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction.

(d) **PED for Inland Navigation Projects.** PED for inland navigation projects will be programmed in accordance with the instructions in paragraph b(1)(a) above, except that a non-Federal sponsor for financing 25% of the PED phase is not necessary.

(e) **Other PED.** PED for projects which are not adequately described by the preceding subparagraphs of section A-2.3.b.(1). Normally, initial funding will be programmed in the fiscal year the supporting report is completed. These projects will have to compete for new start status and will not be included in a program request as a new start unless specifically approved by the ASA(CW) and concurred in by the OMB and a non-Federal sponsor is ready to contribute 25% of the PED cost during PED by stating their readiness to sign a design agreement. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction, including in most cases the plans and specifications for the first significant contract.

(2) **Eligibility and Selection Criteria.**

(a) **New.** Potential new starts described under A-2.3.b. (1) (b)(c) and (e) above include all active projects/ studies which have not received an initial work allowance for PED (Codes 901-4xx or 6xx and 908-14x or 16x) or projects that were reclassified to "inactive" or "deferred" categories and subsequently reclassified to "active" which meet the following:

(1) A Division Engineer Transmittal Letter recommending the project will be issued by June of the PY,
or the project was authorized for planning and engineering only by the Water Resources Development Act of 1986; and

(2) The project has net economic benefits at the current interest rate, or ecosystem restoration benefits that exceed the cost; and

(3) The primary project outputs are commercial navigation, inland navigation; flood damage reduction; hurricane and storm damage reduction; or aquatic ecosystem restoration; and

(4) There is no major unresolvable controversy or issue; and

(5) There is an identified and willing sponsor who understands and has the ability to finance PED at the 25% rate and has the ability to finance the items of local cooperation for construction.

(6) The project is in compliance with applicable environmental statutes appropriate to the current stage. Or below

(7) An Environmental Assessment/Finding of No Significant Impact has been signed, or final EIS has been filed, or final EIS supplement is scheduled for filing with EPA by August of the PY-2.

(8) Prioritization will be based on the criteria for the appropriate business line as discussed in Appendices 1-8.

(b) **Continuing.** Any active project for which PED funds were previously and continuously (see paragraph A-2.3b.(2)(a)) appropriated or any project that has resulted from cost-shared studies conducted under the two phase procedure may be included if the following are met:

- there is a strong probability of implementing a solution; and
- the activity meets all criteria under subparagraph (a) above.

(c) **Resumption**. PEDs previously funded but with no conference allowance in the prior three fiscal years will be treated as resumptions and subject to review in the same manner as new starts.

A-2.4. Program Considerations.

a. Cost estimates and the schedules presented to Congress should be considered an upper limit and where possible the studies should be concluded sooner and at less cost. Any proposed cost estimate increase which results from an increase in study scope (except for inland navigation) will require a commitment to study cost sharing of the additional study effort by the non-Federal sponsor. If a waiver of this requirement is considered appropriate a specific proposal must be made and justification provided.

b. As stated in paragraph A-2.1.a. PED should be programmed for an accomplishment goal of two years of funding after completion of the feasibility report.

c. Study and PED cost estimates are to include an allowance for inflation in accordance with the instructions of paragraph 6 of this EC. The construction project cost estimate displayed in the PED portion of Illustration A-2.5 and the justification sheet will be based on 1 October of the PY-1 price level (DO NOT include an allowance for inflation through the construction period).

d. Annual funding requests for new reconnaissance phase studies are to be only for the amount required to carry out the anticipated activities during that FY.

e. Submissions for funding of continuing studies and projects not included in the PY-1 program request must be accompanied by a supplemental (page 2, see paragraph A-2.5.a.) justification describing the changed conditions that now warrant inclusion of the study/project in the PY request.

A-2.5. Submission Requirements.

a. **Justification Statements.** See Table 2 of this Engineer Circular for the due dates for draft justification materials for new starts, draft justification materials for continuing work, revisions to justification materials, and final justification materials for submittal to Congress. Supporting data for each study or project in the Division's programs, that has a funding requirement in the PY, both new and continuing, contained in the final program “recommended” to Congress in support of appropriations, will consist of a Justification Sheet, two part where necessary. The mandatory first page is the Congressional Justification. See Illustrations A-2.1 through A-2.4 for format and content for new start reconnaissance phase, feasibility phase (cost shared), continuing surveys (full Federal expense), and PED. The second page, is required when funds are being requested to continue a study or project not included in PY-1 program or appropriations but proposed for funding in the PY program, is to be used to provide any additional information or expansion of data more appropriately classified as supporting data not appropriate for inclusion in the congressional justification, but may be necessary for proper and complete consideration for inclusion in the President's Program. The appropriation title and division must be typed as the first line in the body of the first page of the survey and PED justification package. Do not underline

any headings. The District must be identified under the survey or PED name. Justifications for new starts and continuing studies and projects are to be submitted electronically through HQUSACE to RITs.

b. **ADP.** The standard study/project data summary table is shown in Illustration A-2.5, Initial Level. This Illustration combines reconnaissance, feasibility studies and PED projects on the same sheet. All studies and projects, including new starts, will be coded into the system. A feasibility study will use the same P2 number as the reconnaissance study when there is only one feasibility study as a result of the reconnaissance, however, the feasibility will use a separate ccs identifying the phase and project purpose associated with that level of work. In the situation where more than one feasibility study results from a reconnaissance study, then a new system generated number will be provided from P2. In addition, a PED project will use the same P2 number as the feasibility study when there is only one project coming out of the parent study. Any study or PED programmed for initiation in PY+1 or later should have a status code of “Z” in PRISM.

ILLUSTRATION A-2.1
NEW START RECONNAISSANCE PHASE STUDY

APPROPRIATION TITLE: Investigations, Fiscal Year (PY) Division:_____

Study	Total Estimated Federal Cost $	Allocation Prior to FY (PY-1) $	Allocation FY (PY-1) $	Tentative Allocation FY (PY) $	Additional to Complete After FY (PY) $
SURVEYS - NEW (Insert Type)					
Study Name	100,000	0	0	100,000	0
EFG District					

Furnish a brief description of the study area, water resource development problems, and principle purposes of the study. For example, for flood damage prevention studies any information available on recent flood history. (dates, physical and dollar losses, etc), or for navigation studies include information on use (commercial vs. recreation) cargo types and quantities if known. For ecosystem restoration studies, include information that addresses the performance components in Appendix II (do not enter the scores) and information about the physical area involved.. For all purposes, provide any pertinent information concerning coordination with Federal and state resource agencies.. Identify relationship to other project purposes if appropriate. Do not include irrelevant data such as "mild summers or harsh winters"; do include all the data that would tell why this study should be selected out of the many recommended. Also cite any matters known to be of concern to the Congress and identify the tentative local sponsor who has indicated intent to share equally in the feasibility phase cost that may follow the reconnaissance study. (There may be multiple sponsors for watershed and multi-purpose studies) Describe briefly the general scope and key areas of concern that are to be addressed in the reconnaissance study, probable solutions if this type of information is available, and the work to be performed in the program year. This paragraph should present specific arguments and evidence that it is important to initiate the study in the program year and similar evidence that makes it clear that the study and its anticipated outputs are in accord with Administration policy. The reconnaissance phase is scheduled to be completed in (Month xxxx), which is (12 or less) months after initiating the study. It is acceptable to budget for reconnaissance studies that exceed $100,000. **The Justification sheet should state the date of CECW-P or RIT approval if it shows a cost above $100K or a schedule beyond 12 months.**

Cite study authority. (In the event that sufficient study authority is not available to accomplish study purpose it should be so noted and a request for appropriate authority must be in progress.)

ILLUSTRATION A-2.2
COST-SHARED FEASIBILITY STUDY

APPROPRIATION TITLE: Investigations, Fiscal Year (PY) Division: _____

Study	Total Estimated Federal Cost	Allocation Prior to FY (PY-3)	Allocation FY (PY-3)	Allocation FY (PY-2)	Allocation FY (PY-1)	Allocation (PY)	Tentative Allocation to Complete After FY (PY)	Additional
	$	$	$	$		$	$	$
ABCD River & Tributaries, Nothing Wash EFG District	1,200,000	170,000	150,000	200,000	130,000	200,000	350,000	

Furnish a brief description of the study area, water resource development problems, and principle purposes of the study. For example, for flood damage prevention studies any information available on recent flood history (dates, physical and dollar losses, etc), or for navigation studies include information on use (commercial vs. recreation) cargo types and quantities if known. For ecosystem restoration studies address the approximate area to be restored to the extent this is known. For all purposes, address the performance criteria for the purpose as described in Appendices I-VIII. For ecosystem restoration studies do not enter the performance component scores, instead provide data reflecting the basis for the scores. Do not include irrelevant data such as "mild summers or harsh winters"; do include all the data that would tell why this study should be selected out of the many recommended. Also cite any matters known to be of concern to the Congress. Describe briefly the general scope and key areas of concern that were or are being addressed in the reconnaissance study, probable solutions, and the work to be performed in the Program year. This paragraph should present specific arguments and evidence that it is important to fund the study in the Program year and similar evidence that makes it clear that the study and its anticipated outputs are in accord with Administration policy. Provide best available sponsor information. (Name of potential or actual sponsor, dates of verbal or written commitments, scheduled or actual FCSA signing.)

Fiscal Year (PY-1) funds are being used to fully fund the reconnaissance phase at full Federal expense. If the reconnaissance report is certified to be in accord with policy, the funds requested for Fiscal Year (PY) will be used to continue into the feasibility phase of the study. The preliminary estimated cost of the feasibility phase is $2,200,000, which is to be shared on a 50-50 percent basis by Federal and non-Federal interests. A summary of study cost sharing is as follows:

Total Estimated Study Cost	$2,400,000
Reconnaissance Phase (Federal)	100,000
Feasibility Phase (Federal)	1,100,000
Feasibility Phase (Non-Federal)	1,100,000

The reconnaissance phase is scheduled for completion in September (Month and Year) (Date of signing of FCSA). The feasibility study is scheduled for completion in September (Month and Year) (Date of Division Engineer's Transmittal Letter).

I

ILLUSTRATION A-2.3
FULL FEDERAL EXPENSE FEASIBILITY STUDY

APPROPRIATION TITLE: Investigations, Fiscal Year (PY) Division: _____

Study	Total Estimated Federal Cost $	Allocation $	Prior to FY (PY-3) $	Allocation FY (PY-3) $	Allocation FY (PY-2) $	Allocation FY (PY-1) $	Allocation to Complete (PY) $	Tentative Additional After FY (PY) $
XYX River Basin EFG District	750,000	100,000	100,000	200,000	100,000	200,000	50,000	

This paragraph should describe the study area, the navigation problems and potential solutions. Results of the study to date should be covered as well as information that conveys to the reviewer (Corps, Army, OMB, or Congress) that the study and its anticipated outputs are in accord with Administration priorities.

This paragraph is to be used to describe the activities to be undertaken during the PY-1. The activities pertaining to each interim are to be clearly described.

This third paragraph is to be used to describe the activities to be undertaken in the PY.

This final paragraph will set forth the schedule for the study including completion dates (month and year) (date of Division Engineer's Transmittal Letter for each interim and the overall study.

ILLUSTRATION A-2.4
PRECONSTRUCTION ENGINEERING AND DESIGN

APPROPRIATION TITLE: Investigations, Fiscal Year (PY) Division: _____

Study	Total Estimated Federal Cost	Allocation	Prior to FY (PY-3)	Allocation FY (PY-3)	Allocation FY (PY-2)	Allocation FY (PY-1)	Allocation (PY)	Tentative Additional to Complete After FY (PY)
	$	$		$	$		$	$
PRECONSTRUCTION ENGINEERING AND DESIGN (PED) ACTIVITIES – (Type)								
XYX River Basin EFG District	1,100,000	300,000		150,000	200,000	150,000	300,000	0

<u>This is an example of the type of project description data to provide. For an ecosystem restoration project include area to be restored in acres, types of habitat, expected outputs and the data supporting the scores assigned for the performance components. Do not include the scores.</u>

XWV River drains an area of about 2,114 square miles in southwest State and empties into Something Harbor. The XYZ flood plain encompasses about 1,560 acres of mostly urban development on the left bank of the XWV River. The maximum flood of record, that of December 1933, would have caused an estimated $13.4 million damages to XYZ River under October (PY-1) prices and conditions of development. A feasibility report was completed in FY 1996. The recommended project, estimated to cost $xx.x million with an estimated Federal cost of $xx.xx million and an estimated non-Federal cost of $xx.xx million, includes construction of a levee system to provide flood protection to 1,318 acres in XYZ. Pumping stations and gravity outlets with tide gates would be included to accommodate interior drainage. The average annual benefits amount to $2.7 million, all for flood control. The benefit-cost ratio is 1.2 to 1 based upon the latest economic analysis dated (Month Year). Identify project sponsor and set forth latest evidence of support. (Sponsor's must assure that they understand and are ready to sign a design agreement and have funds available to finance the PED portion of the design of a project.) PED will ultimately be cost shared at the rate for the project to be constructed but will be financed through the PED period at 25% non-Federal. Any adjustments that may be necessary to bring the non-Federal contribution in line with the project cost sharing will be accomplished in the first year of construction.

Total Estimated Preconstruction Engineering and Design Costs	$1,333,000	Total Estimated Preconstruction Engineering and Design Costs	$1,333,000
Initial Federal Share	1,000,000	Ultimate Federal Share xxx,000	
Initial Non-Federal Share	333,000	Ultimate Non-Federal Share	xxx,000

The project is authorized for construction by (Cite the construction authorization and cost sharing requirements). Fiscal Year (PY-1) funds are being utilized to continue work on the Feature Design Memorandum, including economic studies. Fiscal Year (PY) funds will be used for completion of PED in (Month and Year).

```
MM/DD/YY  HH.:MM  VERSION: XYZ                    ILLUSTRATION A-2.5                    LAST REVISION: MM/DD/YY  BY:    PAGE:
 ####                                        STUDY DATA SUMMARY TABLE  ($  IN  THOUSAND)
DIVISION/DISTRICT: ** (DIS)                                                             SELECT: _______  PWI: ___________
BFY:____LVL: B                                                                          SINCE: __________  SORT: __________
============================
S U R V E Y ==================================+================================ P E D ==============================
NAME: XYZ RIVER, ST                                                  |    NAME: XYZ RIVER, ST
APPN: ___  CCS: ___  PWI: ______  SS1:^^^  SS2:^^^  LPRJ: ______     |    APPN: ___  CCS: ___  PWI: ______          SS1:^^^  SS2:^^^  LPRJ: ______
-----------------------------------------------------------------------+-----------------------------------------------------------------------
STATUS: __          % NONSTRUCTURAL FDR: ___          MAJOR BENEFITS: ___| STATUS: __        % NONSTRUCTURAL FDR: __          MAJOR BENEFITS: ___
STATE: __                                                              | STATE:____                TOTAL B/C RATIO: ___        PROGRAM CODE: ___
---------------------------------------- D A T E S ---------------------+---------------------------------------------- D A T E S ----------------------------------------
                                  __RECON__          FEASIBILITY          SCHEDULED FINANCING AGREEMENT:      / /-/ / / -/ / / /
FY FUNDS FIRST ALLOCATED:            YYYY                  N/A                  | FY FUNDS FIRT ALLOCATED:                    XXXX
SCHEDULED COMPLETION DATES:                                                | SCHEDULED COMPLETION DATES:
      LAST                       DD-MMM-YYYY        DD-MMM-YYYY           |     LAST                          DD-MMM-YYYY
      CURRENT                    DD-MMM-YYYY        DD-MMM-YYYY           |     CURRENT                       DD-MMM-YYYY
     _CAPABILITY                 DD-MMM-YYYY        DD-MMM-YYYY           |     CAPABILITY                   DD-MMM-YYYY
                                                                           | FY AVAILABLE FOR CONSTRUCTION:              YYYY
---------------------------------------- COST  ESTIMATES ----------------+---------------------------------------------- COST ESTIMATES ----------------------------------
                                  RECON_____        FEASIBILITY__          |                        ____PROJECT_____          _____PE D_____.
FEDERAL:                             $$$                $$$                | FEDERAL:                     $$$                      $$$
NON-FEDERAL:                       N/A                 _____   $$$        | NON-FEDERAL:                 N/A                      $$$_____.
TOTAL:                               $$$                $$$                | TOTAL:                       $$$                      $$$
GRAND TOTAL (RECONNAISSANCE + FEASIBILITY):      $$$$                      |
                                                                           |
---------------------------------- CURRENT YEAR - (PY-1) FUNDING ---------+------------------------------------ CURRENT YEAR - (PY-1) FUNDING ------------------------
BUDGET AMOUNT:                                   $$$                       |BUDGET AMOUNT:                                   $$$
CONFERENCE AMOUNT:                               $$$                       |CONFERENCE AMOUNT:                               $$$
ASSUMED SAVINGS AND SLIPPAGE:                    $$$                       |ASSUMED SAVINGS AND SLIPPAGE:                    $$$
OTHER ADJUSTMENTS                                $$$                       |OTHER ADJUSTMENTS                                $$$
RESC AMOUNT                                      $$$                       |RESC AMOUNT                                      $$$
==========================================================================================================================================
```

ILLUSTRATION A-2.5 (Continued)
STUDY DATA SUMMARY TABLE ($ IN THOUSANDS)

FUNDING LEVEL	ALLOCATIONS THRU PY-2	PY-1	BUDGET REQUEST PY	PROGRAMMED PY+1	PY+2	PY+3	PY+4	PY+5	PY+6	PY+7	PY+8	PY+9	BALANCE AFTER PY+9
						* * * S U R V E Y * * *							
FEDERAL (CORPS):													
INITIAL													
CAPABILITY	-												
NON-FEDERAL:													
CASH													
OTHER													
						* * * P E D * * *							
FEDERAL(CORPS):													
INITIAL													
CAPABILITY	-												
CASH													

Optional remark lines follow here.

SUBANNEX A-3
CECW PROGRAMMED ITEMS

A-3.1. Required Field Input. This subannex provides necessary guidance on CECW programmed Investigations items. The following table identifies the items which require District and Division response, hard copy only.

	Activity	Cat/Class/ Subclass
a.	Special Investigations	(Code 901-171)
b.	Gulf of Mexico Program	(Code 901-171)
c.	Pacific Northwest Forest Case Study	(Code 901-171)
d.	Chesapeake Bay Program	(Code 901-171)
e.	FERC Licensing Activities	(Code 901-172)
f.	Interagency Water Resources Development (includes American Heritage Rivers Navigators and Coastal America)	(Code 901-173)
g.	National Estuary Program	(Code 901-175)
h	North American Waterfowl Management	(Code 901-176)
i.	Interagency and International Support includes Dutch MOA	(Code 901-178)
j.	Coordination with Other Water Resources Agencies	(Code 901-181)
k.	CalFed	(Code 901-181)
l.	Lake Tahoe Federal Interagency Partnership	(Code 901-181)
m.	Planning Assistance to States	(Code 901-186)
n.	International Waters Studies	(Code 901-240)
o.	Flood Plain Management Services	(Code 901-250)
p.	Hydrologic Studies	(Code 901-260)

A-3.2. Program Procedure.

a. The activities covered by this subannex are programmed by CECW. You should assume your allowances will remain at or about the same level as PY-2 through PY+9 in preparing programming documents for the fifteen activities requiring Division response.

b. If a division is experiencing conditions that would materially affect its requirements for the activities covered, the Division Commander should submit a brief letter to HQUSACE, CECW-I outlining the changed conditions.

c. Note that there are three accounts that are similar, in that they provide the ability to respond to other entities without being either agency or project/study specific, but that serve different functions. They are Special Investigations, Interagency Water Resources Development, and Coordination with Other Water Resources Agencies. Special Investigations is for limited scope investigations, not for coordination. Interagency Water Resources Development is for coordination with others on problems that may lead to specific studies such as cost sharing or applicability of Corps programs to water resources problems. The Coordination with Other Water Resources Agencies account is for coordination with Planning Commissions, other Federal Water Resources Agencies or other entities which serve that function, on regional problems of a general nature not related to a programmed study or specific potential study. Some requests for assistance will not fit clearly into one of these three accounts, but you should be sure that, to the extent possible, such activities are programmed in the appropriate account and that activities in the three accounts are not duplicative.

A-3.3. Submission Requirements. Provide a breakdown by District for each activity listed in paragraph A-3.1, for PY-1 and PY in the format of Illustration A-3.1. The information should provide a base to develop allowances for varying program levels.

A-3.4. Special Investigations.

a. **Program Objective.** This category is for investigations of limited scope, in replying to requests from sources outside the Corps of Engineers, for information relating to unauthorized projects and other activities which have no funds, and which are not accomplished with a view toward determining whether a project can be developed. Also included is work specifically authorized by the Chief of Engineers; the review of reports and Environmental Impact Statements requested by other agencies, unless otherwise provided for; and attendance at meetings of local interests and other agencies during the preliminary stages of project investigations.

(1) The program objective specifically includes The Gulf of Mexico Program, which is an interagency effort for resolving complex environmental problems associated with man's use of the Gulf of Mexico. This program is limited to divisions and subordinate districts bordering on the Gulf of Mexico.

(2) The program objective specifically includes the Pacific Northwest Forest Case Study, which is an interagency program initiated by the White House's Council on Environmental Quality for ecosystem management of the public lands within the range of the Northern Spotted Owl.

(3) The program objective specifically includes the Chesapeake Bay program, which is an interagency program initiated by the U.S. Environmental Protection Agency, for the protection and restoration of the bay's natural resources. Work which requires Section 510 of the Water Resources Development Act of 1996 authorization is subject to the cost sharing of that authorization.

b. **Narrative Paragraph Submission.** A narrative paragraph should be submitted which describes specific investigations, studies, or tasks accomplished under this activity for the PY-3 and PY-2 to date in the format of Illustration A-3.2.

A-3.5. FERC Licensing Activities.

a. **Program Objective.** The objective of the Federal Energy Regulatory Commission licensing activities is to provide timely review of FERC license and permit applications consistent with regional and national priorities. Review is accomplished on a first come-first served basis.

b. **Eligibility.** License or permit applications are eligible for consideration if they are for new or existing non-Corps operated facilities. Review of license and permit applications which could have an effect on ongoing projects under construction or being operated by the Corps should be accomplished with available project funds.

A-3.6. **Interagency Water Resources Development.** The interagency water resources development program is for Corps of Engineers districts activities, not otherwise funded, that require coordination effort with non-Federal interests. These activities include such things as meeting with City, County and state officials to help them solve water resources problems when they have sought advice or to determine whether or not Corps programs are available and should

be used to address the problems. The funds would also be used to cover costs of meeting with potential study sponsors prior to programming for study to insure they fully understand study cost sharing and to obtain an indication of their interest in participating in a future study. Funding for American Heritage River Navigators is included in this category and requirements for this effort should be separately noted and justified.

A-3.7. National Estuary Program (NEP). The NEP is an interagency planning program to develop management plans for nationally significant estuaries designated by EPA. To date, the following 28 estuaries have been designated under the program: Columbia River, WA & OR; Mobile Bay, AL; Morro Bay, CA; Charlotte Harbor, FL; Maryland Coastal Bays, MD; New Hampshire Estuaries, NH; Barnegat Bay, NJ; Puget Sound, WA; Delaware Bay, DE; Delaware Inland Bays, DE; New York/New Jersey Harbor, NY-NJ; Sarasota Bay, FL; Santa Monica Bay, CA; San Francisco Bay, CA; Galveston Bay, TX; Albemarle/Pamlico Sound, NC; Buzzards Bay, MA; Narragansett Bay, RI; Long Island Sound, CT-NY; Peconic Bay, NY; Massachusetts Bay, MA; Barataria/Terrebonne Bay, LA; and Indian River Lagoon, FL. Because of extensive Corps involvement with Federal water resources projects in the nation's estuaries and other responsibilities in waters of the U.S., the Corps has been asked to participate on the management and technical advisory committees of those NEP estuaries being studied. The requested funds will be used to cover costs of Corps field office meeting attendance, field reconnaissance, and data transfer.

A-3.8. North American Waterfowl Management Program (NAWMP). The NAWMP is an international program designed to reverse downward trends in North America's waterfowl populations by protecting and improving waterfowl habitats nationwide, particularly in 34 areas within the United States identified as being critical to meeting NAWMP goals and objectives. Department of the Army support to the NAWMP is set forth in an agreement signed with the Department of the Interior on January 23, 1989. The Corps of Engineers has broad water resources development responsibilities and authorities, and has stewardship responsibilities for over seven million acres of water and land. Many Corps of Engineers projects contribute directly or indirectly to the habitat base for the nation's waterfowl and other wetland species. The requested funds will be used to cover costs of Corps of Engineers field office participation in field trips, interagency coordination meetings, and information transfer in response to conditions set forth in the agreement between the Department of the Interior and the Department of the Army.

A-3.9. Interagency and International Support.

a. **Program Objective.** Authorized by Section 234 of the Water Resources Development Act of 1996, this program is for activities in support of other Federal agencies or international organizations to address problems of national significance to the United States.

b. **Submission Requirements.** An illustration A-3.6 titled Interagency and International Support is required. Illustration A-3.6 is an information display with supporting narrative in the format of Illustration A-3.4. The narrative should identify the work that would be pursued with the requested fund.

A-3.10. Coordination with Other Water Resources Agencies (including Department of Agriculture, Natural Resources Conservation Service; Department of Interior, Bureau of Reclamation; and Regional Planning Commissions and Committees Programs)**.**

a. **Program Objective.** The objective of this program is to provide coordination with these agencies on water resources issues and problem areas of mutual concern that are general in nature and not part of a programmed project or study.

b. **CalFed.** The program objective specifically includes the CALFED Bay-Delta Program solution process for the development of a long -term comprehensive plan that will restore ecological health and improve water management for beneficial uses of the Bay-Delta system.

c. **Lake Tahoe Federal Interagency Partnership.** The program objective includes Corps participation in the partnership with other Federal Agencies, in accordance with Executive Order 13057 “Federal Actions in the Lake Tahoe Region”, to insure cooperation, support and synergy.

A-3.11. Planning Assistance to States.

a. **Program Objective.** The Planning Assistance to States program is carried out in accordance with the provisions of Sec. 22, PL 93-251. This public law authorizes the Chief of Engineers to cooperate with States (Commonwealths, Territories, etc.) and Indian tribes in the preparation of plans for the development, utilization, and conservation of water and related land resources of drainage basins located within the boundaries of the state. Assistance is provided on the basis of State or tribe requests. When a state or tribe is served by more than one division, the Lead Division assigned in Table 2-5, ER 1105-2-100, has the responsibility for providing data on work requested by that state or tribe. The Lead Division may further delegate that responsibility to a Coordinating District, but that Coordinating District is responsible for coordinating not only with the State or tribe, but also with the other Districts doing work for that State or tribe.

b. **Submission Requirements.** Planning assistance is coordinated and scheduled to ensure the continuation and completion of ongoing work and the timely initiation of new work requested by the States and tribes. Lead Division offices should provide a prioritized listing of all work for states and tribes under their responsibility in the format of Illustration A-3.3.

A-3.12. International Waters Studies.

a. **Program Objective.** This program contributes to better control, utilization, and orderly development of jointly - controlled water resources along the U.S. - Canadian boundary. It encompasses four boards and one committee established by the International Joint Commission (IJC) and in response to other U.S./Canadian cooperative efforts. IJC boards fall into two broad categories: boards of control, which are essentially permanent; and engineering or advisory boards, which are usually dissolved after completing their investigation.

b. **Eligibility.** Activities within the scope of authority of an appropriate Board or committee are eligible for funding.

c. **Submission Requirements.** An information display and supporting narrative as shown in Illustration A-3.4 is required.

A-3.13. Flood Plain Management Services (FPMS).

a. **Program Objective.** The Corps is authorized by Section 206 of the 1960 Flood Control Act, as amended, to provide information, technical assistance, and guidance, in identifying the magnitude of the flood hazard and for planning wise use of the flood plain. Direct response and

assistance are provided through the FPMS program to states, Indian tribes and local governments without charge and to Federal agencies and private persons on a cost reimbursable basis.

b. **Submission Requirements.** An information table as shown in Illustration A-3.5 is required. FPMS funding requirements are to be shown for (1) District FPMS Units, (2) Quick Responses taking 10 minutes or less and provided without charge, (3) Technical Services, and (4) Special studies. An estimated cumulative number of responses to requests will be shown for Quick Responses and Technical Services. Submit two versions of Illustration A-3.5; one for the PY-2 amount and another based on capability to meet demand from state, tribal and local governments. The funding requirements for Quick Responses should not exceed two percent of the PY-2 work allowance amount. Hurricane Evacuation Study (HES) funding will be retained by HQUSACE for allotment at a later date. Full reimbursement should be required for assistance to Federal agencies and private persons. Information provided for Illustration A-3.5 should exclude all requirements for HES and for assistance to Federal agencies and private persons.

A-3.14. Hydrologic Studies.

a. **Program Objectives.** To collect and analyze basic data on hydrologic, climatologic, and river morphology for general use in connection with the Corps planning design, construction, and operation of water resource projects.

b. **Submission Requirements.** Provide a breakdown by District in the format of illustration A-3.1. Note that all activities in this class (260) should be defined and reported as follows:

(1) **261, Storm Studies.** Includes Part I and II storm studies accomplished in coordination with National Weather Service.

(2) **262, General Hydrologic Studies.** Includes generalized hydrologic analyses of rainfall - runoff relationship, flood frequency, snowmelt studies, hydrograph development and routing at selected watersheds, model calibrations in urban areas, and analyses of past floods and other studies of hydrologic nature.

(3) **263, Sedimentation Studies.** Includes all non-project sedimentation investigation activities at the Waterways Experiment Station.

(4) **264, Streamflow and Rainfall Data Collection.** This continuing program provides for installation and operation of streamflow and rainfall gages for general studies. It also provides for flood investigation activities such as investigation of hurricane surges; high water mark setting, measurement, and recordings; and rainfall bucket surveys.

A-3.15. National & International Water Resources Coordination. The national and international water resources coordination program is for Corps of Engineers activities, not otherwise funded, that require coordination effort with other agencies and governments. These activities include such things as meeting with officials to develop collaborative exchanges in complementary areas such as navigation, flood protection, coastal development, dredging and river basin management. The funds would be used to cover costs of meetings and to conduct workshops on water resource trends and decision points between the Corps and other organizations or governments. The Corps of Engineers signed a Memorandum of Agreement with the Dutch Rijkswaterstaat in May 2004 and this program would fund costs associated with sharing experiences between the two nations.

ILLUSTRATION A-3.1
DISTRICT BREAKDOWN
(Code 901-171,172,173,175,176,177,178,181,186,240,250,260)
($K)

Division: _____

Tentative Allowance
Total
DIST.-A
DIST.-B
DIST.-C etc.

PY-1
PY

SPECIAL INVESTIGATIONS
(AND)
GULF OF MEXICO PROGRAM
(AND)
PACIFIC NORTHWEST FOREST CASE STUDY
(AND)
CHESAPEAKE BAY PROGRAM
(AND)
FERC LICENSING
(AND)
INTERAGENCY WATER RESOURCES DEVELOPMENT
(AND)
AMERICAN HERITAGE RIVER NAVIGATORS
(AND)
NATIONAL ESTUARY
(AND)
NORTH AMERICAN WATERFOWL MANAGEMENT

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary)

ILLUSTRATION A-3.1 (Continued)
DISTRICT BREAKDOWN
(Code 901-171,172,173,175,176,177,181,186,240,250,260)
($K)

Division: _____

Tentative Allowance
Total
DIST.-A
DIST.-B
DIST.-C etc.

PY-1
PY

(AND)
INTERAGENCY AND INTERNATIONAL SUPPORT
(AND)
COORDINATION WITH OTHER WATER RESOURCES AGENCIES
(AND)
CALFED
(AND)
LAKE TAHOE FEDERAL INTERAGENCY PARTNERSHIP
(AND)
PLANNING ASSISTANCE TO STATES
(AND)
INTERNATIONAL WATER STUDIES
(AND)
FLOOD PLAIN MANAGEMENT SERVICES
(AND)
HYDROLOGIC STUDIES
SUBCLASS
PY-1
PY

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary)

ILLUSTRATION A-3.2
WORK ACCOMPLISHED
(Code 901-171)

Division: _____

SPECIAL INVESTIGATIONS

DISTRICT	**NARRATIVE DESCRIPTION**
A	PY-3:
A	PY-2:
B	PY-3:
B	PY-2:
etc.	

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary)

ILLUSTRATION A-3.3
PLANNING ASSISTANCE TO STATES
(Code 901-186)
Priority Listing
Fiscal Year_____

Lead Division: _____

Work Item Name	State	State Priority	Performing Office	Amount ($000)
1/			2/	

_____
1/ List work items in order of decreasing priority as established by the Lead Division.
2/ Priority as indicated by the State.

FOR ILLUSTRATION PURPOSE ONLY
(To be typed as necessary)

ILLUSTRATION A-3.4
INTERNATIONAL WATERS STUDIES
(Code 901-240)

Division: _____

Justification: Furnish a brief description of the Division/Districts activities and potential accomplishments relating to the functions of each board or committee. Include the associated program request for each board.

FOR ILLUSTRATION PURPOSE ONLY
(To be typed as necessary)

ILLUSTRATION A-3.5
FLOOD PLAIN MANAGEMENT SERVICES
(Code 901-250)

Division: _____

Work Item	Amount ($000)	Total # Responses/Studies
District FPMS Units	N/A	
Quick Responses	(5% Max.)	(# of responses)
Technical Services		(# of responses)
Special Studies		(# of studies)

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary)

ANNEX B
CONSTRUCTION AND
FLOOD CONTROL, MISSISSIPPI RIVER AND TRIBUTARIES
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SUBANNEX B-1
CONSTRUCTION AND
FLOOD CONTROL, MISSISSIPPI RIVER AND TRIBUTARIES
APPLICABILITY
(RCS CECW-B 13)

B-1.1. **Appropriation Title.** This annex provides guidance for preparation of the program request for all new and continuing activities under the appropriation titles Construction (C), including the Inland Waterways Trust Fund (IWTF) and Harbor Maintenance Trust Fund (HMTF), as applicable, and Flood Control, Mississippi River and Tributaries for a ten year period, PY through PY+9.

B-1.2. **Activities Included.**

Activity	Category, Class, Subclass, Code	Guidance Provided in Subannex Number
Construction Appropriation		
Navigation		
Channels and Harbors		
Projects Specifically Authorized by Congress	211	B-2
Dredged Material Disposal Facilities Program **(Move to O&M)**	212	B-2
Projects Not Specifically Authorized by Congress (Section 107, 1960 Act and Modifications)	216	B-3
Debris Removal	217	Program not active
Locks and Dams	220	B-2
Mitigation of Shore Damages Attributable to Navigation Projects (Section 111, 1968 Act) **(Move to O&M)**		
Projects Specifically Authorized by Congress	231	B-2
Projects Not Specifically Authorized by Congress	232	B-3
Dam Safety Assurance	240	B-2

Activity	Category, Class, Subclass, Code	Guidance Provided in Subannex Number
Shore Protection		
Projects Specifically Authorized by Congress		
Sacrificial Features Only	411	B-2
Structural and Sacrificial Features	412	B-2
Projects Not Specifically Authorized by Congress (Section 103, 1962 Act and Modifications)	420	B-3
Flood Control		
Local Protection		
Projects Specifically Authorized by Congress	511	B-2
Projects Not Specifically Authorized by Congress (Section 205, 1948 Act and Modifications)	516	B-3
Emergency Streambank and Shoreline Protection (Section 14, 1946 Act and Modifications)	517	B-3
Snagging and Clearing (Section 208 1954 Act and Modifications)	518	B-3
Reservoirs	520	B-2
Urban Stormwater Management		
Projects Specifically Authorized by Congress	531	B-2
Projects Not Specifically Authorized by Congress (Section 205, 1948 Act and Modifications)	532	B-3
Dam Safety Assurance	540	B-2

Activity	Category, Class, Subclass, Code	Guidance Provided in Subannex Number
Multiple Purpose Power	600	B-2
Dam Safety Assurance	640	B-2
Miscellaneous		
Project Modifications for Improvement of the Environment (Section 1135, 1986 Act)		
Specifically Funded	721	B-2
Not Specifically Funded	722	B-3
Dam Safety Assurance and Seepage/Stability Correction Projects Not Previously Programmed for Construction	730	No field request
Aquatic Ecosystem Restoration	732	B-3
Aquatic Plant Control	740	No field request
Employee Compensation Fund (Payments to Department of Labor)	750	No field request
Wetlands Restoration and Enhancement Demonstration Program (Section 307 (d), 1990 Act		
Specifically Funded	761	Program not active
Not Specifically Funded	762	No field request

Activity	Category, Class Subclass, Code	Guidance Provided in Subannex Number
Ecosystem Restoration	771	B-2
Environmental Infrastructure	772	B-2
Shoreline Erosion Control Demonstration (Section 54, 1974 Act)	780	Authorization expired
Beneficial Uses of Dredged Material **(Move to O&M)**		
Specifically Funded	791	Program not active
Not Specifically Funded	792	B-3
Replacement		
Navigation		
Channels and Harbors	813	B-2
Locks and Dams	814	B-2
Flood Control		
Local Protection Projects Specifically Authorized by Congress	816	B-2

Activity	Category, Class, Subclass, Code	Guidance Provided in Subannex Number
Reservoirs	817	B-2
Multiple Purpose Power Projects	818	B-2
Minor Rehabilitation	820	Program not active
New Construction	As applicable	B-2
Flood Control, Mississippi River and Tributaries, Appropriation		
Navigation	310	B-2
Dam Safety Assurance	314	B-2
Flood Control	320	B-2
Dam Safety Assurance	324	B-2
Streambank Erosion Control Evaluation and Demonstration (Section 32, 1974 Act)	330	Authorization expired
Replacement		
Navigation	812	B-2
Flood Control	815	B-2
New Construction	As applicable	B-2

SUBANNEX B-2
CONSTRUCTION - NEW AND CONTINUING

B-2.1. **Objective.** This subannex applies to previously unfunded and continuing construction projects, previously unfunded and continuing replacement projects, previously unfunded and continuing dam safety assurance projects, previously unfunded and continuing deficiency correction projects, reimbursement projects, resumptions, and separable elements of ongoing construction projects funded under the Construction (C) appropriation, including the Inland Waterways Trust Fund (IWTF) and Harbor Maintenance Trust Fund (HMTF), as applicable, and the Flood Control, Mississippi River and Tributaries (MR&T) appropriations. The overall goal for the construction program is to develop a 10 year (PY through PY+9) construction program to fund cost effective projects that provide a high level of outputs when evaluated using the performance measures located in Appendices I-VIII and to complete committed projects that provide a high level of outputs as economically and quickly as practicable within program constraints and consistent with current national priorities. We will adhere to Army policy and the guidance provided in the main part of the EC. Program requests should be submitted for all available new construction projects and separable elements which meet the basic eligibility criteria in Table B-2.1 and all continuing projects and programs including environmental infrastructure programs up to the capability level. These projects and separable elements should be ranked by business line using the performance measures and criteria found in Appendices I-VIII. This will provide information for use in making program decisions on projects and programs for which funds may be added by Congress in PY-1. We will undertake all projects and programs included in the President's PY-1 program.

B-2.2. Assumed PY-1 Work Allowances and Assumed PY-1. Federal and non-Federal funding information (including allocations, contributions, obligations, undelivered orders, and unobligated carryovers) shown on required supporting data for each project for which funds are requested in the PY must be reconciled with the latest available financing and accounting records. After PY-1 work allowances have been allotted, allocations for the PY-1 must also be reconciled with the latest available finance and accounting records for affected projects.

B-2.3. **Preconstruction, Engineering, and Design (PED)**.

a. PED will begin after issuance of the Division Engineer’s Notice for the final feasibility report and will be carried out under a design agreement until execution of the applicable PCA. The design agreement will provide for concurrent financing of design 75 percent Federal and 25 percent non-Federal. When construction is initiated, the design costs will be folded into total project costs and the Federal and non-Federal shares will be brought into balance in accordance with the cost sharing in the applicable PCA. A design agreement is not required for the following: an inland waterway project; a dam safety assurance, seepage correction, or static instability correction project; replacement project; deficiency correction at a Federally operated project; or a project or separable element for which the non-Federally financed portion of pre-PCA engineering and design costs alone would exceed the total non-Federal cash share for the project or element, the non-Federal share is reduced under ability to pay rules, pre-PCA engineering and design costs are less than $100,000, or pre-PCA engineering and design was initiated before FY 1997.

b. **Budgeting**. All post-feasibility, pre-PCA engineering and design activities for new projects and separable elements that are consistent with policy will be budgeted as studies and PED, respectively, in the Investigations account or the study/design portion of the Flood Control, Mississippi River and Tributaries (MR&T) account. However, post-feasibility, pre-PCA engineering and design may be budgeted in the Construction account or the construction portion of the MR&T account if the applicable project or element 1) is authorized, 2) is supported by the Administration for construction, and 3) either is budgeted as new construction or has received construction appropriations. No unauthorized work will be budgeted

in the C account, except in the cases of complex projects or programs that have elements in various stages of development and for which the Administration explicitly supports budgeting for the entire project or program in the C account. If a newly authorized separable element was not included in the original review to develop the Administration's position on the original project, a review for the newly authorized separable element must be undertaken before the newly authorized separable element can be budgeted in the C account or the construction portion of the MR&T account.

c. **Post-Feasibility Modifications**. Once the feasibility report has been completed for a project, additional engineering and design, economic and environmental analyses, and evaluations often result in the identification of potential project modifications. Each potential modification that is identified (whether during post-feasibility, pre-PCA engineering and design, or during design and construction under a PCA) should be subjected to a reconnaissance-level examination to determine whether the modification so changes or would change project scope or functions, beyond the scope and functions described in the completed feasibility report, that it required or would require additional authorization.

(1) Examination and documentation of a simple cost increase without a change in scope or functions may be undertaken as part of post-feasibility engineering and design or construction. If additional authorization is required as a consequence of the simple cost increase, a Post-Authorization Change Report should be prepared.

(2) Examination and documentation of design changes that would not require additional authorization may be undertaken as part of post-feasibility engineering and design or construction. However, if such design changes are material changes to the basic project features or output levels and the original project already is covered by a PCA, work on the material changes should be undertaken under a design agreement, and construction of the material changes should not be commenced until the PCA has been amended to reflect the material changes.

(3) A modification that required or would require additional authorization, and that extends, expands, or adds functions to the original project described in the completed feasibility report, is beyond the scope of the original project. If such an added function is physically integral to the original project, the modification will be treated as a substitute plan and, if the substitute plan is pursued, work on the original project will be suspended, then concluded in an orderly manner. An extension, expansion, or physically separable added function will be treated as a new project if it is unauthorized or is separately authorized, or it will be treated as a newly authorized separable element if it is authorized as a modification to the original project. Following the reconnaissance-level examination, the substitute plan, new project, or newly authorized separable element will be developed in accordance with the standard project development process, beginning with its own feasibility study.

(4) **The development of a new project (including a substitute plan) or a new separable element will not be undertaken as a "reevaluation" of the original project, and will not be funded as part of engineering and design or construction of the original project.** However, once the feasibility report for a newly authorized separable element has been completed, the newly authorized separable element may be included in post-feasibility, pre-PCA engineering and design for the project along with other separable elements, and may be included in the PCA for the modified project if the new separable element is authorized and has received construction funds.

B-2.4. **New Construction.**

a. New construction includes the following: previously unfunded projects; previously unfunded separable elements of ongoing projects; resumptions of physical construction; previously unfunded replacement projects ; and previously unfunded deficiency correction projects. Note that reconstruction

projects require specific authorization and are developed in the same manner as other projects. Also note that previously unfunded recreation facilities and previously unfunded increments of reimbursement projects that are not covered under existing PCAs are treated as previously unfunded separable elements. All new construction candidates must undergo the critical review and meet the requirements outlined in the sub-paragraphs that follow.

b. The first objective of the new construction program is to bring together for consideration as new construction recommendations a list of high quality candidates that are justified based on NED and/or NER benefits, are ready for the initiation of physical construction in the PY, have approved M-CACES baseline cost estimates, and are strongly supported by non-Federal sponsors. Potential new construction candidates (projects and separable elements) should be reviewed relative to the basic eligibility criteria shown in Table B-2.1.and the ranking criteria and performance measures for the appropriate business line shown in Appendices I-VIII and discussed in more detail in Appendices I-VIII. Candidates which meet the basic and preliminary selection criteria listed in Table B-2.1 will be ranked using the performance measures for the appropriate business line as found in Appendices I-VIII and may be recommended as new construction. Program requests should be submitted for all available new construction projects and separable elements that meet the preliminary selection criteria in Table B-2.1. This will provide information for use in making program decisions on projects for which funds may be added by Congress in PY-1.

c. Each recommended new construction candidate requires submission of a decision document to serve as the basis for selection and (with the exception of inland waterway projects, most replacement and certain other projects) will require a PCA in accordance with the Water Resources Development Act of 1986, as amended. The requirement for a decision document can be satisfied by a MSC (under specific delegated authority) or HQUSACE approved decision document, as applicable, HQUSACE approved feasibility report with engineering annex, General Reevaluation Report, or, in some cases, a Post-Authorization Change Report. A Limited Reevaluation Report is for updating and documenting changes to the project within the scope of a decision document and is not itself a decision document. In negotiating the terms of the PCA, no commitments relating to a construction schedule or follow-on funding can be made to the non-Federal sponsor until after the economic analysis, if applicable, and the EDR or feasibility report with engineering annex has been approved by the MSC or HQUSACE, as applicable, the planning and policy review process has been completed by ASA(CW), the project or element has been authorized and funded, and the draft PCA has been approved by ASA(CW) (unless specifically delegated to the MSC Commander). The PCA will be executed between the non-Federal sponsor and ASA(CW) or District Commander (if delegated) prior to advertisement of the initial construction contract for the project or element.

d. A current economic analysis for each new construction candidate must be approved not earlier than 3 fiscal years prior to the fiscal year of the submission of the program request to HQUSACE CECW-I. This will ensure the analysis can be considered current when the actual program decisions are made and help preclude the need for an additional update prior to an implementation decision (i. e., executing a PCA). For example, a PY new construction program request made in PY-2 must have an economic analysis contained in an official report approved in or more recently than PY-5. This analysis will be included in an approved decision document, as described in paragraph B-2.4., or in a supplemental report such as an Engineering Documentation Report (EDR), Limited Reevaluation Report, Post Authorization Change Report (PAC), or other special study report which must be approved by the MSC (under delegated authority), HQUSACE, or ASA(CW), as applicable. A Design Documentation Report (DDR) is a technical document approved by a District and should not include information such as formulation of alternatives or economic analyses. After construction funds have been appropriated for such work, no further update of the economic analysis will be required during the approval process for the non-Federal sponsor's financing plan and execution of the PCA provided the PCA is approved in the PY and no

significant changes which may affect economic justification have been made from the latest approved document. The same current economic analysis requirements for PCA projects apply to non-PCA projects, such as inland navigation and replacement projects, for obtaining approval to initiate construction. For older projects, and projects under continuing construction where significant changes have occurred following initiation of construction, an economic update should be performed in PY-2 for both total costs and benefits, and remaining costs and benefits to be used in continuing budget decisions.

e. The second objective of the new construction program is to develop a 10 year construction program which will provide for an orderly flow of high performance, urgently needed and locally supported projects or separable elements that are in accord with current policies and priorities. In accordance with this objective, Divisions will prepare an Illustration B-2.1, Project Data Summary, for each new construction candidate that they expect to recommend for new construction during the period PY through PY+9. Divisions also will prepare an Illustration B-2.1 for each dam safety assurance project or seepage or static instability correction project that they expect to “migrate” from the Dam Safety and Seepage/Static Instability Correction Program during the period PY through PY+9. Divisions will also prepare an Illustration B-2.1, Project Data Summary, for each unprogrammend separable element which has not been reclassified to the inactive category. The fiscal year of new construction for such unprogrammed separable elements will be 2099. Non-Federal cash contributions and non-Federal other costs must not be programmed for any new construction project or separable element in advance of programmed Federal funds even though the non-Federal sponsor may incur costs prior to the allocation of Federal funds. Such non-Federal costs will be reflected in the Illustration B-2.1 and Detailed Project Schedule, PB-2a, only beginning in the year that Federal funds for construction are first programmed. Individual Illustrations B-2.1 prepared for programmed and unprogrammed separable elements will be rolled up into their parent projects by PRISM. The projects programmed for construction in PY through PY+9 must be based on the estimates and schedules established for programmed studies and PED projects, as applicable. Furthermore, Divisions must assure that the data shown in Illustration B-2.1 are compatible with data in Illustration A-2.5, Investigations Data Summary Table, so that construction is programmed no earlier than the year following PED completion and project cost estimates in both illustrations are identical Future new construction will be selected from projects shown as available for construction in the PY+1 based on the ranking derived using the ranking criteria and performance measures for the appropriate business program (see Appendices I-VIII).

B-2.5. **Specific Guidance for Replacement, and Deficiency Correction, at Operating Navigation Projects.**

a. Replacement and deficiency correction at operating navigation projects will undergo a critical review and selection process in accordance with the criteria listed below. Reconnaissance or evaluation reports and planning, engineering, and design for replacement and deficiency correction projects will be funded from Operation (O&M) funds allocated for project operation and maintenance or inspection of completed works, as applicable, until C funds, IWTF, and HMTF, as applicable, are appropriated and allocated for such projects. However, no post-evaluation planning, engineering, and design for replacement and deficiency correction shall be funded until a reconnaissance or evaluation report has been approved by HQUSACE or MSC (for eligible delegated activities). Preconstruction activities for PY-2 and PY-1 should be funded by reprogramming available O&M funds for applicable projects only after the reconnaissance or evaluation report has been approved by HQUSACE or MSC (under delegated authority). Initial C funds, IWTF, and HMTF, as applicable, will be programmed for replacement and deficiency correction projects after applicable reconnaissance or evaluation reports have been approved by HQUSACE or MSC (under delegated authority) and coordinated with ASA(CW), as applicable, and once they meet the preliminary selection criteria in Table 2.1.

(1) Replacement projects are greater in scope. A replacement involves the principal facility component that enables production of project output e.g. replacement of turbines and generators at hydropower plants, replacement of failing lock, recapitalizing or upgrading facilities.

(2) Rehabilitation projects are defined in Section 205 of WRDA 92 "with respect to inland waterway projects, as economically justified, structural restoration of major project features that extends project life more than 2 years, or structural modifications that enhance operational efficiency, and that exceed certain cost thresholds. Continued maintenance may be viewed as the alternative to rehabilitation, and so rehabilitations should compete against maintenance. Also, since rehabilitations are not as large as replacements they can be programmed more easily in the Operation and Maintenance account".

b. **Dam Safety Assurance Projects/Safety and Seepage/Stability Correction Program**

(1) The project must have an evaluation report, including a base safety standard analysis, approved by the MSC Dam Safety Officer or HQUSACE CECW-CE, or at the MSC or HQUSACE CECW-CE for approval, as applicable, by 1 June of the PY-2 with approval expected by 1 August of the PY-2 to be considered for inclusion in the PY program as a continuing project. The report with the letter of approval must reach the Corps Dam Safety Office by 15 August of the PY-2.

(2) The preparation of an evaluation report for Dam Safety Assurance and Seepage/Stability Correction Program projects will be funded by the C Dam Safety and Seepage/Stability Correction Program line item, in accordance with the Corps Portfolio Risk Analysis.

(3) The proposed work must require no additional Congressional authorization.

(4) Initial preconstruction activities and initial construction work for dam safety assurance projects or stability correction projects will be funded under the C Dam Safety and Seepage/Stability Correction Program after approval of an appropriate report.

(5) Work following approval of the evaluation report for a dam safety assurance project will be programmed and funded under the C Dam Safety and Seepage/Stability Correction Program until the ASA(CW) has concurred in construction of the project. Thereafter, the project may be programmed as a continuing, specifically funded project and construction may be initiated. If the ASA(CW) has concurred in construction and the project is ready to initiate construction, but the project is still being funded in the C Dam Safety and Seepage/Stability Correction Program, construction could be funded with Program funds until line item funding becomes available.

(6) Projects for Dam Safety Assurance and Seepage/Stability Correction Program work may be in any of the major business lines.

c. **New Deficiency Correction Projects.**

(1) The threshold for using C funds at Corps of Engineers operated and maintained projects recommended for new deficiency corrections is $5 million. Deficiencies with an estimated total cost of less than $5 million at Corps of Engineers operated and maintained projects will be corrected using O&M

funds. There is no dollar threshold for deficiency corrections at non-Federally operated and maintained projects.

(2) The project must have a reconnaissance report approved by HQUSACE CECW-CE, as applicable, or at HQUSACE CECW-CE for approval, as applicable, by 1 June of the PY-2 with HQUSACE CECW-CE approval, as applicable, expected by 1 August of the PY-2.

(3) The proposed work must require no additional Congressional authorization.

d. **Dredged Material Disposal Facility Projects at Operating Navigation Projects will be considered under the O&M program.**

B-2.6. **Specific Guidance for Separable Elements of Ongoing Construction Projects and Resumptions.**

a. A separable element is a portion of a project which is physically separable from other portions of the project, and which achieves hydrologic effects or produces physical or economic benefits which are separately identifiable from those produced by other portions of the project. Construction of a separable element requires a new PCA. In those cases where a separable element is to be constructed and the parent project already has an executed PCA, an amendment to that PCA may be more appropriate if the separable element and parent project will be undertaken concurrently and with the same project sponsor. If an investment increment is part of an authorized project, but is useful separately from other features of the authorized project and is not covered under the already-executed PCA or PCAs for the other features, that increment will be treated as a separable element. Examples include recreation features not covered under an existing cost sharing PCA, and reimbursable work that is beyond the scope of the work covered under the existing reimbursement PCA. Investment increments that are not authorized are not separable elements of an authorized project and should be pursued as an unauthorized project in the I appropriation account.

b. Previously unfunded separable elements that are not economically justified or do not have ecosystem restoration benefits sufficient for justification at the current discount rate, excluding recreation benefits and costs, must not be programmed for planning, engineering and design or construction. Planning, engineering and design and construction for separable elements that are justified at the current discount rate excluding recreation benefits and costs may be programmed in the period PY through PY+9. **However, information required for PY new construction candidates must be submitted for such separable elements for the PY in which they are programmed to initiate construction.** New separable elements, both programmed and unprogrammed, as applicable, must reflect the cost sharing and financing concepts in the Water Resources Development Acts of 1986, as amended.

c. Although funds for separable elements of ongoing construction projects are not programmed on an individual basis and are included as part of the program requests for their parent projects, each active uncompleted separable element, whether programmed or unprogrammed, must be shown individually, similar to a subproject in the Project Cost Estimate, PB-3, and Detailed Project Schedule, PB-2a, which are prepared for each parent project. Each such separable element must include its applicable construction costs plus its associated planning, engineering and design and construction management costs. Total Federal and non-Federal costs for each separable element must also be shown on the PB-3 and PB-2a. Furthermore, the method of financing for Federal and non-Federal funds for each separable element must also be shown on the PB-2a. In addition to the separable elements identified during previous program submissions, all other uncompleted separable elements must be shown on PB-3s and PB-2a's, even if funds are not requested for the separable elements in the PY. Also, a separate Illustration B-2.1, Project Data Summary, must be prepared for each separable element shown on the PB-

3 and PB-2a. In addition, Illustration B-2.4, PY Justification Sheet must be submitted for each previously unfunded separable element recommended for funding for construction in the PY.

d. Resumptions of physical construction are projects and separable elements that have been funded **in the past and have initiated physical construction,** but that have not been in physical construction since PY-4, except for projects for which the resumption of physical construction was included in the President's budget for PY-1, and except for projects with natural pauses, such as for levee lifts or monitoring stages. Continuing planning, engineering, and design of resumptions may be programmed in the PY, but resumption of physical construction requires a new budget decision.

e. Economic and environmental analyses supporting PY funding requests for planning, engineering and design for previously unfunded separable elements and resumptions should be presented as follows: Costs should be updated to current price levels. Benefits should be those reported in the latest approved evaluation, e.g., EDR or reevaluation report, and must not be price indexed in any case except for specific benefit categories such as roads, bridges, and rail lines provided that these benefits do not constitute a major portion of overall benefits. The total BCR at the applicable and current discount rates will be computed in the following manner: deflate the updated project cost to the price level of the latest approved detailed economic evaluation using adjustments for price level changes experienced in the interim period. The CWCCIS and ENR indices are both acceptable for use in deflating project costs. Next, annualize the deflated project cost at each discount rate and divide the costs into the benefits which also must be annualized at each discount rate. Economic analyses supporting PY funding requests for new construction of separable elements and resumptions must be contained in an official report approved in or more recently than PY-5. In no case should the benefits be price indexed except for specific benefit categories such as roads, bridges, and rail lines provided that these benefits do not constitute a major portion of overall benefits. After a decision has been made by the Director of Civil Works and ASA(CW) to include a separable element or resumption in the PY program and construction funds have been appropriated for such work, no further update of the economic analysis will be required during the approval process for the non-Federal sponsor's financing plan and execution of the PCA provided the PCA is approved in the PY and no significant changes which may effect economic or environmental justification have been made from the latest approved document. For older projects, and projects under continuing construction where significant changes have occurred following initiation of construction, an economic update should be performed in PY-2 for both total costs and benefits, and remaining costs and benefits to be used in continuing budget decisions.

B-2.7. **Cost Estimates and Inflation Factors.** Cost estimates for all construction projects and separable elements will be based on a 1 October of the PY-1 price level with an allowance for inflation through the construction period assuming an efficient rate of construction will be developed at the Capability level.

a. Project Cost Estimates, PB-3s, for projects which are recommended for funding in the PY should be updated to a 1 October of the PY-1 price level in accordance with the instructions in ER 11-2-240. Separable elements must be shown individually on the PB-3's. Federal and non-Federal cost sharing must reflect the guidance in this subannex. The cost estimates for new construction projects, replacement projects, dam safety assurance projects, deficiency correction projects, resumptions, reimbursement projects, and separable elements must be complete and reliable to assure credibility with the project sponsor, the Administration, and the Congress.

b. Inflation factors for the period PY through PY+9 which must be used for updating cost estimates to include future inflation for the PY submission to CECW-I are shown on Table 1 of the EC. These factors must be used to escalate future costs for consultants, A-E contractors, GM/GS employees, wage board employees, construction, and operation and maintenance activities through the construction period for each project. The PY+9 inflation factors, compounded as appropriate, must be used for that portion of the

construction period beyond PY+9 to project completion. Instructions for escalating estimates beyond PY+9 are provided at the bottom of Table 1.

c. Effective 1 October 1985, funds obligated for continuation of planning and engineering studies (CP&E) are considered project costs and must be included in project cost estimates. However, CP&E funds obligated prior to 1 October 1985 remain excluded from project cost estimates. Funds allocated for CP&E, which are obligated on or after 1 October 1985, and all advance engineering and design (AE&D) and preconstruction engineering and design (PED) funds shall be made a part of the cost allocation to project purposes and the cost apportionment between Federal and non-Federal shares.

d. Items which are indefinite or unprogrammed will be based on a 1 October of the PY-1 price level without an allowance for future inflation and their costs will be included in the unprogrammed balance to complete for each project. Indefinite or unprogrammed items include parts of projects that will very likely not be programmed due to lack of local support or other non-funding reasons, as well as all new construction candidates (see paragraph B-2.4.) that are not included in the PY program. Many items in the unprogrammed balance to complete, although currently designated as active, may eventually be deauthorized or reclassified to the deferred or inactive categories, and all items must reflect the cost sharing and financing concepts in the Water Resources Development Act of 1986, as amended. Some indefinite or unprogrammed items may proceed to construction at a future date, at which time they would be included in the programmed portion of the applicable project.

e. Contracts for programmed work and other associated activities such as land acquisition, planning, engineering and design, and construction management will be inflated through the construction period for each project to project completion.

f. Cost estimates and program requests will include future pay raises for GM/GS and wage board employees through the construction period to project completion. Adjustments will be made by CECW-I to reflect, if necessary, Administration assumptions regarding absorption of the raises.

g. To estimate the inflation allowance for construction projects to be included in the PY submission to CECW-I, and for other projects where appropriate, use the methodology provided below and the schedule developed for each project at the Capability Level. The inflation allowance for each project will be computed only once and will be used without recomputation for all funding level schedules. The Non-Federal costs for these projects will be escalated to include an inflation allowance for future years in the same manner as Federal costs.

h. Instructions for escalating project cost estimates to include an allowance for future inflation are provided below.

(1) Develop a Capability Level schedule for each project at a 1 October of the PY-1 price level.

(2) Do not further escalate contracts already awarded or to be awarded by 30 September of the PY-2.

(3) Escalate each contract to be awarded in the PY-1 and future years through its construction period in accordance with the guidance in Table 1.

(4) Escalate land acquisition, in-house planning, engineering and design costs, in-house construction management costs, and Non-Federal costs through the construction period also in accordance with the guidance in Table 1.

B-2.8. **Schedules, Completion Dates, Contingencies and Funding Levels.**

a. A Detailed Project Schedule, PB-2a, will be prepared using PRISM for each project for the Capability Level based on the assumptions noted above in accordance with the PRISM Users Manual using PRISM Level “9”. The Capability Level funding amounts from the PB-2a will be manually input into PBS for Illustration B-2.1, Project Data Summary.

b. A completion date for each project will be developed for the Capability Level. If the completion date for the entire project is indefinite, then the completion date for the currently programmed construction work will be used. If planning, engineering and design is the only programmed activity and all construction work is unprogrammed, then the completion date will be shown as indefinite. For projects which include beach nourishment, show separate completion dates for initial construction and periodic nourishment.

c. Assumed work allowances for the PY-1 construction program, as discussed above, must be reflected in the PB-2a's which are submitted to CECW-I using PRISM.

d. The cost estimate for each project, subproject, or separable element of a project must include a separate item for contingencies as an allowance against some adverse or unanticipated condition not susceptible to exact evaluation from available data. Contingencies will be displayed under a separate feature using feature code 59. Separate line-items and descriptions may be used, if desired, under feature 59 to specifically display the contingencies associated with the work shown under features 01 through 31. The contingency allowance should be varied according to the stage of planning and design after considering the sufficiency of the data which form the basis of each quantity estimate. ER 1110-2-1302, annex D, shows reasonable percentage factors to be used for contingency allowances in estimates of costs for construction and relocation features. For projects that are not programmed to complete in the PY, the project cost estimate may include appropriate contingency allowances. However, the PY request must not include an amount for contingencies and such allowances must be distributed in the outyears in proportion to the work to which the contingencies apply. Contingencies may only be included in the programmed or unprogrammed balance to complete in proportion to the work included therein. For projects that are programmed to complete in the PY, the PY request may include an appropriate, reasonable amount for contingencies. As a project nears completion, the contingency allowance must be reduced accordingly. **In no case will contingencies for completed work be included in the programmed or unprogrammed balance to complete subsequent to programmed project completion in the PY through PY+9.** Claim settlements and deficiency judgments in the PY through PY+9 will be handled in accordance with normal reprogramming procedures. PY through PY+9 requests must not include amounts for anticipated claim settlements or anticipated deficiency judgments.

e. Funding level definitions are provided below.

(1) Initial Funding Level. The initial level for each project or separable element is limited to: 1. For continuing or base-plus-options contracts (the base amount only, no options) the amount needed for earnings (no more, no less) in PY for estimated contractor earnings on contracts funded in the PY-1 budget and continuing into PY, plus contract management, E&D during construction, and real estate activities associated with continuing construction of that project or separable element; or 2. The amount necessary to fully fund continuing contracts with a remaining balance of less than $10 million plus the associated contract management, E&D during construction, and real estate activities. Projects identified in the PY-1 budget for consideration for suspension and other projects not budgeted in PY-1 will have an Initial level of zero.

(2) Performance Based Budget Increment(s). Add additional funding increments for each project for logical, needed increments that contribute to the program goals. Ranking will be based on performance

measures found in Appendices I-VIII. The basis for adding increments in terms of budget request for a project will be based on the demonstrable benefits. The last-added funding increment for each project, together with the Initial Level and previously added increments, will add to the project capability.

(3) **Capability Level.**

a. When developing capabilities, Districts should fully fund all contracts $10 million or less; for contracts greater than $10 million, treat them as incrementally funded (i.e. continuing contract, base bid + option, multiple year contract); when stating capabilities, in addition to the optimally funded capability, provide one or two logical increments less than the optimal capability with a brief explanation of what can be accomplished at each funding increment. It is extremely important that Districts and Divisions (MSCs) carefully consider Capability Level amounts. The program recommendations to OMB, the President's FY 2007 budget, and the associated 5-year budget plan will be derived in part from the Capability Level.

b. Capabilities should be develop for both expenditures and obligation amounts for each item that you are requesting funding. These numbers should be loaded into PRISM for PY similar to what you are loading for the PY-1 Capability. It is critical that your PY request be expressed in this manner. When outyear obligational amounts are required, they will be extracted from the PB-2a's. Consequently, your PB-2a, Illustration B-2.1 and PY capability date should be updated and consistent.

(4) Phase. A letter code will be used to indicate phase. The phase codes are: R=Reconnaissance; F=Feasibility; P=PED; C=Construction; CR=Replacement.

B-2.9. **Recreation Facilities.** In accordance with the current policy on Federal funding of recreation facilities at projects under construction, additional recreation facilities will not be programmed, except for minimum facilities needed for health and safety as defined in ER 1165-2-400, unless local interests agree to provide 50 percent cost sharing and financing for their share of recreation costs and to bear 100 percent of the recreation operation and maintenance costs in accordance with the cost sharing and financing concepts in the Water Resources Development Act of 1986, as amended. However, recreation development previously approved by ASA(CW) at 100 percent Federal cost may be completed.

a. For projects where local interests have definitely declined to provide Non-Federal cost sharing, or where there is not yet a cost sharing agreement for whatever reason, include minimum facilities for health and safety in the project schedules, as appropriate, and include remaining recreation facilities in the unprogrammed balance to complete beyond PY+9. Construction of recreation facilities requiring a new cost sharing agreement will be considered a PY new investment decision for a new separable element and will be included on Illustration B-2.6, PY Proposed New Major Replacement and Other New Work Summary.

b. For new construction projects or separable elements, construction of recreation facilities will be considered together with the primary portion of the project or separable element as a PY new investment decision and will be included on Illustration B-2.7, New Construction Checklist.

B-2.10. **Cost Sharing.**

a. For projects with costs assigned to navigation, cost sharing and financing provisions are set out in Section 101 of the Water Resources Development Act of 1986, as amended. These provisions apply to a project, or separable element thereof, on which a contract for physical construction had not been awarded before 17 November 1986. Cost sharing for dredged material disposal facilities was modified by section

201 of the Water Resources Development of 1996 and applies to those facilities for which a contract for construction had not been awarded on or before 12 October 1996.

b. **For projects with costs assigned to flood control or other specified purposes, cost sharing and financing provisions are set out in section 103 of the Water Resources Development Act of 1986. Except for certain named projects specifically exempted by law, these provisions apply to a project, or a separable element, thereof, on which physical construction is initiated after 30 April 1986.** Section 202(a) of the Water Resources Development Act of 1996, which amends Section 103 of WRDA 86, increases non-Federal cost sharing for costs assigned to flood control to a minimum of 35 percent and applies to projects authorized after 12 October 1996.

c. For new deficiency correction projects at non-Federally operated and maintained projects, cost sharing and financing will be in accordance with current cost sharing as established in the Water Resources Development Act of 1986, as amended, unless an exception is granted by ASA(CW) during the reconnaissance report review and approval process. For new deficiency correction projects at Corps of Engineers operated and maintained projects, there will be no cost sharing required unless a non-Federal sponsor has contributed toward the initial construction of the project. Payment may be required of public entities which have signed agreements with the Government, e.g. for water supply storage.

d. For dam safety assurance projects that have not been previously programmed for construction, cost sharing and financing will reflect a non-Federal cash contribution allocated to project purposes in accordance with Section 1203.(a) of the Water Resources Development Act of 1986, as amended.

e. For resumptions of projects initiated under pre-WRDA 1986 cost sharing, cost sharing and financing will depend on the circumstances under which construction on the project was stopped. Generally, if it was at the request of, or due to action by local interests, cost sharing and financing concepts reflected in the Water Resources Development Act of 1986, as amended will apply. However, if the project was stopped by other parties, such as in the case of a court injunction, then the originally authorized cost sharing and financing requirements will be applicable. Resumptions of projects initiated under post-WRDA 86 cost sharing will be cost shared and financed in accordance with WRDA 1986, as amended.

f. Projects and separable elements for which construction was ongoing with respect to applicable portions of the Water Resources Development Act of 1986, as amended, are not affected by the cost sharing provisions of the Water Resources Development Act of 1986, as amended.

g. Since Federal funds are limited, it is especially important that financial obligations for construction in each fiscal year include the appropriate non-Federal cash share. For each project, non-Federal required cash contributions and Federal funds should be obligated such that the sponsor's percentage cash share of financial obligations for construction in each fiscal year is equal to the sponsor's overall percentage cash share of total financial obligations for construction. The exception is in the first fiscal year of construction, when Federal and non-Federal contributions will be adjusted to bring the sponsor’s total sunk and current contributions in line with its required cash percentage of obligations through that fiscal year. Credit for authorized and approved construction by the sponsor, if any, should be included in financial obligations for construction and applied toward the sponsor's required cash contribution (other than the 5 percent cash share required for structural flood control) in the year that the credit for the completed work is afforded. In all cases the schedule for obligating and expending non-Federal funds is independent of the schedule for the provision or crediting of LERRDs. Failure to obtain, obligate, and expend non-Federal cash contributions in the proper proportion results in the improper, excessive obligation and expenditure of Federal funds and the unnecessary delay of projects whose schedules are constrained by the availability of Federal funds.

B-2.11. **Remaining Benefit-Remaining Cost Ratio (RBRCR).** Use the following guidelines to compute the RBRCR at the applicable interest rate, the current interest rate and the OMB prescribed 7% interest rate for Illustration B-2.1, Project Data Summary.

a. General Guidance

(1) Remaining Costs. Consider anticipated Federal and non-Federal allocations and other non-Federal costs through the PY-1 as sunk, and exclude them from the RBRCR computation. The Remaining Costs shall be the Federal and non-Federal allocations as of the end of PY-1 (30 September 2007) based on the current project cost estimate and allocations from prior years and on the Presidents Budget for PY-2 in October 2006 dollars. Where the project includes completed separable elements, independent units and/or useful increments, OMRR&R costs for completed units/increments shall also be considered sunk, and only OMRR&R for remaining units/increments shall be considered in remaining project costs. **The remaining costs should include any reimbursements to be paid for work already completed.**

(2) Remaining Benefits. Where the project includes completed separable elements, independent units and/or useful increments, the amount of annual benefits that would be expected to accrue over the period of analysis for completed or functioning components of the total project shall be considered sunk and excluded from the RBRCR computation. **Sunk benefits for projects that have reimbursable features should be estimated based on the reimbursable costs expended and an estimate on the amount of sunk benefits that would be associated with that level of expenditure**. Remaining benefits are those that will be attainable in the PY or thereafter only if project features not completed with allocations through PY-1 are completed and operated and maintained.

(3) Review and Approval. All assumptions and computations of RBRCR, including I-PED, shall be subject to Independent Technical Review (ITR) at the District level. Rationale and documentation for determination of sunk and remaining benefits and costs must be provided to the ITR team/members and submitted along with the documentation and certification of ITR to the MSC for approval The MSC will submit the full documentation of RBRCRs to the RIT. RIT should then request the Office of Project Review (CECW-PC) to review the materials. RBRCR materials should include the specified spreadsheet that has been distributed via Budget EC and MSC lead economists, and documentation of ITR. Documentation may include comment/response/resolution papers or may include summary statements from ITR reviews describing what they reviewed, how they reviewed, and what issues were dealt with and resolve. Documentation of ITR should also include “certification” statements/signatures. It is formal, but should be commensurate with the complexity and scope. ITR should include Economist and PPM persons. ITR should consider such things as accuracy of Remaining costs, assurance that proper prior approved report is basis of benefits, proper deflation of cots, remaining construction schedule is reasonable, and IDC on remaining costs are correct. If new Economic update method was employed as being latest approved analysis, statement that MSC has approved it should be provided. Copies of any economic updates should be maintained by MSC and District and Provided to HQ if requested. **RBRCR submittal dates are 30 June 06 and 15 Nov 06. RBRCRs must be approved by 15 August 06 and updated for all projects by 15 December 05 (Refer to Table 2 in the Main EC)**.

(4) The RBRCR supporting PY funding requests for new construction candidates must be based on current approved evaluations of benefits and costs contained in an official report approved in or later than PY-5 and computationally follow one of the methods outlined in paragraph B-2.11.b. In no case should the benefits be price indexed except for specific benefit categories such as roads, bridges and rail line damages provided these benefits do not constitute a major portion of overall benefits.

(5) For projects that were authorized without a formal benefit-cost analysis because monetary benefits have not been quantified, indicate the RBRCR is not applicable and the reasons why.

(6) For PY, the RBRCR's will be computed using both the applicable rates from Table B- 2.2 and a standard discount rate of 7 percent.

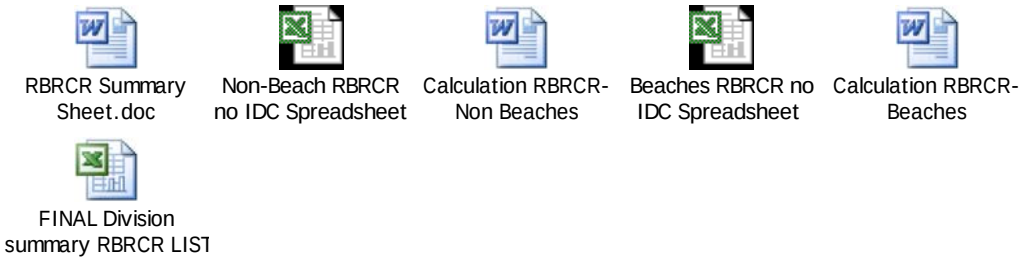
b. Alternative Methods for RBRCR. Use one of the following methods for determining RBRCR as appropriate for the conditions and situations associated with each project. It is expected that the most commonly used method will be the Deflation of Costs method outlined below. In any case, cost savings from implementation of the project or separable element will be treated as benefits, not as offsets against implementation costs.

(1) Deflation of Cost Method. The Deflation of Cost method will generally be used for projects where the last approved economic analysis remains generally current with existing and anticipated future conditions. In this method, remaining costs are to be deflated to the date of price level basis of the last approved economic benefits analysis using the composite CWCCIS. Interest during construction will be computed for the remaining period of construction at the various interest rates and based on the anticipated remaining construction allocations. The total project cost will be annualized at the various interest rates over the appropriate period of analysis (usually 50-years). Remaining OMRR&R will also be deflated to the price level of the last approved benefit analysis and added to the annualized capital costs to determine total remaining annual costs. The total remaining annual benefits will be determined on the same price levels of the last approved economic analysis, and at the various interest rates. Then RBRCRs for the various interest rates will be computed.

(2) Economic Update Method. The Economic Update Method will consist of the district preparing an economic update of total and remaining project benefits on current price levels in accordance with an approved Economic Update Plan. The price level prevailing during PY-2 (FY 06 for the FY 08 budget) will be used to update the benefits. Remaining cost will be calculated using the steps outlined in paragraph 1 above. RBRCRs calculations using this method will then be adjusted by the deflation method outlined above. The Economic Update Method should be used for projects wherein the last approved economic analysis is old and/or otherwise no longer reflective of current and anticipated future conditions. This would be especially useful for projects that have prolonged and periodic construction activities such as levee lifts (ie. MR&T) and additions to training river control works over extended periods of time. In performing economic updates current and future development, traffic levels, fleet characteristics, residual risks, operating practices, and other relevant factors should be factored in to the analysis as appropriate to derive a reasonably accurate estimate of project benefits.

(3) Beach Re-nourishment Projects. For beach re-nourishment projects, the general assumption and calculations in the original (and last approved) economic analysis is one of needing to continue to periodic re-nourish the beach to maintain the design profile. Otherwise the estimated benefits would not be realized. Therefore, for beach re-nourishment activities, the RBRCR shall be computed in the following manner for the various project interest rates. Either the Deflation of Project Costs or the Economic Update Method outlined above may be used. However, the period of analysis for comparison of remaining costs and remaining benefits will be the remaining period of authorized Federal participation in the period re-nourishment of the project and/or applicable separable element. Remaining benefits will be considered the total annual benefits of the project after accounting for any historic and future growth in development used in the last approved economic analysis. For example, if there are 25 years remaining in authorized Federal participation in re-nourishment, the remaining construction and OMRR&R costs will be amortized over that period at the various interest rates, and compared to the annual benefits also computed at the same interest rate.

c. RBRCR instructions and worksheets are enclosed. **RBRCR Summary Sheet, Sample Non-Beach RBRCR no IDC Spreadsheet (Table 1), Calculation RBRCR Non Beaches, Sample Beaches RBRCR no IDC Spreadsheet (Table 2), Calculation RBRCR Beach and Final Division Summary RBRCR list (Table 3))**



B.2.12. **Projects Previously Funded as Construction.** PY Civil Works budget will fund four types of previously funded Construction activities in the Operation and Maintenance account. These activities are appropriately funded in the Operation and Maintenance account, both because of the nature of the work they represent and because of their integral connection to operation and maintenance. This reassignment improves accountability and oversight, reflects the full cost of operation and maintenance, and supports an integrated funding strategy for existing projects.

1. Biological Opinions: Activities necessary to comply with Biological Opinions, pursuant to the Endangered Species Act, to avoid jeopardizing listed species at existing projects. Compliance costs will be allocated among the project purposes of the operating projects.

2. Rehabilitation: Work to restore or ensure continuation of project functions or outputs. Rehabilitation of existing projects will compete for funding on a level playing field with other operation and maintenance activities. Fifty percent of the costs of rehabilitations for inland waterway projects will be derived from the Inland Waterways Trust Fund.

Section 205 of WRDA 92 defines “rehabilitation,” with respect to inland waterway projects, as economically justified, structural restoration of major project features that extends project life more than 2 years, or structural modifications that enhance operational efficiency, and that exceed certain cost thresholds. Continued maintenance may be viewed as the alternative to rehabilitation, and so rehabilitations should compete against maintenance. Also, since rehabilitations are not as large as replacements they can be programmed more easily in the Operation and Maintenance account.

3. Beneficial use of dredged material from maintenance dredging: Construction of facilities, projects or features that use maintenance dredging material. These include beneficial uses of dredged material for island and marsh creation, shore protection, and other environmental purposes pursuant to the Section 204 / 207 / 933 Continuing Authority Program and specific authorizations. These also include dredged material disposal facilities for material from maintenance dredging. Funding for the dredged material disposal facilities would be derived from the Harbor Maintenance Trust Fund.

4. Renourishment to restore sand lost to shorelines form Federal navigation operation and maintenance: Replacement of sand lost from shores due to the operation of Federal navigation projects (navigation mitigation). This activity would be carried out pursuant to specific authorizations for shore protection projects that involve navigation mitigation, and pursuant to the Section 111 Continuing Authority Program. Funding for navigation mitigation will be derived from the Harbor Maintenance Trust Fund.

You should assume that proposed FY 2007 appropriations bill language will enable funding of these activities from the Operation and Maintenance account. Proposed language includes a provision for activities to comply with the Endangered Species Act at existing projects as well as funding for "eligible operations and maintenance" to be derived from the Harbor Maintenance Trust Fund. According to section 201 of the Water Resources Development Act of 1996, eligible operations and maintenance activities include not only harbor dredging but also the dredged material disposal facilities and navigation mitigation.

B-2.13. **Supporting Data.** The following items must be prepared as indicated for each project for which funds are requested in the PY.

a. **Detailed Project Schedule, PB-2a's**, will be prepared using PRISM for the Initial and Capability Levels for each project. However, the automatic PB-2a to PBS copy feature will not be activated. **The Initial and Capability Level PB-2a's must reflect the funding decisions for continuing projects shown on the PY-1 Congressional PB-2a and must display all active uncompleted separable elements. Capabilities should be develop for both expenditures and obligation amounts for each item that you are requesting funding. These numbers should be loaded into PRISM for PY similar to what you are loading for the PY-1 Capability. It is critical that your PY request be expressed in this manner. Outyear obligational amounts will be required and will be extracted from the PB-2a's. Consequently, your PB-2a, Illustration B-2.1 and PY capability date should be updated and consistent.** Note that the current PB-2a format shows a breakdown through PY+9. The PB-2a has also been modified to separately display Federal funds, Inland Waterways Trust Funds, Harbor Maintenance Trust Funds, non-Federal cash contributions and other costs, and Other Federal Agency funds in the method of financing tabulations. Contingencies will be displayed under a separate feature using feature code 59. Separate line-items and descriptions may be used, if desired, under feature 59 to specifically display the contingencies associated with the work shown under features 01 through 31.

b. Illustration B-2.1, Project Data Summary, will be prepared for each continuing project or separable element, each project or separable element expected to be recommended for new construction during the period PY through PY+9, and each programmed or unprogrammed separable element included in a Detailed Project Schedule, PB-2a, for a parent project proposed for funding in the PY, in accordance with instructions in the PRISM Users Manual. This includes new construction projects, new replacement projects, dam safety or seepage/static instability projects continuing from the Dam Safety and Seepage/Static Instability Correction Program, new deficiency correction projects, new dredged material disposal facility projects (although these projects will not be line-item funded), resumptions, and new separable elements of projects under construction. Individual Illustrations B-2.1 prepared for programmed and unprogrammed separable elements will be rolled up into their parent projects by PRISM. A separate data field has been established to show remaining PED costs on each Illustration B-2.1 for PY+1 through PY+9 new construction projects or separable elements so that PED costs will not be included with construction costs in the 10 year construction program. **The Initial and Capability Level PY funding amounts displayed on Illustration B-2.1 will be based on entries to the PBS Performance Measure/Business Line sub-module.** Illustrations B-2.2A, B-2.2B, B-2.2C, B-2,2D, and B-2.3 provide summaries of Federal (Corps) funding requirements, Inland Waterways Trust Fund requirements, Harbor Services Fund requirements, Other Federal Agency funding requirements, Non-Federal cash contributions and other costs, and completions, respectively, from data developed for each Illustration B-2.1. **The Capability Level funding for each fiscal year, including inflation allowances, should reflect the 10-year period, PY through PY+9. When developing capabilities, Districts should fully fund all contracts $10 million or less; for contracts greater than $10 million, treat them as incrementally funded (i.e. continuing contract, base bid + option, multiple year contract); when stating capabilities, in addition to the optimally funded capability, provide one or two logical increments**

less than the optimal capability with a brief explanation of what can be accomplished at each funding increment.

c. Illustration B-2.4, PY Justification Sheet, will be prepared for the Initial Level for each new construction project, replacement project, and dam safety assurance or seepage/static instability correction project continuing from the Dam Safety and Seepage/Static Instability Correction Program, new deficiency correction project, resumption, and new unstarted separable element of a project under construction (including new recreation facilities and new reimbursable work) which is recommended for funding in the PY. In addition, although funds for separable elements of ongoing construction projects are not programmed on an individual basis and are included as part of the program requests for their parent projects, Illustration B-2.4, PY Justification Sheet, will be prepared for each new separable element which is recommended for funding for construction in the PY. The justification sheets must be typed on standard size paper, 8 1/2 inches by 11 inches, as left justified Word documents at 6 lines per inch (.167 inch line height) using a landscape 10 point font (12 characters per inch); Arial are the preferred typefaces. The typed material must be confined to 6 1/2 inches vertically and 10 inches horizontally, leaving 1/2 inch margins on the left and right sides, and 1 inch margins on the top and bottom. The July submission must be submitted by email as a Word document. See paragraph 12.d.(1).(h). of the main EC for specific instructions concerning conversion of your justification sheets to an Adobe Acrobat 7.0 file for transmission of the Congressional submission to HQ. The appropriation title and project classification must be typed as the first line in the body and the Division, District, and project name must be typed in the 1 inch bottom margin. Do not underline any headings. Illustrations B-2.4 for continuing projects will be requested at a later date for the PY submission to Congress.

d. Illustration B-2.6, PY Proposed New Replacement and Other New Work Summary, will be prepared to identify each new replacement project, new deficiency correction project, resumption, and new separable element of an ongoing project (including new recreation facilities and new reimbursable work) recommended for construction funding in the PY.

e. Illustration B-2.7, New Construction Checklist, will be prepared to identify PY new construction projects that are recommended in accordance with the criteria listed in Table B-2.1.

f. You should be prepared to submit three copies of the document confirming compliance with basic eligibility criterion number 6 of Table B-2.1 for all recommended new construction candidates. If the recommended plan materially differs either in scope or costs (20 percent, adjusted) from the authorized plan, or from that included in the report being processed for submission to Congress, three copies of the reevaluation report justifying such deviation will be required. If copies of required reports have been sent for previous program submissions, RIT will verify the availability of these reports before requesting additional copies.

g. A reproducible map will be provided for each new construction project, new replacement project, new deficiency correction project, resumption, and new separable element of an ongoing project (including new recreation facilities and new reimbursable work) recommended for funding for construction in the PY. Furthermore, a map will be provided for each continuing dam safety project, replacement, seepage or stability correction project. For the July submission, a copy of a location or project map from a feasibility report, design memorandum, or other document will be sufficient. The July submission map must be marked in black reproducible pencil to clearly show the project and separable elements thereof, if applicable, in relation to nearby geographical features. The purpose of the map is to aid in understanding the nature of the project or separable element. See paragraph 12.d.(1).(h). of the main EC for specific instructions concerning conversion of your maps to an Adobe Acrobat 7.0 file for transmission of the Congressional submission to HQ.

h. Remaining Benefit-Remaining Cost analysis per section B-2.11, for each line-item funded project or separable element is necessary, exceptions are aquatic ecosystem restoration projects, dam safety projects, and seepage / static instability correction, and replacement projects.

B-2.14. **Coding Instructions.**

a. An automated database will be developed for the construction program using the PBS and PB-2a modules of PRISM. Coding instructions have been provided in the PRISM Users Manual. A PB-2a will be prepared using PRISM for the Initial Level for each project recommended for funding in the PY. PY funding requirements will also be entered into the Performance Measure/Business Line sub-module of PBS in accordance with instructions in Appendices II through VI, section 12.c.(4). of the main portion of the EC, and the PRISM Users manual. Outyear funding requirements will be entered into the PBS module using the Budget Maintenance: Construction data entry screen. Outyear amounts for the Initial Level may be entered into PBS manually or may be populated directly from PB-2a data.

b. Illustration B-2.1, Project Data Summary, Illustration B-2.2A, Federal (Corps) Funding Requirements Summary, Illustration B-2.2B, Inland Waterways Trust Fund Requirements Summary, Illustration B-2.2C, Other Federal Agency Funding Summary, Illustration B-2.2D, Non-Federal Cash Contributions and Other Costs Summary, Illustration B-2.2E, Harbor Maintenance Trust Fund Requirements Summary, and Illustration B-2.3, Completions Summary, may be extracted from the PBS database.

B-2.15. **Submission Requirements.** Copies of the following items must be submitted to HQUSACE **RITs** as applicable, WASH DC 20314-1000, except as noted, by the date and in the amount indicated below.

a. **Initial and Capability Level PB-2a's** prepared using PRISM for each project for which funds are requested in the PY. Database will close **30 June,** ADP output, no hardcopy submission required.

b. Illustration B-2.1, Project Data Summary Table, for each continuing project or separable element, each project or separable element expected to be recommended for new construction during the period PY through PY+9, and each programmed or unprogrammed separable element included in a Detailed Project Schedule, PB-2a, for a parent project proposed for funding in the PY. This includes new construction projects, new replacement projects, dam safety assurance and seepage/static instability correction projects migrating from the Dam Safety and Seepage / Static Instability Correction Program, new deficiency correction projects, resumptions, and new separable elements of ongoing construction projects (including new recreation facilities and new reimbursable work). Individual Illustrations B-2.1 prepared for programmed and unprogrammed separable elements will be rolled up into their parent projects by PRISM. The Initial and Capability Level PY funding amounts displayed on Illustration B-2.1 will be based on entries to the PBS Performance Measure/Business Line sub-module. Database will close 30 June, ADP output, no hard copy submission required.

c. Illustration B-2.2A, Federal (Corps) Funding Requirements Summary, database will close **30 June**, ADP output, no hard copy submission required. This is a summary of all Illustrations B-2.1.

d. Illustration B-2.2B, Inland Waterways Trust Fund Requirements Summary, database will close **30 June,** ADP output, no hard copy submission required. This is a summary of all Illustrations B-2.1

e. Illustration B-2.2C, Other Federal Agency Funding Summary, database will close **30 June**, ADP output, no hard copy submission required. This is summary of all Illustrations B-2.1.

f. Illustration B-2.2D, Non-Federal Cash Contributions and Other Costs Summary, database will close **30 June**, ADP output, no hard copy submission required. This is a summary of all Illustrations B-2.1.

g. Illustration B-2.2.E, Harbor Services Fund Requirements Summary, database will close **30 June**, ADP output, no hard copy submission required. This is a summary of all Illustrations B-2.1

h. Illustration B-2.3, Completions Summary, database will close **30 June**, ADP output, no hardcopy submission required. This is a summary of all Illustrations B-2.1.

i. Illustration B-2.4, PY Justification Sheet, for each new construction project, new replacement project, dam safety assurance or seepage/static instability correction project migrating from the Dam Safety and Seepage/Static Instability Correction Program, new deficiency correction project, resumption, and new separable element of an ongoing project (including new recreation facilities and new reimbursable work) recommended for construction funding in the PY, 21 July, no hardcopy required. Illustration B-2.4 for each continuing construction project, continuing replacement project, continuing dam safety assurance or seepage/static instability correction project, continuing deficiency correction project recommended for construction funding in the PY, 15 August, no hardcopy required. The submissions must be submitted by email as a Word document. See paragraph 12.d.(1).(h). of the main EC for specific instructions concerning conversion of your justification sheets to an Adobe Acrobat 7.0 file for transmission of the Congressional submission to HQ.

j. Illustration B-2.6, PY Proposed New Replacement and Other New Work Summary. Each new replacement project, dam safety assurance or seepage/static instability correction project migrating from the Dam Safety and Seepage/Static Instability Correction Program, new deficiency correction project, resumption, and new separable element of an ongoing project (including new recreation facilities and new reimbursable work) recommended for construction funding in the PY must be listed, 21 July, 3 copies.

k. Illustration B-2.7, New Construction Checklist, to identify PY new construction projects that meet the eligibility criteria listed in Table B-2.1, 21 July, 10 copies.

l. Feasibility Report with Engineering Annex, EDR, and/or LRR or GRR for each new construction project recommended for construction funding in the PY, when requested, 3 copies.

m. A reproducible map on 8 1/2 inch by 11 inch paper for each new construction project, new replacement project, new dam safety assurance project, new deficiency correction project, new reconstruction project, new reimbursement project, resumption, and new separable element of an ongoing project recommended for construction funding in the PY, 21 July, 10 copies. Furthermore, a map will be provided for each continuing dam safety project, replacement project, that has not been previously included in the PY-1 President's budget. Larger folded maps are no longer acceptable. See paragraph 11.d.(1).(h). of the main EC for specific instructions concerning conversion of your maps to an Adobe Acrobat 7.0 file for transmission of the Congressional submission to HQ.

n. Evaluation or reconnaissance report, as applicable, for each new replacement project, new dam safety assurance project, new deficiency correction project; 15 Mar for new replacement projects, 3 copies to appropriate HQUSACE Regional Implementation Team (RIT); 21 July for new dam safety assurance projects, and new deficiency correction projects, 3 copies to appropriate HQUSACE RIT. In addition, an appropriate report must be approved by HQUSACE and ASA(CW), as applicable, or at HQUSACE for approval, as applicable, by 15 June of the PY-2 with HQUSACE and ASA(CW) approval, as applicable, expected by 1 August of the PY-2 to be considered for inclusion in the PY program as a continuing project.

o. EDR or reevaluation report for each new separable element of an ongoing project or resumption recommended for construction funding in the PY, including submission letter and subsequent forwarding and approval endorsements, 15 June, 3 copies.

p. Approved M-CACES Baseline cost estimate (summary sheets to the subfeature element level for each feature and the appropriate narrative) for each new construction project, new replacement, new dam safety assurance project, new deficiency correction project, new reconstruction project, new reimbursement project, resumption, and new separable element recommended for construction funding in the PY, 15 June, 1 copy.

B-2.16. **Adjustments to PY-1 and PY Programs.** When Congress takes action on the PY-1 appropriations bill, appropriate revisions to Division submissions will be requested, including updates to estimates for the Initial level and the Capability level.

TABLE B-2.1
NEW CONSTRUCTION
(INCLUDING NEW SEPARABLE ELEMENTS AND RESUMPTIONS)

BASIC ELIGIBILITY CRITERIA

1. The project or separable element is authorized for construction.

2. The Administration has developed a favorable position on construction of the project or separable element, as authorized.

3. PED is fully funded by the end of the PY-1 and the PCA is on schedule to be executed and the Financing Plan approved no later than the end of the PY.

4. The Project Manager has confirmed the sponsor's understanding of its contractual and financial commitments and its ability to meet the funding requirements of the construction schedule, including balancing of its share of PED costs.

5. The project is in compliance with the applicable environmental statutes, appropriate to the current stage of implementation. An Environmental Assessment has been completed and Finding of No Significant Impact signed, or final EIS has been filed, or final EIS supplement is scheduled for filing with EPA by 1 August of the PY-2.

6. If a postauthorization change is required, only routine issues are involved which will not require Congressional authorization. If the project has an unapproved report involving a material change in project features or cost, the required change(s) recommended in the report must be scheduled for Washington level review and approval by ASA(CW), as applicable, by 1 August of the PY-2. For those projects where there are no substantial changes to the project plan presented in the feasibility report with an engineering annex approved by ASA(CW), as applicable, the feasibility report will serve as the necessary document. For all other projects, an approved EDR or GRR, as applicable, approved at the MSC (delegated decision document), HQUSACE, or ASA(CW) level, as appropriate, will be required in accordance with EC 1165-2-205, Delegation of Review and Approval Authority for Post-Authorization Decision Documents. If the economic analysis in the applicable document was approved prior to PY-5, a LRR on the project economics will be required in accordance with paragraph 8 of the main part of the EC and paragraph B-2.3.a of this subannex. The LRR may be approved by the MSC.

7. A M-CACES Baseline cost estimate has been prepared, in accordance with ER 5-1-11, with approval at the appropriate level as the basis for the subsequent work and financial flow.

8. A project management plan (PMP) has been prepared and approved.

9. No known or reasonably anticipated conditions or unresolved issues exist which might prevent either: (a) award of the first significant construction contract by the end of the PY; or (b) the start of real estate acquisition for the first significant construction contract so that the scheduled construction contract can be awarded no later than the end of the following fiscal year (PY+1) in the absence of the sponsor possessing title to the required lands and easements. Planning, engineering and design work should be far enough along in the PY so that the orderly and continuous progression of construction is assured with the scheduled award of the first construction contract.

TABLE B-2.2
APPLICABLE DISCOUNT RATES IN EFFECT
WHEN INITIAL CONSTRUCTION FUNDS WERE APPROPRIATED

Fiscal Year	Discount Rate 1/ Show on Justification Sheet	Show on Illustration B-2.1
1958	2 1/2	2.500
1959	2 1/2	2.500
1960	2 1/2	2.500
1961	2 5/8	2.625
1962	2 5/8	2.625
1963	2 7/8	2.875
1964	3	3.000
1965	3 1/8	3.125
1966	3 1/8	3.125
1967	3 1/8	3.125
1968	3 1/4	3.250
1969	3 1/4	3.250
1970	4 7/8	4.875
1971	5 1/8	5.125
1972	5 3/8	5.375
1973	5 1/2	5.500
1974	5 5/8	5.625
1975	5 7/8	5.875
1976	6 1/8	6.125
1977	6 3/8	6.375
1978	6 5/8	6.625
1979	6 7/8	6.875
1980	7 1/8	7.125
1981	7 3/8	7.375
1982	7 5/8	7.625
1983	7 7/8	7.875
1984	8 1/8	8.125
1985	8 3/8	8.375
1986	8 5/8	8.625
1987	8 7/8	8.875
1988	8 5/8	8.625
1989	8 7/8	8.875

1/ Unless the project qualifies for the 3 1/4 percent rate under the "grandfather" clause in Section 80 of the 1974 Water Resources Development Act.

TABLE B-2.2 (Continued)
APPLICABLE DISCOUNT RATES IN EFFECT
WHEN INITIAL CONSTRUCTION FUNDS WERE APPROPRIATED

Fiscal Year	Discount Rate 1/ Show on Justification Sheet	Show on Illustration B-2.1
1990	8 7/8	8.875
1991	8 3/4	8.750
1992	8 1/2	8.500
1993	8 1/4	8.250
1994	8	8.000
1995	7 3/4	7.750
1996	7 5/8	7.625
1997	7 3/8	7.375
1998	7 1/8	7.125
1999	6 7/8	6.875
2000	6 5/8	6.625
2001	6 3/8	6.375
2002	6 1/8	6.125
2003	5 7/8	5.875
2004	5 5/8	5.625
2005	5 3/8	5.375
2006	5 5/8	5.675
2007	5 3/8	5.375
2008	5 1/8	5.125

1/ Unless the project qualifies for the 3 1/4 percent rate under the "grandfather" clause in Section 80 of the 1974 Water Resources Development Act.

ILLUSTRATION B-2.1
PROJECT DATA SUMMARY
$000

```
DIVISION/DISTRICT                      PROJECT NAME
EROC     APPROPRIATION                 CAT/CLASS/SUBCLASS          PWI NO          SS1          SS2
STATUS:        STATE      GROUP          GROUP2             FLOODPLAIN CAT
-------------------------------BENEFIT/COST RATIO DATA-------------------------------
APPL DISCOUNT RATE                  TOTAL AVERAGE ANNUAL BENEFITS AT TIME OF INITIAL CONSTRUCTION FUNDING
RBRCR AT APPL RATE                  TOTAL AVERAGE ANNUAL COST AT TIME OF INITIALO CONSTRUCTION FUNDING
RBRCR AT CURR RATE                  TOTAL AVERAGE ANNUAL REMAINING BENEFITS
                                    TOTAL AVERAGE ANNUAL REMAINING COST
--------------DATES---------------|--------------------CONGRESSIONAL DISTRICTS--------------------
FY AVAILABLE CONSTR
FY INITIAL CONSTRUCTION FUNDING
PROGRAMMED COMPLETION DATE
           LAST
           CURRENT
-----CURRENT YEAR FUNDING-----
PY-1 PROGRAM
PY-1 CONFERENCE
PY-1 ASSUMED S&S
PY-1 GRH REDUCTION
PY-1 OTHER ADJUST
PY-1 PED ALLOCATION
                PROJECT     ALLOCATIONS    RMNG                  FUNDING REQUIREMENTS
                COST EST    THRU    FOR    PED          PY  PY  PY  PY  PY  PY  PY  PY  PY    BAL TO COMP
FUNDING LEVEL   W/ INFL     PY-2   PY-1    BAL     PY   +1  +2  +3  +4  +5  +6  +7  +8  +9   PROG   UNPROG

INITIAL LEVEL

   FEDERAL (CORPS)
                                     FOR ILLUSTRATION PURPOSES ONLY
   INLAND WATERWAYS TRUST FUND (IWTF)          (ADP output)
```

ILLUSTRATION B-2.1 (CONTINUED)
PROJECT DATA SUMMARY ($000)

NON-FEDERAL

REQ CONTR

OTHER

TOTAL NON-FEDERAL

OTHER FEDERAL AGENCY (OFA)

TOTAL FEDERAL (CORPS), IWTF, NON-FEDERAL, AND OFA

DECREMENT LEVEL (A Decrement Level submission is not be required with the initial program request.)

FEDERAL (CORPS)

CAPABILITY LEVEL

FEDERAL (CORPS)

FOR ILLUSTRATION PURPOSES ONLY
(ADP output)

ILLUSTRATION B-2.2A
FEDERAL (CORPS) FUNDING REQUIREMENTS SUMMARY - CONSTRUCTION
$000

DIVISION/DISTRICT	APPROPRIATION								FUNDING LEVEL												
												FUNDING REQUIREMENTS									
	TOTAL APPN	ALLOC THRU	PY-1 CONF	PY-1 S&S	PY-1 GRH	PY-1 OTHR	PY-1 WORK		RMNG PED												
ACTIV	REQT	PY-2	AMT		RED	ADJST	ALLOW	PY	BAL	PY +1	PY +2	PY +3	PY +4	PY +5	PY +6	PY +7	PY +8	PY +9	BAL TO COMP PROG	BAL TO COMP UNPROG

Need to include all 8 business lines as appropriate -

NAVIGATION
- CHANNELS AND HARBORS
- LOCKS AND DAMS

BEACH EROSION CONTROL

FLOOD CONTROL
- LOCAL PROTECTION
- RESERVOIRS

Ecosystem Restoration

MULTIPLE PURPOSE POWER

REPLACEMENT
- CHANNELS AND HARBORS
- LOCKS AND DAMS
- LOCAL PROTECTION
- RESERVOIRS
- MULTIPLE PURPOSE POWER

DAM SAFETY ASSURANCE
- NAVIGATION
- FLOOD CONTROL
- MULTIPLE PURPOSE POWER

TOTAL

FOR ILLUSTRATION PURPOSES ONLY
(ADP output summary)

ILLUSTRATION B-2.2B
INLAND WATERWAYS TRUST FUND REQUIREMENTS SUMMARY - CONSTRUCTION
$000

DIVISION/DISTRICT	APPROPRIATION						FUNDING LEVEL										
							FUNDING REQUIREMENTS										
ACTIV	TOTAL APPN REQT	ALLOC THRU PY-2	PY-1 CONF AMT	PY-1 S&S	PY-1 OTHR ADJST	PY-1 WORK ALLOW	PY	PY +1	PY +2	PY +3	PY +4	PY +5	PY +6	PY +7	PY +8	PY +9	BAL TO COMP PROG	UNPROG
NAVIGATION																		
LOCKS AND DAMS																		
REPLACEMENT																		
LOCKS AND DAMS																		
TOTAL																		

FOR ILLUSTRATION PURPOSES ONLY
(ADP output summary)

ILLUSTRATION B-2.2C
OTHER FEDERAL AGENCY FUNDING SUMMARY - CONSTRUCTION
$000

DIVISION/DISTRICT	APPROPRIATION						FUNDING LEVEL										
							FUNDING REQUIREMENTS										
ACTIV	TOTAL APPN REQT	ALLOC THRU PY-2	PY-1 CONF AMT	PY-1 S&S	PY-1 OTHR ADJST	PY-1 WORK ALLOW	PY	PY +1	PY +2	PY +3	PY +4	PY +5	PY +6	PY +7	PY +8	PY +9	BAL TO COMP PROG	UNPROG
NAVIGATION																		
FLOOD CONTROL																		
MULTIPLE PURPOSE POWER																		
Districts should add other activities such as ecosystem restoration as appropriate.																		
TOTAL																		

FOR ILLUSTRATION PURPOSES ONLY
(ADP output summary)

ILLUSTRATION B-2.2D
NON-FEDERAL CASH CONTRIBUTIONS AND OTHER COSTS SUMMARY - CONSTRUCTION
$000

DIVISION/DISTRICT	APPROPRIATION				FUNDING LEVEL										
		ALLOC		RMNG	CONTRIBUTION REQUIREMENTS										
	TOTAL	THRU	PY-1	PED	PY	PY	PY	PY	PY	PY	PY	PY	PY	BAL TO COMP	
ACTIV	REQT	PY-2	ALLOC	BAL	PY	+1	+2	+3	+4	+5	+6	+7	+8	+9	PROG	UNPROG
List all 8 Business lines																
NAVIGATION																
CHANNELS AND HARBORS																
LOCKS AND DAMS																
BEACH EROSION CONTROL																
FLOOD CONTROL																
LOCAL PROTECTION																
RESERVOIRS																
Ecosystem Restoration																
MULTIPLE PURPOSE POWER																
REPLACEMENT																
CHANNELS AND HARBORS																
LOCKS AND DAMS																
LOCAL PROTECTION																
RESERVOIRS																
MULTIPLE PURPOSE POWER																
DAM SAFETY ASSURANCE																
NAVIGATION FLOOD CONTROL																
MULTIPLE PURPOSE POWER																
TOTAL																

FOR ILLUSTRATION PURPOSES ONLY
(ADP output summary)

ILLUSTRATION B-2.2E
HARBOR SERVICES FUND REQUIREMENTS SUMMARY - CONSTRUCTION
$000

DIVISION/DISTRICT	APPROPRIATION						FUNDING LEVEL											
							FUNDING REQUIREMENTS											
ACTIV	TOTAL APPN REQT	ALLOC THRU PY-2	PY-1 CONF AMT	PY-1 S&S	PY-1 OTHR ADJST	PY-1 WORK ALLOW	PY	PY +1	PY +2	PY +3	PY +4	PY +5	PY +6	PY +7	PY +8	PY +9	BAL TO COMP PROG	UNPROG
NAVIGATION																		
CHANNELS AND HARBORS																		
REPLACEMENT																		
CHANNELS AND HARBORS																		
TOTAL																		

FOR ILLUSTRATION PURPOSES ONLY
(ADP output summary)

ILLUSTRATION B-2.3
COMPLETIONS SUMMARY - CONSTRUCTION

DIVISION/DISTRICT APPROPRIATION FUNDING LEVEL

ACTIV	PY	PY+1	PY+2	PY+3	PY+4	PY+5	PY+6	PY+7	PY+8	PY+9	BAL TO COMP PROG	UNPROG
List all 8 Business lines												
NAVIGATION												
CHANNELS AND HARBORS												
LOCKS AND DAMS												
BEACH EROSION CONTROL												
FLOOD CONTROL												
LOCAL PROTECTION												
RESERVOIRS												
Ecosytem Restoration												
MULTIPLE PURPOSE POWER												
REPLACEMENT												
CHANNELS AND HARBORS												
LOCKS AND DAMS												
LOCAL PROTECTION												
RESERVOIRS												
MULTIPLE PURPOSE POWER												
DAM SAFETY ASSURANCE												
NAVIGATION												
FLOOD CONTROL												
MULTIPLE PURPOSE POWER												
TOTAL												

FOR ILLUSTRATION PURPOSES ONLY
(ADP output summary)

ILLUSTRATION B-2.4, PY JUSTIFICATION SHEET
(NOTE: DO NOT TYPE ILLUSTRATION HEADING ON JUSTIFICATION SHEET)

APPROPRIATION TITLE: Construction - Enter the project classification and type.

PROJECT: Enter the project name, state and whether it is new or continuing.

LOCATION: Enter a brief description of the project location, clearly identifying major landmarks, counties, and municipalities in the project vicinity.

DESCRIPTION: Enter a brief description of the plan of improvement clearly identifying major project features and differentiating between programmed and unprogrammed work. Indicate if project is part of a system. For reservoir projects, include breakdown of storage by function. Differentiate between programmed and unprogrammed work. For ecosystem restoration projects include area in acres to be restored and types of habitat. If operation and maintenance is required to maintain describe briefly what and how often – For example to keep and area as a wetland dredging will be required every 5 years. If monitoring/adaptive management is authorized or recommended in the approved report – briefly describe what is approved and the period of time involved. Note the recommended/authorized cost of these items.

AUTHORIZATION: Enter the act authorizing the project, such as: Water Resources Development Act of xxxx.

REMAINING BENEFIT-REMAINING COST RATIO: Enter the RBRCR for the project at a 7 percent discount rate **(as calculated from Section B.2-11 of the Annex).** If the project is substantially complete and the RBRCR is no longer meaningful, enter: Not applicable because project construction is substantially complete.

TOTAL BENEFIT-COST RATIO: Enter the benefit-cost ratio for the project at a 7 percent discount rate. For Ecosystem restoration projects briefly summarize the results of the Cost Effectiveness/Incremental Cost Analysis. If the NER plan was not authorized note this.

INITIAL BENEFIT-COST RATIO: Enter the benefit-cost ratio at the applicable discount rate and the fiscal year for which Congress appropriated initial construction funds such as: 1.11 to 1 at 5 1/8 percent (FY xxxx). Omit this item for PY new construction. Use the applicable discount rate from Table -2.2

ILLUSTRATION B-2.4 (Continued)

BASIS OF BENEFIT-COST RATIO: Indicate the basis of the benefit-cost ratios, such as: Benefits are from the latest available evaluation approved in (month) xxxx at xxxx price levels.

SUMMARIZED FINANCIAL DATA

(For projects with an unprogrammed balance to complete, but no future non-Federal reimbursement.)

Estimated Federal Cost		xx,xxx,xxx
Programmed Construction	xx,xxx,xxx	
Unprogrammed Construction	xx,xxx,xxx	
Estimated Non-Federal Cost		xx,xxx,xxx
Programmed Construction	xx,xxx,xxx	
Cash Contributions	xx,xxx,xxx	
Other Costs	xx,xxx,xxx	
Estimated Non-Federal Cost		
Unprogrammed Construction	xx,xxx,xxx	
Cash Contributions	xx,xxx,xxx	
Other Costs	xx,xxx,xxx	
Total Estimated Programmed Construction Cost		xx,xxx,xxx
Total Estimated Unprogrammed Construction Cost		xx,xxx,xxx
Total Estimated Project Cost		xx,xxx,xxx

	ACCUM PCT OF EST FED COST	STATUS (1 Jan xxxx)	PCT CMPL	PHYSICAL COMPLETION SCHEDULE
		Element A	xx	May xxxx
		Element B	0	Indefinite
	(For shore protection projects)			
		Initial Construction	xx	Sep xxxx
		Periodic Nourishment	xx	Jun xxxx
		Entire Project	xx	Jun xxxx

PHYSICAL DATA

Under appropriate subheadings, enter the significant physical data on the major project facilities **indicating mitigation,** indicating the project scope.

ILLUSTRATION B-2.4 (Continued)

SUMMARIZED FINANCIAL DATA (Continued)		ACCUM PCT OF EST FED COST	STATUS (1 Jan xxxx)	PCT CMPL	PHYSICAL COMPLETION SCHEDULE
Allocations to 30 September PY-4	xx,xxx,xxx				
Allocation for PY-3	xx,xxx,xxx				
Allocation for PY-2	xx,xxx,xxx				
Conference Allowance for PY-1	xx,xxx,xxx				
Allocation for PY-1	xx,xxx,xxx	1/			
Allocations through PY-1	xx,xxx,xxx	xx			
Allocation Requested for PY	xx,xxx,xxx	xx			
Programmed Balance to Complete after PY	xx,xxx,xxx				
Unprogrammed Balance to Complete after PY	xx,xxx,xxx				

1/ Reflects $xxx reprogrammed to (from) the project. (Use example as applicable).

2/ For programmed work only; remaining work is unprogrammed pending a decision to construct these features.

JUSTIFICATION: Enter an explicit and factually objective presentation of the merits of the project, i. e., an answer to the question: "Why now?" In narrative form, present your best case. The following information, when related to recent events or the current state of the economy, is more convincing than a simple recitation of facts.)

For flood projects, state the present value and type of property subject to flood damage; the average annual damages, with and without the project; the flood frequency against which protection is to be provided; the maximum flood of record; the damage sustained at that time and what it would be now; the frequency and duration of flooding; recent flood experience; and any other data which indicate the magnitude

ILLUSTRATION B-2.4 (Continued)

and severity of the flood problem and the need for protection. **Include information on risk to life such as velocity and depth of flooding and amount of warning time and egress conditions.** If more than 20 percent of urban flood damage prevention benefits are future benefits, explain the basis for such future benefits. In particular, estimated benefits for prevention of damages to household contents must be in accordance with the most recent CECW-P guidance. **Describe the residual risk in terms of damages, population at risk, and the type of risk (rapid flooding from levee overtopping, etc).** Does project directly or indirectly support future flood plain development in areas other than those near already urbanized areas or where flood plain values have been largely lost? Does it avoid, to the extent possible, the long and short term adverse impacts associated with the destruction or modification of wetlands and/or other environmental attributes?

For commercial navigation projects, discuss major commodities imported and exported; average commerce tonnage over the most recent 10-year period; savings per ton for selected commodities; availability of dredged material disposal sites; and size of ships expected to call at the port in the future.

For Ecosystem restoration discuss significance, as described in Appendix II, Table II-2-3 paragraphs 43-51, of the resources being restored, expected benefits and time frame for the realization of these benefits (eg – mature oak forest full benefits 10-20 yrs out), incidental benefits, and significant factors affecting the cost – such as urban. See Appendix II for other items that you may want to cover in the justification.

For water supply or hydroelectric power generation projects, specify the storage provided, and the potential sponsor(s) who has agreed to fully finance the applicable costs.

Similar specific data should be provided for other types of projects and purposes.

Identify those counties, districts, Indian reservations, or other areas which qualify as areas of "substantial and persistent" unemployment using the procedures in the Principles and Guidelines. The construction activities must be physically located in such areas in order for the benefits from employment of previously unemployed labor resources to be included in the project's justification.

Discuss the extent to which project beneficiaries have made investments other than the required items of local cooperation whose return is contingent upon completion of the Federal project.

ILLUSTRATION B-2.4 (Continued)

Include a tabular listing of annual benefits as the final item of the justification paragraph if there is more than one applicable benefit category, such as: Average annual benefits are as follows:

Annual Benefits	Amount
Benefit 1	x,xxx,xxx
Benefit 2	x,xxx,xxx
Benefit 3	x,xxx,xxx
Total	xx,xxx,xxx

FISCAL YEAR PY-1: Enter a paragraph describing how PY-1 funds are being used.

FISCAL YEAR PY: Enter a tabular explanation of how the PY funds will be used, such as: The requested amount will be applied as follows:

Initiate	$x,xxx,xxx
Initiate and complete	x,xxx,xxx
Continue	x,xxx,xxx
Complete	x,xxx,xxx
Planning, Engineering, and Design for parent project	x,xxx,xxx
Planning, Engineering, and Design for Element A	x,xxx,xxx
Planning, Engineering, and Design for Element B	x,xxx,xxx
Construction Management	x,xxx,xxx
Total	$xx,xxx,xxx

NON-FEDERAL COST: Enter a separate tabular explanation of the requirements of local cooperation included in each project cooperation agreement applicable to the project together with the associated payments during construction, reimbursements, and annual operation, maintenance, repair, rehabilitation, and replacement costs, such as: In accordance with the cost sharing and financing concepts reflected in the Water Resources Development Act of 1986, as amended, the non-Federal sponsor must comply with the requirements listed below.

ILLUSTRATION B-2.4 (Continued)

Requirements of Local Cooperation	Payments During Construction and Reimbursements	Annual Operation, Maintenance, Repair, Rehabilitation, and Replacement Costs
Separable Element A (Repeat as applicable for each separable element).		
Provide lands, easements, (and) rights of way, (add for all but navigation projects) and dredged or excavated material disposal areas, (add if appropriate) which may be reduced for credit allowed based on prior work (Section 104 of the Water Resources Development Act of 1986, as amended, or Section 215 of the Flood Control Act of 1968) after reductions for such credit have been made in the required cash payments.	x,xxx,xxx	
(Add if covered under post-1994 PCA) Participate in Project Coordination Team, conduct audits of non-Federal costs, and perform investigations of hazardous substances	x,xxx,xxx	
Modify or relocate utilities, roads, bridges (except railroad bridges), and other facilities, where necessary for the construction of the project.	x,xxx,xxx	
Pay all costs allocated to hydropower and bear all costs of operation, maintenance, repair, rehabilitation and replacement of hydropower facilities.	x,xxx,xxx	x,xxx

ILLUSTRATION B-2.4 (Continued)

Requirements of Local Cooperation (Continued)	Payments During Construction and Reimbursements	Annual Operation, Maintenance, Repair, Rehabilitation, and Replacement Costs
Pay all costs allocated to municipal and industrial water supply and bear all costs of operation, maintenance, repair, rehabilitation and replacement of municipal and industrial water supply facilities.	x,xxx,xxx	x,xxx
Pay one-half of the separable costs allocated to recreation (except recreational navigation) and bear all costs of operation, maintenance, repair, rehabilitation and replacement of recreation facilities.	x,xxx,xxx	x,xxx
Pay one-half of the separable and joint costs allocated to recreational navigation and bear all costs of operation, maintenance, repair, rehabilitation, and replacement of recreational navigation facilities.	x,xxx,xxx	x,xxx
Pay xx percent of the costs allocated to flood control to bring the total non-Federal share of flood control costs to (include one of the following) 25 percent, 35 percent, or xx percent as determined under Section 103 (m) of the Water Resources Development Act of 1986, as amended, to reflect the	x,xxx,xxx	x,xxx

ILLUSTRATION B-2.4 (Continued)

Requirements of Local Cooperation (Continued)	Payments During Construction and Reimbursements	Annual Operation, Maintenance, Repair, Rehabilitation, and Replacement Costs
non-Federal sponsor's ability to pay, (add if appropriate) as reduced for credit allowed based on prior work (Section 104 of the Water Resources Development Act of 1986, as amended, or Section 215 of the Flood Control Act of 1968), but no less than 5 percent of the costs allocated to flood control, and bear all costs of operation, maintenance, repair, rehabilitation and replacement of flood control facilities.		
Pay xx percent of the costs allocated to fish and wildlife enhancement, and pay xx percent of the costs of operation, maintenance, repair, rehabilitation, and replacement of fish and wildlife facilities.	x,xxx,xxx	x,xxx
Pay 35 percent of the ecosystem restoration costs and bear all costs of operation, maintenance, repair, rehabilitation and replacement of ecosystem restoration facilities.	x,xxx,xxx	x,xxx
Pay 35 percent of the costs allocated to hurricane and storm damage reduction, and bear all costs of operation, maintenance, repair, rehabilitation, and replacement of hurricane and storm damage reduction facilities.	x,xxx,xxx	x,xxx

ILLUSTRATION B-2.4 (Continued)

Requirements of Local Cooperation (Continued)	Payments During Construction and Reimbursements	Annual Operation, Maintenance, Repair, Rehabilitation, and Replacement Costs
Pay (include one of the following) 35 percent or xx percent, as determined under Section 103 (m) of the Water Resources Development Act of 1986, as amended, to reflect the non-Federal sponsor's ability to pay, of the costs allocated to agricultural water supply, and bear all costs of operation, maintenance, repair, rehabilitation, and replacement of agricultural water supply facilities.	x,xxx,xxx	x,xxx
Pay xx percent of the costs allocated to general navigation facilities during construction and (add if appropriate) pay 50 percent of the costs of incremental maintenance below 45 feet below mean low water.	x,xxx,xxx	x,xxx
Reimburse an additional 10 percent of the costs of general navigation features allocated to commercial navigation within a period of 30 years following completion of construction, as reduced by a credit allowed for the value of lands, easements, rights of way, and relocations provided for commercial navigation.	x,xxx,xxx	
Total Non-Federal Costs	x,xxx,xxx	x,xxx

ILLUSTRATION B-2.4 (Continued)

The non-Federal sponsor has also agreed to make all required payments concurrently with project construction and, for general navigation, reimburse its share of construction costs within a period of 30 years following completion of construction when is this applicable? It would be good to specify.(Use example as applicable).

Note: After approval by the ASA(CW), local credit based on ability to pay (Section 103 (m) of the Water Resources Development Act 0f 1986, as amended,) or general credit for prior work (Section 104 of the Water Resources Development Act 0f 1986, as amended, or Section 215 of the Flood Control Act of 1968) must be reflected in the requirements of local cooperation as an offset to required cash contributions or, if necessary, LERRD contributions. However, any credit provided under Section 104 of the Water Resources Development Act 0f 1986, as amended, or Section 215 of the Flood Control Act of 1968 may not be used to offset the required 5 percent cash contribution.

STATUS OF LOCAL COOPERATION: Identify the non-Federal sponsor, the current status of assurances, the current status of the PCA, actions being taken by the non-Federal sponsor toward compliance with the requirements of local cooperation, contributions made, bond issues passed, or other specific items. If known, state the method by which the non-Federal sponsor intends to provide its share of the project first costs (cash and other items of local cooperation) and annual O&M costs. List all potential sources of funds (together with dollar amounts, if known) to meet local cooperation requirements, including any anticipated Federal funds for which the Federal granting agency has indicated in writing that the use of such funds for items of local cooperation is authorized. List and describe any local work or investments that have already been made or are underway which would serve to fulfill all or part of the local cooperation requirements (including work accomplished pursuant to Section 215 of the 1968 Flood Control Act or creditable under Section 104 of the 1986 Water Resources Development Act.)

In the event a PCA has not been executed by the ASA(CW), provide the scheduled month and year when the PCA is scheduled to be executed.

For projects with future non-Federal reimbursement, indicate the specific conditions which govern the initiation of non-Federal reimbursement payments and the scheduled date such reimbursement payments are scheduled to begin.

ILLUSTRATION B-2.4 (Continued)

For each project with an executed PCA, compare the approved non-Federal cost estimate in the PCA with the current non-Federal cost estimate and provide an assessment of the non-Federal sponsor's financial capability to contribute toward any increased costs and an indication of the sponsor's willingness to share in any increased costs, such as: The current non-Federal cost estimate of $8,000,000, which includes a cash contribution of $3,000,000, is an increase of $1,000,000 from the non-Federal cost estimate of $7,000,000 noted in the Project Cooperation Agreement, which included a cash contribution of $2,500,000. In a letter dated 3 March xxxx, the non-Federal sponsor indicated that it is financially capable and willing to contribute the increased non-Federal share. Our analysis of the non-Federal sponsor's financial capability to participate in the project affirms that the sponsor has a reasonable and implementable plan for meeting its financial commitment.

COMPARISON OF FEDERAL COST ESTIMATES: Enter a tabular explanation of the changes in the Federal (Corps) cost estimate from the last estimate presented to Congress to the current estimate, such as: The current Federal cost estimate of $xxx,xxx,xxx is an increase (decrease) of $xx,xxx,xxx from the latest estimate ($xxx,xxx,xxx) presented to Congress (FY xxxx). This change includes the following items.

Item	Amount
Price Escalation or De-escalation on Construction Features	$x,xxx,xxx
Design Changes	x,xxx,xxx
Additional Functions Added under General Authority	x,xxx,xxx
Authorized Modifications	x,xxx,xxx
Post Contract Award and Other Estimating Adjustments (including contingency adjustments)	x,xxx,xxx
Schedule Changes	x,xxx,xxx
Price Escalation or De-Escalation on Real Estate	x,xxx,xxx
Total	$x,xxx,xxx

ILLUSTRATION B-2.4 (Continued)

STATUS OF ENVIRONMENTAL IMPACT STATEMENT COMPLIANCE: Indicate the status of the environmental impact statement, such as: The final EIS was filed with EPA on 28 September xxxx. List other significant items such as Clean Water Act, Coastal Zone Management Act, cultural resources and Endangered Species Act compliance status if not completed at the time the EIS was filed.

OTHER INFORMATION: Indicate when funds were appropriated to initiate preconstruction engineering and design and construction, respectively, such as: Funds to initiate preconstruction engineering and design were appropriated in FY xxxx and funds to initiate construction were appropriated in FY xxxx. If the scheduled completion date for programmed work has changed from the date last presented to Congress, explain the changes, such as: The scheduled completion date of June xxxx for programmed work is a (slippage or acceleration) from the latest completion date of March xxxx presented to Congress. This change is due to ..... Also, note any problems that should be considered by the Committees which might affect the progress schedule shown in your program request, as well as your expectations for and timing of a resolution of the problems. Fish and Wildlife Mitigation costs should also be separately identified and reflected in this paragraph.

Separable Element A (Repeat as necessary for each programmed separable element.)

SUMMARIZED FINANCIAL DATA: For ongoing projects with programmed separable elements, provide a breakdown of the summarized financial data for each programmed separable element in the same format as displayed for the parent project, except that the allocations and conference allowance information is not required.

REMAINING BENEFIT-REMAINING COST RATIO: Enter the RBRCR for each programmed separable element at a 7 percent discount rate. If the element is substantially complete and the RBRCR is no longer meaningful, enter: Not applicable because construction is substantially complete. N/A for Ecosystem restoration.

TOTAL BENEFIT-COST RATIO: Enter the total benefit-cost ratio for each programmed separable element at a 7 percent discount rate. For Ecosystem Restoration projects briefly summarize the results of the Cost Effectiveness/Incremental Cost Analysis. If the NER plan is not being implemented note this and explain briefly.

ILLUSTRATION B-2.4 (Continued)

Note: The justification sheets must be typed on standard size paper, 8 1/2 inches by 11 inches, as left justified Word document at 6 lines per inch (.167 inch line height) using a landscape 10 point font (12 characters per inch); Courier or Arial are the preferred typefaces. The typed material must be confined to 6 1/2 inches vertically and 10 inches horizontally, leaving 1/2 inch margins on the left and right sides, and 1 inch margins on the top and bottom. The appropriation title and project classification must be typed as the first line in the body and the Division, District, and project name must be typed in the 1 inch bottom margin. Do not underline any headings. The July submission must be submitted by email as a Word document. See paragraph 11.d.(1).(h). of the main EC for specific instructions concerning conversion of your justification sheets to an Adobe Acrobat 7.0 file for transmission of the Congressional submission to HQ.

ILLUSTRATION B-2.4 (Continued)

Additional Examples of Summarized Financial Data

For projects with no unprogrammed balance to complete, and no future non-Federal reimbursement.

Estimated Federal Cost		xx,xxx,xxx
Estimated Non-Federal Cost		xx,xxx,xxx
Cash Contributions	xx,xxx,xxx	
Other Costs	xx,xxx,xxx	
Total Estimated Project Cost		xx,xxx,xxx

For projects with both an unprogrammed balance to complete and future non-Federal reimbursement.

Estimated Total Appropriation Requirement		xx,xxx,xxx
Programmed Construction	xx,xxx,xxx	
Unprogrammed Construction	xx,xxx,xxx	
Future Non-Federal Reimbursement		xx,xxx,xxx
Programmed Construction	xx,xxx,xxx	
Unprogrammed Construction	xx,xxx,xxx	
Estimated Federal Cost (Ultimate)		xx,xxx,xxx
Programmed Construction	xx,xxx,xxx	
Unprogrammed Construction	xx,xxx,xxx	

ILLUSTRATION B-2.4 (Continued)

For projects with both an unprogrammed balance to complete and future non-Federal reimbursement (continued).

Estimated Non-Federal Cost			xx,xxx,xxx
Programmed Construction		xx,xxx,xxx	
Cash Contributions	xxx,xxx		
Other Costs	xxx,xxx		
Reimbursements	xxx,xxx		
Purpose 1	xxx,xxx		
Purpose 2	xxx,xxx		
Unprogrammed Construction		xx,xxx,xxx	
Cash Contributions	xxx,xxx		
Other Costs	xxx,xxx		
Reimbursements	xxx,xxx		
Purpose 1	xxx,xxx		
Purpose 2	xxx,xxx		
Total Estimated Programmed Construction Cost			xx,xxx,xxx
Total Estimated Unprogrammed Construction Cost			xx,xxx,xxx
Total Estimated Project Cost			xx,xxx,xxx

For projects with no unprogrammed balance to complete, but with future non-Federal reimbursement.

Estimated Total Appropriation Requirement	xx,xxx,xxx
Future Non-Federal Reimbursement	xx,xxx,xxx
Estimated Federal Cost (Ultimate)	xx,xxx,xxx

ILLUSTRATION B-2.4 (Continued)

For projects with no unprogrammed balance to complete, but with future non-Federal reimbursement (continued).

Estimated Non-Federal Cost			xx,xxx,xxx
Cash Contributions		xx,xxx,xxx	
Other Costs		xx,xxx,xxx	
Reimbursements		xx,xxx,xxx	
Purpose 1	xx,xxx,xxx		
Purpose 2	xx,xxx,xxx		
Total Estimated Project Cost			xx,xxx,xxx

For projects with an unprogrammed balance to complete, future non-Federal reimbursement, and where an additional Federal agency is involved.

Estimated Appropriation Requirement (CoE)		xx,xxx,xxx
Programmed Construction	xx,xxx,xxx	
Unprogrammed Construction	xx,xxx,xxx	
Estimated Appropriation Requirement (OFA)		xx,xxx,xxx
Programmed Construction	xx,xxx,xxx	
Unprogrammed Construction	xx,xxx,xxx	
Estimated Total Appropriation Requirement		xx,xxx,xxx
Programmed Construction	xx,xxx,xxx	
Unprogrammed Construction	xx,xxx,xxx	

ILLUSTRATION B-2.4 (Continued)

For projects with an unprogrammed balance to complete, future non-Federal reimbursement, and where an additional Federal agency is involved (continued).

Future Non-Federal Reimbursement			xx,xxx,xxx
Programmed Construction		xx,xxx,xxx	
Unprogrammed Construction		xx,xxx,xxx	
Estimated Federal Cost (Ultimate) (CoE)			xx,xxx,xxx
Programmed Construction		xx,xxx,xxx	
Unprogrammed Construction		xx,xxx,xxx	
Estimated Non-Federal Cost			xx,xxx,xxx
Programmed Constructions		xx,xxx,xxx	
Cash Contributions	xx,xxx,xxx		
Other Costs	xx,xxx,xxx		
Reimbursements	xx,xxx,xxx		
Purpose 1	xx,xxx,xxx		
Purpose 2	xx,xxx,xxx		
Unprogrammed Construction		xx,xxx,xxx	
Cash Contributions	xx,xxx,xxx		
Other Costs	xx,xxx,xxx		
Reimbursements	xx,xxx,xxx		
Purpose 1	xx,xxx,xxx		
Purpose 2	xx,xxx,xxx		
Total Estimated Programmed Construction Cost			xx,xxx,xxx
Total Estimated Unprogrammed Construction Cost			xx,xxx,xxx
Total Estimated Project Cost			xx,xxx,xxx

ILLUSTRATION B-2.4 (Continued)

For projects with no unprogrammed balance to complete, but with future non-Federal reimbursement and where an additional Federal agency is involved.

Estimated Appropriation Requirement (CoE)			xx,xxx,xxx
Estimated Appropriation Requirement (OFA)			xx,xxx,xxx
Estimated Total Appropriation Requirement			xx,xxx,xxx
Future Non-Federal Reimbursement			xx,xxx,xxx
Estimated Federal Cost (Ultimate)			xx,xxx,xxx
Estimated Non-Federal Cost			xx,xxx,xxx
Cash Contributions		xx,xxx,xxx	
Other Costs		xx,xxx,xxx	
Reimbursements		xx,xxx,xxx	
Purpose 1	xx,xxx,xxx		
Purpose 2	xx,xxx,xxx		
Total Estimated Project Cost			xx,xxx,xxx

ILLUSTRATION B-2.4 (Continued)

The funding status for projects authorized to use funds appropriated from the Inland Waterways Trust Fund will be displayed as shown below.

	GENERAL APPNS.	INLAND WATERWAYS TRUST FUNDS	ACCUM. PCT. OF EST. FED. COST
Allocations to 30 September PY-2	xx,xxx,xxx	xx,xxx,xxx	
Conference Allowance for PY-1	xx,xxx,xxx	xx,xxx,xxx	
Allocation for PY-1	xx,xxx,xxx 1/	xx,xxx,xxx 1/	
Allocations through PY-1	xx,xxx,xxx	xx,xxx,xxx	xx
Allocation Requested for PY	xx,xxx,xxx	xx,xxx,xxx	xx
Programmed Balance to Complete after PY	xx,xxx,xxx	xx,xxx,xxx	
Unprogrammed Balance to Complete after PY	xx,xxx,xxx	xx,xxx,xxx	

1/ Reflects $xxx reduction assigned as savings and slippage, and $xxx reprogrammed to (from) the project. (Use example as applicable).

ILLUSTRATION B-2.4 (Continued)

The funding status for projects authorized to use funds appropriated from the Harbor Services Fund will be displayed as shown below.

	GENERAL APPNS.	HARBOR MAINTENANCE TRUST FUNDS	ACCUM. PCT. OF EST. FED. COST
Allocations to 30 September PY-2	xx,xxx,xxx	xx,xxx,xxx	
Conference Allowance for PY-1	xx,xxx,xxx	xx,xxx,xxx	
Allocation for PY-1	xx,xxx,xxx 1/	xx,xxx,xxx 1/	
Allocations through PY-1	xx,xxx,xxx	xx,xxx,xxx	xx
Allocation Requested for PY	xx,xxx,xxx	xx,xxx,xxx	xx
Programmed Balance to Complete after PY	xx,xxx,xxx	xx,xxx,xxx	
Unprogrammed Balance to Complete after PY	xx,xxx,xxx	xx,xxx,xxx	

1/ Reflects $xxx reduction assigned as savings and slippage, and $xxx reprogrammed to (from) the project. (Use example as applicable).

ILLUSTRATION B-2.4 (Continued)

For deficiency correction projects and modifications to existing projects with no unprogrammed balance to complete and no future non-Federal reimbursement.

Original Project

Actual Federal Cost		xx,xxx,xxx
Actual Non-Federal Cost		xx,xxx,xxx
Cash Contributions	xx,xxx,xxx	
Other Costs	xx,xxx,xxx	
Total Original Project Cost		xx,xxx,xxx

Remedial Work or Project Modification

Estimated Federal Cost		xx,xxx,xxx
Estimated Non-Federal Cost		xx,xxx,xxx
Cash Contributions	xx,xxx,xxx	
Other Costs	xx,xxx,xxx	
Total Estimated Remedial or Modification Cost		xx,xxx,xxx
Total Estimated Project Cost		xx,xxx,xxx

ILLUSTRATION B-2.4 (Continued)

For deficiency correction projects and modifications to existing projects with no unprogrammed balance to complete but with future non-Federal reimbursement.

Original Project

Actual Federal Cost			xx,xxx,xxx
Actual Non-Federal Cost			xx,xxx,xxx
Cash Contributions		xx,xxx,xxx	
Other Costs		xx,xxx,xxx	
Total Original Project Cost			xx,xxx,xxx

Remedial Work or Project Modification

Estimated Total Appropriation Requirement			xx,xxx,xxx
Future Non-Federal Reimbursement			xx,xxx,xxx
Estimated Federal Cost (Ultimate)			xx,xxx,xxx
Estimated Non-Federal Cost			xx,xxx,xxx
Cash Contributions		xx,xxx,xxx	
Other Costs		xx,xxx,xxx	
Reimbursements		xx,xxx,xxx	
Purpose 1	xx,xxx,xxx		
Purpose 2	xx,xxx,xxx		
Total Estimated Project Cost			xx,xxx,xxx

ILLUSTRATION B-2.4 (Continued)

For projects with an unprogrammed balance to complete, no future non-Federal reimbursement, and where an additional Federal agency is involved.

Estimated Federal Cost (CoE)			xx,xxx,xxx
Programmed Construction		xx,xxx,xxx	
Unprogrammed Construction		xx,xxx,xxx	
Estimated Federal Cost (OFA)			xx,xxx,xxx
Programmed Construction		xx,xxx,xxx	
Unprogrammed Construction		xx,xxx,xxx	
Estimated Non-Federal Cost			xx,xxx,xxx
Programmed Construction		xx,xxx,xxx	
Cash Contributions	xx,xxx,xxx		
Other Costs	xx,xxx,xxx		
Unprogrammed Construction		xx,xxx,xxx	
Cash Contributions	xx,xxx,xxx		
Other Costs	xx,xxx,xxx		
Total Estimated Programmed Construction Cost			xx,xxx,xxx
Total Estimated Unprogrammed Construction Cost			xx,xxx,xxx
Total Estimated Project Cost			xx,xxx,xxx

ILLUSTRATION B-2.4 (Continued)

For projects which include beach nourishment with no unprogrammed balance to complete, no future non-Federal reimbursement, and where no additional Federal agency is not involved.

Estimated Federal Cost			xx,xxx,xxx
Initial Construction		xx,xxx,xxx	
Periodic Nourishment		xx,xxx,xxx	
Estimated Non-Federal Cost			xx,xxx,xxx
Initial Construction		xx,xxx,xxx	
Cash Contributions	xx,xxx,xxx		
Other Costs	xx,xxx,xxx		
Periodic Nourishment		xx,xxx,xxx	
Cash Contributions	xx,xxx,xxx		
Other Costs	xx,xxx,xxx		
Total Estimated Project Cost			xx,xxx,xxx
Initial Construction		xx,xxx,xxx	
Periodic Nourishment		xx,xxx,xxx	

ILLUSTRATION B-2.4 (Continued)

For projects which include beach nourishment with an unprogrammed balance to complete, no future non-Federal reimbursement, and where no additional Federal agency is involved.

Estimated Federal Cost				xx,xxx,xxx
Programmed Construction			xx,xxx,xxx	
Initial Construction		xx,xxx,xxx		
Periodic Nourishment		xx,xxx,xxx		
Unprogrammed Construction			xx,xxx,xxx	
Initial Construction		xx,xxx,xxx		
Periodic Nourishment		xx,xxx,xxx		
Estimated Non-Federal Cost				xx,xxx,xxx
Programmed Construction			xx,xxx,xxx	
Initial Construction		xx,xxx,xxx		
Cash Contributions	xx,xxx,xxx			
Other Costs	xx,xxx,xxx			
Periodic Nourishment		xx,xxx,xxx		
Cash Contributions	xx,xxx,xxx			
Other Costs	xx,xxx,xxx			

ILLUSTRATION B-2.4 (Continued)

For projects which include beach nourishment with an unprogrammed balance to complete, no future non-Federal reimbursement, and where no additional Federal agency is involved (continued).

Estimated Non-Federal Cost				
Unprogrammed Construction			xx,xxx,xxx	
Initial Construction		xx,xxx,xxx		
Cash Contributions	xx,xxx,xxx			
Other Costs	xx,xxx,xxx			
Periodic Nourishment		xx,xxx,xxx		
Cash Contributions	xx,xxx,xxx			
Other Costs	xx,xxx,xxx			
Total Estimated Programmed Construction Cost				xx,xxx,xxx
Initial Construction			xx,xxx,xxx	
Periodic Nourishment			xx,xxx,xxx	
Total Estimated Unprogrammed Construction Cost				xx,xxx,xxx
Initial Construction			xx,xxx,xxx	
Periodic Nourishment			xx,xxx,xxx	
Total Estimated Project Cost				xx,xxx,xxx
Initial Construction				xx,xxx,xxx
Periodic Nourishment			xx,xxx,xxx	

ILLUSTRATION B-2.4 (Continued)

For projects which include beach nourishment with an unprogrammed balance to complete, no future non-Federal reimbursement, and where an additional Federal agency is involved.

Estimated Federal Cost (CoE)				xx,xxx,xxx
Programmed Construction			xx,xxx,xxx	
Initial Construction		xx,xxx,xxx		
Periodic Nourishment		xx,xxx,xxx		
Unprogrammed Construction			xx,xxx,xxx	
Initial Construction		xx,xxx,xxx		
Periodic Nourishment		xx,xxx,xxx		
Estimated Federal Cost (OFA)				xx,xxx,xxx
Programmed Construction			xx,xxx,xxx	
Initial Construction		xx,xxx,xxx		
Periodic Nourishment		xx,xxx,xxx		
Unprogrammed Construction			xx,xxx,xxx	
Initial Construction		xx,xxx,xxx		
Periodic Nourishment		xx,xxx,xxx		
Estimated Non-Federal Cost				xx,xxx,xxx
Programmed Construction			xx,xxx,xxx	
Initial Construction		xx,xxx,xxx		
Cash Contributions	xx,xxx,xxx			
Other Costs	xx,xxx,xxx			
Periodic Nourishment		xx,xxx,xxx		
Cash Contributions	xx,xxx,xxx			
Other Costs	xx,xxx,xxx			

ILLUSTRATION B-2.4 (Continued)

For projects which include beach nourishment with an unprogrammed balance to complete, no future non-Federal reimbursement, and where an additional Federal agency is involved. (continued)

Estimated Non-Federal Cost				
Unprogrammed Construction			xx,xxx,xxx	
Initial Construction		xx,xxx,xxx		
Cash Contributions	xx,xxx,xxx			
Other Costs	xx,xxx,xxx			
Periodic Nourishment		xx,xxx,xxx		
Cash Contributions	xx,xxx,xxx			
Other Costs	xx,xxx,xxx			
Total Estimated Programmed Construction Cost				xx,xxx,xxx
Initial Construction			xx,xxx,xxx	
Periodic Nourishment			xx,xxx,xxx	
Total Estimated Unprogrammed Construction Cost				xx,xxx,xxx
Initial Construction			xx,xxx,xxx	
Periodic Nourishment			xx,xxx,xxx	
Total Estimated Project Cost				xx,xxx,xxx
Initial Construction			xx,xxx,xxx	
Periodic Nourishment			xx,xxx,xxx	

ILLUSTRATION B-2.6
PY PROPOSED NEW REPLACEMENT AND OTHER NEW WORK SUMMARY

Division:

Category and Proj or Elem Names	Total Proj Elem Cost $000	Total Fed Appn Rqmt $000	Total IWTF Appn Rqmt $000	Total HSF Appn Rqmt $000	Total Non-Fed Cost $000	RBRCR at Appl Rate 1/	Type Type of Rpt and Status 2/	Addl Cong Auth Reqd Y/N 3/	Sched PCA Exec Date Mo/Yr 4/	First Const Ct Awd Date Mo/Yr 4/	PY Divn Rcmd $000
New replacement projects											
New Deficiency Correction Projects											
Resumptions											
New Separable Elements of Ongoing Projects											
Additional Recreation Facilities											
New Increments at Reimbursable Projects											

1/ Show the RBRCR at the applicable rate. Not applicable to deficiency correction projects.

2/ Indicate the type of report (Recon, EDR, Reeval) on which the Division request is based and show the latest submission, revision, or approval action and date (month and year) with respect to MSC (delegated decision documents), HQUSACE, ASA(CW),review and approval as applicable, e.g., S Jan XX for a report that has been submitted to HQUSACE, but not yet reviewed/approved, R Feb XX for a report that has been returned to the field for revision and A Apr XX for a report that has been fully reviewed/approved by HQUSACE.

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary)

ILLUSTRATION B-2.6 (Continued)
PY PROPOSED NEW REPLACEMENT AND OTHER NEW WORK SUMMARY

Division:

3/ Indicate whether (Y) or not (N) the project/element requires additional Congressional authorization for the proposed construction work.

4/ Show the scheduled month and year for PCA execution, e.g. Apr XX.

5/ Show the month and year of the first construction contract award for the proposed work, e.g. Jun XX.

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary)

ILLUSTRATION B-2.7
NEW CONSTRUCTION CHECKLIST

Project Name	Authorization Status 1/	Preconstruction Engineering and Design Status 2/	Remaining Benefit/ Cost Ratio 3/	Basic Criteria Met (Yes/No) 4/	Sched PCA Exec Date Mo/Yr 5/	Preliminary/Basic Selection Eligibility Criteria Met (Yes/No)

(List all new construction projects which are recommended for construction in the PY.)

1/ Cite Authorizing Act, date of resolution for Section 201, or completion date of the Chief of Engineers report or approved EDR, LRR or GRR as appropriate.

2/ The project should not be recommended if PED will not be sufficiently complete to allow award of the first construction contract during the fourth quarter of the PY, or by the end of the PY+1 if the sponsor must acquire needed real estate, or if the M-CACES Baseline cost estimate or the PMP has not been approved. Planning, engineering and design should be far enough along in the PY so that the orderly and continuous progression of construction is assured with the programmed award of the first construction contract.

3/ Based on applicable rate (cite discount rate and approval date of last approved economic analysis in parentheses after BCR). Footnote projects where authorization is not based on formal benefit/cost evaluation.

4/ Projects having an unapproved Reevaluation Report involving a significant change in project scope or cost or for addition of fish and wildlife mitigation measures will not meet the basic criteria unless the required change(s) recommended in the Reevaluation Report are scheduled for approval by ASA(CW) by 1 August of the PY-2.

5/ Show the scheduled month and year for PCA execution, e.g. Apr XX.

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary

ANNEX B-3
CONTINUING AUTHORITIES PROGRAM

B-3.1. **General.**

a.. The CAP is a group of 10 legislative authorities under which the Secretary of the Army, acting through the Chief of Engineers, is authorized to plan, design, and implement certain types of water resources projects without additional project specific congressional authorization. The purpose of the CAP is to plan and implement projects of limited size, cost, scope, and complexity. Although there is no specific minimum project size or cost, very small projects are not pursued under CAP as they should be implemented by other Federal or non-Federal entities, and large or complex problems are pursued under the specifically authorized programs. The table below lists the CAP authorities and their project purposes.

b. General Requirements. Projects recommended for implementation pursuant to CAP authorities must be justified, formulated, and implemented in accordance with the requirements discussed in ER 1105-2-100. There are two budgetable phases for CAP projects. Detailed discussion of these phases is given in ER 1105-2-100.

(1) Feasibility Phase.
(2) Design and Implementation Phase.

CAP AUTHORITIES

AUTHORITY	PROJECT PURPOSE
Section 14, Flood Control Act of 1946, as amended	Streambank and shoreline erosion protection of public works and non-profit public services
Section 103, River and Harbor Act of 1962, as amended (amends Public Law 79-727)	Beach erosion and hurricane and storm damage reduction
Section 107, River and Harbor Act of 1960, as amended	Navigation improvements
Section 111, River and Harbor Act of 1968, as amended	Shore damage prevention or mitigation caused by Federal navigation projects
Section 145, Water Resources Development Act of 1976, as amended	Placement of dredged material on beaches
Section 204, Water Resources Development Act of 1992, as amended	Beneficial uses of dredged material
Section 205, Flood Control Act of 1948, as amended	Flood control
Section 206, Water Resources Development Act of 1996, as amended	Aquatic ecosystem restoration
Section 208, Flood Control Act of 1954, as amended (amends Section 2, Flood Control Act of August 28, 1937)	Removal of obstructions, clearing channels for flood control
Section 1135, Water Resources Development Act of 1986, as amended	Project modifications for improvement of the environment

B-3.2. **Budget Eligibility Restrictions.** In accordance with ER 1105-2-100, the following categories of work shall not be submitted for budgeting in CAP unless specific legislative direction is given to the contrary. If projects of these types are proposed for CAP budgeting, the legislative authority must be specified in the remarks data field.

- Study only activities.
- Projects to implement or replace any portion of a project specifically authorized by Congress.
- Projects that nullify or change an existing condition of non-Federal responsibility required for a project specifically authorized by Congress or implemented under a CAP authority.

- Adoption of a non-Federal project for future maintenance at Federal expense.
- Restoration of completed Corps projects to their authorized dimensions.
- Required non-Federal maintenance at a Federally constructed project.
- Correction of design deficiencies on another CAP project or a specifically authorized project.

B-3.3. **Coordination Account.** Coordination account funds are not budgeted against specific projects. Coordination activities related to specific on-going projects are included in budget items for that project's funding account, and shared accordingly.

B-3.4. **Federal Participation Limits.** CAP budget submissions shall comply with the limits given in ER 1105-2-100, Table F-2. The table is reproduced here for emphasis.

ER 1105-2-100, TABLE F-2 STATUTORY FEDERAL PARTICIPATION LIMITS

Authority	Per Project Limit ($)	Annual Program Limit ($)
Sec 14	1,000,000	15,000,000
Sec 103	3,000,000	30,000,000
Sec 107	4,000,000	35,000,000
Sec 111	5,000,000	N/A
Sec 145	N/A	N/A
Sec 204	N/A	15,000,000
Sec 205	7,000,000	50,000,000
Sec 206	5,000,000	25,000,000
Sec 208	500,000	7,500,000
Sec 1135	5,000,000	25,000,000

B-3.5 **Increments Criteria**. CAP budget items shall be assigned to Increments and ranked using a performance based analysis of incremental benefits to be realized by incremental increases in overall program funding. Increment #1 contains the highest performance based priority items. For each MSC, the cumulative Fed Cost of all items in an increment range shall not exceed the limits shown in the following table. For example, the cumulative of all MSC's for everything in increments 1, 2, and 3 may not exceed 120,234. Increment limits are a regional MSC limit. The limits do not apply to individual Districts and may not be delegated to Districts. Put unbudgetable items in increment 9. (See Main EC Article 11)

Table of CAP Increment Cumulative Fed Cost Limits (k$)

MSC	Inc #1	Inc #1-2	Inc #1-3	Inc #1-4	Inc #1-5	Inc #1-6	Inc #1-9
LRD	10,585	15,878	21,170	26,463	31,755	37,048	unlimited
MVD	9,040	13,560	18,080	22,600	27,120	31,640	unlimited
NAD	12,226	18,338	24,451	30,564	36,677	42,789	unlimited
NWD	4,207	6,310	8,413	10,516	12,620	14,723	unlimited
POD	3,099	4,649	6,198	7,748	9,297	10,847	unlimited
SAD	7,609	11,414	15,218	19,023	22,827	26,632	unlimited
SPD	8,332	12,498	16,664	20,830	24,996	29,162	unlimited
SWD	5,020	7,530	10,040	12,550	15,060	17,570	unlimited
Totals	60,117	90,176	120,234	150,293	180,351	210,410	unlimited

B-3.6 **Budget Costs Criteria**.

a. All CAP contracts less than $10 million shall be treated as fully funded.

b. Contracts greater than $10 million shall be treated as incrementally funded (i.e. continuing contract, base bid + option, multiple year contract).

c. Fed Cost must be in accord with the limits specified in ER 1105-2-100, Table F-2. Specific approval or authorization is required for projects exceeding these limits.

d. In accordance with ER 1105-2-100, for DI phases with PCA execution dates scheduled after FY2008, the cumulative Fed Cost shall not exceed $50,000.

e. In accordance with ER 1105-2-100, for Feasibility phases with FCSA execution dates scheduled after FY2008, the cumulative Fed Cost shall not exceed $100,000.

B-3.7. **Program Ranking Criteria.** All CAP budget items shall be ranked using performance based analysis. District and MSC Rankings shall use consecutive integer numbers beginning with the number one. The entire CAP Program shall be ranked across all CAP Sections. Each item must have a unique ranking number.

B-3.8. **Program Rating and Ranking Data Elements.**

a. General.

(1) Unless specified otherwise, all costs are to be entered in units of $1,000.

(2) Unless specified otherwise, all tonnage data are to be entered in units of 1,000.

(3) If data is not available or not applicable, then enter NA.

b. The following data are entered for all CAP projects.

BUSINESS LINE: Enter CAP.

EROC: Two character code for district, such as B1 for Memphis District.

AP: Appropriation Code, such as A for Investigations.

AP ABBREV: Appropriation abbreviation, such as I for Investigations. System generated, no entry required.

CCS: Category / class / subclass code.

PWI/CWIS: Project Identification Code, 6 digit project identification code.

SUBPROJECT ID: A code which identifies a separable element or subproject which is a child of the parent PWI/CWIS.

STATE: Enter the two-digit state abbreviation.

BUDGET ITEM ID: A code to uniquely identify multiple entries within the same project, business line, and increment. System generated, no entry required.

MSC: Three letter code for MSC such as SAD.

DIS: Three letter code for district such as NWP.

PROJECT FUNDING INCREMENT: Valid entries are integer numbers 1-9.

DIS RANK: This budget item's rank in the district's request. Entered by the DIS.

MSC RANK: This budget item's rank in the MSC's request. Entered by the MSC.

HQ RANK: This budget item's rank in HQ's request. Entered by HQ.

ARMY RANK: This budget item's rank in Army's request - will be completed by OASA(CW) / HQ.

PROJECT NAME: Name of project as entered in PRISM or P2.

SUBPROJECT NAME: Name of subproject element as entered in PRISM or P2.

BASIN CODE: The USGS Hydrologic Unit Codes (HUC) will be used to identify hydrologic systems. The four-digit code for the appropriate sub-region as defined by USGS will be entered for every budget item. The codes may be found at water.usgs.gov/nawqa/sparrow/wrr97/geograp/geograp.html.

PHASE: A letter code will be used to indicate phase. The CAP phase codes are: F = Feasibility Phase; C = Design & Implementation Phase.

PHASE STATUS: Status of the phase will be indicated with the following letter codes. NP = New Phase; CN=Continuing; LY= Last Year of phase (be sure that this agrees with PHASE COMPL date).

PHASE COMPL: The fiscal year the phase for which funds are being requested is scheduled to complete. This is a numeric. For Design & Implementation phase, completion is defined as physical completion with the project turned over to the owner to operate and maintain.

FEDERAL (CORPS) BUDGET REQUEST: The amount requested for the work proposed to be accomplished with this budget item. Not the total budget request for the project.

TOTAL COST: The total cost includes the Federal and non-Federal costs for the budget item. Not the total budget request for the project. It includes cost shared monitoring, if any.

PRIOR ALLOCATIONS: The total of all allocations through PY-2 for the project phase.

PY-1 BUDGET AMOUNT: The President's Budget Amount for PY-1 for the project phase. Enter zero if not included in the PY-1 budget.

PY OBLIGATION CAPABILITY: The PY obligation capability amount for the project phase.

TOTAL OBLIGATION CAPABILITY: The total remaining obligation capability amount for the project phase for all remaining years. This is the sum of all obligation capability amounts for PY, PY+1, PY+2, etc.

BCR: The project's benefit cost ratio. BCR's must be calculated in accordance with the applicable provisions stated in this EC. In particular, BCR's will be based on the benefits in the latest approved official document, such as a Feasibility Report, Chief of Engineers Report, Limited or General Reevaluation Report (LRR or GRR), Engineering Documentation Report (EDR), or other report. If a BCR cannot be calculated based on benefits quantified in an approved official document, then enter NA. (see Main EC, Article 8.b)

LAST YEAR BUDGETED: Enter the last fiscal year this phase had funds included in the President's Budget. For PY (FY 2008), this should be either 2007 or NA all CAP projects.

LAST YEAR ALLOCATED: Enter the last fiscal year this phase was allocated funds.

FCSA Date: The actual or scheduled date of the FCSA. Format dd/mmm/yyyy

PCA DATE: The actual or scheduled date of the PCA Agreement. Format dd/mmm/yyyy.

MONITORING: Enter the number of years subsequent to physical completion of the project. Enter 0 if no monitoring is recommended or authorized. Enter NA for Feasibility Phase.

SAFETY ISSUES: Safety issues – Y or N and then describe in remarks.

DESCRIPTION: Maximum of 500 characters. Clearly and succinctly describe the features of the budget item. Include information such as type of project, ecosystem features, other pertinent information. If using dredged material, mention the navigation project source. Unique entries are required for all budget items.

OUTPUT: In 200 characters or less indicate what the budget amount accomplishes.

REMARKS: Maximum of 600 characters. Unique entries are needed for each budget item. Provide a narrative summary of key information used to support the ranking. Cite data sources if standard sources such as approved reports or OMBIL were not used.

c. The following data are entered for projects under Sections 14, 103, 111, 145, 205, and 208.

100YR: The number (1000s) of people at risk in the 100 yr floodplain. For studies use best estimate of affected (benefit) area. For late feasibility, PED and beyond use area used for benefit calculations. Use current census population data if report is not current.

CRS SCORE: The current FEMA Community Rating Score for the sponsor of the study or project. Gives an assessment of the community's commitment to self-help.

d. The following data are entered for projects under Sections 204, 206 and 1135.

TOTAL ECOSYSTEM RESTORATION COST: The cost (units of $1,000) of the ecosystem restoration elements only. Exclude any costs of recreation or environmental education features. For a multipurpose project, this column would include the separable and joint costs of the ecosystem restoration features only.

ACRES: The area used for the Cost Effectiveness, Incremental Cost analysis (CE/ICA) analyses. Stream miles will be converted to surface acreage under normal flow.

COST PER ACRE RESTORED: Total Ecosystem Restoration cost divided by Acres (units of $100/acre).

SIGNIFICANCE SCORE: The scores for the next five items will be totaled and serve as an indication of the significance of the proposed restoration. Only one scoring option may be selected in each of these items. For example if the project contributes to a national plan (10 points) as well as a state plan (2) points only 10 points may be entered. Blank entries will equal zero.

$$\text{Significance} = S_1 + S_2 + S_3 + S_4 + S_5$$

The term "regional" is defined as involving two or more states; a state and a governmental entity in Canada or Mexico; a state and a Tribe; or two Tribes. The term also applies to an area covered by an activity that has significant Federal and multi-agency support even though entirely within one state such as a Joint Venture area identified under the North American Waterfowl Management Plan.

SCARCITY SCORE (S_1): The scarcity of the habitat to be restored. This criterion is based on trend information and relative abundance of the habitat. Restoration of a scarce resource that was always scarce or one at the limits of its range, and is relatively stable would rate zero. Scarcity scoring is as follows:

20 = Nationally scarce habitat and becoming scarcer (declining trend) as demonstrated by a Federal, regional, State, or Tribal report; or general scientific agreement as documented by professional publications or societies.

10 = Regionally scarce habitat and becoming scarcer (declining trend) as demonstrated by a Federal, regional, State, or Tribal report; or general scientific agreement as documented by professional publications or societies.

5 = Other declining habitat.

0 = A habitat type that is stable at natural levels or improving beyond natural levels.

CONNECTIVITY SCORE (S_2): This criterion addresses the extent to which a project facilitates the movement of native species by contributing to the connection of other important habitat pockets within the ecosystem, region, watershed or migration corridor. Connectivity scoring is as follows:

20 = Project makes a physical connection between existing habitat areas within a corridor or larger landscape thereby reducing population isolation, expanding home ranges, or providing access to areas supporting life requisites as recognized by or demonstrated by community or species models. An example would be restoring the connection between two pockets of what was once a larger wetland, or two patches of bottomland hardwood forest separated by drained agricultural land, or removal of a dam to open up additional habitat. For specific species, action provides critical life requisites (sites or habitats providing foraging, breeding or cover) that complete or expand the functionality of the system.

10 = Project improves suitability of an existing connection or corridor, or expands functional area(s) within a splintered migratory corridor or home range. For example, expanding resting or foraging areas that improve the functionality or carrying capacity of the system.

0 = The project is an isolated unit. For example, a project that takes advantage of an opportunity to restore a portion of a drained field.

SPECIAL STATUS SPECIES SCORE (S_3): The project must provide a significant contribution to some key life requisite of a species to receive points in this category. The presence or potential presence of a species of concern in the project area is not sufficient to justify a score above zero. Special Status Species scoring is as follows:

10 = Project provides habitat for life requisites that complete or add to existing life requisites within the project's area of influence or footprint for Federally listed or candidate threatened or endangered species.

5 = Project provides habitat for life requisites that complete or add to existing life requisites within the project's area of influence or footprint for species covered by international treaty, such as International Migratory Birds.

3 = Project provides habitat for life requisites that complete or add to existing life requisites within the project's area of influence or footprint for State listed or candidate species.

0 = None.

PLAN RECOGNITION SCORE (S_4): This criterion recognizes Corp ecosystem restoration projects that contribute to watershed or basin plans as emphasized in the "Civil Works Strategic Plan". This criterion ranks the importance of the plan that the Corps project supports. Plan Recognition scoring is as follows:

10 = A Corps study or project that contributes to a multi-agency comprehensive watershed or basin plan developed in support of Federal priorities as demonstrated in laws or specifically authorized programs such as. Everglades, CALFED, Chesapeake Bay plan, etc.

5 = A Corps study or project that contributes to a multi-agency regional watershed or basin plan. Examples of this would include plans developed by groups such as the Delaware Basin Commission, or plans pertaining to Joint Venture Areas under the National Waterfowl Management Plan.

2 = A Corps study or project that contributes to a State, Tribal, or local watershed or basin plan.

0 = Project does not contribute to any collaborative comprehensive or watershed or basin plan.

SELF-SUSTAINING SCORE (S_5): Scoring for Self-Sustaining shall be in accordance with the criteria given for Ecosystem Restoration in Appendix II, Environment.

S_1 JUSTIFICATION: Maximum of 200 characters. Narrative basis for the Scarcity component score. For example, 90% of (type of habitat) lost in xx (size of or name of region) area since yyyy (year) as documented in (name of publication). Examples of reports might be North American Waterfowl Mgt Plan documents, NOAA's Essential Fish Habitat documents. Additional potential sources may be found in "Significance in Environmental Project Planning: Resource Document" IWR Report 96-R-7.

S_2 JUSTIFICATION: Maximum of 200 characters. Narrative justification for the Connectivity component score. For examples, connect xx National and yy state wildlife areas, connect 5 tracts totaling xx acres. List the primary species used to justify score.

S_3 JUSTIFICATION: Maximum of 200 characters. Narrative justification for the Special Status Species score. List species and life requisite met. For example, bald eagles nesting habitat. Cite discussion with resource agencies responsible for managing the special status species in the project area. The discussion should be documented in a Memorandum For Record (email MFR is acceptable). Cite a federal recovery plan if applicable.

S_4 JUSTIFICATION: Maximum of 200 characters. Narrative justification for the Plan Recognition score. Include the name and date of plan used as the basis of the score.

S_5 JUSTIFICATION: Maximum of 200 characters. Cite the data sources used for determining this score (e.g. OMBIL, CEFMS O&M financial data).

Microsoft Excel
Worksheet

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OPERATION AND MAINTENANCE
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SUB-ANNEX C-1
OPERATION AND MAINTENANCE

C-1.1. **Appropriation Title.** This annex provides guidance for preparation of the program request for all Operation and Maintenance activities under the appropriation titles: Operation and Maintenance (O&M) and Flood Control, Mississippi River and Tributaries, Maintenance (MR&T) for the Program Fiscal Year.

C-1.2. **Activities Included.**

Activities	**Category/Class/ Subclass Code**		**Guidance Provided in Subannex Number**
	O&M	**MR&T**	
	(903)	**(908)**	
Navigation	100	410	C-2
Channels & Harbors	110		C-2
Locks and Dams	120		C-2
Flood Control	200	420	C-2
Reservoirs	210		C-2
Channel Improvements, Inspections And Miscellaneous Maintenance	220		C-2
Multiple Purpose Power	300		C-2
Protection of Navigation	400		C-2
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CCS Codes (Projects Moved from C to O&M) – Table 1.2

Table 1.2 (CCS Codes)

SUB-ANNEX C-2
PROJECT OPERATION AND MAINTENANCE

C-2.1. **Purpose and Scope.** This sub-annex provides policy and general procedural guidance for developing programs for the Project Operation and Maintenance (O&M), and National Emergency Preparedness programs. To provide a general framework and uniform approach for program development and justification, seven funding increments have been identified. The various work items have been grouped by Work Category Code (WCC) for purposes of defining the appropriate funding increment. Guidance concerning automated data requirements for submittal of program recommendations is contained in paragraph 11 of the main body of the EC. Detailed instructions for the use of P2 to prepare the PY (FY08) O&M budget are available on the PMBP portal at https://pmbp.usace.army.mil. Instructions for use of the Project and Resources Information System for Management (PRISM) are available at http://www.usace.army.inet/funtions/cw/cecwb/prism/.

C-2.2. **Program Development Principles**.

a. **General Philosophy.** The O&M program should be developed in recognition of the need to preserve the existing infrastructure and provide justified levels of service at least cost, in accordance with established criteria. In order to do so, the operations portion of the program should be constrained to the greatest degree possible so as to maximize the proportion of available resources that can be devoted to maintenance requirements. In effect, this means that additional management efficiencies must be employed at every opportunity to generate savings that can be applied toward reducing the inventory of unfunded maintenance.

(1) **Established Criteria** is defined as the standard with specific guidelines which are formulated by the Administration which clarify and describe "justified levels of service."

(2) **Justified Level of Service** is defined as the delivery of a supportable and defendable amount or degree of project benefits consistent with authorization, use, and administration policies.

(3) **Least Cost** is defined as the lowest amount of expense that a prudent manager would select, balancing between short and long term economics and considering overall availability of resources.

b. **Watershed and System Budgeting.**

(1) A watershed and system budgeting for Operation and Maintenance concept will be adopted to formulate PY. The O&M budget will be presented on a watershed/system basis and during PY the O&M program will be managed by watershed and business line program, rather than primarily project-by-project. As in PY-1, the budget will organize budget information for operation and maintenance activities by river basin and by mission area, continuing to set the stage for improved management of Civil Works assets in PY and more systematic budget development in future years.

(2) This appropriation funds operation, maintenance, and related activities at the water resources projects that the Corps operates and maintains. Work to be accomplished consists of dredging, repair, and operation of structures and other facilities, as authorized in the various River and Harbor, Flood Control, and Water Resources Development Acts. The work is accomplished in the following water resource regions (Table C-2.7) as delineated by watershed boundaries.

c. **Five and Ten Year Development Plans.** Basic design criteria for water resources improvements generally include estimates of repair and replacement frequency and effective project life. Major costs such as generator rewinding and turbine replacement certainly need to be anticipated. Construction completion schedules for additional projects coming on line are also prime indicators. However many projects in the Corps inventory are long past their design life. A strategy to formulate long range maintenance funding plans must take into account contracyclical fluctuations in weather conditions such as hurricanes and other major storms which often impose sudden, unanticipated requirements for maintenance and service restoration. Prediction of operational requirements requires consideration of geographic shifts driven by regional trends in commercial activity and other economic factors. And, finally, national priorities for federal investments are subject to frequent and radical fluctuations. Accordingly, a project-specific long-range plan will not be submitted, but a recommended plan by business lines will be offered.

d. Infrastructure Management Plan. Separate Guidance will be provided for the Infrastructure Management Plan.

e. Relationship to Program Execution. Good program execution is an essential ingredient in securing the resources needed to ensure a viable O&M program and thereby continue to provide the Nation with the benefits for which water resources projects were constructed. Development of the program is directly related to program execution. Therefore, it is imperative to develop a sound and realistic program that can be executed as scheduled in accordance with commitments to customers. The programming process described in this sub-annex has been designed to facilitate both program development as well as execution. If the procedures outlined in this sub-annex are implemented in a consistent manner throughout the Corps, the result should be: (1) a credible program that-can be defended within the Administration and Congress, (2) a sufficient allowance of O&M funds and (3) a high degree of fiscal performance.

f. Operations (Work Category Codes 601XX-608XX). All operations features should be closely examined to reduce costs wherever possible. While there may be some cost fluctuation among individual projects, the goal is to reduce, or at least constrain, the aggregate total growth of operations costs in the MSC to no more than inflation. Efficiency improvements should be employed to reduce operations costs, where possible.

g. **Maintenance (Work Category Codes 611XX-618XX).** Prudent stewardship of available resources is essential to preserve the existing infrastructure. The growing and aging inventory of projects dictates that resources be concentrated on the maintenance features of the program to the maximum extent possible. Just as with operations, the maintenance features should be reviewed and efficiency measures employed to reduce costs.

h. **Priorities.** The MSC and district commanders must ensure that the program request provides balanced and equitable treatment to all Business Lines (Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply).

i. **O&M Cost Savings Initiative**. This initiative is a methodology that has been developed to reduce the cost of operating and maintaining the Nation's water resources infrastructure, while still providing justified levels of project services. This cost reduction initiative - along with other locally generated cost saving measures - should be used to seek more efficient operation and maintenance of projects and to help reduce costs. The savings generated by these initiatives would be applied toward reducing the

inventory of unfunded maintenance. All Business Lines should be continually reviewed to achieve cost savings under these initiatives.

C-2.3. **Program Development and Review Process.**

a. **Work Category Codes (WCC).** The Civil Works O&M program development process reflects the Corps compliance with the requirements of the Government Performance and Results Act of 1993 (GPRA). Therefore, the program will be submitted in a form that reflects the primary business processes/functions established for the O&M mission. These Business Lines are Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply. In addition, each budget activity will be tied to a business performance measure and goal for the program year. The Work Category Codes (WCCs) are aligned by the operation and maintenance areas and by the primary Business Lines within the operations or maintenance areas. The following tables are provided to aid in developing budget activities aligned with appropriate Business Lines, WCCs and sub-WCCs.

(1) Table C-2.1 lists WCCs and sub-WCCs in numerical order.

(2) Table C-2.2 lists WCCs and sub-WCCs in alphabetical order.

(3) Table C-2.3a is a matrix that displays the operations Work Category Code structure by each Business Line.

(4) Table C-2.3b is a matrix that displays the maintenance Work Category Code structure by each Business Line.

(5) Table C-2.3c describes and defines each WCC for operations activities.

(6) Table C2-3d describes and defines each WCC for maintenance activities.

b. Joint Activities – Joint Costs.

(1) Joint Activities are activities that cannot be assigned to one specific Business Line at projects with multiple authorized purposes.

(2) Joint Cost is the cost assigned to Joint Activities.

(3) The districts will use P2 Primavera Project Manager to assign the appropriate work category codes to request funds for joint cost operations activities and for joint cost maintenance activities for each project. Districts must ensure that joint costs are assigned to the correct Business Line in P2 and PRISM. The Districts must also ensure that P2 and PRISM includes the appropriate phase code from the list in the following paragraph. These requests should be placed in the appropriate increment based on performance metrics. Multiple increments are allowed if supported by performance metrics.

(4) The P2 Primavera Project Manager provides a project level code to identify the project's primary business line. This code may be over-ridden in P2 Primavera Project Manager at the activity level for activities which differ from the project's overall primary business line. The "JNT" code should be used to identify joint activities available in P2, which will over-ride the project's primary business line. These codes should not be used for a project's primary business line

classification but used only as the business line over-ride activity code on joint activities. Activities coded as "JNT" on multipurpose with power (Cat/Class 300) projects will transfer to the Hydropower Business Line in PRISM. Joint activities designated as operations and maintenance at multipurpose Cat/Class 300 projects should use Work Category Codes of 606XX for operations and 616XX for maintenance.

(5) Districts must assign the appropriate phase code (OJ or MJ) on multipurpose Cat/Class 300 projects using the "CW Phase" activity code in P2 Primavera Project Manager. When these joint activities are transferred from P2 into PRISM, the districts should ensure that the business line, phase code, and increment are properly assigned.

(6) The Hydropower Business Line Manager at the HQ level will maintain all Cat/Class 300 joint activities to ensure accountability of multipurpose with power joint activities across business lines. There will be a joint ceiling that represents the program's sum total of these O&M joint activities. Each MSC is responsible for ensuring that most if not all Cat/Class 300 critical O&M joint activities are included in their Initial Increment. If all Cat/Class 300 critical O&M joint activities can not be assigned to the Initial Increment, then the remaining joint activities should be assigned to Increment 2. These joint activities will be ranked in the Hydropower Business Line and, before submittal of the O&M budget to OMB, all joint costs will be distributed with ceiling to each business line based on the current statutory cost allocation table in PRISM.

c. **Performance-Based Programming.** Performance measures are described in the Appendices for the Business Lines. Performance data according to these measures will be entered for each activity added to Primavera Project Manager and/or PRISM as explained in paragraph 12 of the main body of this EC. In addition, in accordance with paragraph C-2.17, each activity will be assigned to a Business Line increment. The districts may cite different performance levels in the funding arguments for different budget activities. For example, funding of the highest priority budget activity in the Business Line initial increment may be required to attain 80 percent availability; funding of the next highest priority budget activity in a subsequent Business Line increment may enable the project to attain 95 percent availability.

d. **Use of Work Category Codes to Program for Business Lines.** The Work Category Codes are listed as follows:

601XX Operation for Navigation Function
602XX Operation for Flood Damage Reduction Function
603XX Operation for Hydropower Function
604XX Operation for Environmental Stewardship Function
605XX Operation for Recreation Function
606XX Joint Activities for Operations
607XX National Emergency Preparedness Program Function
608XX Operation for Water Supply Function
611XX Maintenance for Navigation Function
612XX Maintenance for Flood Damage Reduction Function
613XX Maintenance for Hydropower Function
614XX Maintenance for Environmental Stewardship Function
615XX Maintenance for Recreation Function
616XX Joint Activities for Maintenance
617XX Reserved
618XX Maintenance for Water Supply Function

The programming and costing process will allow the total costs for a Business Line to be identified. For example:

(1) A Cat/Class 100 Navigation project would have all its primary purpose budget activities programmed under the 601XX and 611XX WCCs. The WCCs in these two categories would identify the total costs for the Navigation Business Line at this project. Separable costs specific for the Recreation and Environmental Stewardship should be charged to the WCCs for those Business Lines.

(2) A Cat/Class 200 Flood Damage Reduction project with Recreation and Water Supply as authorized project purposes might have a water supply agreement where the water customer is responsible for paying all costs but recreation. All Recreation-specific budget activities would be shown in 605XX and 615XX WCCs for Recreation, as appropriate, and these costs would not be used in calculation of the water customer's assessment. All Water Supply-specific budget activities must be specified for the Civil Works program. New Work Category Codes specifically for the Water Supply Business Line have been added. The budget activities related to Water Supply will be assigned to 60811, 60812, 60820 and 61810. Work Category Codes 60210 and 60221 will no longer be used for Water Supply activities. Please see the descriptions of the new Work Category Codes to correctly assign Water Supply budget activities.

(a) Joint Costs used for repayment purposes should not be confused with the term "Joint Activities" as used for programming purposes under the WCC process.

(3) A Cat/Class 300 Multiple Purpose Project with Power will have its specific Hydropower budget activities shown under the 603XX and 613XX WCCs. The budget activities for Joint Activities will be shown under the 606XX and 616XX WCCs. This allows the Joint Activities budget activity to be entered just once. The total budgeted amount for the Joint Activities budget activity can then be apportioned to the specific Business Lines in accordance with the statutory cost allocation formula for reporting purposes. This distribution of programmed cost allows the Corps to identify the specific costs for Hydropower O&M, plus that portion of the costs for Joint Activities which is allocated to Hydropower. This is important because the Federal Power Marketing Agency generally reimburses the Treasury for the power costs incurred by the Corps, which includes the portion of Joint Activities that can be allocated to the Hydropower Business Line (this portion would be considered the “Joint Costs” for the Power Marketing Agency). During the programming process, a roof repair budget activity for an administration building at a multipurpose project, for example, would have the entire programmed cost entered under a single budget activity under WCC 616XX; however only a portion of the cost of that budget activity identified with the Hydropower Business Line in accordance with its statutory cost allocation formula would get allocated to the Hydropower Business Line. The Hydropower portions of each of these Joint Activities budget activities (606XX and 616XX WCCs) together with the Hydropower-specific budget activities (603XX and 613XX WCCs) give the representative cost of performing the Hydropower Business Line. The costs attributable to the Hydropower Business Line are then paid back by the respective Federal Power Marketing Agency as part of their payments to Treasury. For reporting purposes, budget activities representing specific activities for Recreation or Environmental Stewardship will be costed under the WCCs for those specific Business Lines; The total cost of these businesses requires the addition of the allocated portion of the cost of Joint Activities packages, apportioned according to the statutory cost allocation formula for that project. The O&M program will then show the amount programmed for each (e.g., Hydropower and Recreation) Business Line.

(a) Power cost repayment will be accomplished as is currently done; that is, for each project, the individual WCCs will be given the “purpose code” for “joint costs” or “specific costs” as required by the power repayment cost allocation report. Purpose code is the last two digits of the WCC. Power cost repayment accounting is a separate activity from the programming and execution WCC procedure

(4) All Water Supply Joint budget activities for multipurpose projects without power must be specified for the Civil Works program and assigned to the projects Primary Business Line. New Work Category Codes specifically for the Water Supply Business Line have been added. The budget activities related to Water Supply will be assigned to 608XX and 618XX. Please see the descriptions of the new Work Category Codes to correctly assign Water Supply budget activities. The Phase Code for these activities will be OJ or MJ.

e. **O&M Power Costs in the Pacific Northwest**. Pursuant to the 5 December 1997 Memorandum of Agreement between the Department of Energy, acting by and through the Bonneville Power Administration (BPA), and the Department of the Army, entitled “Direct Funding of Power Operations and Maintenance Costs at Corps Projects”, BPA will direct fund O&M Power Costs for Corps projects with hydroelectric power generation facilities for which BPA is the designated Federal power marketing agency. O&M Power Costs include hydropower-specific O&M costs, the power portion of joint O&M activities, and power capital items. The Northwestern Division will prepare an Annual Power Budget in conjunction with the Bonneville Power Administration that specifies O&M Power Costs for each applicable project. A five year Power Budget which includes annual power budgets for five consecutive fiscal years will be developed in conjunction with the Bonneville Power Administration by the Northwestern Division for purposes of inclusion in the BPA rate base and to fund the Corps O&M power costs.

(1) O&M Power Costs in the Pacific Northwest will be entered into Primavera Project Manager under a separate type of funds classification (Bonneville Power Appropriation), and submitted concurrently with the O&M program submittal to HQUSACE, in the appropriate funding increment. In addition, budget activities for joint activities will be split into two budget activities to reflect the appropriate allocation of joint activity costs between the O&M and O&M Power Cost appropriations. Budget activities for the power portion of large capital joint activity costs require specific dispensation from ASA(CW) to be funded within the O&M appropriation. Such packages will be identified as special interest items (see Paragraph C-2.5).

f. **Budget activities - Primary and Supporting Costs.** In developing a budget activity, all costs required to accomplish the work should be included. This includes the cost of the primary activity as well as all supporting activities that are required to accomplish the work. For example, a dredging budget activity should contain the cost of the actual dredging process plus the costs for before and after surveys, engineering and design, real estate requirements, contract supervision, water quality monitoring, etc. In this way, a complete and stand-alone decision package is developed, thereby avoiding situations where the primary work is funded without the necessary supporting activities, or vice versa. This process applies to all WCC-based budget activities.

g. **Operation and Maintenance Budget activities.** A continuing effort is required to standardize designations of budget activities as either operation or maintenance-related. To provide uniform guidance for the appropriate placement of such budget activities within operation or maintenance Work Category Codes, detailed definitions of the operation and maintenance elements of each WCC are provided in Table C-2.3. In addition to these definitions, the following general principles should be applied. Operation budget activities may include maintenance that is of a recurring nature, and is integral to continued project operation. Examples include things such as custodial services, removing ice and

snow, debris, trash, cleaning; relamping lighting fixtures, routine testing of lubricating and hydraulic oils; replacing packing in valves and glands; replacing electrical brushes and touch-up painting, etc. This work is performed on an annual basis, typically by hired labor or small contract (service contract, purchase order, etc.). All other maintenance work, specifically, non-recurring and non-routine maintenance, should be placed under maintenance Work Category Codes. It is the nature of the work itself which dictates where it should be placed. That is, annual recurring costs for annual recurring work, such as custodial services, belongs under operations Work Category Codes, while annual recurring costs for non-recurring work items, (e.g., minor roof repairs one year, placing signs and markers, painting of guardrails, wall striping, repainting comfort stations, etc.), belong under maintenance Work Category Codes.

h. **Appropriate Levels of Budget activity Justification.** In a performance-based program, every budget activity must relate to an improvement in performance or results, that is, in the outputs or outcomes created by the Business Line. These linkages and the necessity of the budget activity to performance goal attainment must be made clear to all levels of reviewers, both internal and external (e.g., OMB or Congress) to the Corps. The impacts of the budget activity on specific areas of customer service, project performance, infrastructure investment, personnel or public safety, the local community, statutory requirements, or other considerations should be included in the funding argument if not covered in the performance measures.

i. **Well-Written Descriptions and Funding Arguments.** Care should be taken to write all descriptions and funding arguments clearly and concisely so that the reader can understand and appreciate the work for which funds are being requested. Well-written justifications are essential to convince reviewers who are not familiar with the work to fund your needs.

C-2.4. **Funding Considerations.** Several adjustments are made to your program after it has been submitted to HQUSACE. These adjustments depend upon what is included in your program. The MSC's should ensure that every legitimate O&M need is included and properly prioritized within each Business Line so that their final program is based on the complete needs of the MSC.

C-2.5. **Special Interest Items.** In order to highlight specific activities, the following special interest items have been defined. HQUSACE may add to or delete special interest items as needed in each Program Year. Special interest items are not additional funding levels and any given budget activity may fall into all, none, or any number of special interest item categories. Activity codes have been added to P2 Primavera Project Manager for each special interest item required for the PY budget.

Special Interest Items
Environmental Management Systems
Correction of Significant Environmental Compliance Findings

A description of each of these special interest items follows:

a. **Environmental Management Systems.** Items related to implementation and/or operation of Environmental Management Systems (EMS) are to be highlighted in order to track budgeting and execution of budget activities for EMS related work. These EMS items will be recorded using the appropriate existing Work Category Codes in accordance with current practice, and will be tagged with this special interest item indicator code.

b. **Correction of Significant Environmental Compliance Findings**. Items related to corrective action for a significant environmental compliance finding are to be tagged using this special interest item indicator code.

C-2.6. **Operation and Maintenance Unfunded Requirements Reporting Requirements.** District and MSC offices are encouraged to develop complete operation and maintenance programs so that they might better anticipate future program management requirements. It is important that all justified requirements funded or unfunded, be identified, so that in the event that additional resources are made

available for infrastructure preservation, appropriate funding prioritization decisions can be made about budget activities which may originally have appeared to be below the funding level. Identification of unfunded requirements is critical in order to understand and quantify the condition of the water resources infrastructure, and the quality of associated services. It is equally important that the identified unfunded requirements be a realistic assessment of requirements, and not a "wish list" of nice-to-have enhancements.

a. Unfunded Requirements. Unfunded Requirements are defined as those unfunded operation and maintenance work items which are required and should have been funded in the PY in order to provide reasonable assurance that project performance goals can continue to be met and that undue risk of failure is avoided. It may occur in any Business Line and is not limited to infrastructure-related budget activities. Deferred maintenance of a project feature or deferred update of a project exhibit for instance, may both be valid examples of unfunded requirements.

b. High Priority Unfunded Requirements. High Priority Unfunded Requirements are a primary concern of respective congressional delegations. A special interest item indicator code for high priority maintenance activities has been added so these budget activities can be tracked.

C-2.7. **Cost Estimates.**

a. **Projections.** Field offices will compute costs based on PY-1 cost projections. All cost estimates will be projected to levels based on inflation factors and assumptions provided in the main part of this EC.

b. **Rounding.** All cost estimates shall be rounded to the nearest one thousand dollars ($1000). Because of serious complications in aggregating functional, regional and national summaries, it is imperative that everyone at all levels strictly adhere to this requirement without exception.

C-2.8. **Rank Assignments.**

a. **Work Groupings.** The smallest increment of work for O&M programming purposes is a work item or task. Examples of tasks are trash pickup at a recreation area, mowing a levee, or painting a lock gate. In the automated O&M program system, tasks at the same project and within the same Work Category Code may be grouped into budget activities if they are of comparable criticality or priority, for example, maintenance of 15 of 30 recreation sites during May through September or painting lock gates at locks 1-4.

b. **Rankings.** As described in paragraph C-2.15, budget activities in each Business Line will be assigned to a maximum of seven Business Line increments. Ranking of individual budget activities will be assigned by the district and MSC within each Business Line. For each project all initial increment budget activities will be ranked higher than the budget activities in the next-added Business Line

increment. A budget activity in the next-added increment for a high value project/activity can be ranked higher than the initial increment budget activities at less valued projects/activities. To better ensure appropriate rank, each budget activity will contain a code indicating the Business Line increment where the budget activity belongs. For example, a dredging activity that meets the definition for the initial increment in the program year should be given the Business Line increment code of “1”.

c. **Final Rankings.** Development of final rankings should be an iterative process that employs all the knowledge and support tools available to the decision maker. In developing the national program, HQUSACE will generally rely on the final rankings assigned by the MSC in PRISM, provided they meet the business line increment definitions and overall policy. It is therefore important that rank assignments be made in accordance with the relative importance of the work so as to ensure that the highest priority activities can be accomplished within available resource limits. Ranking of work items within the business line increments will follow the priorities for operation and maintenance work items. Each budget activity should be assigned to the appropriate Business Line increment based on consistent and objective application of the Business Line increment definitions and performance measures established for the applicable Business Line. See Business Line Appendices for guidance on ranking budget activities for each program.

C-2.9. **Navigation Projects.** Beginning in FY 1987, all shallow-draft harbors previously financed as a part of a through-waterway in the inland river systems were, and will continue to be, programmed as separate projects. These projects include all activities on each spur or side channel of the old project and exclude only those activities on the main through channel. For the PY when additional projects are identified, districts should call HQUSACE (CECW-CO) for a PWID number, if needed.

C-2.10. **Marginal Projects.** For projects, or segments of projects, that have marginal benefits, special care should be taken to ensure that all resource requests are economically justified. If sufficient study detail is not yet available to develop appropriate funding recommendations, program requests should be held to levels below historic amounts. Major repairs not essential to structural integrity in the PY should be postponed. Operation activities should be constrained to the lowest level possible

C-2.11. **Evaluation Reports**. Dredged Material Management Plans (DMMP’s) for dredged material disposal facilities at operating navigation projects will be funded in the O&M account. Evaluation Reports and/or assessments for deficiency correction, and Major Rehabilitation are funded in the O&M account.

C-2.12. **Cultural Resources.** Funding requirements for activities to ensure compliance with Section 5 – 7 of the Native American Graves Protection and Repatriation Act (NAGPRA) (PL 101-601) should not be included in the general MSC program submittal. Specific guidance will be provided at a later date by the Mandatory Center of Expertise (MCX) on how and when to make requests for funding of activities to ensure compliance with Section 5 – 7 of NAGPRA. All of the requirements will be aggregated by the MCX into the program as a separate line item. All curation costs, other than NAGPRA, should be included in the appropriate Work Category Code.

C-2.13. **Special Recreation Use Fees (SRUF).** Funds generated from collecting recreation use fees are returned in O&M appropriations for operation, maintenance and improvement of recreation sites and facilities. The construction of new recreation facilities or renovation and/or improvement of existing facilities may be accomplished with these funds if the goal of providing quality public recreation experiences with the most cost efficient management of water resource development projects can be met. Overall budgetary limitations should be carefully considered in determining what activities will be

financed with these funds. Routine operation and maintenance of existing sites and facilities should not be compromised to finance new construction or facility improvements. SRUF funded work previously programmed in WCC 60512 and 61512 should now be programmed in WCC 60511 and 61511.

C-2.14. **Program Development**. The Corps Civil Works program will be developed in increments by Business line from a zero base. The proposed work included in each increment will be evaluated against the performance criteria specified for each Business Line. The initial increment should provide the greatest benefit for the investment consistent with performance measures. Each subsequent increment should be ordered by the performance benefits to be gained versus the cost of the work contained in the increment.

C-2.15. **Business Line Increments**. To establish a consistent starting point for the initial increment, each MSC will create an initial increment for each Business Line, except Recreation, so that the total cost of the O&M work across all business lines, excluding Recreation is no greater than 75 percent of the MSC total in PY-1 as listed on Table C-2.6. Each next-added Business Line increment will be based on increased performance or additional benefits. See each Business Line Appendix for definitions of increments and performance based Business Line development. Generally, for all Business Lines, the initial increment is to include (a) any funding for continuing maintenance contracts scheduled for award in the PY-1 and carrying into the PY and (b) any funding for work to be performed in the PY to minimally comply with a legal and environmental mandates, a Federal statute or court order. Subsequent increments will be created to reflect important work that can provide additional benefits as measured by the performance measures. The last increment for each project is the capability level. Note there are a total of seven increments. All seven increments are not necessarily applied to each of the business lines. All increments must document performance according to the appropriate Business Lines criteria as shown in the appropriate appendices to this circular.

The Primary MSC will ensure that other MSC's in same Region are covered.

Table C-2-6
Initial Increment by MSC based on 75 percent of
Fiscal Year 2007 Budget
Not Including Recreation

Region	MSC 1	MSC 2	MSC 3	Total for Region
Region 1	NAD			28,099
Region 2	LRD	NAD		105,511
		105,511		
Region 3	MVD	NAD	SAD	202,006
			202,006	
Region 4	LRD	MVD		71,836
	71,836			
Region 5	LRD	MVD	NAD	162,923
	162,923			
Region 6	MVD	LRD		15,417
		15,417		
Region 7	LRD	MVD	SWD	
		168,570		168,570
Region 8	MVD			97,601
Region 9	MVD			1,983
Region 10	NWD			120,874
Region 11	MVD	SPD	SWD	96,661
			96,661	
Region 12	MVD	SWD		92,929
		92,929		
Region 13	SPD			6,833
Region 14	SPD			542
Region 15	SPD			2,464
Region 16	SPD			571
Region 17	NWD			177,324
Region 18	SPD			61,653
Region 19	POD			16,653
Region 20	POD			1,313
Region 21	SAD			3,000
MR&T All in Region 8				98,173

C-2.16. **Recreation Service Level**. The Recreation Business Line initial increment has been defined by service level. Accordingly, the electronic tool developed to support Recreation performance measure calculation, RecBEST, is also based on service levels. Performance values are calculated for the initial service level, as well as for each budget activity created above initial. Recreation budget activities will be evaluated individually based upon their performance values, without grouping into increments in PRISM, as described above. Please see Appendix VI, Recreation, for additional information about budget development for the Recreation Business Line.

C-2.17. **Environment-Stewardship Budget Evaluation System (E-S BEST)**. This web–based tool has been developed for field use in calculating Environment-Stewardship performance measure outputs for O&M activities. E-S BEST must be used to support ranking PY Environment-Stewardship O&M and MR&T budget packages. Using E-S BEST, Environment-Stewardship budget activities (as defined by work category codes) may be combined to create budget packages. A budget package is to contain all the budget activities that are necessary to produce a specified and quantified performance output. Performance outputs values will be calculated for all budget packages created in E-S BEST, using information provided by the Operations Manager or appropriate project budget developer. E-S BEST will support the ranking of all the Environment-Stewardship budget packages at the District, MSC, and HQ levels. Environment-Stewardship budget packages will be grouped into PRISM increments. See Sub-Appendix II-3, Environment-Stewardship for additional information about budget development for the Environment-Stewardship Business Line.

C-2.18. **Narrative and Supporting Data.**

a. **Justification of Estimates Congressional Submission.** Each MSC shall prepare and submit *Justification of Estimate* sheets based on amounts provided by CECW-IP for the **Region**, using the format in Illustration C-2.5, in final form. To avoid illogical precision, no amounts should be rounded to less than $1,000, using the 5/4 rule. This is a widely read document. To preclude misinterpretations by Congressional and other reviewers, do not use vague, stereotyped, descriptions in the Reason for Change and Maintenance Item column. Standard phraseology is acceptable, if used judiciously, such that the descriptions are clear and understandable to the reader. Be as specific as possible using a condensed version of what the testifying officer would answer if asked by the Sub-Committee the reason for changes from prior year. The tone of statements must reflect a full support of the President's Program request with no hints that amounts may not be adequate. Accordingly, a remark explaining higher amounts is preferable. The typed material in the body will be confined to 6 1/2 inches vertically and 10 inches horizontally, leaving 1/2 inch margins on the left and right sides and 0.607 inch margins at the top and bottom of an 11 X 8-1/2 inch page size. Justification sheets must be submitted as Microsoft Word documents over the Corps Outlook Electronic Mail. ASCII format is not acceptable because it deletes control codes for formatting. In addition, Project status maps are required for all Major Rehabilitation work that is still being funded under the O&M, appropriation. To avoid allocation problems associated with roll-ups, projects spanning more than one district should be entered separately with titles showing the district name, for example:

OHIO RIVER LOCKS AND DAMS, PA (Pittsburgh Dist.)
OHIO RIVER LOCKS AND DAMS, WV (Huntington Dist.)
OHIO RIVER LOCKS AND DAMS, KY, IL, IN, OH, & WV (Louisville Dist.)

(Other projects include Ohio River Open Channel Work, McClellan Kerr, Missouri River and the Upper Mississippi River or district-wide activities such as Inspection of Completed Works or Scheduling

Reservoir Activities) If a state is included in more than one district, only the primary district should show that state in the title.

b. **State Designation for Inspection of Completed Works (ICW), Project Condition Surveys (PCS), Scheduling Reservoir Operations (SRO), Surveillance of Northern Boundary Waters (SNBW) and Inspection of Ecosystem Restoration Projects.** Each of these programs will have a budget activity per state per funding increment. In those cases where these programs are performed in more than one state, the district will have a budget activity for each state. The budget activities do not necessarily have to be in the same funding increment. For example, Little Rock District (SWL) has projects in Missouri and Arkansas therefore SWL should have at least two IWC budget activities, one for Missouri and one for Arkansas. Some SWL projects cross state lines such as Table Rock Lake. All the ICW for this project should be included for its primary state, which is Missouri. The justification/Remarks will indicate how many surveys, inspections, actions, etc. of that districts total will be performed for the respective Business Program funding increment. For example the Business Line initial increment ICW budget activity for SWL for Missouri would state five critical inspections would be conducted out of a total of 10 in the PY. Additional ICW budget activity(s) would be included in next-added Business Line increments as justified by increased performance or benefits.

C.2.19. **Definitions.** R=Reconnaissance; F=Feasibility; P=PED; C=Construction; CR=Replacement; O=Operations; M=Maintenance (regular, not major or rehab); MM=Major Maintenance; MR= Major Rehabiltation; OJ=Operation Joint Activities; MJ=Maintenance Joint Activities; OF=Operations for AT-FP Facility Protection/CISP; MF=Maintenance for AT=FP Protection/CISP.

C-2.20. Projects Previously funded in Construction. PY Civil Works budget will fund four types of previously funded Construction activities in the Operation and Maintenance account. These activities are appropriately funded in the Operation and Maintenance account, both because of the nature of the work they represent and because of their integral connection to operation and maintenance. This reassignment improves accountability and oversight, reflects the full cost of operation and maintenance, and supports an integrated funding strategy for existing projects.

1. Biological Opinions: Activities necessary to comply with Biological Opinions, pursuant to the Endangered Species Act, to avoid jeopardizing listed species at existing projects. Compliance costs will be allocated among the project purposes of the operating projects.

2. Rehabilitation: Work to restore or ensure continuation of project functions or outputs. Rehabilitation of existing projects will compete for funding on a level playing field with other operation and maintenance activities. Fifty percent of the costs of rehabilitations for inland waterway projects will be derived from the Inland Waterways Trust Fund.

Section 205 of WRDA 92 defines “rehabilitation,” with respect to inland waterway projects, as economically justified, structural restoration of major project features that extends project life more than 2 years, or structural modifications that enhance operational efficiency, and that exceed certain cost thresholds. Continued maintenance may be viewed as the alternative to rehabilitation, and so rehabilitations should compete against maintenance. Also, since rehabilitations are not as large as replacements they can be programmed more easily in the Operation and Maintenance account.

3. **Beneficial use of dredged material from maintenance dredging:** Construction of facilities, projects or features that use maintenance dredging material. These include beneficial uses of dredged material for island and marsh creation, shore protection, and other environmental purposes pursuant to the

Section 204 / 207 / 933 Continuing Authority Program and specific authorizations. These also include dredged material disposal facilities for material from maintenance dredging. Funding for the dredged material disposal facilities would be derived from the Harbor Maintenance Trust Fund.

4. **Renourishment to restore sand lost to shorelines form Federal navigation operation and maintenance:** Replacement of sand lost from shores due to the operation of Federal navigation projects (navigation mitigation). This activity would be carried out pursuant to specific authorizations for shore protection projects that involve navigation mitigation, and pursuant to the Section 111 Continuing Authority Program. Funding for navigation mitigation will be derived from the Harbor Maintenance Trust Fund.

You should assume that proposed PY-1 appropriations bill language will enable funding of these activities from the Operation and Maintenance account. Proposed language includes a provision for activities to comply with the Endangered Species Act at existing projects as well as funding for "eligible operations and maintenance" to be derived from the Harbor Maintenance Trust Fund. According to section 201 of the Water Resources Development Act of 1996, eligible operations and maintenance activities include not only harbor dredging but also the dredged material disposal facilities and navigation mitigation.

C-2.21. **Additional Information**

a. **Database System.** The CEAP WPC21 processor in Portland, OR will be used to submit data to the automated O&M program system.

b. **Correction of Program Submittals.** As in past years, districts and MSCs will be asked to make any necessary corrections through automated program systems after HQUSACE review. If a district or MSC is asked to make corrections, the database will be reopened to allow access for updating.

c. **Points of Contact.**

Question(s) Referring To	Office	Telephone
Policies, procedures, or format of the Project O&M activity.	CECW-IP	202-761- 4130 fax 202-761-4370
ADP input for the same activity	CECW-IN	202-761 4215 fax 202-761- 5295
Programs Management staff coordination of Congressional submission of the O&M program.	CECW-IP	202-761- 4130 fax 202-761-4370 (**e-mail preferred)**
Curation\Native American Graves Protection Act (NAGPRA)	CECW-PC-NWD	202-761- 4618

C-2.22. **Submission Requirements.** Submission time schedules for automated data and hard copies are listed in Table 2 of the main text.

TABLE C-2.1
WORK CATEGORY CODES - NUMERICALLY ORDERED
(See footnotes at end of Table)

WORK CATEGORY CODE	DESCRIPTION
601-- [1/]	Operation for Navigation Functions
60110 **	Operation of Locks, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Navigation
60120 [1/]	Studies and Surveys for Navigation
60121*	Studies and Surveys
60122	Major Rehabilitation Evaluation Reports
60123	Environmental Studies and Monitoring for Dredging Purposes
60130 [1/]	Dam Safety for Navigation
60131**	Instrumentation, Data Collection and Analysis
60132*	Formal Periodic Inspections and Reports
60133	Dam Safety Assurance Studies
60140 [1/]	Water Management (Control and Quality) Activities for Navigation
60141	Water Management (Control and Quality) Activities - Analysis and Studies for Navigation
60142	Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Navigation
60150*	Real Estate Management for Navigation
60160	Environmental Compliance Management for Navigation
60190 [1/]	Facility Security for Navigation
60191	Facility Security Assessments for Navigation
60192	Facility Security Guards, Monitoring Activities for Navigation
602-- [1/]	Operation for Flood Damage Reduction Functions
60210**	Operation of Locks, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Flood Damage Reduction
60220 [1/]	Studies and Surveys for Flood Damage Reduction
60221	Studies and Surveys
60222	Major Rehabilitation Evaluation Reports
60223*	Inspections of Completed Works - Local Protection Projects
60230 [1/]	Dam Safety for Flood Damage Reduction
60231**	Instrumentation, Data Collection and Analysis
60232*	Formal Periodic Inspections and Reports
60233	Dam Safety Assurance Studies
60240 [1/]	Water Management (Control and Quality) Activities for Flood Damage

TABLE C-2.1
WORK CATEGORY CODES - NUMERICALLY ORDERED
(See footnotes at end of Table)

WORK CATEGORY CODE	DESCRIPTION
	Reduction
60241	Water Management (Control and Quality) Activities - Analysis and Studies for Flood Damage Reduction
60242	Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Flood Damage Reduction
60250*	Real Estate Management for Flood Damage Reduction
60260	Environmental Compliance Management for Flood Damage Reduction
60290 1/	Facility Security for Flood Damage Reduction
60291	Facility Security Assessments for Flood Damage Reduction
60292	Facility Security Guards, Monitoring Activities for Flood Damage Reduction
603-- 1/	Operation for Hydropower Functions
60310 1/	Operation of Dams, Power Plants, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Hydropower
60311**	Operations - Supervision and Engineering
60312**	Hydraulic Expenses
60313**	Electric Expenses
60314**	Miscellaneous Hydraulic Power Generation Expenses
60320 1/	Studies and Surveys for Hydropower
60321	Studies and Surveys - Supervision and Engineering
60322	Studies and Surveys - Hydraulic Expenses
60323	Studies and Surveys – Electric Expenses
60324	Studies and Surveys - Miscellaneous Hydraulic Power Generation Expenses
60325	Major Rehabilitation Evaluation Reports
60330 1/	Dam Safety for Hydropower
60331**	Instrumentation, Data Collection and Analysis
60332*	Formal Periodic Inspections and Reports
60333	Dam Safety Assurance Studies
60340 1/	Water Management (Control and Quality) Activities for Hydropower
60341	Water Management (Control and Quality) Activities - Analysis and Studies for Hydropower
60342	Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Hydropower

TABLE C-2.1
WORK CATEGORY CODES - NUMERICALLY ORDERED
(See footnotes at end of Table)

WORK CATEGORY CODE	DESCRIPTION
60350*	Real Estate Management for Hydropower
60360	Environmental Compliance Management for Hydropower
60390 [1/]	Facility Security for Hydropower
60391	Facility Security Assessments for Hydropower
60392	Facility Security Guards, Monitoring Activities for Hydropower
604-- [1/]	Operation for Environmental Stewardship Functions
60410 [1/]	Operation for Environmental Stewardship
60411	Management of Natural Resources
60412	Management and Curation of Archeological and Cultural Resources
60413	Management of Wildlife Mitigation Features
60414	Fisheries Management - Operation of Fish Hatcheries
60415	Fisheries Management – Fish Hauling Activities and Fish Passage Structures
60416	Comprehensive Master Plans
60417	Shoreline Management
60418	Management of Special Status Species
60419	Pest Management
60420 [1/]	Studies, Surveys and Inventories for Environmental Stewardship
60421	Studies, Surveys and Inventories for Environmental Stewardship
60422	Inspection of Ecosystem Restoration Projects
60430	Reserved
60440 [1/]	Water Management (Control and Quality) Activities for Environmental Stewardship
60441	Water Management (Control and Quality) Activities - Analysis and Studies for Environmental Stewardship
60442	Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Environmental Stewardship
60450*	Real Estate Management for Environmental Stewardship
60460	Environmental Compliance Management for Environmental Stewardship
60490 [1/]	Facility Security for Environmental Stewardship
60491	Facility Security Assessments for Environmental Stewardship
60492	Facility Security Guards, Monitoring Activities for Environmental

TABLE C-2.1
WORK CATEGORY CODES - NUMERICALLY ORDERED
(See footnotes at end of Table)

WORK CATEGORY CODE	DESCRIPTION
	Stewardship
605-- [1/]	Operation for Recreation Functions
60510 [1/]	Operation for Recreation
60511**	Operation/management of Recreation Areas/facilities, Reservoirs, Service Facilities and Equipment, Etc. for Recreation
60513	Law Enforcement - Costs and Supervision of Law Enforcement Agreements
60514	Operation/management of Visitor Centers
60520	Studies and Surveys for Recreation
60530	Reserved
60540 [1/]	Water Management (Control and Quality) Activities for Recreation
60541	Water Management (Control and Quality) Activities - Analysis and Studies for Recreation
60542	Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Recreation
60550*	Real Estate Management for Recreation
60560	Environmental Compliance Management for Recreation
60590 [1/]	Facility Security for Recreation
60591	Facility Security Assessments for Recreation
60592	Facility Security Guards, Monitoring for Recreation
606-- [1/]	Joint Activities for Operations
60610**	Joint Costs for Operations Activities
60620 [1/]	Joint Costs for Studies and Surveys
60621*	Joint Costs for Studies and Surveys
60622	Joint Costs for Major Rehabilitation Evaluation Reports
60630 [1/]	Joint Costs for Dam Safety Activities
60631**	Joint Costs for Instrumentation, Data Collection and Analysis
60632*	Joint Costs for Formal Periodic Inspections and Reports
60633	Joint Costs for Dam Safety Assurance Studies
60640 [1/]	Joint Costs for Water Management (Control and Quality) Activities
60641	Joint Costs for Water Management (Control and Quality) Activities – Analysis and Studies
60642	Joint Costs for Water Management (Control and Quality) Activities –

TABLE C-2.1
WORK CATEGORY CODES - NUMERICALLY ORDERED
(See footnotes at end of Table)

WORK CATEGORY CODE	DESCRIPTION
	Operation of Water Control Data Systems
60650*	Joint Costs for Real Estate Management Activities
60660	Joint Costs for Environmental Compliance Management Activities
60690 [1/]	Joint Costs for Facility Security Activities
60691	Joint Costs for Facility Security Assessments
60692	Joint Costs for Facility Security Guards, Monitoring Activities
60710 [1/]	National Emergency Preparedness Program (NEPP)
60711	NEPP Continuity of Operations
60712	NEPP National Preparedness Planning
60713	NEPP Support of Emergency Ops Ctrs
60714	NEPP Emergency Water Program
60715	NEPP Continuity of Government
60716	NEPP Training and Exercises
608-- [1/]	Operation for Water Supply Functions
60810 [1/]	Operation for Water Supply
60811	Operation of Project Gates, Specific Water Supply Conduits, Permanent Operating Equipment, Etc. for Water Supply
60812	Water Supply Agreements
60820	Studies and Surveys for Water Supply
611— [1/]	Maintenance for Navigation Functions
61110	Maintenance of Locks, Dams, Reservoirs, Levees, Other Structures, Service Facilities, Permanent Operating Equipment, Etc. for Navigation
61120 [1/]	Dredging for Navigation
61121	Dredging Activities for Navigation
61122	Construction and Maintenance of Dredged Material Disposal Facilities for Navigation
61130	Dam Safety Remediation of Deficiencies for Navigation
61140	Purchase/maintenance of Water Management (Control and Quality) Equipment for Navigation
61150 [1/]	Real Estate for Navigation
61151	Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Navigation

TABLE C-2.1 WORK CATEGORY CODES - NUMERICALLY ORDERED (See footnotes at end of Table)	
WORK CATEGORY CODE	DESCRIPTION
61152	Resolution of Real Estate Encroachments for Navigation
61153	Boundary Monumentation and Rectification for Navigation
61160	Environmental Compliance (Remedial Actions) for Navigation
61170	Remaining O&M Funded Major Rehabilitation (Comprehensive Replacement) Projects for Navigation
61190 [1/]	Facility Security Physical Improvements, Modifications, Maintenance and Replacement for Navigation
61191	Facility Security Maintenance and Replacement for Navigation
61192	Facility Security Physical Improvements and Modifications for Navigation
612—[1/]	Maintenance for Flood Damage Reduction Functions
61210 [1/]	Maintenance for Flood Damage Reduction
61211	Maintenance of Dams, Reservoirs, Other Structures, Service Facilities, permanent Operating Equipment, Etc. for Flood Damage Reduction
61212	Maintenance of Dikes, Revetments, Breakwaters and Similar Structures for the Mississippi River and Tributaries (MR&T)
61220 [1/]	Dredging for Flood Damage Reduction
61221	Dredging Activities for Flood Damage Reduction
61222	Construction and Maintenance of Dredged Material Disposal Facilities for Flood Damage Reduction
61230	Dam Safety Remediation of Deficiencies for Flood Damage Reduction
61240	Purchase/maintenance of Water Management (Control and Quality) Equipment for Flood Damage Reduction
61250 [1/]	Real Estate for Flood Damage Reduction
61251	Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Flood Damage Reduction
61252	Resolution of Real Estate Encroachments for Flood Damage Reduction
61253	Boundary Monumentation and Rectification for Flood Damage Reduction
61260	Environmental Compliance (Remedial Actions) for Flood Damage Reduction
61290 [1/]	Facility Security Physical Improvements, Modifications, Maintenance

TABLE C-2.1
WORK CATEGORY CODES - NUMERICALLY ORDERED
(See footnotes at end of Table)

WORK CATEGORY CODE	DESCRIPTION
	and Replacement for Flood Damage Reduction
61291	Facility Security Maintenance and Replacement for Flood Damage Reduction
61292	Facility Security Physical Improvements and Modifications for Flood Damage Reduction
613—[1/]	Maintenance for Hydropower Functions
61310 [1/]	Maintenance of Power Plants, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Hydropower
61311	Maintenance Supervision for Hydropower
61312	Maintenance of Hydraulic Structures for Hydropower
61313	Maintenance of Electric Plant for Hydropower
61314	Maintenance of Miscellaneous Hydraulic Plant for Hydropower
61320	Dredging Activities for Hydropower
61330	Dam Safety Remediation of Deficiencies for Hydropower
61340	Purchase/maintenance of Water Management (Control and Quality) Equipment for Hydropower
61350 [1/]	Real Estate for Hydropower
61351	Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Hydropower
61352	Resolution of Real Estate Encroachments for Hydropower
61353	Boundary Monumentation and Rectification for Hydropower
61360	Environmental Compliance (Remedial Actions) for Hydropower
61370 [1/]	Remaining O&M Funded Major Rehabilitation (Comprehensive Replacement) Projects for Hydropower
61371	Comprehensive Replacement Supervision
61372	Comprehensive Replacement of Structures
61373	Comprehensive Replacement of Electric Plant
61374	Comprehensive Replacement of Miscellaneous Hydraulic Plant
61390 [1/]	Facility Security Physical Improvements, Modifications, Maintenance and Replacement for Hydropower
61391	Facility Security Maintenance and Replacement for Hydropower
61392	Facility Security Physical Improvements and Modifications for Hydropower

TABLE C-2.1
WORK CATEGORY CODES - NUMERICALLY ORDERED
(See footnotes at end of Table)

WORK CATEGORY CODE	DESCRIPTION
614—[1/]	Maintenance for Environmental Stewardship Functions
61410 [1/]	Maintenance for Environmental Stewardship
61411	Maintenance of Natural Resources Facilities
61412	Mitigation of Archeological and Cultural Resources
61413	Maintenance of Wildlife Mitigation Features
61414	Maintenance of Fisheries, Fish Haulage Activities and Fish Passage Structures
61418	Maintenance for Special Status Species
61420 [1/]	Dredging for Environmental Stewardship
61421	Dredging Activities for Environmental Stewardship
61422	Construction and Maintenance of Dredged Material Disposal Facilities for Environmental Stewardship
61430	Reserved
61440	Purchase/maintenance of Water Management Equipment (Control and Quality) for Environmental Stewardship
61450 [1/]	Real Estate for Environmental Stewardship
61451	Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Environmental Stewardship
61452	Resolution of Real Estate Encroachments for Environmental Stewardship
61453	Boundary Monumentation and Rectification for Environmental Stewardship
61460	Environmental Compliance (Remedial Actions) for Environmental Stewardship Features
61490 [1/]	Facility Security Physical Improvements, Modifications, Maintenance and Replacement for Environmental Stewardship
61491	Facility Security Maintenance and Replacement for Environmental Stewardship
61492	Facility Security Physical Improvements and Modifications for Environmental Stewardship
615—[1/]	Maintenance for Recreation Functions
61510 [1/]	Maintenance for Recreation
61511	Maintenance of Recreation Facilities, Other Operating Equipment, Etc.
61513	Cost Shared Recreation Developments

TABLE C-2.1
WORK CATEGORY CODES - NUMERICALLY ORDERED
(See footnotes at end of Table)

WORK CATEGORY CODE	DESCRIPTION
61514	Maintenance of Visitor Centers
61515	Modernization of Recreation Features
61520	Dredging Activities for Recreation
61530	Reserved
61540	Purchase/maintenance of Water Management Equipment (Control and Quality) for Recreation
61550 [1/]	Real Estate for Recreation
61551	Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Recreation
61552	Resolution of Real Estate Encroachments for Recreation
61553	Boundary Monumentation and Rectification for Recreation
61560	Environmental Compliance (Remedial Actions) for Recreation
61590 [1/]	Facility Security Physical Improvements, Modifications, Maintenance and Replacement for Recreation
61591	Facility Security Maintenance and Replacement for Recreation
61592	Facility Security Physical Improvements and Modifications for Recreation
616—[1/]	Joint Activities for Maintenance
61610	Joint Costs for Maintenance Activities Excluding Dredging
61620 [1/]	Joint Costs for Dredging
61621	Joint Costs for Dredging Activities
61622	Joint Costs for Construction and Maintenance of Dredged Material Disposal Facilities
61630	Joint Costs for Dam Safety Remediation of Deficiencies
61640	Joint Costs for Water Management Equipment Activities
61650 [1/]	Joint Costs for Real Estate Activities
61651	Joint Costs for Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits
61652	Joint Costs for Resolution of Real Estate Encroachments
61653	Joint Costs for Boundary Monumentation and Rectification
61660	Joint Costs for Environmental Compliance (Remedial Actions) Activities
61690 [1/]	Joint Costs for Facility Security Physical Improvements, Modifications,

TABLE C-2.1 WORK CATEGORY CODES - NUMERICALLY ORDERED (See footnotes at end of Table)	
WORK CATEGORY CODE	DESCRIPTION
	Maintenance and Replacement
61691	Joint Costs for Facility Security Maintenance and Replacement
61692	Joint Costs for Facility Security Physical Improvements and Modifications
618-- 1/	Maintenance for Water Supply Functions
61810	Maintenance of Project Gates, Specific Water Supply Conduits, Permanent Operating Equipment, Etc. for Water Supply

1/ SUMMARY COST ACCOUNT/WORK CATEGORY CODE - COSTS MAY NOT BE CHARGED DIRECTLY TO THESE ACCOUNTS.

2/ PERIODIC INSPECTIONS AND REPORTS, AND INSTRUMENTATION, DATA COLLECTION AND ANALYSIS ARE TO BE INCLUDED IN THE MINIMUM PROGRAM FOR THE PROJECT TO MEET MINIMUM LEGAL RESPONSIBILITIES FOR OPERATIONS AND SAFETY. THIS FOOTNOTE APPLIES TO THE WORK CATEGORY CODES 60131, 60132, 60231, 60232, AND 60331, 60332, 60631 AND 60632.

*Work Category Codes marked with an asterisk require added data in project work description, justification statement, or output measures.

**Although Work Category Codes marked with double asterisk require no description or funding argument, requested resources will be in consonance with the funding increment and prior year experience.

TABLE C-2.2
WORK CATEGORY CODES - ALPHABETICALLY ORDERED

DESCRIPTION	WORK CATEGORY CODE
Boundary Monumentation and Rectification for Environmental Stewardship	61453
Boundary Monumentation and Rectification for Flood Damage Reduction	61253
Boundary Monumentation and Rectification for Hydropower	61353
Boundary Monumentation and Rectification for Navigation	61153
Boundary Monumentation and Rectification for Recreation	61553
Comprehensive Master Plans	60416
Comprehensive Replacement of Electric Plant	61373
Comprehensive Replacement of Miscellaneous Hydraulic Plant	61374
Comprehensive Replacement of Structures	61372
Comprehensive Replacement Supervision	61371
Construction and Maintenance of Dredged Material Disposal Facilities for Flood Damage Reduction	61222
Construction and Maintenance of Dredged Material Disposal Facilities for Environmental Stewardship	61422
Construction and Maintenance of Dredged Material Disposal Facilities for Navigation	61122
Cost Shared Recreation Developments	61513
Dam Safety Assurance Studies	60333
Dam Safety Assurance Studies	60133
Dam Safety Assurance Studies	60233
Dam Safety for Flood Damage Reduction	60230 [1/]
Dam Safety for Hydropower	60330 [1/]
Dam Safety for Navigation	60130 [1/]
Dam Safety Remediation of Deficiencies for Flood Damage Reduction	61230
Dam Safety Remediation of Deficiencies for Hydropower	61330
Dam Safety Remediation of Deficiencies for Navigation	61130
Dredging Activities for Environmental Stewardship	61421
Dredging Activities for Flood Damage Reduction	61221
Dredging Activities for Hydropower	61320
Dredging Activities for Navigation	61121
Dredging Activities for Recreation	61520
Dredging for Environmental Stewardship	61420 [1/]

TABLE C-2.2 WORK CATEGORY CODES - ALPHABETICALLY ORDERED	
DESCRIPTION	WORK CATEGORY CODE
Dredging for Flood Damage Reduction	61220 [1/]
Dredging for Navigation	61120 [1/]
Electric Expenses	60313**
Environmental Compliance (Remedial Actions) for Environmental Stewardship Features	61460
Environmental Compliance (Remedial Actions) for Flood Damage Reduction	61260
Environmental Compliance (Remedial Actions) for Hydropower	61360
Environmental Compliance (Remedial Actions) for Navigation	61160
Environmental Compliance (Remedial Actions) for Recreation	61560
Environmental Compliance Management for Environmental Stewardship	60460
Environmental Compliance Management for Flood Damage Reduction	60260
Environmental Compliance Management for Hydropower	60360
Environmental Compliance Management for Navigation	60160
Environmental Compliance Management for Recreation	60560
Environmental Studies and Monitoring for Dredging Purposes	60123
Facility Security Assessments for Environmental Stewardship	60491
Facility Security Assessments for Flood Damage Reduction	60291
Facility Security Assessments for Hydropower	60391
Facility Security Assessments for Navigation	60191
Facility Security Assessments for Recreation	60591
Facility Security for Environmental Stewardship	60490 [1/]
Facility Security for Flood Damage Reduction	60290 [1/]
Facility Security for Hydropower	60390 [1/]
Facility Security for Navigation	60190 [1/]
Facility Security for Recreation	60590 [1/]
Facility Security Guards, Monitoring Activities for Environmental Stewardship	60492
Facility Security Guards, Monitoring Activities for Flood Damage Reduction	60292
Facility Security Guards, Monitoring Activities for Hydropower	60392
Facility Security Guards, Monitoring Activities for Navigation	60192
Facility Security Guards, Monitoring Activities for Recreation	60592
Facility Security Maintenance and Replacement for Navigation	61191
Facility Security Physical Improvements and Modifications for Navigation	61192

TABLE C-2.2 WORK CATEGORY CODES - ALPHABETICALLY ORDERED	
DESCRIPTION	WORK CATEGORY CODE
Facility Security Physical Improvements, Modifications, Maintenance and Replacement for Navigation	61190 1/
Facility Security Maintenance and Replacement for Flood Damage Reduction	61291
Facility Security Physical Improvements and Modifications for Flood Damage Reduction	61292
Facility Security Physical Improvements, Modifications, Maintenance and Replacement for Flood Damage Reduction	61290 1/
Facility Security Maintenance and Replacement for Hydropower	61391
Facility Security Physical Improvements and Modifications for Hydropower	61392
Facility Security Physical Improvements, Modifications, Maintenance and Replacement for Hydropower	61390 1/
Facility Security Maintenance and Replacement for Environmental Stewardship	61491
Facility Security Physical Improvements and Modifications for Environmental Stewardship	61492
Facility Security Physical Improvements, Modifications, Maintenance and Replacement for Environmental Stewardship	61490 1/
Facility Security Maintenance and Replacement for Recreation	61591
Facility Security Physical Improvements and Modifications for Recreation	61592
Facility Security Physical Improvements, Modifications, Maintenance and Replacement for Recreation	61590 1/
Fisheries Management – Fish Hauling Activities and Fish Passage Structures	60415
Fisheries Management - Operation of Fish Hatcheries	60414
Formal Periodic Inspections and Reports	60232*
Formal Periodic Inspections and Reports	60332*
Formal Periodic Inspections and Reports	60132*
Hydraulic Expenses	60312**
Inspection of Ecosystem Restoration Projects	60422
Inspections of Completed Works - Local Protection Projects	60223*
Instrumentation, Data Collection and Analysis	60131**
Instrumentation, Data Collection and Analysis	60231**
Instrumentation, Data Collection and Analysis	60331**

TABLE C-2.2 WORK CATEGORY CODES - ALPHABETICALLY ORDERED	
DESCRIPTION	WORK CATEGORY CODE
Joint Activities for Maintenance	616—[1/]
Joint Activities for Operations	606—[1/]
Joint Costs for Boundary Monumentation and Rectification	61653
Joint Costs for Construction and Maintenance of Dredged Material Disposal Facilities	61622
Joint Costs for Dam Safety Activities	60630 [1/]
Joint Costs for Dam Safety Assurance Studies	60633
Joint Costs for Dam Safety Remediation of Deficiencies	61630
Joint Costs for Dredging	61620 [1/]
Joint Costs for Dredging Activities	61621
Joint Costs for Environmental Compliance (Remedial Actions) Activities	61660
Joint Costs for Environmental Compliance Management Activities	60660
Joint Costs for Facility Security	60690 [1/]
Joint Costs for Facility Security Assessments	60691
Joint Costs for Facility Security Guards, Monitoring Activities	60692
Joint Costs for Facility Security Physical Improvements, Modifications, Maintenance and Replacement	61690 [1/]
Joint Costs for Facility Security Maintenance and Replacement	61691
Joint Costs for Facility Security Physical Improvements and Modifications	61692
Joint Costs for Formal Periodic Inspections and Reports	60632*
Joint Costs for Instrumentation, Data Collection and Analysis	60631**
Joint Costs for Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits	61651
Joint Costs for Maintenance Activities Excluding Dredging	61610
Joint Costs for Major Rehabilitation Evaluation Reports	60622
Joint Costs for Operations Activities	60610**
Joint Costs for Real Estate Activities	61650 [1/]
Joint Costs for Real Estate Management Activities	60650*
Joint Costs for Resolution of Real Estate Encroachments	61652
Joint Costs for Studies and Surveys	60621*
Joint Costs for Studies and Surveys	60620 [1/]
Joint Costs for Water Management (Control and Quality) Activities - Operation of Water Control Data Systems	60642

TABLE C-2.2
WORK CATEGORY CODES - ALPHABETICALLY ORDERED

DESCRIPTION	WORK CATEGORY CODE
Joint Costs for Water Management (Control and Quality) Activities - Analysis and Studies	60641
Joint Costs for Water Management (Control and Quality) Activities	60640 [1/]
Joint Costs for Water Management Equipment Activities	61640
Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Flood Damage Reduction	61251
Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Environmental Stewardship	61451
Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Navigation	61151
Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Recreation	61551
Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Hydropower	61351
Law Enforcement – Costs and Supervision of Law Enforcement Agreements	60513
Maintenance for Environmental Stewardship	61410 [1/]
Maintenance for Environmental Stewardship Functions	614— [1/]
Maintenance for Flood Damage Reduction	61210 [1/]
Maintenance for Flood Damage Reduction Functions	612— [1/]
Maintenance for Hydropower Functions	613— [1/]
Maintenance for Navigation Functions	611— [1/]
Maintenance for Recreation	61510 [1/]
Maintenance for Recreation Functions	615— [1/]
Maintenance for Water Supply Functions	608— [1/]
Maintenance of Dams, Reservoirs, Other Structures, Service Facilities, Permanent Operating Equipment, Etc. for Flood Damage Reduction	61211
Maintenance of Dikes, Revetments, Breakwaters and Similar Structures for the Mississippi River and Tributaries (MR&T)	61212
Maintenance of Electric Plant for Hydropower	61313
Maintenance of Electric Plant for Hydropower	6131
Maintenance of Fisheries, Fish Haulage Activities and Fish Passage Structures	61414
Maintenance of Hydraulic Structures for Hydropower	61312
Maintenance of Hydraulic Structures for Hydropower	61312

TABLE C-2.2 WORK CATEGORY CODES - ALPHABETICALLY ORDERED	
DESCRIPTION	WORK CATEGORY CODE
Maintenance of Locks, Dams, Reservoirs, Levees, Other Structures, Service Facilities, Permanent Operating Equipment, Etc. for Navigation	61110
Maintenance of Miscellaneous Hydraulic Plant for Hydropower	61314
Maintenance of Miscellaneous Hydraulic Plant for Hydropower	61314
Maintenance of Natural Resources Facilities	61411
Maintenance of Power Plants, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Hydropower	61310 1/
Maintenance of Power Plants, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Hydropower	61310 1/
Maintenance of Project Gates, Specific Water Supply Conduits, Permanent Operating Equipment, Etc. for Water Supply	61810
Maintenance of Recreation Facilities, Other Operating Equipment, Etc.	61511
Maintenance of Special Status Species	61418
Maintenance of Visitor Centers	61514
Maintenance of Wildlife Mitigation Features	61413
Maintenance Supervision for Hydropower	61311
Maintenance Supervision for Hydropower	61311
Major Rehabilitation Evaluation Reports	60122
Major Rehabilitation Evaluation Reports	60325
Major Rehabilitation Evaluation Reports	60222
Management and Curation of Archeological and Cultural Resources	60412
Management of Natural Resources	60411
Management of Special Status Species	60418
Management of Wildlife Mitigation Features	60413
Miscellaneous Hydraulic Power Generation Expenses	60314**
Mitigation of Archeological and Cultural Resources	61412
Modernization of recreation Features	61515
National Emergency Preparedness Program (NEPP)	60710 1/
NEPP Management and Operations	60711
NEPP Requirements Analysis and Studies	60712
NEPP Support of Emergency Ops Ctr	60713
NEPP Training and Exercises	60716
Operation for Environmental Stewardship	60410 1/

TABLE C-2.2 WORK CATEGORY CODES - ALPHABETICALLY ORDERED	
DESCRIPTION	WORK CATEGORY CODE
Operation for Environmental Stewardship Functions	604—[1/]
Operation for Flood Damage Reduction Functions	602—[1/]
Operation for Hydropower Functions	603—[1/]
Operation for Navigation Functions	601—[1/]
Operation for Recreation	60510 [1/]
Operation for Recreation Functions	605—[1/]
Operation for Water Supply	60810 [1/]
Operation for Water Supply Functions	608—[1/]
Operation of Dams, Power Plants, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Hydropower	60310 [1/]
Operation of Locks, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Flood Damage Reduction	60210**
Operation of Locks, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Navigation	60110 **
Operation of Project Gates, Specific Water Supply Conduits, Permanent Operating Equipment, Etc. for Water Supply	60811
Operation/management of Recreation Areas/facilities, Reservoirs, Service Facilities and Equipment, Etc. for Recreation	60511**
Operation/management of Visitor Centers	60514
Operations - Supervision and Engineering	60311**
Pest Management	60419
Purchase/maintenance of Water Management (Control and Quality) Equipment for Navigation	61140
Purchase/maintenance of Water Management (Control and Quality) Equipment for Flood Damage Reduction	61240
Purchase/maintenance of Water Management (Control and Quality) Equipment for Hydropower	61340
Purchase/maintenance of Water Management Equipment (Control and Quality) for Environmental Stewardship	61440
Purchase/maintenance of Water Management Equipment (Control and Quality) for Recreation	61540
Real Estate for Environmental Stewardship	61450 [1/]
Real Estate for Flood Damage Reduction	61250 [1/]
Real Estate for Hydropower	61350 [1/]

TABLE C-2.2
WORK CATEGORY CODES - ALPHABETICALLY ORDERED

DESCRIPTION	WORK CATEGORY CODE
Real Estate for Navigation	61150 [1/]
Real Estate for Recreation	61550 [1/]
Real Estate Management for Environmental Stewardship	60450*
Real Estate Management for Flood Damage Reduction	60250*
Real Estate Management for Hydropower	60350*
Real Estate Management for Navigation	60150*
Real Estate Management for Recreation	60550*
Remaining O&M Funded Major Rehabilitation (Comprehensive Replacement) Projects for Hydropower	61370 [1/]
Remaining O&M Funded Major Rehabilitation (Comprehensive Replacement) Projects for Navigation	61170
Reserved	60530
Reserved	61530
Reserved	60430
Reserved	61430
Resolution of Real Estate Encroachments for Environmental Stewardship	61452
Resolution of Real Estate Encroachments for Flood Damage Reduction	61252
Resolution of Real Estate Encroachments for Hydropower	61352
Resolution of Real Estate Encroachments for Navigation	61152
Resolution of Real Estate Encroachments for Recreation	61552
Shoreline Management	60417
Studies and Surveys	60121*
Studies and Surveys	60221
Studies and Surveys - Electric Expenses	60323
Studies and Surveys - Hydraulic Expenses	60322
Studies and Surveys - Miscellaneous Hydraulic Power Generation Expenses	60324
Studies and Surveys - Supervision and Engineering	60321
Studies and Surveys for Flood Damage Reduction	60220 [1/]
Studies and Surveys for Hydropower	60320 [1/]
Studies and Surveys for Navigation	60120 [1/]
Studies and Surveys for Recreation	60520
Studies and Surveys for Water Supply	60820
Studies, Surveys and Inventories for Environmental Stewardship	60421

TABLE C-2.2 WORK CATEGORY CODES - ALPHABETICALLY ORDERED	
DESCRIPTION	WORK CATEGORY CODE
Studies, Surveys and Inventories for Environmental Stewardship	60420 1/
Water Management (Control and Quality) Activities - Analysis and Studies for Flood Damage Reduction	60241
Water Management (Control and Quality) Activities - Analysis and Studies for Environmental Stewardship	60441
Water Management (Control and Quality) Activities - Analysis and Studies for Recreation	60541
Water Management (Control and Quality) Activities - Analysis and Studies for Navigation	60141
Water Management (Control and Quality) Activities - Analysis and Studies for Hydropower	60341
Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Environmental Stewardship	60442
Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Flood Damage Reduction	60242
Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Recreation	60542
Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Navigation	60142
Water Management (Control and Quality) Activities – Operation of Water Control Data Systems for Hydropower	60342
Water Management (Control and Quality) Activities for Environmental Stewardship	60440 1/
Water Management (Control and Quality) Activities for Flood Damage Reduction	60240 1/
Water Management (Control and Quality) Activities for Hydropower	60340 1/
Water Management (Control and Quality) Activities for Navigation	60140 1/
Water Management (Control and Quality) Activities for Recreation	60540 1/
Water Supply Agreements	60812

1/ SUMMARY COST ACCOUNT/WORK CATEGORY CODE - COSTS MAY NOT BE CHARGED DIRECTLY TO THESE ACCOUNTS.

2/ PERIODIC INSPECTIONS AND REPORTS, AND INSTRUMENTATION, DATA COLLECTION, AND ANALYSIS ARE TO BE INCLUDED IN THE MINIMUM PROGRAM FOR THE PROJECT TO MEET MINIMUM LEGAL RESPONSIBILITIES FOR OPERATIONS AND SAFETY. THIS FOOTNOTE APPLIES

TO THE WORK CATEGORY CODES 60131, 60132, 60231, 60232, AND 60331, 60332, 60631 AND 60632.

*Work Category Codes marked with an asterisk require added data in project work description, justification statement, or output measures.

**Although Work Category Codes marked with double asterisk require no description or funding argument, requested resources will be in consonance with the funding increment and prior year experience.

O&M WORK CATEGORY CODE MATRIXES AND DEFINITIONS

C-2.2 and C-2.3 are the Operation and Maintenance Work Category Code Matrix sheets **(enclosed are Tables C-2.3a and b**. Table 2.3c includes the definitions of the Operation WCCs**)**. Table 2.3d includes the definitions of the Maintenance WCCs.

The major O&M functions are broken down into Work Category Codes, together with a description of work to be performed the pages following the spreadsheet.

Table C-2.3c
Work Category Codes and Definitions
O&M Operations Accounts By Business Program:

Navigation (**601--**)
Flood Damage Reduction **(602--**)
Hydropower (**603--**)
Environmental Stewardship (**604--**)
Recreation (**605--**)
Joint Activities (**606--**)
NEPP (**607**--)
Water Supply (**608**--)

A Breakdown of Work Category Codes (WCCs) and descriptions under these functions is on the following pages:

WORK CATEGORY CODE: **60110** – Operations for Navigation

WORK CATEGORY DESCRIPTION: Operations of Locks, Dams, Reservoirs, Service Facilities (Buildings, Grounds, Utilities, and Roads, Railroads and Bridges), Permanent Operating Equipment, etc. for navigation features.

Includes all costs for the operation; necessary materials, supplies, equipment and transportation costs associated with operations; associated hired labor and contract support; routine materials and supplies; and other costs:

of lock gates and/or associated equipment; maintaining lock records; removing debris, ice and snow, cleanup of lock facilities; routine adjusting of meters, relays, instruments, radios and regular equipment; lubrication of equipment;

of dam structures and appurtenant equipment such as spillway gates, intake and outlet works, and sluiceways for reservoir regulation; removing and disposing of ice, snow, trash, and debris on or in the vicinity of the dam or dam structures; cleanup of dam structures and facilities; routine testing and adjustment of gauges, meters, instruments, and relays in dam structures; disposal and control of weeds, brush, trees, and aquatic growth in the vicinity of dam structures; and grass cutting on earth-fill dams. Includes all costs for dam safety/failure training of project personnel, preparation of flood emergency plans, dam contingency plans, dam surveillance plans, and provision for technical assistance to local interests concerning dam failure. When this account includes municipal or industrial water delivery

activities, a separate sub-element should be established in CEFMS to record appropriate costs for each such facility for cost allocation purposes;

to perform reservoir inspections and patrols, removal and control of trash and debris (major periodic or one-time removal of growth and debris from the reservoir should be recorded in Work Category Code 61110); minor bank erosion control; minor cleaning of reservoir area for weeds, brush, trees, and aquatic growth; boundary surveillance and routine, recurring maintenance of boundary monumentation at projects without natural resource activities; insect control and elimination of health and safety hazards;

of project-owned permanent facilities such as administration and shop buildings, storage and garage buildings and areas, community buildings, local streets and sidewalks, landscaping, utility facilities such as electric, gas, water, and sewage, all security and protective measures, and permanent roads, including the road across the top of the dam, and parking areas near the dam, railroads, and bridges required for access and other purposes in connection with the operation of a project. It also includes bridges provided as a project feature for the passage of highway and railway traffic over improved channels. Direct costs included are snow and ice removal from project roads, parking areas and walkways; sanding and salting project roads, parking areas and walkways; minor patching, signs, ditch cleaning, culvert cleaning and similar duties; bridge operation; cleanup of project roads, railroads, and bridges. Buildings which house operating machinery and serve other purposes as well are included in this activity, but the costs to operate the machinery are charged to the appropriate Work Categories. Buildings which house specific operating machinery, spare parts, equipment, etc., will be charged to the appropriate Work Categories. This activity includes costs of buildings, grounds and utilities related to the operation of the Los Angeles-Long Beach and San Francisco Bay hydraulic models located in South Pacific Division and it does not include costs associated with recreation facilities and areas which will be included in Work Category Code 60511;

of all tools and equipment, including laboratory, shop, warehousing, communications, surveys, and transportation equipment, office furniture and equipment. Project-owned sedimentation and degradation measuring facilities, rainfall and stream-gauging devices, fixed sand bypassing systems, and like equipment are also included. Includes direct costs of automotive and other equipment. Vehicle accounts will be maintained by group classifications as provided for Revolving Fund vehicles;

for prevention of obstructive and injurious deposits at NAD projects as authorized by the Act approved 29 June 1888, as amended, including all costs for surveillance at harbors, channels, waterfront construction sites, and at overboard ocean dumping sites, costs to administer outstanding enforcement actions on prior noted violations of Federal statutes, and any costs required for ground or aerial surveillance.

WORK CATEGORY CODE: **60121** – Studies and Surveys for the Navigation Function

WORK CATEGORY DESCRIPTION: Studies and Surveys including project condition surveys, dredging studies, etc. for navigation features.

Includes all costs to perform surveys for the purpose of determining elevation, grade and sedimentation conditions in navigation projects, investigation of sunken vessels, and to prepare dredging studies. For program management purposes, all projects with funding requirements (dredging or otherwise) under the Non-deferrable levels should have any needed surveys programmed under the project name. All other surveys should be programmed in aggregation under PWID 14600: Project Condition Surveys. Funding for PWID 14600: Project Condition Surveys, will be adjusted after overall dredging program levels are determined.

WORK CATEGORY CODE: **60122** - Studies and Surveys for Navigation - Major Rehabilitation Evaluation Reports

WORK CATEGORY DESCRIPTION: Major Rehabilitation Evaluation Reports for navigation features.

Includes all costs to initiate new, or continue ongoing, major rehabilitation evaluation reports. Operation and Maintenance (O&M) funds are to be used only until Construction (C) funds are allocated to the project.

WORK CATEGORY CODE: **60123** - Studies and Surveys for Navigation - Environmental Studies and Monitoring for Dredging Purposes

WORK CATEGORY DESCRIPTION: Environmental Studies and Monitoring for Dredging Purposes.

Includes all costs for environmental studies and monitoring for dredging purposes including all costs of study and analysis activities associated with long range environmental activities related to waterways. These activities are needed to ensure that appropriate information and requirements are fulfilled so that E&D for dredging can be completed on a timely basis. Dredged Material Management Plans (DMMPs) are included in this Work Category. Environmental requirements to perform maintenance dredging of Federal channels (e.g. water quality certification, bio-assays, water quality testing, Environmental Impact Statements, and environmental assessments) should also be included in this Work Category.

WORK CATEGORY CODE: **60131** - Instrumentation, Data Collection and Analysis for Dam Safety related to the Navigation Function

WORK CATEGORY DESCRIPTION: Instrumentation for Engineering Analysis and Continuing Evaluation Data Gathering Inspections, and Data Analysis for Dam Safety related to navigation features.

Includes all costs for the operation of instruments in existing dam structures for safety evaluation and all costs of obtaining, analyzing and reporting instrumentation data for purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and vertical movement, stresses and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.

WORK CATEGORY CODE: **60132** - Formal Periodic Inspections and Reports for Dam Safety related to the Navigation Function

WORK CATEGORY DESCRIPTION: Formal Periodic Inspections and Reports for Dam Safety related to navigation features.

Includes all costs related to the scheduled periodic inspections and reporting of projects and bridges needed to meet inspection frequency requirements of ER 1110-2-100 as follows:

(a) Dams, locks and dams, initial and second inspections if funded under O&M General, and high hazard structures.

(b) Public Bridges.
(c) Structures whose failure would be a major loss to the national infrastructure or cause severe economic distress.

(d) Other projects where known conditions warrant inspections at a frequency more often than

normal including revetments, dikes, groins, breakwaters, jetties, seawalls, piers and other similar structures provided in seas, lakes, rivers, canals, exposed tidal waters and harbors.

WORK CATEGORY CODE: **60133** - Dam Safety Assurance Studies related to the Navigation Function

WORK CATEGORY DESCRIPTION: Dam Safety Assurance Studies for Dam Safety related to navigation features.

Includes all costs of reconnaissance studies and special engineering investigations for known or suspected dam safety deficiencies, e.g. seismic evaluations, seepage studies, erosion studies, etc.

WORK CATEGORY CODE: **60141** - Water Management (Control and Quality) Activities for Navigation - Analysis and Studies

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Analysis, Studies and Regulation Instructions for navigation features.

Includes all costs for personnel and space to manage the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current water control/quality plan; all costs to prepare routine regulation instructions and runoff forecasts, coordinate with other agencies and entities, prepare water control manuals, disseminate water control information, training, travel and other associated costs required to make sound water control management decisions; all costs for reservoir and river analyses to improve the quality of water within and downstream from the reservoirs; and all costs related to studies of the means to mitigate water quality problems and studies to determine present and future water quality needs. Also includes all costs for water management studies to improve efficiency or mitigate constraints on approved plans of regulation, annual updating of notification lists, and funds transferred to other agencies and any similar items needed to accomplish this activity. This includes development of the water quality component of water control manuals and daily decisions on multi-level releases and pro-rata share of office and computer facilities and other related costs associated with water management. Included also are costs to calibrate and make operational the forecasting and decision support models within the new Corps Water Management System (CWMS). Costs for data collection are included in Work Category Code 60142.

WORK CATEGORY CODE: **60142** - Water Management (Control and Quality) Activities for Navigation - Operation of Water Control Data Systems

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Operation of Water Control Data Systems including Data Collection for navigation features.
Includes all costs for the operation of equipment, personnel and space to collect and process the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current plan, data collection, and pro-rata share of office and computer facilities and other related costs associated with operations of water management data systems including the new Corps Water Management System (CWMS). Includes all costs to coordinate with other agencies and entities, training, travel, funds transferred to other agencies, and other associated costs required for operation of water management data systems. Costs for purchase and maintenance of new water control data systems equipment are included in Work Category Code 61140.

WORK CATEGORY CODE: **60150** - Real Estate Management for the Navigation Function
WORK CATEGORY DESCRIPTION: Real Estate Management including Compliance, and Utilization

Inspections for navigation features.

Includes all costs, including contractual services, incident to granting to others the use of and performing inspections of property for purposes such as commercial concessions, industrial uses, public park and recreation, quasi-public and group camp use, fish and wildlife habitat management, selected agricultural and grazing uses and reconveyance clauses (restrictions) in deeds. Also includes granting use of and performing inspections of property granted and reserved to others for purposes such as road, street, waterline, powerline, and communication rights-of-way, as well as requests to drill for oil or gas on Government owned property where no oil or gas lease is required, and other uses covered by easements, licenses, and permits. Includes report preparation, determination of compliance after vacation of property subsequent to expiration or revocation of grant, and corrective measures where non-compliance is noted. Also includes appraisals, surveys, mapping, negotiations, preparation and execution of outgrants, renewal, extension, cancellation/termination documents, responses to request for use of real or related personal property, Executive Order surveys and public land withdrawals (applies to the 11 western states). Includes costs of utilization inspections of real property under the control of or subject to a service agreement with the Corps or the Government, and real property accountability, including real property inventory updates and preparation of annual civil-owned property reports (GSA 1166).

WORK CATEGORY CODE: **60160** - Environmental Compliance Management for the Navigation Function

WORK CATEGORY DESCRIPTION: Environmental Compliance Management for navigation features.

Includes all operational costs to comply with applicable Federal environmental laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), EO 13148, and applicable state and local regulations. Includes cost to complete annual environmental compliance assessment (external or internal). Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental assessment manuals. Includes all costs associated with management and oversight of environmental compliance operational activities related to the Navigation function. Includes costs associated with the following activities environmental compliance activities for maintenance shops supporting Navigation; environmental baseline inspection of outgrants and right-of-ways on lands allocated for operations; required personnel environmental training; development and update of required environmental plans for spill prevention, hazard communication, pollution prevention, hazardous material management; storage and handling of petroleum-oil & lubricants. Includes costs associated with implementation and maintaining an Environmental Management System (EMS) which may be cost shared with other functions. Costs include salaries, training, materials, supplies, regulatory fees, drinking water and waste analysis, inspection of waste collection and disposal facilities. Costs associated with medical surveillance and other employee health and safety requirements are not included

WORK CATEGORY CODE: **60170**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60180**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60191** – Facility Security Assessments for Navigation

WORK CATEGORY DESCRIPTION: Facility Security – Assessments, reviews, studies and analyses for navigation features.

Includes all costs to conduct and prepare security risk assessments, reviews, evaluations, studies and analyses for facility security related to criminal and terrorist activities. Includes costs to evaluate threats, consequences and security system effectiveness for navigation features. Also includes costs to prepare or revise Emergency Action Plans and plans to address facility protection and security, training and appropriate coordination with other agencies as they relate to criminal and terrorist activities. Costs for guards and surveillance activities are included in Work Category Code 60192, and costs to acquire, install and maintain structural and physical improvements for security are included in Work Category Code 61190.

WORK CATEGORY CODE: **60192** – Facility Security Guards, Monitoring Activities for Navigation

WORK CATEGORY DESCRIPTION: Facility Security – Guards and Monitoring Activities for navigation features.

Includes all costs for guards and security system monitoring activities including training of personnel for facility security related to criminal and terrorist activities. Costs for assessments are included in Work Category Code 60191, and costs to acquire, install and maintain structural and physical improvements for security are included in Work Category Code 61190.

WORK CATEGORY CODE: **60210** - Operations for Flood Damage Reduction

WORK CATEGORY DESCRIPTION: Operations of Dams, Reservoirs, Levees, Hurricane Barrier Gates, and Other Flood Damage Reduction Non-Dam Structures, Pumping Plants, Service Facilities (Buildings, Grounds, Utilities, and Roads, Railroads and Bridges), Permanent Operating Equipment, etc. for flood damage reduction features.

Includes all costs for the operation; necessary materials, supplies, equipment and transportation costs associated with operations; associated hired labor and contract support; routine materials and supplies; and other costs:

> of dam structures and appurtenant equipment such as spillway gates, intake and outlet works, and sluiceways for reservoir regulation; removing and disposing of ice, snow, trash, and debris on or in the vicinity of the dam or dam structures; cleanup of dam structures and facilities; routine testing and adjustment of gauges, meters, instruments, and relays in dam structures; disposal and control of weeds, brush, trees, and aquatic growth in the vicinity of dam structures; and grass cutting on earth-fill dams. Includes all costs for dam safety/failure training of project personnel, preparation of flood emergency plans, dam contingency plans, dam surveillance plans, and provision for technical assistance to local interests concerning dam failure. When this account includes municipal or industrial water delivery activities, a separate sub-element should be established in CEFMS to record appropriate costs for each such facility for cost allocation purposes;
>
> to perform reservoir inspections and patrols, removal and control of trash and debris (major periodic or one-time removal of growth and debris from the reservoir should be recorded under Work Category Code 61210); minor bank erosion control; minor cleaning of reservoir area for weeds, brush, trees, and aquatic growth; boundary surveillance and routine, recurring

maintenance of boundary monumentation at projects without natural resource activities, insect control and elimination of health and safety hazards;

of levees, hurricane barrier gates, and other gated non-dam flood damage reduction structures; vegetation control on flood damage reduction structures; removal of snow and ice from structures;

of pumping plants, pumps and associated equipment; collecting and maintaining operational records; routine replacement, purification and testing of insulating, lubricating and hydraulic oils; lubricants and lubricating equipment; minor maintenance of electrical equipment, cleaning, testing, and adjustment of motor starters, relays, meters, and similar equipment; minor maintenance and repair of pumps, motors, engines, trash raking equipment, gate hoists, gates, fire fighting, and other equipment required for operation; minor maintenance of buildings, roads, and grounds; removal of debris, ice, and snow;

of project-owned permanent facilities such as administration and shop buildings, storage and garage buildings and areas, community buildings, local streets and sidewalks, landscaping, utility facilities such as electric, gas, water, and sewage, all security and protective measures, and permanent roads, including the road across the top of the dam, and parking areas near the dam, railroads, and bridges required for access and other purposes in connection with the operation of a project. It also includes bridges provided as a project feature for the passage of highway and railway traffic over improved channels. Direct costs included are snow and ice removal from project roads, parking areas and walkways; sanding and salting project roads, parking areas and walkways; minor patching, signs, ditch cleaning, culvert cleaning and similar duties; bridge operation; cleanup of project roads, railroads, and bridges. Buildings which house operating machinery and serve other purposes as well are included in this activity, but the costs to operate the machinery are charged to the appropriate Work Categories. Buildings which house specific operating machinery, spare parts, equipment, etc., will be charged to the appropriate Work Categories. This activity does not include costs associated with recreation facilities and areas which will be included in Work Category Code 60511;

of all tools and equipment, including laboratory, shop, warehousing, communications, surveys, and transportation equipment, office furniture and equipment. Project-owned sedimentation and degradation measuring facilities, rainfall and stream-gauging devices, fixed sand bypassing systems, and like equipment are also included. Includes direct costs of automotive and other equipment. Vehicle accounts will be maintained by group classifications as provided for Revolving Fund vehicles.

Does not include specific Water Supply activities as in the past. Water Supply activities including that required by water supply contracts, collections including delinquencies and the renegotiation of existing water supply contracts are now included in WCCs 60811 and 60812.

WORK CATEGORY CODE: **60221** - Studies and Surveys for the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTION: Non-Navigation Project Condition Studies, including Dredging Studies, for flood damage reduction features.
Includes all costs to prepare reconnaissance reports or studies related to the maintenance and rehabilitation of Civil Works projects such as foundation reports, embankment criteria, O&M manuals, sediment surveys at flood damage reduction projects, surveillance of northern boundary waters, and hydraulic model analyses prior to the engineering and design phase. Does not include Water Supply

reallocation study costs as in the past. Water Supply reallocation study costs are now included in WCC 60820.

WORK CATEGORY CODE: **60222** - Studies and Surveys for Flood Damage Reduction - Major Rehabilitation Evaluation Reports

WORK CATEGORY DESCRIPTION: Major Rehabilitation Evaluation Reports for flood damage reduction features.

Includes all costs to initiate new, or continue ongoing, major rehabilitation evaluation reports. Operation and Maintenance (O&M) funds are to be used only until Construction (C) funds are allocated to the project.

WORK CATEGORY CODE: **60223** – Studies, Surveys and Inspections of Completed Works - Local Protection Projects

WORK CATEGORY DESCRIPTION: Studies, Surveys and Inspections of Local Protection Projects for flood damage reduction features.

Includes all costs related to the inspection of Federally constructed, locally operated and maintained projects to ensure compliance with local cooperative agreements. This Work Category does not include costs for projects covered by PL 84-99. Includes all costs for technical review and approval of sponsor-proposed alterations, improvements, excavation or construction within the limits of the project right-of-way; advice given to sponsors related to the effects of such activities on the function/operation of the project and information on acceptable construction methods; all costs to update O&M Manuals; initial funding of reconnaissance or evaluation reports; and PED for major rehabilitation, dam safety assurance, deficiency correction and reconstruction as applicable until Construction (C) funds are allocated.

WORK CATEGORY CODE: **60231** - Instrumentation, Data Collection and Analysis for Dam Safety related to the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTION: Instrumentation for Engineering Analysis and Continuing Evaluation Data Gathering Inspections, and Data Analysis for Dam Safety related to flood damage reduction features.

Includes all costs for the operation of instruments in existing dam structures for safety evaluation and all costs of obtaining, analyzing and reporting instrumentation data for purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and vertical movement, stresses and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.

WORK CATEGORY CODE: **60232** - Formal Periodic Inspections and Reports for Dam Safety related to the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTION: Formal Periodic Inspections and Reports for Dam Safety related to flood damage reduction features.

Includes all costs related to the scheduled periodic inspections and reporting of projects and bridges needed to meet inspection frequency requirements of ER 1110-2-100 as follows:

(a) Dams, locks and dams, initial and second inspections if funded under O&M General, and high hazard structures.

(b) Public Bridges.

(c) Structures whose failure would be a major loss to the national infrastructure or cause severe economic distress.

(d) Other projects where known conditions warrant inspections at a frequency more often than normal.

WORK CATEGORY CODE: **60233** - Dam Safety Assurance Studies related to the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTION: Dam Safety Assurance Studies for Dam Safety related to flood damage reduction features.

Includes all costs of reconnaissance studies and special engineering investigations for known or suspected dam safety deficiencies, e.g. seismic evaluations, seepage studies, erosion studies, etc.

WORK CATEGORY CODE: **60241** - Water Management (Control and Quality) Activities for Flood Damage Reduction - Analysis and Studies

60241 - Water Management (Control and Quality) Activities for Flood Damage Reduction - Analysis and Studies

Includes all costs for personnel and space to manage the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current water control/quality plan; all costs to prepare routine regulation instructions and runoff forecasts, coordinate with other agencies and entities, prepare water control manuals, disseminate water control information, training, travel and other associated costs required to make sound water control management decisions; all costs for reservoir and river analyses to improve the quality of water within and downstream from the reservoirs; and all costs related to studies of the means to mitigate water quality problems and studies to determine present and future water quality needs. Also includes all costs for water management studies to improve efficiency or mitigate constraints on approved plans of regulation, annual updating of notification lists, and funds transferred to other agencies and any similar items needed to accomplish this activity. This includes development of the water quality component of water control manuals and daily decisions on multi-level releases and pro-rata share of office and computer facilities and other related costs associated with water management. Included also are costs to calibrate and make operational the forecasting and decision support models within the new Corps Water Management System (CWMS). Costs for data collection are included in Work Category Code 60242.

WORK CATEGORY CODE: **60242** - Water Management (Control and Quality) Activities for Flood Damage Reduction - Operation of Water Control Data Systems

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Operation of Water Control Data Systems including Data Collection for flood damage reduction features.
Includes all costs for the operation of equipment, personnel and space to collect and process the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current plan, data collection, and pro-rata share of office and computer facilities and

other related costs associated with operations of water management data systems including the new Corps Water Management System (CWMS). Includes all costs to coordinate with other agencies and entities, training, travel, funds transferred to other agencies, and other associated costs required for operation of water management data systems. Costs for purchase and maintenance of new water control data systems equipment are included in Work Category Code 61240.

WORK CATEGORY CODE: **60250** - Real Estate Management for the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTION: Real Estate Management including Compliance, and Utilization Inspections for flood damage reduction features.

Includes all costs, including contractual services, incident to granting to others the use of and performing inspections of property for purposes such as commercial concessions, industrial uses, public park and recreation, quasi-public and group camp use, fish and wildlife habitat management, selected agricultural and grazing uses and reconveyance clauses (restrictions) in deeds. Also includes granting use of, and performing inspections of property granted and reserved to others for purposes such as road, street, waterline, powerline, and communication rights-of-way, as well as requests to drill for oil or gas on Government owned property where no oil or gas lease is required, and other uses covered by easements, licenses, and permits. Includes report preparation, determination of compliance after vacation of property subsequent to expiration or revocation of grant, and corrective measures where non-compliance is noted. Also includes appraisals, surveys, mapping, negotiations, preparation and execution of outgrants, renewal, extension, cancellation/termination documents, responses to request for use of real or related personal property, Executive Order surveys and public land withdrawals (applies to the 11 western states). Includes costs of utilization inspections of real property under the control of or subject to a service agreement with the Corps or the Government. Includes reconciliation of financial records with flood damage reduction land and mineral lease receipts, andreal property accountability, including real property inventory updates and preparation of annual civil-owned property reports (GSA 1166).

WORK CATEGORY CODE: **60260** - Environmental Compliance Management for the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTION: Environmental Compliance Management for flood damage reduction features.

Includes all operational costs to comply with applicable Federal environmental laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), EO 13148, and applicable state and local regulations. Includes cost to complete annual environmental compliance assessment, external and internal. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental assessment manuals. Includes all costs associated with management and oversight of environmental compliance operational activities related to the Flood Damage Reduction Function. Includes costs associated with the following activities environmental compliance activities for maintenance shops supporting Flood Damage Reduction; environmental baseline inspection of outgrants and right-of-ways on lands allocated for operations; required personnel environmental training; development and update of required environmental plans for spill prevention, hazard communication, pollution prevention, hazardous material management; storage and handling of petroleum-oil & lubricants. Includes costs associated with implementation and maintaining an Environmental Management System (EMS) which may be cost shared with other business

lines. Includes costs associated with implementation and maintaining an Environmental Management System (EMS) which may be cost shared with other functions. Costs include salaries, training, materials, supplies, regulatory fees, drinking water and waste analysis, inspection of waste collection and disposal facilities, and internal and external environmental compliance assessments. Costs associated with medical surveillance and other employee health and safety requirements are not included. This Work Category also includes all costs for the management and curation of Orphan Collections and archeological materials collected from early local protection projects and subsequently turned over to local sponsors for operation and maintenance. All other costs for management and curation of archeological resources are included in Work Category Code 60412.

WORK CATEGORY CODE: **60270**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60280**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60291** – Facility Security Assessments for Flood Damage Reduction

WORK CATEGORY DESCRIPTION: Facility Security – Assessments, reviews, studies and analyses for flood damage reduction features.

Includes all costs to conduct and prepare security risk assessments, reviews, evaluations, studies and analyses for facility security related to criminal and terrorist activities. Includes costs to evaluate threats, consequences and security system effectiveness for flood damage reduction features. Also includes costs to prepare or revise Emergency Action Plans and plans to address facility protection and security, training and appropriate coordination with other agencies as they relate to criminal and terrorist activities. Costs for guards and surveillance activities are included in Work Category Code 60292, and costs to acquire, install and maintain structural and physical improvements for security are included in Work Category Code 61290.

WORK CATEGORY CODE: **60292** – Facility Security Guards, Monitoring Activities for Flood Damage Reduction

WORK CATEGORY DESCRIPTION: Facility Security – Guards and Monitoring Activities for flood damage reduction features.

Includes all costs for guards and security system monitoring activities including training of personnel for facility security related to criminal and terrorist activities. Costs for assessments are included in Work Category Code 60291, and costs to acquire, install and maintain structural and physical improvements for security are included in Work Category Code 61290.

WORK CATEGORY CODE: **60310 (60311-60314)** - Hydropower Operations. Costs for this function will be sub-divided as follows:

> **60311** - Hydropower Operations - Supervision and Engineering, FERC #535. Costs for labor, materials and other expenses incurred in the general supervision of the operation of hydraulic generating stations. Direct supervision of specific activities will be charged to the appropriate accounts;

60312 - Hydropower Operations - Hydraulic Expenses, FERC #537. Costs for labor, materials and other expenses incurred in operating power intake works whether or not the powerhouse is an integral part of the intake dam;

60313 - Hydropower Operations - Electric Expenses, FERC #538. Costs for labor, materials and other expenses incurred in operating turbines, generators, auxiliary apparatus, switchgear and other electric equipment to the point where electricity leaves for transmission by the marketing agency or other project. Keeping plant logs and records, and preparing reports of operation are included herein;

60314 - Hydropower Operations - Miscellaneous Hydraulic Power Generation Expenses, FERC #539. Costs for labor, materials and other expenses not specifically provided for in other power plant operation accounts. Includes costs for custodial and other administrative services.

WORK CATEGORY DESCRIPTION: Operations of Power Plants.

Includes specific costs for the general supervision and engineering associated with the operation; routine materials, supplies, equipment and transportation costs; associated hired labor and contract support; and other costs: :

of power plants including hydraulic generating stations, and their associated power intake structures, turbines, generators, auxiliary apparatus, switchgear, and other electrical or electronic equipment to the point where electricity leaves for transmission by the marketing agency or project. Includes miscellaneous costs such as custodial, administrative services and training power plant trainees including labor. Costs not specific to hydropower will be included in Work Category Code 60610.

WORK CATEGORY CODE: **60320 (60321-60324)** - Studies and Surveys for the Hydropower Function Costs for this function will be sub-divided as follows:

60321 - Studies and Surveys - Supervision and Engineering, FERC #535. Costs for labor, materials and other expenses incurred in the general supervision of the operation of hydraulic generating stations. Direct supervision of specific activities will be charged to the appropriate accounts;

60322 - Studies and Surveys - Hydraulic Expenses, FERC #537. Costs for labor, materials and other expenses incurred in operating power intake works whether or not the powerhouse is an integral part of the intake dam;

60323 - Studies and Surveys - Electric Expenses, FERC #538. Costs for labor, materials and other expenses incurred in operating turbines, generators, auxiliary apparatus, switchgear and other electric equipment to the point where electricity leaves for transmission by the marketing agency or other project;

60324 - Studies and Surveys - Miscellaneous Hydraulic Power Generation Expenses, FERC #539. Costs for labor, materials and other expenses not specifically provided for in other power plant operation accounts.

WORK CATEGORY DESCRIPTION: Studies and Surveys for hydropower features.

Includes all costs to prepare reconnaissance reports or studies related to the maintenance and rehabilitation of hydropower projects such as foundation reports, embankment criteria, O&M manuals, sediment surveys and hydraulic model analyses prior to the engineering and design phase.

WORK CATEGORY CODE: **60325** - Studies and Surveys for Hydropower - Major Rehabilitation Evaluation Reports

WORK CATEGORY DESCRIPTION: Major Rehabilitation Evaluation Reports for hydropower features.

Includes all costs for specific hydropower purposes to initiate new, or continue ongoing, major rehabilitation evaluation reports. Operation and Maintenance (O&M) funds are to be used only until Construction (C) funds are allocated to the project.

WORK CATEGORY CODE: **60331** - Instrumentation, Data Collection and Analysis for Dam Safety related to the Hydropower Function, FERC #537

WORK CATEGORY DESCRIPTION: Instrumentation for Engineering Analysis and Continuing Evaluation Data Gathering Inspections, and Data Analysis for Dam Safety related to hydropower features.

Includes all specific costs for the operation of instruments in existing dam structures for safety evaluation and all costs of obtaining, analyzing and reporting instrumentation data for purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and vertical movement, stresses and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.

WORK CATEGORY CODE: **60332** - Formal Periodic Inspections and Reports for Dam Safety related to Hydropower Activities, FERC #537

WORK CATEGORY DESCRIPTION: Formal Periodic Inspections and Reports for Dam Safety related to hydropower features.

Includes all specific costs related to the scheduled periodic inspections and reporting of projects and bridges needed to meet inspection frequency requirements of ER 1110-2-100 as follows:

(a) Dams, locks and dams, initial and second inspections if funded under O&M General, and high hazard structures.

(b) Public Bridges.

(c) Structures whose failure would be a major loss to the national infrastructure or cause severe economic distress.

(d) Other projects where known conditions warrant inspections at a frequency more often than normal.

WORK CATEGORY CODE: **60333** - Dam Safety Assurance Studies related to the Hydropower Function, FERC #537

WORK CATEGORY DESCRIPTION: Dam Safety Assurance Studies for Dam Safety activities related to hydropower features.

Includes all specific costs of reconnaissance studies and special engineering investigations for known or suspected dam safety deficiencies, e.g. seismic evaluations, seepage studies, erosion studies, etc.

WORK CATEGORY CODE: **60341** - Water Management (Control and Quality) Activities for Hydropower - Analysis and Studies, FERC #537

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Analysis, Studies and Regulation Instructions for hydropower features.

Includes all costs for personnel and space to manage the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current water control/quality plan; all costs to prepare routine regulation instructions and runoff forecasts, coordinate with other agencies and entities, prepare water control manuals, disseminate water control information, training, travel and other associated costs required to make sound water control management decisions; all costs for reservoir and river analyses to improve the quality of water within and downstream from the reservoirs; and all costs related to studies of the means to mitigate water quality problems and studies to determine present and future water quality needs. Also includes all costs for water management studies to improve efficiency or mitigate constraints on approved plans of regulation, annual updating of notification lists, and funds transferred to other agencies and any similar items needed to accomplish this activity. This includes development of the water quality component of water control manuals and daily decisions on multi-level releases and pro-rata share of office and computer facilities and other related costs associated with water management. Included also are costs to calibrate and make operational the forecasting and decision support models within the new Corps Water Management System (CWMS). Costs for data collection are included in Work Category Code 60342.

WORK CATEGORY CODE: **60342** - Water Management (Control and Quality) Activities for Hydropower - Operation of Water Control Data Systems, FERC #537

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Operation of Water Control Data Systems including Data Collection for hydropower features.

Includes all costs for the operation of equipment, personnel and space to collect and process the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current plan, data collection, and pro-rata share of office and computer facilities and other related costs associated with operations of water management data systems including the new Corps Water Management System (CWMS). Includes all costs to coordinate with other agencies and entities, training, travel, funds transferred to other agencies and other associated costs required for operation of water management data systems. Costs for purchase and maintenance of new water control data systems equipment are included in Work Category Code 61340.

WORK CATEGORY CODE: **60350** - Real Estate Management for the Hydropower Function, FERC #537

WORK CATEGORY DESCRIPTION: Real Estate Management including Compliance, and Utilization Inspections for hydropower features.

Includes all costs, including contractual services, incident to granting to others the use of and performing inspections of property for purposes such as commercial concessions, industrial uses, public park and recreation, quasi-public and group camp use, fish and wildlife habitat management, selected agricultural and grazing uses and reconveyance clauses (restrictions) in deeds. Also includes granting use of and

performing inspections of property granted and reserved to others for purposes such as road, street, waterline, powerline, and communication rights-of-way, as well as requests to drill for oil or gas on Government owned property where no oil or gas lease is required, and other uses covered by easements, licenses, and permits. Includes report preparation, determination of compliance after vacation of property subsequent to expiration or revocation of grant, and corrective measures where non-compliance is noted. Also includes appraisals, surveys, mapping, negotiations, preparation and execution of outgrants, renewal, extension, cancellation/termination documents, responses to request for use of real or related personal property, Executive Order surveys and public land withdrawals (applies to the 11 western states). Includes costs of utilization inspections of real property under the control of or subject to a service agreement with the Corps or the Government, and real property accountability, including real property inventory updates and preparation of annual civil-owned property reports (GSA 1166).

WORK CATEGORY CODE: **60360** - Environmental Compliance Management for the Hydropower Function, FERC #539

WORK CATEGORY DESCRIPTION: Environmental Compliance Management for hydropower features.

Includes all operational costs to comply with applicable Federal environmental laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), EO 13148, and applicable state and local regulations. Includes cost to complete annual environmental compliance assessment, external and internal. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental assessment manuals. Includes all costs associated with management and oversight of environmental compliance operational activities. related to the Hydropower function. Includes costs associated with implementation and maintaining and Environmental Management System (EMS). Costs include salaries, training, materials, supplies, regulatory fees, drinking water and waste analysis, inspection of waste collection and disposal facilities, and internal and external environmental compliance assessments. Costs associated with medical surveillance and other employee health and safety requirements are not included.

WORK CATEGORY CODE: **60370**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60380**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60391** – Facility Security Assessments for Hydropower

WORK CATEGORY DESCRIPTION: Facility Security – Assessments, reviews, studies and analyses for hydropower features.

Includes all costs to conduct and prepare security risk assessments, reviews, evaluations, studies and analyses for facility security related to criminal and terrorist activities. Includes costs to evaluate threats, consequences and security system effectiveness for hydropower features. Also includes costs to prepare or revise Emergency Action Plans and plans to address facility protection and security, training and appropriate coordination with other agencies as they relate to criminal and terrorist activities. Costs for guards and surveillance activities are included in Work Category Code 60392, and costs to acquire, install

and maintain structural and physical improvements for security are included in Work Category Code 61390.

WORK CATEGORY CODE: **60392** – Facility Security Guards, Monitoring Activities for Hydropower

WORK CATEGORY DESCRIPTION: Facility Security – Guards and Monitoring Activities for hydropower features.

Includes all costs for guards and security system monitoring activities including training of personnel for facility security related to criminal and terrorist activities. Costs for assessments are included in Work Category Code 60391, and costs to acquire, install and maintain structural and physical improvements for security are included in Work Category Code 61390.

WORK CATEGORY CODE: **60411** - Management of Natural Resources

WORK CATEGORY DESCRIPTION: Management of Natural Resources and Operational Management Plans.

Includes all costs for the management and operations;

of natural resources including the conservation and protection of soil, water, wetland, forest, vegetation, Federally listed endangered and threatened species, waterfowl, fish and wildlife, grasslands and range, and other resources essential to the total management of specific projects;; salaries, equipment, supplies; managing areas under license or outlease, spawning beds, fish shelters, fish and waterfowl impoundments; conducting reforestation activities, timber salvage, timber trespass surveillance, timber cruising, stand improvement, and haul road maintenance; conduct vegetation plantings, prescribed burning, fertilization, maintain riparian vegetation, establishing wildlife food plots, manipulating vegetation; conducting wildlife habitat preservation management or improvement activities; forestry and range management; establishing firelanes and conducting fire prevention; managing trails and off-road vehicles; erosion control; conducting citation authority programs outside developed recreation areas; conducting interpretive programs; and boundary surveillance and routine, recurring maintenance of boundary monumentation. This Work Category excludes costs associated with fish hatcheries and fish passage. Also, natural resources activities conducted for the enhancement of recreation areas will be charged to Work Category Code 60511;

of Operational Management Plans, including all costs for salaries, supplies and materials, and equipment related to the preparation and updating of Operational Management Plans and supplements. Charges may include field units that perform data collection and analysis.

WORK CATEGORY CODE: **60412** - Management and Curation of Archeological and Cultural Resources

WORK CATEGORY DESCRIPTION: Management and Curation of Archeological and Cultural Resources.

Includes all costs for the management and operations of archeological and cultural resources including identification, surveillance, studies, literature searches, reconnaissance surveys, inventory, subsurface testing, development and update of management plans for historical, archaeological and cultural resources, outreach, educational and Native people programs, operations activities associated with identified historical, archaeological and cultural resources, and enforcement of Title 36 Code of Federal

Regulations, the National Historic Preservation Act of 1966, the Archeological Resources Protection Act of 1979 and other applicable laws and regulations. Costs for Orphan Collections are included in Work Category Code 60260.

WORK CATEGORY CODE: **60413** - Management of Wildlife Mitigation Features

WORK CATEGORY DESCRIPTION: Management of Wildlife Mitigation Features.

Includes all costs for the management and operations of wildlife mitigation activities including costs to comply with Federal laws and mitigation requirements to offset losses caused by existing and new project activities. This Work Category does not include acquisition costs.

WORK CATEGORY CODE: **60414** - Fisheries Management - Operation of Fish Hatcheries

WORK CATEGORY DESCRIPTION: Fisheries Management – Operation of Fish Hatcheries.

Includes all costs for salaries, equipment, supplies and all costs associated with the operation, of fish hatcheries, egg collecting stations and related facilities for provision of fish propagation. It excludes fisheries development activities included in Work Category Code 60411.

WORK CATEGORY CODE: **60415** - Fisheries Management - Fish Hauling Activities and Fish Passage Structures

WORK CATEGORY DESCRIPTION: Fisheries Management - Fish Hauling Activities and Fish Passage Structures.

Includes all costs associated with operation of facilities and equipment for collecting, trapping, transportation and passage of fish at dams and navigation facilities. Facilities include ladders, nets, elevators and locks. It excludes fisheries development activities included in Work Category Code 60411.

WORK CATEGORY CODE: **60416** - Comprehensive Master Plans

WORK CATEGORY DESCRIPTION: Preparation and Updating of Comprehensive Master Plans and Master Plan Supplementals.

Includes all costs to initiate new, or continue ongoing, comprehensive Master Plans, including all costs for salaries, supplies and materials, and equipment related to the preparation and updating of Master Plans and Master Plan Supplements. Charges may include field units that perform data collection and analysis.

WORK CATEGORY CODE: **60417** – Shoreline Management

WORK CATEGORY DESCRIPTION: Shoreline Management
Includes all costs associated with managing permits issued under authority of Title 36 CFR, the Shoreline management Program. Includes costs for salaries, contracts, supplies, materials and equipment.

WORK CATEGORY CODE: **60418** – Management of Special Status Species

WORK CATEGORY DESCRIPTION: Management of Special Status Species

Includes all costs for management and operations to support special status species. Includes costs for

salaries, contracts, supplies, materials, and equipment to manage the conservation and recovery of special status species such as Federally or state listed endangered, threatened, rare or sensitive species, including activities in areas under license or outlease. Includes activities to determine and document the state or condition of a resource or population (e.g. surveys, inventories); activities to increase understanding and appreciation of special status species such as interpretive programs, signs, interpretive trails, surveillance activities, GPS/GIS mapping, marking populations boundaries and exclusion zones. Also includes costs to prepare or update Management Plans for Special Status Species, such as data collection and analysis, plan development, review and coordination.

WORK CATEGORY CODE: **60419** – Pest Management

WORK CATEGORY DESCRIPTION: Pest Management

Includes all costs for management and operations to support integrated pest management activities. Includes costs of salaries, contracts, supplies, materials, and equipment to control pests, eradicate invasive exotic species, control noxious weeds, and perform predator control. Includes activities undertaken to determine the state or condition of a resource or population impacted by pests, and activities to increase understanding and appreciation of pest management activities.

WORK CATEGORY CODE: **60421** – Studies, Surveys and Inventories for the Environmental Stewardship Function

WORK CATEGORY DESCRIPTION: Natural Resources Studies, Surveys and Inventories for environmental stewardship features, including Fisheries and Wildlife Development Activities.

Includes all costs of fish and wildlife studies, including fish hauling and passage analyses to meet mitigation requirements to support long-range development and modification of existing structures, applicable to a specific project and pro rata share of basin-wide fish and wildlife studies; inventorying the natural resources base; conducting surveys of fish and wildlife; performing population dynamics and other studies; and of archeological and cultural resources including identification, surveillance, studies, literature searches, reconnaissance surveys, indexing, inventory, testing, development and update of management plans for historical, archaeological and cultural resources, including costs of operations activities associated with identified historical, archaeological and cultural resources. These costs were formerly included in WCC 60420.

WORK CATEGORY CODE: **60422** – Studies, Surveys and Inspections of Completed Works - Ecosystem Restoration

WORK CATEGORY DESCRIPTION: Studies, Surveys and Inspections of Ecosystem Restoration Features at Completed Projects Operated by Others.

Includes all costs related to the inspection of Federally constructed, locally operated and maintained projects to ensure compliance with Project Cooperative Agreements. Includes inspection of ecosystem restoration features, observations regarding compliance with any access or easement restrictions, and minimal documentation of the condition of the ecosystem. Includes all costs for technical review and approval of sponsor-proposed alterations, improvements, excavation or construction within the project boundaries; advice given to sponsors related to the effects of such activities on the function/operation of the project and information on acceptable construction methods; all costs to update O&M Manuals; initial funding of reconnaissance or evaluation reports; PED for deficiency correction and reconstruction as applicable until Construction (C) funds are allocated.

WORK CATEGORY CODE: **60430**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60441** - Water Management (Control and Quality) Activities for Environmental Stewardship - Analysis and Studies

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Analysis, Studies and Regulation Instructions for environmental stewardship features.

Includes all costs for personnel and space to manage the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current water control/quality plan; all costs to prepare routine regulation instructions and runoff forecasts, coordinate with other agencies and entities, prepare water control manuals, disseminate water control information, training, travel and other associated costs required to make sound water control management decisions; all costs for reservoir and river analyses to improve the quality of water within and downstream from the reservoirs; and all costs related to studies of the means to mitigate water quality problems and studies to determine present and future water quality needs. Also includes all costs for water management studies to improve efficiency or mitigate constraints on approved plans of regulation, annual updating of notification lists, and funds transferred to other agencies and any similar items needed to accomplish this activity. This includes development of the water quality component of water control manuals and daily decisions on multi-level releases and pro-rata share of office and computer facilities and other related costs associated with water management. Included also are costs to calibrate and make operational the forecasting and decision support models within the new Corps Water Management System (CWMS). Costs for data collection are included in Work Category Code 60442.

WORK CATEGORY CODE: **60442** - Water Management (Control and Quality) Activities for Environmental Stewardship - Operation of Water Control Data Systems

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Operation of Water Control Data Systems including Data Collection for environmental stewardship features.

Includes all costs for the operation of equipment, personnel and space to collect and process the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current plan, data collection, and pro-rata share of office and computer facilities and other related costs associated with operations of water management data systems including the new Corps Water Management System (CWMS). Includes all costs to coordinate with other agencies and entities, training, travel, funds transferred to other agencies and other associated costs required for operation of water management data systems. Costs for purchase and maintenance of new water control data systems equipment are included in Work Category Code 61440.

WORK CATEGORY CODE: **60450** - Real Estate Management for the Environmental Stewardship Function

WORK CATEGORY DESCRIPTION: Real Estate Management including Compliance, and Utilization Inspections for environmental stewardship features.

Includes all costs, including contractual services, incident to granting to others the use of and performing inspections of property for purposes such as commercial concessions, industrial uses, public park and

recreation, quasi-public and group camp use, fish and wildlife habitat management, selected agricultural and grazing uses and reconveyance clauses (restrictions) in deeds. Also includes granting use of and performing inspections of property granted and reserved to others for purposes such as road, street, waterline, powerline, and communication rights-of-way, as well as requests to drill for oil or gas on Government owned property where no oil or gas lease is required, and other uses covered by easements, licenses, and permits. Includes report preparation, determination of compliance after vacation of property subsequent to expiration or revocation of grant, and corrective measures where non-compliance is noted. Also includes appraisals, surveys, mapping, negotiations, preparation and execution of outgrants, renewal, extension, cancellation/termination documents, responses to request for use of real or related personal property, Executive Order surveys and public land withdrawals (applies to the 11 western states). Includes costs of utilization inspections of real property under the control of or subject to a service agreement with the Corps or the Government, and real property accountability, including real property inventory updates and preparation of annual civil-owned property reports (GSA 1166).

WORK CATEGORY CODE: **60460** - Environmental Compliance Management for the Environmental Stewardship Function

WORK CATEGORY DESCRIPTION: Environmental Compliance Management for environmental stewardship features.

Includes all Environment Stewardship operational costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, Comprehensive Environmental Response, Compensation,and Liability Act (CERCLA), EO 13148, and applicable state and local regulations as they relate to the management of natural resources. Includes cost to complete portions of annual external or internal environmental compliance assessment that are related to natural features or lands managed for fish and wildlife in accordance with Federal, DOD and Corps of Engineers requirements as described in the ERGO/TEAM environmental assessment manuals. Environmental compliance and inspections associated with Recreation such as concession inspections, visitor center inspections, maintenance shops that service recreation areas, marina inspections shall be charged to 60560. Cost associated with compliance and inspections for facilities associated with dam operations, levee works, pump station or maintenance areas that serve these functions shall be charged to 60560. Costs associated with medical surveillance and other employee health and safety requirements are not included.

WORK CATEGORY CODE: **60470**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60480**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60491** – Facility Security Assessments for Environmental Stewardship

WORK CATEGORY DESCRIPTION: Facility Security – Assessments, reviews, studies and analyses for environmental stewardship features.

Includes all costs to conduct and prepare security risk assessments, reviews, evaluations, studies and analyses for facility security related to criminal and terrorist activities. Includes costs to evaluate threats, consequences and security system effectiveness for environmental stewardship features. Also includes costs to prepare or revise Emergency Action Plans and plans to address facility protection and security, training and appropriate coordination with other agencies as they relate to criminal and terrorist activities. Costs for guards and surveillance activities are included in Work Category Code 60492, and costs to acquire, install and maintain structural and physical improvements for security are included in Work Category Code 61490.

WORK CATEGORY CODE: **60492** – Facility Security Guards, Monitoring Activities for Environmental Stewardship

WORK CATEGORY DESCRIPTION: Facility Security – Guards and Monitoring Activities for environmental stewardship features.

Includes all costs for guards and security system monitoring activities including training of personnel for facility security related to criminal and terrorist activities. Costs for assessments are included in Work Category Code 60491, and costs to acquire, install and maintain structural and physical improvements for security are included in Work Category Code 61490.

WORK CATEGORY CODE: **60511** - Operations for the Recreation Function

WORK CATEGORY DESCRIPTION: Operations and Management of Recreation Areas and Facilities, Service Facilities (Buildings, Grounds, Utilities, and Roads, Railroads and Bridges), Permanent Operating Equipment, etc. for recreation features.

Includes all costs for the management and operation; necessary materials, supplies, equipment, transportation and rental costs associated with operations; associated hired labor and contract support; routine materials and supplies; and other costs:

> of recreation areas and facilities including all costs for salaries, per diem, travel, signs collecting and administering user fees, brochures, maps, participation in public and special events and exhibitions, costs of trash removal, cleanup, mowing, and gate or park attendants. Also includes operations costs for buildings, grounds, landscaping, removal of hazardous trees, control of vegetation, roads, bridges, parking areas, grills, tables, trails, playgrounds and permanent operating equipment utilized for recreation purposes;

to perform reservoir inspections and patrols for recreation purposes;

of project-owned permanent facilities for recreation purposes;

of all tools and permanent operating equipment including direct costs of automotive and other equipment assigned to the recreation function. Vehicle accounts will be maintained by group classifications as provided for Revolving Fund vehicles.

Costs previously included in 60512, Operations and Management for the Recreation Function using Special Recreation Users Fee (SRUF) Funds, should be included here.

Costs previously included here for Visitor Centers operations and management should now be included in Work Category Code 60514.

WORK CATEGORY CODE:
60513 - Operations for the Recreation Function - Law Enforcement Agreements

WORK CATEGORY DESCRIPTION: Operations for recreation features - Costs and Supervision of Law Enforcement Agreements.

Includes all costs for cooperative agreements for law enforcement with states and their political subdivisions under PL 94-587, and all costs for technical and administrative charges, including project and district costs for administration of law enforcement agreements and activities.

WORK CATEGORY CODE: **60514** – Operation/management of Visitor Centers

WORK CATEGORY DESCRIPTION: Operations and Management of Visitors Centers.
Includes all costs for the management and operation; necessary materials, supplies, equipment, transportation and rental costs associated with operations; associated hired labor and contract support; routine materials and supplies; and other costs of visitor centers. Includes all costs associated with visitor center operations, such as all personnel costs, custodial duties, supporting costs of cooperating associations, snow, ice and debris removal, lawn and shrubbery maintenance, landscaping, utilities, exhibits, grounds, heating and cooling systems, audio visual programs, building material, and equipment costs. These costs were formerly included in WCC 60511

WORK CATEGORY CODE: **60520** - Studies and Surveys for the Recreation Function

WORK CATEGORY DESCRIPTION: Studies and Surveys for recreation features.

Includes all costs to prepare visitor surveys, reports or studies related to the operation, maintenance and rehabilitation of recreation facilities.

WORK CATEGORY CODE: **60530**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60541** - Water Management (Control and Quality) Activities for Recreation - Analysis and Studies

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Analysis, Studies and Regulation Instructions for recreation features.

Includes all costs for personnel and space to manage the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current water control/quality plan; all costs to prepare routine regulation instructions and runoff forecasts, coordinate with other agencies and entities, prepare water control manuals, disseminate water control information, training, travel and other associated costs required to make sound water control management decisions; all costs for reservoir and river analyses to improve the quality of water within and downstream from the reservoirs; and all costs related to studies of the means to mitigate water quality problems and studies to determine present and future water quality needs. Also includes all costs for water management studies to improve efficiency or mitigate constraints on approved plans of regulation, annual updating of notification lists, and funds transferred to other agencies and any similar items needed to accomplish this activity. This includes development of the water quality component of water control manuals and daily decisions on multi-level releases and pro-rata share of office and computer facilities and other related costs associated with water management. Included also are costs to calibrate and make operational the forecasting and decision support models within the new Corps Water Management System (CWMS). Costs for data collection are included in Work Category Code 60542.

WORK CATEGORY CODE: **60542** - Water Management (Control and Quality) Activities for Recreation - Operation of Water Control Data Systems

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Operation of Water Control Data Systems including Data Collection for recreation features.

Includes all costs for the operation of equipment, personnel and space to collect and process the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current plan, data collection, and pro-rata share of office and computer facilities and other related costs associated with operations of water management data systems including the new Corps Water Management System (CWMS). Includes all costs to coordinate with other agencies and entities, training, travel, funds transferred to other agencies and other associated costs required for operation of water management data systems. Costs for purchase and maintenance of new water control data systems equipment are included in Work Category Code 61540.

WORK CATEGORY CODE: **60550** - Real Estate Management for the Recreation Function

WORK CATEGORY DESCRIPTION: Real Estate Management including Compliance, and Utilization Inspections for recreation features.

Includes all costs, including contractual services, incident to granting to others the use of and performing inspections of property used for recreational purposes such as commercial concessions, public park and recreation, quasi-public and group camps. Also includes granting use of and performing inspections of property granted and reserved to others for purposes such as road, street, waterline, power line, and communication rights-of-way and other uses covered by easement, licenses, and permits that impact the recreational features of a project. Includes report preparation, determination of compliance after vacation of property subsequent to expiration or revocation of grant, and corrective measures where non-compliance is noted. Also includes appraisals, surveys, mapping, negotiations, preparation and execution of outgrant's, renewal, extension, cancellation/termination documents, responses to request for use of real or related personal property, Executive Order surveys and public land withdrawals (applies to

the 11 western states) on lands that support the recreational features of a project. Includes costs of utilization inspections of real property used for recreation under the control of or subject to a service agreement with the Corps of the Government and real property accountability, including real property inventory updates and preparation of annual civil-owned property reports (GSA 1166) for lands that support the recreation program of a project.

WORK CATEGORY CODE: **60550** - Real Estate Management for the Recreation Function

WORK CATEGORY DESCRIPTION: Real Estate Management including Compliance, and Utilization Inspections for recreation features.

Includes all costs, including contractual services, incident to granting to others the use of and performing inspections of property for purposes such as commercial concessions, industrial uses, public park and recreation, quasi-public and group camp use, fish and wildlife habitat management, selected agricultural and grazing uses and reconveyance clauses (restrictions) in deeds. Also includes granting use of and performing inspections of property granted and reserved to others for purposes such as road, street, waterline, powerline, and communication rights-of-way, as well as requests to drill for oil or gas on Government owned property where no oil or gas lease is required,
and other uses covered by easements, licenses, and permits. Includes report preparation, determination of compliance after vacation of property subsequent to expiration or revocation of grant, and corrective measures where non-compliance is noted. Also includes appraisals, surveys, mapping, negotiations, preparation and execution of outgrants, renewal, extension, cancellation/termination documents, responses to request for use of real or related personal property, Executive Order surveys and public land withdrawals (applies to the 11 western states). Includes costs of utilization inspections of real property under the control of or subject to a service agreement with the Corps or the Government and real property accountability, including real property inventory updates and preparation of annual civil-owned property reports (GSA 1166).

WORK CATEGORY CODE: **60560** - Environmental Compliance Management for the Recreation Function

WORK CATEGORY DESCRIPTION: Environmental Compliance Management for recreation features.

WORK CATEGORY DESCRIPTION: Environmental Compliance Management for Recreation features. Includes all Recreational operational costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), EO 13148, and applicable state and local regulations for recreation facilities and visitor centers. Includes cost to complete annual environmental compliance assessment, external and internal as inspections and findings related to recreational activities and in accordance with Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental assessment manuals. Includes all costs associated with management and oversight of environmental compliance for recreation operations activities such as maintenance shops that support recreation, inspection of outgrants and concessions such as marinas, personnel training and management plans in spill prevention, hazard communication, pollution prevention, hazardous material, water resources, storage and handling of oil and pesticide management that support recreational activities. Includes costs associated with implementing and maintaining an Environmental Management System (EMS) for the recreational activities and support facilities (may be cost shared with other functions). Costs include salaries, training, materials, supplies, regulatory fees, drinking water and waste analysis, inspection of waste collection and disposal facilities, and internal and external environmental

compliance assessments. Costs associated with medical surveillance and other employee health and safety requirements are not included.

WORK CATEGORY CODE: **60570**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60580**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60591** – Facility Security Assessments for Recreation

WORK CATEGORY DESCRIPTION: Facility Security – Assessments, reviews, studies and analyses for recreation features.

Includes all costs to conduct and prepare security risk assessments, reviews, evaluations, studies and analyses for facility security related to criminal and terrorist activities. Includes costs to evaluate threats, consequences and security system effectiveness for recreation features. Also includes costs to prepare or revise Emergency Action Plans and plans to address facility protection and security, training and appropriate coordination with other agencies as they relate to criminal and terrorist activities. Costs for guards and surveillance activities are included in Work Category Code 60592, and costs to acquire, install and maintain structural and physical improvements for security are included in Work Category Code 61590.

WORK CATEGORY CODE: **60592** – Facility Security Guards, Monitoring Activities for Recreation

WORK CATEGORY DESCRIPTION: Facility Security – Guards and Monitoring Activities for recreation features.

Includes all costs for guards and security system monitoring activities including training of personnel for facility security related to criminal and terrorist activities. Costs for assessments are included in Work Category Code 60591, and costs to acquire, install and maintain structural and physical improvements for security are included in Work Category Code 61590.

WORK CATEGORY CODE: **60610** - Joint Activities for Operations, FERC #535, #537, #538 and #539

WORK CATEGORY DESCRIPTION: Joint costs for Operations activities NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply. These activities may include the operation of Dams, Reservoirs, Levees, Other Non-Dam Multi-purpose Structures, Pumping Plants, Service Facilities (Buildings, Grounds, Utilities, and Roads, Railroads and Bridges), gates, conduits, Permanent Operating Equipment, etc.

Includes all joint costs for the operation routine materials, supplies, equipment and transportation costs; hired labor and contract support associated with operations; and other costs:

> of dam structures and appurtenant equipment such as spillway gates, intake and outlet works, and sluiceways for reservoir regulation; removing and disposing of ice, snow, trash, and debris on

or in the vicinity of the dam or dam structures; cleanup of dam structures and facilities; routine testing and adjustment of gauges, meters, instruments, and relays in dam structures; disposal and control of weeds, brush, trees, and aquatic growth in the vicinity of dam structures; and grass cutting on earth-fill dams. Includes costs for dam safety/failure training of project personnel, preparation of flood emergency plans, dam contingency plans, dam surveillance plans, and provision for technical assistance to local interests concerning dam failure. When this account includes municipal or industrial water delivery activities, a separate sub-element should be established in CEFMS to record appropriate costs for each such facility for cost allocation purposes;

to perform reservoir inspections and patrols, removal and control of trash and debris (excluding major periodic or one-time removal of growth and debris from the reservoir which should be included in maintenance accounts); minor bank erosion control; minor cleaning of reservoir area for weeds, brush, trees, and aquatic growth; boundary surveillance and routine, recurring maintenance of boundary monumentation at projects without natural resource activities, insect control and elimination of health and safety hazards;

of levees and other non-dam multi-purpose structures; vegetation control, removal of snow and ice from multi-purpose structures;

of pumping plants, pumps and associated equipment; collecting and maintaining operational records; routine replacement, purification and testing of insulating, lubricating and hydraulic oils; lubricants and lubricating equipment; minor maintenance of electrical equipment, cleaning, testing, and adjustment of motor starters, relays, meters, and similar equipment; minor maintenance of pumps, motors, engines, trash raking equipment, gate hoists, gates, fire fighting, and other equipment required for operation; minor maintenance of buildings, roads, and grounds; removal of debris, ice, and snow;

of project-owned permanent facilities such as administration and shop buildings, storage and garage buildings and areas, community buildings, local streets and sidewalks, landscaping, utility facilities such as electric, gas, water, and sewage, all security and protective measures, and permanent roads, including the road across the top of the dam, and parking areas near the dam, railroads, and bridges required for access and other purposes in connection with the operation of a project. It also includes bridges provided as a project feature for the passage of highway and railway traffic over improved channels. Direct costs included are snow and ice removal from project roads, parking areas and walkways; sanding and salting project roads, parking areas and walkways; minor patching, signs, ditch cleaning, culvert cleaning and similar duties; bridge operation; cleanup of project roads, railroads, and bridges. Where space in other basic structures, such as a dam or powerhouse, is used in lieu of any above mentioned facilities, such allocated space is not separated from the basic structure. Buildings which house operating machinery and serve other purposes as well are included in this activity, but the costs to operate the machinery is charged to the appropriate Work Categories. Buildings which house specific operating machinery, spare parts, equipment, etc., will be charged to the appropriate Work Categories;
of all tools and equipment, including laboratory, shop, warehousing, communications, surveys, and transportation equipment, office furniture and equipment. Project owned sedimentation and degradation measuring facilities, rainfall and stream-gauging devices, fixed sand bypassing systems, and like equipment are also included. Includes direct costs of automotive and other equipment not assigned to specific features. Vehicle accounts will be maintained by group classifications as provided for Revolving Fund vehicles. Operating costs of permanent equipment

assigned to specific functions will be charged to those functions.

WORK CATEGORY CODE: **60621** - Joint Activities for Studies and Surveys, FERC #535, #537, #538 and #539

WORK CATEGORY DESCRIPTION: Joint costs for Studies and Surveys including project condition surveys, dredging studies, etc. NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs to perform studies or surveys for multi-purpose projects including sedimentation conditions and dredging studies.

WORK CATEGORY CODE: **60622** - Joint Activities for Studies and Surveys - Major Rehabilitation Evaluation Reports, FERC #537

WORK CATEGORY DESCRIPTION: Joint costs for Studies and Surveys - Major Rehabilitation Evaluation Reports NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs for major rehabilitation evaluation reports. Operation and Maintenance (O&M) funds are to be used only until Construction (C) funds are allocated to the project.

WORK CATEGORY CODE: **60631** - Joint Activities for Instrumentation, Data Collection and Analysis for Dam Safety, FERC #537

WORK CATEGORY DESCRIPTION: Joint costs of Instrumentation for Engineering Analysis and Continuing Evaluation Data Gathering Inspections, and Data Analysis for Dam Safety NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs for the operation of instruments in existing dam structures for safety evaluation and all costs of obtaining, analyzing and reporting instrumentation data for purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and vertical movement, stresses and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.

WORK CATEGORY CODE: **60632** - Joint Activities for Formal Periodic Inspections and Reports for Dam Safety, FERC #537

WORK CATEGORY DESCRIPTION: Joint costs for Formal Periodic Inspections and Reports for Dam Safety NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs related to the scheduled periodic inspections and reporting of projects and bridges needed to meet inspection frequency requirements of ER 1110-2-100 as follows:

(a) Dams, locks and dams, initial and second inspections if funded under O&M General, and high hazard structures.

(b) Public Bridges.

(c) Structures whose failure would be a major loss to the national infrastructure or cause severe

economic distress.

(d) Other projects where known conditions warrant inspections at a frequency more often than normal.

WORK CATEGORY CODE: **60633** - Joint Activities for Dam Safety Assurance Studies, FERC #537

WORK CATEGORY DESCRIPTION: Joint costs for Dam Safety Assurance Studies NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs of reconnaissance studies and special engineering investigations for known or suspected dam safety deficiencies, e.g. seismic evaluations, seepage studies, erosion studies, etc.

WORK CATEGORY CODE: **60641** - Joint Activities for Water Management (Control and Quality) - Analysis and Studies, FERC #537

WORK CATEGORY DESCRIPTION: Joint costs for Water Management (Control and Quality) Activities - Analysis, Studies and Regulation Instructions NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs for personnel and space to manage the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current water control/quality plan; costs to prepare routine regulation instructions and runoff forecasts, coordinate with other agencies and entities, prepare water control manuals, disseminate water control information, training, travel and other associated costs required to make sound water control management decisions; costs for reservoir and river analyses to improve the quality of water within and downstream from the reservoirs; and costs related to studies of the means to mitigate water quality problems and studies to determine present and future water quality needs. Also includes costs for water management studies to improve efficiency or mitigate constraints on approved plans of regulation, annual updating of notification lists, and funds transferred to other agencies and any similar items needed to accomplish this activity. This includes development of the water quality component of water control manuals and daily decisions on multi-level releases and pro-rata share of office and computer facilities and other related costs associated with water management . Included also are costs to calibrate and make operational the forecasting and decision support models within the new Corps Water Management System (CWMS). Joint costs for data collection are included in Work Category Code 60642.

WORK CATEGORY CODE: **60642** - Joint Activities for Water Management (Control and Quality) - Operation of Water Control Data Systems, FERC #537

WORK CATEGORY DESCRIPTION: Joint costs for Water Management (Control and Quality) Activities - Operation of Water Control Data Systems NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs for the operation of equipment, personnel and space to collect and process the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current plan, data collection, and pro-rata share of office and computer facilities and other related costs associated with operations of water management data systems including the new Corps Water Management System (CWMS). Includes costs to coordinate with other agencies and entities, training, travel, funds transferred to other agencies and other associated costs required for

operation of water management data systems. Costs for purchase and maintenance of new water control data systems equipment are included in Work Category Code 61640.

WORK CATEGORY CODE: **60650** - Joint Activities for Real Estate Management, FERC #539

WORK CATEGORY DESCRIPTION: Joint costs for Real Estate Management including Compliance, and Utilization Inspections NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs, including contractual services, incident to granting to others the use of and performing inspections of property for purposes such as commercial concessions, industrial uses, public park and recreation, quasi-public and group camp use, fish and wildlife habitat management, selected agricultural and grazing uses and reconveyance clauses (restrictions) in deeds. Also includes granting use of and performing inspections of property granted and reserved to others for purposes such as road, street, waterline, powerline, and communication rights-of-way, as well as requests to drill for oil or gas on Government owned property where no oil or gas lease is required, and other uses covered by easements, licenses, and permits. Includes report preparation, determination of compliance after vacation of property subsequent to expiration or revocation of grant, and corrective measures where non-compliance is noted. Also includes appraisals, surveys, mapping, negotiations, preparation and execution of outgrants, renewal, extension, cancellation/termination documents, responses to request for use of real or related personal property, Executive Order surveys and public land withdrawals (applies to the 11 western states). Includes costs of utilization inspections of real property under the control of or subject to a service agreement with the Corps or the Government. Includes reconciliation of financial records with flood damage reduction land and mineral lease receipts, and real property accountability, including real property inventory updates and preparation of annual civil-owned property reports (GSA 1166).

WORK CATEGORY CODE: **60660** - Joint Activities for Environmental Compliance Management, FERC #539

WORK CATEGORY DESCRIPTION: Joint costs for Environmental Compliance Management activities NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint operational costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), EO 13148, and applicable state and local regulations. Includes cost to complete annual environmental compliance assessment, external or internal. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental assessment manuals. Includes all costs associated with management and oversight of environmental compliance for operations activities. Includes costs associated with implementing and maintaining an Environmental Management System (EMS). Costs include salaries, training, materials, supplies, regulatory fees, drinking water and waste analysis, inspection of waste collection and disposal facilities, and internal and external environmental compliance assessments. Costs associated with medical surveillance and other employee health and safety requirements are not included.

WORK CATEGORY CODE: **60670**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60680**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60691** – Joint Activities for Facility Security Assessments

WORK CATEGORY DESCRIPTION: Joint Costs for Facility Security – Assessments, reviews, studies and analyses NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs to conduct and prepare security risk assessments, reviews, evaluations, studies and analyses for facility security related to criminal and terrorist activities. Includes costs to evaluate threats, consequences and security system effectiveness. Also includes costs to prepare or revise Emergency Action Plans and plans to address facility protection and security, training and appropriate coordination with other agencies as they relate to criminal and terrorist activities. Joint costs for guards and surveillance activities are included in Work Category Code 60692, and joint costs to acquire, install and maintain structural and physical improvements for security are included in Work Category Code 61690.

WORK CATEGORY CODE: **60692** – Joint Activities for Facility Security Guards, Monitoring Activities

WORK CATEGORY DESCRIPTION: Joint Costs for Facility Security – Guards and Monitoring Activities NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs for guards and security system monitoring activities including training of personnel for facility security related to criminal and terrorist activities. Joint costs for assessments are included in Work Category Code 60691, and joint costs to acquire, install and maintain structural and physical improvements for security are included in Work Category Code 61690.

WORK CATEGORY CODE: **60711** - National Emergency Preparedness Program (NEPP) - Continuity of Operations

WORK CATEGORY DESCRIPTION: National Emergency Preparedness Program (NEPP) - Continuity of Operations activities.

Includes all costs required to develop, maintain and exercise Continuity of Operations Plans (COOP). Includes personnel and contracting costs for development of plans and Standard Operating Procedures (SOPs), training, participation in exercises and program management associated with USACE relocation and reconstitution missions as a result of either a natural or manmade (caused) disaster or emergency.

WORK CATEGORY CODE: **60712** - National Emergency Preparedness Program (NEPP) - National Preparedness Planning

WORK CATEGORY DESCRIPTION: National Emergency Preparedness Program (NEPP) - National Preparedness Planning activities.

Includes all costs associated with, or in support of, deliberate planning for assigned catastrophic disaster response plans which ensure that Corps MSCs and districts can support the Nation during national

emergency events. Includes personnel and contracting costs for deliberate planning, development of Standard Operating Procedures (SOPs), training, exercises, program management and coordination with related Federal, State, and local entities. Also includes costs associated with preparedness planning for Port Readiness and Military Assistance to Civil Disturbances.

WORK CATEGORY CODE: **60713** - National Emergency Preparedness Program (NEPP) - Support of Emergency Operations Centers (EOCs)

WORK CATEGORY DESCRIPTION: National Emergency Preparedness Program (NEPP) - Support of Emergency Operations Centers (EOCs)

WORK CATEGORY CODE: **60714** - National Emergency Preparedness Program (NEPP) - Emergency Water Program

WORK CATEGORY DESCRIPTION: National Emergency Preparedness Program (NEPP) - Emergency Water Program.

Includes all personnel and contracting costs for those activities required to execute E.O. 12656 related to the Emergency Water Program. (For HQUSACE use only.)

WORK CATEGORY CODE: **60715** - National Emergency Preparedness Program (NEPP) - Continuity of Government

WORK CATEGORY DESCRIPTION: National Emergency Preparedness Program (NEPP) - Continuity of Government.

Includes all personnel and contracting costs for those activities associated with Continuity of Government, including plans to support the Federal Emergency Management Agency (FEMA) and other Federal, State and local agencies in their efforts to reestablish civil authority lost as a result of natural or manmade (caused) disaster or an attack on the United States. (For HQUSACE use only as directed.)

WORK CATEGORY CODE: **60716** - National Emergency Preparedness Program (NEPP) - Training and Exercises

WORK CATEGORY DESCRIPTION: National Emergency Preparedness Program (NEPP) - Training and Exercises.

Includes all costs for the development of and the participation in catastrophic disaster training and exercises in the inter- and intra-agency arena.

WORK CATEGORY CODE: **60811** - Operations for Water Supply

WORK CATEGORY DESCRIPTION: Operations of Project Gates, Specific Water Supply Conduits, Permanent Operating Equipment, etc. for water supply features.

Includes all costs for the operation; necessary materials, supplies, equipment and transportation costs associated with operations; associated hired labor and contract support; routine materials and supplies; and other costs: of project gates, specific water supply conduits and permanent operating equipment specifically for water supply. Prior to FY 07, these costs have been included in WCC 60210.

WORK CATEGORY CODE: **60812** - Water Supply Agreements

WORK CATEGORY DESCRIPTION: Development and Renegotiation of Water Supply Agreements.

Includes all labor and associated costs involved in the development of new water supply agreements and for costs required for existing water supply agreements such as billings and collections including delinquencies, lawsuits and modifications and renegotiations of such agreements. Prior to FY 07, these costs have been included in WCC 60210.

WORK CATEGORY CODE: **60820** - Studies and Surveys for the Water Supply Function

WORK CATEGORY DESCRIPTION: Studies and Surveys for water supply features.

Includes all costs to prepare new or continuing reports associated with the reallocation of an existing project purpose to water supply. Prior to FY 07, these costs have been included in WCC 60221.

Table C-2.3d
Work Category Codes and Definitions
O&M Maintenance Accounts By Business Line:

Navigation (**611**--)
Flood Damage Reduction (**612**--)
Hydropower (**613**--)
Environmental Stewardship (**614**--)
Recreation (**615**--)
Joint Activities (**616**--)
Reserved **(617**--)
Water Supply **(618**--)

A Breakdown of Work Category Codes (WCCs) and descriptions under these functions is on the following pages:

WORK CATEGORY CODE:
61110 - Maintenance for the Navigation Function

WORK CATEGORY DESCRIPTION: Maintenance of Locks, Dams, Reservoirs, Dikes, Revetments, Breakwaters, Jetties, Seawalls, Piers, Levees and Similar Structures, Service Facilities, Permanent Operating Equipment, etc. excluding dredging activities for navigation features.

Includes all direct costs for the maintenance and repair, replacement, additions and efficiency improvements to, or retirement of; related costs for spare parts, replacements, additions, special tools, miscellaneous supplies and materials; government plant and hired labor for project maintenance and contract support, transportation costs and other costs required to perform this maintenance function; purchase of permanent operating equipment for non-Water Management activities:

of lock and salt water control structures and facilities for passage of waterborne traffic, including gates,

valve operating machinery, lock walls, and guide and guard-walls including dolphins within the lock approaches for tie up, guard, or guide purposes;

of facilities and equipment for dams, spillways, outlet works and auxiliary dams;

of reservoirs and facilities including floating trash booms, trash racks, erosion control, drainage, major periodic or one time removal of debris or aquatic growth to ensure proper functioning of the reservoir (minor and routine removal of growth and debris in the vicinity of dam structures and from reservoirs should be charged to Work Category Code 60110); rim grouting or mine sealing, etc., to prevent leakage;

of revetments, dikes, groins, breakwaters, jetties, seawalls, piers, levees and similar structures provided in seas, lakes, rivers, canals, exposed tidal waters, and harbors;

of non-dredging navigation channel maintenance including snagging, clearing, aquatic plant removal, removal of sunken vessels, drift removal, rock and other debris removal;

of buildings, grounds, utilities, and roads, railroads and bridges, such as administration and shop buildings, storage and garage buildings and areas, other non-leased or rented project buildings, local streets and sidewalks, project access roads, including the road across dams, parking areas, bridges, railroads, and walkways. Also includes direct costs for project utilities including electrical, gas, water, and sewer systems;

of permanent operating equipment;

of buildings, grounds and utilities that are part of the hydraulic models in South Pacific Division;

and for instrumentation on lock facilities and dam structures including all costs for the installation and maintenance of instruments in existing structures for safety evaluation purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and vertical movement, stresses and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.

WORK CATEGORY CODE:
61121 - Dredging Activities for the Navigation Function

WORK CATEGORY DESCRIPTION: Dredging of Channels and Canals for navigation activities including all disposal activities. Disposal activities include, but are not limited to, confined, open water, beach, wetland creation, aquatic habitat creation, etc.

Includes all costs for maintenance dredging and disposal activities of navigation channels and canals, except project condition sediment survey costs which are included in Work Category Code 60121. Includes costs for before, during and after dredging surveys, required real estate activities, E&D, S&A, etc. Also included are costs to obtain environmental clearances to perform the associated dredging. Costs for long-range environmental requirements are included in Work Category Code 60123. This Work Category also includes all costs associated with the disposal of dredged materials in confined disposal facilities; open water; sand on beaches; creation or restoration of wetlands or other aquatic habitat using dredged material; creation of land using dredged material. Also includes related costs for spare parts, special tools, miscellaneous materials and supplies, transportation, disposal, and equipment.

NOTE: Line item submissions for Corps-owned hopper dredges should be separate from line item submissions for any other dredges.

WORK CATEGORY CODE:
61122 - Dredging - Construction and Maintenance of Dredged Material Disposal Facilities for the Navigation Function

WORK CATEGORY DESCRIPTION: Construction and Maintenance of Disposal Facilities for Dredged Materials for navigation features.

Includes all costs for the construction and the maintenance of dredged material disposal facilities including confined disposal facilities, and costs for required real estate activities. Also includes related costs for spare parts, replacements, special tools, miscellaneous materials and supplies, transportation, and equipment usage.

WORK CATEGORY CODE: **61130** – Dam Safety Remediation of Deficiencies for the Navigation Function

WORK CATEGORY DESCRIPTION: Remediation of Safety Deficiencies for Dams, Levees and Other Structures as appropriate for navigation features.

Includes all direct costs for the non-routine repair, replacement and corrections to all dams included in the National Inventory of Dams plus any levees, diversion structures and related appurtenances maintained at Federal expense to remediate dam safety deficiencies. Includes related costs for contracts, parts, replacements, special tools, supplies and materials, government plant, hired labor to include contract support, transportation costs and other costs required to perform this work. Specifically, this includes non-routine maintenance and/or repair work for dams and pertinent structures and levees that have either been identified by any means as having a Dam Safety Deficiency or has been concurred to be deficient by the District Commander, his appointed Dam Safety Officer or District Dam Safety Program Manager. Dam Safety maintenance or repair work may be identified by any means such as a study, criteria review, or any scheduled or unscheduled inspection. Dam safety related work such as inspections, inspection reports, rehabilitation reports, studies, surveys, and instrumentation will be categorized under the existing Work Category Codes in accordance with current practice. Only the actual work to include the associated plans and specifications (P&S), engineering and design (E&D) for the repairs or remedial corrections will be included in this Work Category Code as appropriate. For those business programs that do not specifically have a Work Category Code for Dam Safety (61130, 61230 and 61330) yet may encounter dam safety related work, the costs should be included in the primary business program for that project. In previous years these costs were included in WCC 61110. Costs are only included in this Work Category Code if they meet the above definition for Dam Safety. Costs for regular, recurring maintenance activities will not be included in this WCC.

WORK CATEGORY CODE: **61140** - Water Management (Control and Quality) Equipment for the Navigation Function

WORK CATEGORY DESCRIPTION: Purchase and Maintenance of Water Management (Control and Quality) Equipment for navigation features.

Includes all costs for the purchase of new or replacement hardware, software, and equipment (upgrades, betterments, or expansion) and the maintenance of existing equipment used to acquire, process, display, and distribute data associated with project water management and regulation (water control and quality). This includes only those costs related to equipment justified in approved Division water management Master plans. Purchase of multi-project equipment will be included in the Revolving Fund (PRIP). This

includes PRIP payback for equipment purchase, software development, and system betterment for the new Corps Water Management System (CWMS). This also includes costs for maintenance and support of CWMS.

WORK CATEGORY CODE: **61151** - Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for the Navigation Function

WORK CATEGORY DESCRIPTIONS: Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for navigation features.

Includes all costs for planning, appraisal, negotiation, condemnation, relocation assistance, mapping, surveying, title evidence, inspections, closings, audits and temporary permits necessary to acquire or dispose of lands and interests. Also includes real estate payments for acquisition of real property and interests therein. Costs to take necessary actions to settle claims, including damage payments arising from claims over the use and occupancy of land, real property and timber in which fee, easements, or lesser interests were not acquired. Includes all administrative costs incurred in connection with timber disposal in support of forest management activities, such as contract administration, and inspection, but excludes the staff supervision of timber management, which is included in Work Category Code 60411.

WORK CATEGORY CODE: **61152** - Real Estate - Resolution of Real Estate Encroachments for the Navigation Function

WORK CATEGORY DESCRIPTIONS: Real Estate - Resolution of Real Estate Encroachments for navigation features.

Includes all costs for the resolution of all encroachments on project lands, and degradation of public lands and encroachments adversely affecting the intended uses of potentially high use areas; including investigation, acquisition, disposal, and out-granting. The costs for boundary line surveys and remarking are included in Work Category Code 61153.

WORK CATEGORY CODE: **61153** - Real Estate - Boundary Monumentation and Rectification for the Navigation Function

WORK CATEGORY DESCRIPTIONS: Real Estate - Boundary Monumentation and Rectification for navigation features.

Includes all costs to survey and mark boundary lines in support of acquisition; to resurvey or remark boundary lines and place monuments in support of Executive Order actions and disposal actions, and costs to survey and mark boundary lines where not previously completed. Under normal circumstances there will be no work items in the Baseline funding level for this Work Category.

WORK CATEGORY CODE: **61160** - Environmental Compliance (Remedial Actions) for the Navigation Function

WORK CATEGORY DESCRIPTION: Environmental Compliance (remedial actions) for Locks, Dams, Reservoirs, Breakwaters, Jetties, Seawalls, Piers, Levees, Other Control Structures, Pumping Plants, Other Facilities, Channels and Canals for navigation features.

Includes all maintenance, repair and remediation costs to comply with applicable Federal environmental laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, the Comprehensive Environmental

Response, Compensation, and Liability Act (CERCLA), EO 13148, and applicable state and local regulations for locks, dams, reservoirs, breakwaters, jetties, seawalls, piers, levees, other control structures, pumping plants, other facilities, channels and canals. Includes cost for corrective actions related to environmental compliance assessment findings related to the Navigation function. Costs include salaries, contaminant detection, waste analysis, site investigations, site remediation, treatment system installation, repair, renovation, modification, and other costs associated with compliance. Costs associated with medical surveillance and other employee health and safety requirements are not included.

WORK CATEGORY CODE: **61170** - O&M Major Rehabilitation Projects for the Navigation Function

WORK CATEGORY DESCRIPTION: Remaining O&M Funded Major Rehabilitation projects for navigation features.

Includes all major rehabilitation costs such as repair, replacement, additions and efficiency improvements to lock structures and facilities for passage of waterborne traffic, and all costs for facilities and equipment for dams, spillways, outlet works and auxiliary dams including gates, valve operating machinery, lock walls, and guide and guard-walls including dolphins within the lock approaches for tie up, guard, or guide purposes.

NOTE: Major rehabilitation, deficiency correction, and reconstruction projects are programmed for initial Construction (C) appropriation and Inland Waterways Trust Fund moneys, as appropriate, only after applicable reconnaissance and/or evaluation reports have been approved. Work items for Major Rehabilitation Evaluation Reports are included in Work Category Code 60122. This Work Category will be used only until O&M funded Major Rehabilitation projects are completed.

WORK CATEGORY CODE: **61180**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61191** – Facility Security Maintenance and Replacement for Navigation

WORK CATEGORY DESCRIPTION: Facility Security – Maintenance and Replacement for navigation features.

Includes all costs to maintain and replace structural improvements for facility protection and security related to criminal and terrorist activities. Includes costs to maintain, repair or replace permanent or temporary barriers, fencing, traffic signs, lighting, communications equipment, intrusion detection systems such as video surveillance equipment and cameras, and access control. Costs for assessments are included in Work Category Code (WCC) 60191, and costs for guards and surveillance activities are included in WCC 60192. Costs for improvements and modifications are included in WCC 61192. Includes some costs formerly included in WCC 61190.

WORK CATEGORY CODE: **61192** – Facility Security Physical Improvements and Modifications for Navigation

WORK CATEGORY DESCRIPTION: Facility Security – Physical Improvements and Modifications for navigation features.

Includes all costs for engineering and design, and to acquire and install structural improvements,

modifications and physical improvements for facility protection and security related to criminal and terrorist activities. Includes costs for permanent or temporary barriers, fencing, traffic signs, lighting, communications equipment, intrusion detection systems such as video surveillance equipment and cameras, and access control. Includes some costs formerly included in WCC 61190.

WORK CATEGORY CODE: **61211** - Maintenance for the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTION: Maintenance of Dams, Reservoirs, Levees, Floodwalls, Hurricane Barriers, and Other Flood Damage Reduction Structures; Snagging, Clearing, Aquatic Plant Removal, Rock and Other Debris Removal, and Other Non-Dredging Flood Damage Reduction Channel Maintenance; Pumping Plants, Other Service Facilities (Buildings, Grounds, Utilities, and Roads, Railroads and Bridges), Maintenance and Purchase of Permanent Operating Equipment for Non-Water Control Management Activities; etc. excluding dredging for flood damage reduction features.

Includes all direct costs for the maintenance and repair, replacement, additions and efficiency improvements to, or retirement of; related costs for spare parts, replacements, additions, special tools, miscellaneous supplies and materials; government plant and hired labor for project maintenance and contract support, transportation costs and other costs required to perform this maintenance function; purchase of permanent operating equipment for non-Water Management activities:

of facilities and equipment for dams, spillways, outlet works and auxiliary dams;

of reservoirs and facilities including floating trash booms, trash racks, erosion control, drainage, major periodic or one-time removal of debris or aquatic growth to ensure proper functioning of the reservoir (minor and routine removal of growth and debris in the vicinity of dam structures and from reservoirs should be charged to Work Category Code 60210); and rim grouting or mine sealing, etc., to prevent leakage;

of levees, floodwalls, hurricane barriers, embankments, walls, in-channel structures, and other flood damage reduction structures to protect areas from inundation; and snagging, clearing, debris removal, and non-dredging flood damage reduction channel maintenance. This includes direct costs for removal of trees, brush, accumulated snags, drifts, and debris from canals and waterways for flood damage reduction and major drainage purposes; and channel improvement structures and revetments, linings, dikes, jetties, bulkheads, and buildings (when provided for flood damage reduction);

of pumping plants including such items as buildings, pumps, and prime movers including power supplies, controls, piping, and all other associated facilities;

of buildings, grounds, utilities, and roads, railroads and bridges, such as administration and shop buildings, storage and garage buildings and areas, other non-leased or rented project buildings, local streets and sidewalks, project access roads, including the road across dams, parking areas, bridges, railroads, and walkways. Also includes direct costs for project utilities including electrical, gas, water, and sewer systems;
of permanent operating equipment;

and for instrumentation on dam structures and levees, floodwalls, hurricane barriers, and other flood damage reduction structures including all costs for the installation and maintenance of instruments in existing structures for safety evaluation purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and vertical movement, stresses

and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.

Costs for Water Supply activities formerly charged to this Work Category Code should now be charged to Work Category Code 61810.

WORK CATEGORY CODE: **61212** - Maintenance of Dikes, Revetments, Breakwaters and Similar Structures for Mississippi River and Tributaries (MR&T) Flood Damage Reduction

WORK CATEGORY DESCRIPTION: Maintenance of Dikes, Revetments, Groins, Breakwaters, Jetties, Seawalls and Similar Structures for MR&T flood damage reduction purposes.

Includes all costs for the maintenance and repair, replacement, additions and efficiency improvements to, or retirement of revetments, dikes, groins, breakwaters, seawalls, piers, linings, training dikes, bulkheads and similar structures. Also includes related costs for spare parts, replacements, additions, special tools, miscellaneous materials and supplies, transportation costs, equipment usage, associated government plant and hired labor for project maintenance, contract support, and other costs.

WORK CATEGORY CODE: **61221** - Dredging Activities for the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTION: Dredging of Channels and Canals for flood damage reduction activities including all disposal activities. Disposal activities include, but are not limited to, confined, open water, beach, wetland creation, aquatic habitat creation, etc.

Includes all costs for dredging, excavation and disposal activities for the maintenance and efficiency improvements of channels and canals for flood damage reduction purposes, except project condition sediment survey costs which are included in Work Category Code 60221. Includes the costs for before, during and after dredging surveys, required real estate activities, E&D, S&A, etc. Also included are costs to obtain environmental clearances to perform the associated dredging. This Work Category also includes all costs associated with the disposal of dredged materials in confined disposal facilities; open water; sand on beaches; creation or restoration of wetlands or other aquatic habitat using dredged material; and creation of land using dredged material. Also includes related costs for spare parts, special tools, miscellaneous materials and supplies, transportation, disposal, and equipment.

WORK CATEGORY CODE: **61222** - Dredging - Construction and Maintenance of Disposal Facilities for the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTION: Construction and Maintenance of Disposal Facilities for Dredged Materials for flood damage reduction features.

Includes all costs for the construction and the maintenance of dredged material disposal facilities including confined disposal facilities, and required real estate activities. Also includes related costs for spare parts, replacements, special tools, miscellaneous materials and supplies, transportation and equipment usage.

WORK CATEGORY CODE: **61230** - Dam Safety Remediation of Deficiencies for the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTION: Remediation of Safety Deficiencies for Dams, Levees and Other Structures as appropriate for navigation features.

Includes all direct costs for the non-routine repair, replacement and corrections to all dams included in the National Inventory of Dams plus any levees, diversion structures and related appurtenances maintained at Federal expense to remediate dam safety deficiencies. Includes related costs for contracts, parts, replacements, special tools, supplies and materials, government plant, hired labor to include contract support, transportation costs and other costs required to perform this work. Specifically, this includes non-routine maintenance and/or repair work for dams and pertinent structures and levees that have either been identified by any means as having a Dam Safety Deficiency or has been concurred to be deficient by the District Commander, his appointed Dam Safety Officer or District Dam Safety Program Manager. Dam Safety maintenance or repair work may be identified by any means such as a study, criteria review, or any scheduled or unscheduled inspection. Dam safety related work such as inspections, inspection reports, rehabilitation reports, studies, surveys, and instrumentation will be categorized under the existing Work Category Codes in accordance with current practice. Only the actual work to include the associated plans and specifications (P&S), engineering and design (E&D) for the repairs or remedial corrections will be included in this Work Category Code as appropriate. For those business programs that do not specifically have a Work Category Code for Dam Safety (61130, 61230 and 61330) yet may encounter dam safety related work, the costs should be included in the primary business program for that project. In previous years these costs were included in WCC 61110. Costs are only included in this Work Category Code if they meet the above definition for Dam Safety. Costs for regular, recurring maintenance activities will not be included in this WCC.

WORK CATEGORY CODE: **61240** - Water Management (Control and Quality) Equipment for the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTION: Purchase and Maintenance of Water Management (Control and Quality) Equipment for flood damage reduction features.

Includes all costs for the purchase of new or replacement hardware, software, and equipment (upgrades, betterments, or expansion) and the maintenance of existing equipment used to acquire, process, display, and distribute data associated with project water management and regulation (water control and quality). This includes only those costs related to equipment justified in approved Division water management Master plans Purchase of multi-project equipment will be included in the Revolving Fund (PRIP). This includes PRIP payback for equipment purchase, software development, and system betterment for the new Corps Water Management System (CWMS). This also includes costs for maintenance and support of CWMS.

WORK CATEGORY CODE: **61251** - Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTIONS: Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for flood damage reduction features.

Includes all costs for planning, appraisal, negotiation, condemnation, relocation assistance, mapping, surveying, title evidence, inspections, closings, audits and temporary permits necessary to acquire or dispose of lands and interests. Also includes real estate payments for acquisition of real property and interests therein. Costs to take necessary actions to settle claims, including damage payments arising from claims over the use and occupancy of land, real property and timber in which fee, easements, or lesser interests were not acquired. Includes all administrative costs incurred in connection with timber disposal in support of forest management activities, such as contract administration, and inspection, but

excludes the staff supervision of timber management, which is included in Work Category Code 60411.

WORK CATEGORY CODE: **61252** - Real Estate - Resolution of Real Estate Encroachments for the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTIONS: Real Estate - Resolution of Real Estate Encroachments for flood damage reduction features.

Includes all costs for the resolution of all encroachments on project lands, and degradation of public lands and encroachments adversely affecting the intended uses of potentially high use areas; including investigation, acquisition, disposal, and out-granting. Costs for boundary line surveys and remarking are included in Work Category Code 61253.

WORK CATEGORY CODE: **61253** - Real Estate - Boundary Monumentation and Rectification for the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTIONS: Real Estate - Boundary Monumentation and Rectification for flood damage reduction features.

Includes all costs to survey and mark boundary lines in support of acquisition; to resurvey or remark boundary lines and place monuments in support of Executive Order actions and disposal actions, and costs to survey and mark boundary lines where not previously completed. Under normal circumstances there will be no work items in the Baseline funding level for this Work Category.

WORK CATEGORY CODE: **61260** - Environmental Compliance (Remedial Actions) for the Flood Damage Reduction Function

WORK CATEGORY DESCRIPTION: Environmental Compliance (remedial actions) for Dams, Breakwaters, Jetties, Seawalls, Levees, Floodwalls, Hurricane Barriers, Other Flood Damage Reduction Structures, Pumping Plants, Other Facilities, Channels and Canals for flood damage reduction features.

Includes all maintenance, repair and remediation costs to comply with applicable Federal environmental laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), EO 13148, and applicable state and local regulations for dams, breakwaters, jetties, seawalls, levees, floodwalls, hurricane barriers, other flood damage reduction structures, pumping plants, other facilities, channels and canals. Includes cost for corrective actions related to environmental compliance assessment findings related to flood damage reduction activities. Costs include salaries of environmental compliance coordinators and administration, contaminant detection, waste analysis, site investigations, site remediation of recent and past releases or contamination resulting from Flood Damage Reduction activities; treatment system installation, repair or renovation, erosion protection of structures or pool, responding to spills from FDR facilities, disposal of unclaimed barrels or containers, and responding or clean-up of pesticide or chemical releases that flood damage reduction activities on Corps or outgranted lands. Costs associated with medical surveillance and other employee health and safety requirements are not included.

WORK CATEGORY CODE: **61270**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61280**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61291** – Facility Security Maintenance and Replacement for Flood Damage Reduction

WORK CATEGORY DESCRIPTION: Facility Security – Maintenance and Replacement for flood damage reduction features.

Includes all costs to maintain and replace structural improvements for facility protection and security related to criminal and terrorist activities. Includes costs to maintain, repair or replace permanent or temporary barriers, fencing, traffic signs, lighting, communications equipment, intrusion detection systems such as video surveillance equipment and cameras, and access control. Costs for assessments are included in Work Category Code (WCC) 60291, and costs for guards and surveillance activities are included in WCC 60292. Costs for improvements and modifications are included in WCC 61292. Includes some costs formerly included in WCC 61290.

WORK CATEGORY CODE: **61292** – Facility Security Physical Improvements and Modifications for Flood Damage Reduction

WORK CATEGORY DESCRIPTION: Facility Security – Physical Improvements and Modifications for flood damage reduction features.

Includes all costs for engineering and design, and to acquire and install structural improvements, modifications and physical improvements for facility protection and security related to criminal and terrorist activities. Includes costs for permanent or temporary barriers, fencing, traffic signs, lighting, communications equipment, intrusion detection systems such as video surveillance equipment and cameras, and access control. Includes some costs formerly included in WCC 61290.

WORK CATEGORY CODE: **61310 (61311-61314)** Maintenance for the Hydropower Function Costs for this function will be sub-divided as follows:

61311 Maintenance Supervision, FERC #541. Costs for labor, materials and expenses incurred in the general supervision of maintenance of hydraulic power generating stations. Direct supervision of specific jobs is charged to the appropriate maintenance feature;

61312 Maintenance of Hydraulic Structures, FERC #542. Costs for labor, materials and expenses incurred in the maintenance, repair, replacement, additions and efficiency improvements to, and retirement of the powerhouse, and power intake works whether or not the powerhouse is an integral part of the intake dam;

61313 Maintenance of Electric Plant, FERC #544. Costs for labor, materials and expenses incurred in the maintenance, repair, replacement, additions and efficiency improvements to, and retirement of the power plant generating and accessory electrical and mechanical equipment, and switchyard electrical and mechanical equipment;

61314 - Maintenance of Miscellaneous Hydraulic Plant, FERC #545. Costs for labor, materials

and expenses incurred in the maintenance, repair, replacement, additions and efficiency improvements to, and retirement of the power plant and switchyard hydraulic plant.

WORK CATEGORY DESCRIPTION: Maintenance of Power Plants, excluding dredging for hydropower features.

Includes all costs for power plant maintenance and repair, replacements, additions and efficiency improvements to, and retirement of all power plant structures; of facilities and equipment required for production, transmission, and distribution of electrical power, including but not limited to the power plant, spillway, low flow bypass systems, storage facilities, turbines, motors, pumps, generators, and governors; of all accessory electrical or electronic equipment and control systems; of all water, air, and oil systems; of all intake structures with electrical and mechanical equipment; of the tailrace, switchyard, transformer yard, elevators, trash racks; and of lighting and interior power distribution systems, cable tunnels and conduit runs; and installation of instrumentation. Includes spare parts, special and regular tools, supplies and equipment, scaffolding, and rental of specialized equipment. Includes labor and materials, and incidental expenses incurred to maintain maintenance records; expenses incurred by the power plant management and support staff in the general supervision of the maintenance of the hydraulic generating station; and transportation and per diem costs required to perform power plant maintenance functions. Dredging is included in Work Category Code 61320.

WORK CATEGORY CODE: **61320** - Dredging Activities for the Hydropower Function, FERC #543

WORK CATEGORY DESCRIPTION: Dredging for hydropower activities including all disposal activities.

Includes all costs for maintenance dredging and disposal activities, except project condition sediment survey costs which are included in Work Category Code 60321. It also includes the costs for before, during and after dredging surveys, required real estate activities, E&D, S&A, etc. Also included are costs to obtain environmental clearances to perform the associated dredging. This Work Category also includes related costs for spare parts, special tools, miscellaneous materials and supplies, transportation, disposal, and equipment.

WORK CATEGORY CODE: **61330** – Dam Safety Remediation of Deficiencies for the Hydropower Function

WORK CATEGORY DESCRIPTION: Remediation of Safety Deficiencies for Dams, Levees and Other Structures as appropriate for hydropower features.

Includes all direct costs for the non-routine repair, replacement and corrections to all dams included in the National Inventory of Dams plus any levees, diversion structures and related appurtenances maintained at Federal expense to remediate dam safety deficiencies. Includes related costs for contracts, parts, replacements, special tools, supplies and materials, government plant, hired labor to include contract support, transportation costs and other costs required to perform this work. Specifically, this includes non-routine maintenance and/or repair work for dams and pertinent structures and levees that have either been identified by any means as having a Dam Safety Deficiency or has been concurred to be deficient by the District Commander, his appointed Dam Safety Officer or District Dam Safety Program Manager. Dam Safety maintenance or repair work may be identified by any means such as a study, criteria review, or any scheduled or unscheduled inspection. Dam safety related work such as inspections, inspection reports, rehabilitation reports, studies, surveys, and instrumentation will be categorized under the existing Work Category Codes in accordance with current practice. Only the actual work to include the associated plans and specifications (P&S), engineering and design (E&D) for the repairs or remedial corrections will be included in this Work Category Code as appropriate. For those business programs that do not

specifically have a Work Category Code for Dam Safety (61130, 61230 and 61330) yet may encounter dam safety related work, the costs should be included in the primary business program for that project. In previous years these costs were included in WCCs 61311-61314. Costs are only included in this Work Category Code if they meet the above definition for Dam Safety. Costs for regular, recurring maintenance activities will not be included in this WCC.

WORK CATEGORY CODE: **61340** - Water Management (Control and Quality) Equipment for the Hydropower Function, FERC #542

WORK CATEGORY DESCRIPTION: Purchase and Maintenance of Water Management (Control and Quality) Equipment for hydropower features.

Includes all costs for the purchase of new or replacement hardware, software, and equipment (upgrades, betterments, or expansion) and the maintenance of existing equipment used to acquire, process, display, and distribute data associated with project water management and regulation (water control and quality). This includes only those costs related to equipment justified in approved Division water management Master plans. Purchase of multi-project equipment will be included in the Revolving Fund (PRIP). This includes PRIP payback for equipment purchase, software development, and system betterment for the new Corps Water Management System (CWMS). This also includes costs for maintenance and support of CWMS.

WORK CATEGORY CODE: **61351** - Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for the Hydropower Function, FERC #545

WORK CATEGORY DESCRIPTION: Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for hydropower features.

Includes all costs for planning, appraisal, negotiation, condemnation, relocation assistance, mapping, surveying, title evidence, inspections, closings, audits and temporary permits necessary to acquire or dispose of lands and interests. Also includes real estate payments for acquisition of real property and interests therein. Costs to take necessary actions to settle claims, including damage payments arising from claims over the use and occupancy of land, real property and timber in which fee, easements, or lesser interests were not acquired. Includes all administrative costs incurred in connection with timber disposal in support of forest management activities, such as contract administration, and inspection, but excludes the staff supervision of timber management, which is included in Work Category Code 60411.

WORK CATEGORY CODE: **61352** - Real Estate - Resolution of Real Estate Encroachments for the Hydropower Function, FERC #545

WORK CATEGORY DESCRIPTION: Real Estate - Resolution of Real Estate Encroachments for hydropower features.

Includes all costs for the resolution of all encroachments on project lands, and degradation of public lands and encroachments adversely affecting the intended uses of potentially high use areas; including investigation, acquisition, disposal, and out-granting. The costs for boundary line surveys and remarking are not included in this Work Category.

WORK CATEGORY CODE: **61353** - Real Estate - Boundary Monumentation and Rectification for the Hydropower Function, FERC #545

WORK CATEGORY DESCRIPTION: Real Estate - Boundary Monumentation and Rectification for hydropower features.
Includes all costs to survey and mark boundary lines in support of acquisition; to resurvey or remark boundary lines and place monuments in support of Executive Order actions and disposal actions, and costs to survey and mark boundary lines where not previously completed. Under normal circumstances there will be no work items in the Baseline funding level for this Work Category.

WORK CATEGORY CODE: **61360** - Environmental Compliance (Remedial Actions) for the Hydropower Function, FERC #545

WORK CATEGORY DESCRIPTION: Environmental Compliance (remedial actions) for Dams, Levees, Other Control Structures, Power Plants, Pumping Plants, and Other Facilities for hydropower features.

Includes all maintenance, repair and remediation costs to comply with applicable Federal environmental laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and applicable state and local regulations for dams, levees, other control structures, power plants, pumping plants, and other facilities. Costs include salaries, contaminant detection, waste analysis, site investigations, site remediation, treatment system installation, repair, renovation, modification, and other costs associated with compliance. Costs associated with medical surveillance and other employee health and safety requirements are not included. Includes cost for corrective actions related to environmental compliance assessment findings related to the Hydropower function

WORK CATEGORY CODE: **61370 (61371-61374**) - O&M Major Rehabilitation Projects for the Hydropower Function Costs for this function will be further subdivided as follows:

61371 - Comprehensive Replacement Supervision, FERC #541. Costs for labor, materials and expenses incurred in the supervision of the comprehensive replacement of hydraulic power generating stations. Direct supervision of specific jobs is charged to the appropriate maintenance feature;

61372 - Comprehensive Replacement of Structures, FERC #542. Costs for labor, materials and expenses incurred in the comprehensive replacement of the powerhouse, switchyard, and power intake works whether or not the powerhouse is an integral part of the intake dam;

61373 - Comprehensive Replacement of Electric Plant, FERC #544. Costs for labor, materials and expenses incurred in the comprehensive replacement of the power plant generating and accessory electrical and mechanical equipment, and switchyard electrical and mechanical equipment;

61374 - Comprehensive Replacement of Miscellaneous Hydraulic Plant, FERC # 545. Costs for labor, materials and expenses incurred in the comprehensive replacement of the power plant and switchyard hydraulic plant.

WORK CATEGORY DESCRIPTION: Remaining O&M Funded Major Rehabilitation (Comprehensive Replacement) projects for hydropower features.

Includes all costs for comprehensive major rehabilitation, replacement, repair, additions and efficiency

improvements, including supervision, of all power plant structures, electric plant, miscellaneous hydraulic plant, power plant intake works; of facilities and equipment required for production, transmission, and distribution of electrical power, including but not limited to the power plant, spillway, low flow bypass systems, storage facilities, turbines, motors, pumps, generators, and governors; of all accessory electrical or electronic equipment and control systems; of all water, air, and oil systems; of all intake structures with electrical and mechanical equipment; of the tailrace, switchyard, transformer yard, elevators, trash racks; and of lighting and interior power distribution systems, cable tunnels and conduit runs. Includes labor and materials, special and regular tools, supplies and equipment, scaffolding, and rental of specialized equipment. See Work Category Codes 61310 (61311-61314) and 613N0 (613N1-613N4).

NOTE: Major Rehabilitation work is now funded under the Construction (C) appropriation. Work items for Major Rehabilitation Evaluation Reports are included in Work Category Code 60325. This Work Category will be used only until current O&M funded Major Rehabilitation projects are completed.

WORK CATEGORY CODE: **61380**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61391** – Facility Security Maintenance and Replacement for Hydropower

WORK CATEGORY DESCRIPTION: Facility Security – Maintenance and Replacement for hydropower features.

Includes all costs to maintain and replace structural improvements for facility protection and security related to criminal and terrorist activities. Includes costs to maintain, repair or replace permanent or temporary barriers, fencing, traffic signs, lighting, communications equipment, intrusion detection systems such as video surveillance equipment and cameras, and access control. Costs for assessments are included in Work Category Code (WCC) 60391, and costs for guards and surveillance activities are included in WCC 60392. Costs for improvements and modifications are included in WCC 61392. Includes some costs formerly included in WCC 61390.

WORK CATEGORY CODE: **61392** – Facility Security Physical Improvements and Modifications for Hydropower

WORK CATEGORY DESCRIPTION: Facility Security – Physical Improvements and Modifications for hydropower features.

Includes all costs for engineering and design, and to acquire and install structural improvements, modifications and physical improvements for facility protection and security related to criminal and terrorist activities. Includes costs for permanent or temporary barriers, fencing, traffic signs, lighting, communications equipment, intrusion detection systems such as video surveillance equipment and cameras, and access control. Includes some costs formerly included in WCC 61390.

WORK CATEGORY CODE: **61411** - Maintenance of Natural Resource Facilities

WORK CATEGORY DESCRIPTION: Maintenance of Natural Resource Facilities.

Includes all costs to perform maintenance needed to conserve and protect natural resources and associated facilities located on project lands. This Work Category only includes costs during the conservation or protection effort.

WORK CATEGORY CODE: **61412** - Mitigation of Archeological and Cultural Resources

WORK CATEGORY DESCRIPTION: Mitigation of Archeological and Cultural Resources such as Sites, Structures, and Objects.

Includes all costs to manage, curate, maintain and rehabilitate identified archeological collections and associated documentation and long term collections management. Also includes cultural resources mitigation costs to protect, recover, preserve or otherwise mitigate significant archaeological, historical, and cultural buildings, sites, structures or objects. This Work Category only includes costs during the recovery, preservation, or mitigation effort.

WORK CATEGORY CODE: **61413** - Maintenance of Wildlife Mitigation Features

WORK CATEGORY DESCRIPTION: Maintenance of Wildlife Mitigation Features.

Includes all costs for the maintenance and repair of wildlife mitigation features to comply with Federal laws and mitigation requirements to offset losses caused by existing and new project activities. This Work Category only includes costs during the mitigation effort.

WORK CATEGORY CODE: **61414** - Maintenance of Fisheries, Fish Haulage Activities and Fish Passage Structures

WORK CATEGORY DESCRIPTION: Maintenance of Fisheries, Fish Haulage Activities and Fish Passage Structures for environmental stewardship features.

Includes all costs for maintenance and repair of fish hatcheries, egg collection stations, transportation equipment, and fish passage facilities.

WORK CATEGORY CODE: **61418** – Maintenance of Special Status Species

WORK CATEGORY DESCRIPTION: Maintenance of Special Status Species for environmental stewardship features.

Includes all costs for maintenance of resources and features supporting special status species. Includes costs of salaries, contracts, equipment, supplies and materials to protect and maintain species of special concern such as Federal or state listed endangered, threatened, rare or sensitive species, including activities in areas under license or out lease. Includes activities undertaken to maintain a resource, population, habitat or management feature, such as vegetation manipulation, timber management, prescribed burning, and activities to protect populations and individual specimens (e.g. citation authority program, surveillance activities, identifying and monitoring exclusion zones).

WORK CATEGORY CODE: **61421** - Dredging Activities for the Environmental Stewardship Function

WORK CATEGORY DESCRIPTION: Dredging of Channels and Canals for environmental stewardship activities including all disposal activities. Disposal activities include, but are not limited to, confined, open water, beach, wetland creation, aquatic habitat creation, etc.

Includes all costs for maintenance dredging of project channels and canals, and disposal activities, except project condition sediment survey costs which are included in Work Category Code 60420. It also

includes the costs for before, during and after dredging surveys, required real estate activities, E&D, S&A, etc. Also included are costs to obtain environmental clearances to perform the associated dredging. This Work Category also includes all costs associated with the disposal of dredged materials in confined disposal facilities; open water; sand on beaches; creation or restoration of wetlands or other aquatic habitat using dredged material; and creation of land using dredged material. Also includes related costs for spare parts, special tools, miscellaneous materials and supplies, transportation, disposal, and equipment.

WORK CATEGORY CODE: **61422** - Dredging - Construction and Maintenance of Disposal Facilities for the Environmental Stewardship Function

WORK CATEGORY DESCRIPTION: Construction and Maintenance of Disposal Facilities for Dredged Materials for environmental stewardship features.

Includes all costs for the construction and the maintenance of disposal facilities including confined disposal facilities, and required real estate activities. Also includes related costs for spare parts, replacements, special tools, miscellaneous materials and supplies, transportation and equipment usage.

WORK CATEGORY CODE: **61430**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61440** - Water Management (Control and Quality) Equipment for the Environmental Stewardship Function

WORK CATEGORY DESCRIPTION: Purchase and Maintenance of Water Management (Control and Quality) Equipment for environmental stewardship features.

Includes all costs for the purchase of new or replacement hardware, software, and equipment (upgrades, betterments, or expansion) and the maintenance of existing equipment used to acquire, process, display, and distribute data associated with project water management and regulation (water control and quality). This includes only those costs related to equipment justified in approved Division water management Master plans Purchase of multi-project equipment will be included in the Revolving Fund (PRIP). This includes PRIP payback for equipment purchase, software development, and system betterment for the new Corps Water Management System (CWMS). This also includes costs for maintenance and support of CWMS.

WORK CATEGORY CODE: **61451** - Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for the Environmental Stewardship Function

WORK CATEGORY DESCRIPTION: Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for environmental stewardship features.

Includes all costs for planning, appraisal, negotiation, condemnation, relocation assistance, mapping, surveying, title evidence, inspections, closings, audits and temporary permits necessary to acquire or dispose of lands and interests. Also includes real estate payments for acquisition of real property and interests therein. Costs to take necessary actions to settle claims, including damage payments arising from claims over the use and occupancy of land, real property and timber in which fee, easements, or lesser interests were not acquired. Includes all administrative costs incurred in connection with timber

disposal in support of forest management activities, such as contract administration, and inspection, but excludes the staff supervision of timber management which is included in Work Category Code 60411.

WORK CATEGORY CODE: **61452** - Real Estate - Resolution of Real Estate Encroachments for the Environmental Stewardship Function

WORK CATEGORY DESCRIPTION: Real Estate - Resolution of Real Estate Encroachments for environmental stewardship features.

Includes all costs for the resolution of all encroachments on project lands, and degradation of public lands and encroachments adversely affecting the intended uses of potentially high use areas; including investigation, acquisition, disposal, and out-granting. Costs for boundary line surveys and remarking are included in Work Category Code 61453.

WORK CATEGORY CODE: **61453** - Real Estate - Boundary Monumentation and Rectification for the Environmental Stewardship Function

WORK CATEGORY DESCRIPTION: Real Estate - Boundary Monumentation and Rectification for environmental stewardship features.

Includes all costs to survey and mark boundary lines in support of acquisition; to resurvey or remark boundary lines and place monuments in support of Executive Order actions and disposal actions, and costs to survey and mark boundary lines where not previously completed. Under normal circumstances there will be no work items in the Baseline funding level for this Work Category.

WORK CATEGORY CODE: **61460** - Environmental Compliance (Remedial Actions) for the Environmental Stewardship Function

WORK CATEGORY DESCRIPTION: Environmental Compliance (remedial actions) of Natural Resources including Other Service Facilities for environmental stewardship features.

Includes all maintenance, repair and remediation costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), EO 13148, and applicable state and local regulations for natural resources and other environmental stewardship features. Costs include salaries, contaminant detection, waste analysis, site investigations, site remediation, treatment system installation, repair, renovation, modification, and other costs associated with compliance. Costs associated with medical surveillance and other employee health and safety requirements are not included.

WORK CATEGORY CODE: **61470**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61480**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61491** – Facility Security Maintenance and Replacement for Environmental Stewardship

WORK CATEGORY DESCRIPTION: Facility Security – Maintenance and Replacement for environmental stewardship features.
Includes all costs to maintain and replace structural improvements for facility protection and security related to criminal and terrorist activities. Includes costs to maintain, repair or replace permanent or temporary barriers, fencing, traffic signs, lighting, communications equipment, intrusion detection systems such as video surveillance equipment and cameras, and access control. Costs for assessments are included in Work Category Code (WCC) 60491, and costs for guards and surveillance activities are included in WCC 60492. Costs for improvements and modifications are included in WCC 61492. Includes some costs formerly included in WCC 61490.

WORK CATEGORY CODE: **61492** – Facility Security Physical Improvements and Modifications for Environmental Stewardship

WORK CATEGORY DESCRIPTION: Facility Security – Physical Improvements and Modifications for environmental stewardship features.

Includes all costs for engineering and design, and to acquire and install structural improvements, modifications and physical improvements for facility protection and security related to criminal and terrorist activities. Includes costs for permanent or temporary barriers, fencing, traffic signs, lighting, communications equipment, intrusion detection systems such as video surveillance equipment and cameras, and access control. Includes some costs formerly included in WCC 61490.

WORK CATEGORY CODE: **61511** - Maintenance of Recreation Features

WORK CATEGORY DESCRIPTION: Maintenance of Recreation areas and Facilities, Service Facilities – (Buildings, Grounds, Utilities, Roads and Bridges), Erosion Control in Recreation Areas, and Maintenance and Purchase of Permanent Operating Equipment for recreation features.

Includes all costs for the maintenance and repair, replacement, additions and efficiency improvements to, or retirement of, recreation facilities and structures such as grills, tables, playgrounds, trails, campgrounds, picnic areas, restrooms, showers, boat ramps, parking areas, roads, grounds, utilities associated with recreation use, buildings used for recreation purposes or the collection of fees and other structures used to support the recreation function. Also included are the costs for realignment, overlay, grading, and widening, of roads, parking areas, bridges and walkways associated with recreational development, and all costs for control of erosion endangering recreational areas or facilities, including seeding, sodding, riprap, gabions, vegetation, retaining walls and other measures. Also includes the costs for permanent operating equipment such as backhoe, trencher, bucket truck, tractor loader, vehicles, communications equipment, and computers used to support the recreation function of the project. This Work Category also includes costs for spare parts, replacements, additions, special tools, miscellaneous materials and supplies, transportation costs and equipment usage, and costs to bring facilities up to modern design standards and to provide accessibility for persons with disabilities as required. Includes costs for new recreation facilities, if the goal of providing quality public recreation experiences with the most cost efficient management of water resources development projects can be met.

This Work Category Code includes costs previously included in Work Category Code 61512, Maintenance of Recreation Facilities using SRUF funds (see paragraph C-2.15 SRUF).

SRUF costs previously included under Work Category Code 61512 should now be included under Work

Category Code 61511.

WORK CATEGORY CODE: **61513** - Maintenance of Recreation Features - Cost Shared Recreation Developments

WORK CATEGORY DESCRIPTION: Cost Shared Recreation Developments - Contracts and Negotiations.

Includes all recreation cost share agreements and contract costs; costs to reimburse local sponsors; and costs for monitoring and negotiating agreements related to cost sharing.

WORK CATEGORY CODE: **61514** – Maintenance of Visitor Centers

WORK CATEGORY DESCRIPTION: Maintenance of Visitor Centers for recreation features.

Includes all costs for the maintenance and repair, replacement, additions and efficiency improvements to, or retirement of, visitor center buildings, displays, audiovisual systems, heating and cooling systems, landscaping, grounds, exhibits and utilities. Also includes costs for spare parts, replacements, additions, special tools, miscellaneous materials and supplies, transportation costs and equipment usage. These costs were formerly included in WCC 61511.

WORK CATEGORY CODE: **61515** – Modernization of Recreation Features

WORK CATEGORY DESCRIPTION: Modernization of recreation features.

Includes all costs for the modernization, replacement or additions for modernization to recreation facilities and structures such as trails, campgrounds, picnic areas, restrooms, showers, boat ramps, parking areas, roads, grounds, utilities associated with recreation use, buildings used for recreation purposes or the collection of fees and other structures used to support the recreation function. Also includes costs for spare parts, replacements, additions, special tools, miscellaneous materials and supplies, transportation costs and equipment usage, and costs to bring facilities up to modern design standards and to provide accessibility for persons with disabilities as required. Also, includes costs for E&D and P&S for the Recreation Modernization Program. Work should be included in this Work Category Code (WCC) rather than WCC 61511 if the primary reason for the work is to update existing facilities to meet current guidelines and user needs, as well as modifying facilities and services to improve efficiency and effectiveness. If the primary reason to do work is non-operational maintenance, it should be included in WCC 61511, even if some modernization will be accomplished in conjunction with the work. These costs were formerly included in WCC 61511.

WORK CATEGORY CODE: **61520** - Dredging Activities for the Recreation Function

WORK CATEGORY DESCRIPTION: Dredging for recreation activities including all disposal activities.

Includes all costs for maintenance dredging and disposal activities for the recreation function, except project condition sediment survey costs which are included in Work Category Code 60520. It also includes the costs for before, during and after dredging surveys, required real estate activities, E&D, S&A, etc. Also included are costs to obtain environmental clearances to perform the associated dredging. Also includes all costs associated with the disposal of dredged materials as sand on beaches, and related

costs for spare parts, special tools, miscellaneous materials and supplies, transportation, disposal, and equipment.

WORK CATEGORY CODE: **61530**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61540** - Water Management (Control and Quality) Equipment for the Recreation Function

WORK CATEGORY DESCRIPTION: Purchase and Maintenance of Water Management (Control and Quality) Equipment for recreation features.

Includes all costs for the purchase of new or replacement hardware, software, and equipment (upgrades, betterments or expansion) and the maintenance of existing equipment used to acquire, process, display, and distribute data associated with project water management and regulation (water control and quality) for the recreation function. This includes only those costs related to equipment justified in approved Division water management Master plans. Purchase of multi-project equipment will be included in the Revolving Fund (PRIP). This includes PRIP payback for equipment purchase, software development, and system betterment for the Corps new Water Management System (SWMS). This also includes costs for maintenance and support of CWMS.

WORK CATEGORY CODE: **61551** - Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for the Recreation Function

WORK CATEGORY DESCRIPTION: Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for recreation features.

Includes all costs for planning, appraisal, negotiation, condemnation, relocation assistance, mapping surveying, title evidence, inspection, closing, audits and temporary permits necessary to acquire or dispose of lands and interests that support the recreational features of a project.

WORK CATEGORY CODE: **61552** - Real Estate - Resolution of Real Estate Encroachments for the Recreation Function

WORK CATEGORY DESCRIPTION: Real Estate - Resolution of Real Estate Encroachments for recreation features.

Includes all costs for the resolution of all encroachments on projects lands classified for recreational use and degradation of public lands and encroachments adversely affecting the recreational use of the project; including investigation, acquisition, disposal, and out-granting. Costs for boundary line surveys and remarking should be included in Work Category Code 61553.

WORK CATEGORY CODE: **61553** - Real Estate - Boundary Monumentation and Rectification for the Recreation Function

WORK CATEGORY DESCRIPTION: Real Estate - Boundary Monumentation and Rectification for recreation features.

Includes all costs to survey and mark boundary lines in support of acquisition; to resurvey or remark

boundary lines and place monuments in support of Executive Order actions and disposal actions, and costs to survey and mark boundary lines where not previously completed on lands classified for recreational use at a project.

WORK CATEGORY CODE: **61560** - Environmental Compliance (Remedial Actions) for the Recreation Function

WORK CATEGORY DESCRIPTION: Environmental Compliance (remedial actions) for recreation features.

Includes all maintenance, repair and remediation costs to comply with applicable Federal environmental laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), EO 13148, and applicable state and local regulations for recreation facilities and visitor centers. Costs include salaries, contaminant detection, waste analysis, site investigations, site remediation, treatment system installation, repair, renovation, and modification. Other costs associated with complicance include activities such as responding to marinas spills, updating hazard communication, disposal of unclaimed barrels or containers, and responding or clean-up of pesticide or chemical releases that support recreational activities on Corps owned land. Costs associated with medical surveillance and other employee health and safety requirements are not included.

WORK CATEGORY CODE: **61570**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61580**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61591** – Facility Security Maintenance and Replacement for Recreation

WORK CATEGORY DESCRIPTION: Facility Security – Maintenance and Replacement for recreation features.

Includes all costs to maintain and replace structural improvements for facility protection and security related to criminal and terrorist activities. Includes costs to maintain, repair or replace permanent or temporary barriers, fencing, traffic signs, lighting, communications equipment, intrusion detection systems such as video surveillance equipment and cameras, and access control. Costs for assessments are included in Work Category Code (WCC) 60591, and costs for guards and surveillance activities are included in WCC 60592. Costs for improvements and modifications are included in WCC 61592. Includes some costs formerly included in WCC 61590.

WORK CATEGORY CODE: **61592** – Facility Security Physical Improvements and Modifications for Recreation

WORK CATEGORY DESCRIPTION: Facility Security – Physical Improvements and Modifications for recreation features.

Includes all costs for engineering and design, and to acquire and install structural improvements,

modifications and physical improvements for facility protection and security related to criminal and terrorist activities. Includes costs for permanent or temporary barriers, fencing, traffic signs, lighting, communications equipment, intrusion detection systems such as video surveillance equipment and cameras, and access control. Includes some costs formerly included in WCC 61590.

WORK CATEGORY CODE: **61610** - Joint Activities for Maintenance excluding Dredging, FERC #541, #542, #543, #544 and #545

WORK CATEGORY DESCRIPTION: Joint costs for Maintenance activities NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply. These activities include maintenance of Dams, Reservoirs, Levees, Floodwalls, Hurricane Barriers, and Other Control Structures; Snagging, Clearing, Aquatic Plant Removal, Rock and Other Debris Removal, and Other Non-Dredging Channel Maintenance; Pumping Plants, Other Service Facilities (Buildings, Grounds, Utilities, and Roads, Railroads and Bridges), Gates, Conduits, Maintenance and Purchase of Permanent Operating Equipment, etc. excluding dredging.

Includes all joint costs for the maintenance and repair, replacement, additions and efficiency improvements to, or retirement of; related joint costs for spare parts, replacements, additions, special tools, miscellaneous supplies and materials; government plant and hired labor for project maintenance and contract support, transportation costs and other costs required to perform this maintenance function; purchase of permanent operating equipment:

of joint use facilities and equipment for dams, spillways, outlet works and auxiliary dams;

of reservoirs and facilities including floating trash booms, trash racks, erosion control, drainage, major periodic or one time removal of debris or aquatic growth to ensure proper functioning of the reservoir (minor and routine removal of growth and debris in the vicinity of dam structures and from reservoirs should be charged to Work Category Code 60610); and rim grouting or mine sealing, etc., to prevent leakage;

of levees, floodwalls, hurricane barriers, embankments, walls, in-channel structures, and other control structures to protect areas from inundation; snagging, clearing, debris removal; and non-dredging channel maintenance. This includes costs for removal of trees, brush, accumulated snags, drifts, and debris from canals and waterways; and channel improvement structures, revetments, linings, dikes, jetties, bulkheads, and buildings;

of pumping plants including such items as buildings, pumps, and prime movers including power supplies, controls, piping, and all other associated facilities;

of non-dredging channel maintenance including snagging, clearing, aquatic plant removal, removal of sunken vessels, drift removal, rock and other debris removal;

of buildings, grounds, utilities, and roads, railroads and bridges, such as administration and shop buildings, storage and garage buildings and areas, other non-leased or rented project buildings, local streets and sidewalks, project access roads, including the road across dams, parking areas, bridges, railroads, and walkways. Also includes costs for project utilities including electrical, gas, water, and sewer systems;

of permanent operating equipment;

and for instrumentation on dam structures, levees, floodwalls, hurricane barriers, and other control structures including costs related to installation and maintenance of instruments in existing structures for safety evaluation purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and vertical movement, stresses and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.

WORK CATEGORY CODE: **61621** - Joint Activities for Dredging, FERC #543

WORK CATEGORY DESCRIPTION: Joint costs for Dredging of Channels and Canals NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply. These activities include all disposal activities such as confined, open water, beach, wetland creation, aquatic habitat creation, etc.

Includes all joint costs for maintenance dredging of project channels and canals, and disposal activities, except for project condition sediment survey costs which are included in Work Category Code 60621. Also included are joint costs to obtain environmental clearances to perform the associated dredging. Long-range environmental requirements and costs for initial project condition surveys are included in related operations accounts. Also includes joint costs associated with the disposal of dredged materials in confined disposal facilities; open water; sand on beaches; the creation or restoration of wetlands or other aquatic habitat using dredged material; and the creation of land using dredged material. Also includes related joint costs for spare parts, replacements, special tools, miscellaneous materials and supplies, transportation and equipment usage.

WORK CATEGORY CODE: **61622** - Joint Activities for Dredging - Construction and Maintenance of Dredged Material Disposal Facilities, FERC #543

WORK CATEGORY DESCRIPTION: Joint costs for the Construction and Maintenance of Disposal Facilities for Dredged Materials NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs for the construction and the maintenance of disposal facilities, including confined disposal facilities, for dredged materials. Also includes related joint costs for spare parts, replacements, special tools, miscellaneous materials and supplies, transportation and equipment usage.

WORK CATEGORY CODE: **61630** - Joint Activities for Dam Safety Remediation of Deficiencies

WORK CATEGORY DESCRIPTION: Joint costs for Remediation of Safety Deficiencies for Dams, Levees and Other Structures as appropriate NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all direct costs for the non-routine repair, replacement and corrections to all dams included in the National Inventory of Dams plus any levees, diversion structures and related appurtenances maintained at Federal expense to remediate dam safety deficiencies. Includes related costs for contracts, parts, replacements, special tools, supplies and materials, government plant, hired labor to include contract support, transportation costs and other costs required to perform this work. Specifically, this includes non-routine maintenance and/or repair work for dams and pertinent structures and levees that have either been identified by any means as having a Dam Safety Deficiency or has been concurred to be deficient by the District Commander, his appointed Dam Safety Officer or District Dam Safety Program Manager. Dam Safety maintenance or repair work may be identified by any means such as a study, criteria review, or any scheduled or unscheduled inspection. Dam safety related work such as inspections, inspection

reports, rehabilitation reports, studies, surveys, and instrumentation will be categorized under the existing Work Category Codes in accordance with current practice. Only the actual work to include the associated plans and specifications (P&S), engineering and design (E&D) for the repairs or remedial corrections will be included in this Work Category Code as appropriate. For those business programs that do not specifically have a Work Category Code for Dam Safety (61130, 61230 and 61330) yet may encounter dam safety related work, the costs should be included in the primary business program for that project. Costs are only included in this Work Category Code if they meet the above definition for Dam Safety. Costs for regular, recurring maintenance activities will not be included in this WCC.

WORK CATEGORY CODE: **61640** - Joint Activities for Water Management Equipment, FERC #542

WORK CATEGORY DESCRIPTION: Joint costs for the Purchase and Maintenance of Water Management (Control and Quality) Equipment NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs for the purchase of new or replacement hardware, software, and equipment (upgrades, betterments or expansion) and the maintenance of existing equipment used to acquire, process, display, and distribute data associated with project water management and regulation (water control and quality). This includes only those costs related to equipment justified in approved Division water management Master plans. Purchase of multi-project equipment will be included in the Revolving Fund (PRIP). This includes PRIP payback for equipment purchase, software development, and system betterment for the Corps new Water Management System (SWMS). This also includes costs for maintenance and support of CWMS.

WORK CATEGORY CODE: **61651** - Joint Activities for Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits, FERC #545

WORK CATEGORY DESCRIPTION: Joint costs for Real Estate activities - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs for planning, appraisal, negotiation, condemnation, relocation assistance, mapping, surveying, title evidence, inspections, closings, audits and temporary permits necessary to acquire or dispose of lands and interests, real estate payments for acquisition of real property and interests therein, and costs to take necessary actions to settle claims, including damage payments arising from claims over the use and occupancy of land, real property and timber in which fee, easements, or lesser interests were not acquired.

WORK CATEGORY CODE: **61652** - Joint Activities for Real Estate - Resolution of Real Estate Encroachments, FERC #545

WORK CATEGORY DESCRIPTION: Joint costs for Real Estate activities - Resolution of Real Estate Encroachments NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs for the resolution of all encroachments on project lands, and degradation of public lands and encroachments adversely affecting the intended uses of potentially high use areas; including investigation, acquisition, disposal, and out-granting.

WORK CATEGORY CODE: **61653** - Joint Activities for Real Estate - Boundary Monumentation and

Rectification, FERC #545

WORK CATEGORY DESCRIPTION: Joint costs for Real Estate activities - Boundary Monumentation and Rectification NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs to survey and mark boundary lines in support of acquisition; to resurvey or remark boundary lines and place monuments in support of Executive Order actions and disposal actions; and costs to survey and mark boundary lines where not previously completed.

WORK CATEGORY CODE: **61660** - Joint Activities for Environmental Compliance (Remedial Actions), FERC #545

WORK CATEGORY DESCRIPTION: Joint costs for Environmental Compliance (remedial actions) NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply. These activities include actions for Dams, Levees, Other Control Structures, Pumping Plants and Other Project Facilities.

Includes all joint costs maintenance, repair and remediation costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), EO 13148, and applicable state and local regulations for dams, reservoirs, levees, other control structures, pumping plants and other joint use project facilities. Costs include salaries, contaminant detection, waste analysis, site investigations, site remediation, treatment system installation, repair, renovation, modification, and other costs associated with compliance. Costs associated with medical surveillance and other employee health and safety requirements are not included.

WORK CATEGORY CODE: **61670**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61680**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61691** – Joint Activities for Facility Security Maintenance and Replacement

WORK CATEGORY DESCRIPTION: Joint Costs for Facility Security – Maintenance and Replacement NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs to maintain and replace structural improvements for facility protection and security related to criminal and terrorist activities. Includes joint costs to maintain, repair or replace permanent or temporary barriers, fencing, traffic signs, lighting, communications equipment, intrusion detection systems uch as video surveillance equipment and cameras, and access control. Joint costs for assessments are included in Work Category Code 60691, and costs for guards and surveillance activities are included in Work Category Code 60692.

WORK CATEGORY CODE: **61692** – Joint Activities for Facility Security Physical Improvements and Modifications

WORK CATEGORY DESCRIPTION: Joint Costs for Facility Security – Physical Improvements and Modifications NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and Water Supply.

Includes all joint costs for engineering and design, and to acquire and install structural improvements, modifications and physical improvements for facility protection and security related to criminal and terrorist activities. Includes joint costs for permanent or temporary barriers, fencing, traffic signs, lighting, communications equipment, intrusion detection systems such as video surveillance equipment and cameras, and access control. Joint costs for assessments are included in Work Category Code 60691, and costs for guards and surveillance activities are included in Work Category Code 60692.

WORK CATEGORY CODE: **61810** - Maintenance for the Water Supply Function

WORK CATEGORY DESCRIPTION: Maintenance of Project Gates, Water Supply Conduits, Permanent Operating Equipment, etc. excluding dredging activities for water supply features.

Includes all direct costs for the maintenance and repair, replacement, additions and efficiency improvements to, or retirement of; related costs for spare parts, replacements, additions, special tools, miscellaneous supplies and materials; government plant and hired labor for project maintenance and contract support, transportation costs and other costs required to perform this maintenance function; purchase of permanent operating equipment for non-Water Management activities: of project gates and specific water supply conduits; and permanent operating equipment. Prior to FY 07, these costs were included in WCC 61211.

Table C-2.3ab

TABLE C-2.4
CONTACTS FOR PERFORMANCE MEASURES
For O&M PROGRAM SUBMITTAL

ENTRY #	PROPONENT MANAGER	BUSINESS FUNCTION	PERFORMANCE MEASURE
1	CECW-CO 202-761-8648	Navigation	Percent Time Achieve Purpose - Coastal
2	CECW-CO 202-761-8648	Navigation	Percent Time Achieve Purpose - Inland
3	CECW-CP 202-761-4127	Flood Damage Reduction	Availability
4	CECW-CO 202-761-4889	Hydropower	Forced Outage
5	CECW-CO 202-761-4889	Hydropower	Peak Season Availability
6	CECW-CO 202-761-5541	Recreation	Recreation Unit Day Availability
7	CECW-CO 202-761-5541	Recreation	Facility Condition Index
8	CECW-CO 202-761-5541	Recreation	NED Benefit
9	CECW-CO 202-761-1228 202-761-4704	Environment – Stewardship	Percent of Minimum Level One Natural Resources Inventory Completed
10	CECW-CO 202-761-1228 202-761-4704	Environment – Stewardship	Percent of Healthy and Sustainable Acres on Corps Property
11	CECW-CO 202-761-1228 202-761-4704	Environment-Stewardship	Mitigation Land Meeting Requirements
12	CECW-CO 202-761-1228 202-761-4704	Environment-Stewardship	Percent of Corps-Operated Projects with Master Plans in Compliance with ER 1130-2-550
13	CECW-CO 202-761-4690	Environmental – Compliance	a. Significant Findings Corrected b. Major Findings Corrected

ILLUSTRATION C-2.1
XXX MAJOR SUBORDINATE COMMAND (MSC)
SUPPLEMENTAL JUSTIFICATION SHEET
MAJOR MAINTENANCE

(1) **DESCRIPTION OF WORK:** (Describe specific items of work to be included in the overall package.)

(2) **JUSTIFICATION**: (Provide justification for the total work to be accomplished, including economic evaluation. Quantify benefits when possible. In last paragraph of justification, provide arguments on why the work should be started in the program year, either design or construction; and the impact of not starting the work in the program year. For ongoing work, include the impacts of not continuing the work in the program year. These paragraphs must be in sufficient detail to permit a decision to be made on the investment.)

(3) **ESTIMATED COST AND SCHEDULE:** (Provide the basis of the estimated cost, i.e., based on cost of XYZ PROJECT IN FY 1990 indexed to current price levels, reconnaissance level estimate, e.g. *Design Memorandum D-28 approved 22 January 1993, etc;* and include the amount of contingencies included in the estimate. The cost estimate should be broken down to reflect individual DDRs, procurements, contracts, installations, etc. Schedule dates should be shown only to the month and year, e.g.,11/01, and all dollar amounts in even thousands, i.e., $10,000 to be shown as 10. The estimate and schedule should include required fund requirements for engineering and design during construction and other related costs for completion of a total package. If contributed funds are required for Corps construction activities, include in cost estimate and add a line to the schedule with minus entries; so that the total line will reflect Total Federal fund requirements by year.)

This illustration is included to show the additional information required for major maintenance activities. This information will be provided in the format shown in the expanded funding argument field.

ILLUSTRATION C-2.5a
MAJOR SUBORDINATE COMMAND
JUSTIFICATION OF ESTIMATE

APPROPRIATION TITLE: Operation and Maintenance, FY (PY)

I. Navigation
Channels and Harbors. The program estimate of $ provides for essential operation and maintenance work on xx channel and harbor projects named in the list which follows. The work to be accomplished under this activity consists of operating and maintaining the coastal navigation channels, harbors and anchorages by means of dredging, constructing bulkheads and spoil disposal areas, snagging, and repairing channel stabilization works, navigation structures, and harbor jetties, all as authorized in the laws pertaining to river and harbor projects.

Region 01 New England -- The drainage within the United States that ultimately discharges into: (a) the Bay of Fundy; (b) the Atlantic Ocean within and between the states of Maine and Connecticut; (c) Long Island Sound north of the New York-Connecticut state line; and (d) the Riviere St. Francois, a tributary of the St. Lawrence River. Includes all of Maine, New Hampshire and Rhode Island and parts of Connecticut, Massachusetts, New York, and Vermont.

Projects funded in the FY 2008 budget for operation, maintenance, and rehabilitation are as follows:

Connecticut
Black Rock Lake, CT
Colebrook River Lake, CT
Hancock Brook Lake, CT
Hop Brook Lake, CT
Inspection Of Completed Works, CT
Long Island Sound, CT & NY
Mansfield Hollow Lake, CT
Northfield Brook Lake, CT
Project Condition Surveys, CT
Stamford Hurricane Barrier, CT
Thomaston Dam, CT
West Thompson Lake, CT

Massachusetts
Barre Falls Dam, MA
Birch Hill Dam, MA
Buffumville Lake, MA
Cape Cod Canal, MA
Charles River Natural Valley Storage Area, MA
Conant Brook Lake, MA
East Brimfield Lake, MA
Hodges Village Dam, MA
Inspection Of Completed Works, MA
Knightville Dam, MA
Littleville Lake, MA
New Bedford Fairhaven And Acushnet Hurricane Barrier, MA
Project Condition Surveys, MA
Salem Harbor, MA
Tully Lake, MA
West Hill Dam, MA
Westville Lake, MA

Maine
Bucks Harbor, Machiasport, ME
Disposal Area Monitoring, ME
Inspection Of Completed Works, ME
Portland Harbor, ME
Project Condition Surveys, ME
Surveillance Of Northern Boundary Waters, ME

New Hampshire
Blackwater Dam, NH
Edward Macdowell Lake, NH
Franklin Falls Dam, NH
Hopkinton - Everett Lakes, NH
Inspection Of Completed Works, NH
Otter Brook Lake, NH
Project Condition Surveys, NH
Surry Mountain Lake, NH

Rhode Island
Inspection Of Completed Works, RI
Point Judith Pond Hbr Of Refuge, RI
Project Condition Surveys, RI

Vermont
Ball Mountain Lake, VT
Inspection Of Completed Works, VT

Region 01 New England -- Continued

North Hartland Lake, VT
North Springfield Lake, VT
Townshend Lake, VT
Union Village Dam, VT

1/ Projects funded in the FY 2008 budget for minimal operation and maintenance.

In addition, funding may be reallocated to the following projects that were included in the FY 2007 budget, where necessary to complete a useful increment of work for which FY 2008 funding proves to be insufficient.

Maine
Maine Project 1
Maine Project 2

Massachusetts
Massachusetts Project 1

The PY budget includes funding for operation, maintenance, and rehabilitation in Region 1 by business line as follows:

North Atlantic Division (NAD) (Dollars in Thousands)				
Business Line Navigation State/Project Name		FY (PY-1) Total (operations) (Maintenance)	FY (PY) Total (operations) (Maintenance)	Reason for Change and Major Maintenance Items 1. Reasons for change in Operartions from PY-1 to PY (10% +/-) 2. Major Maintenance Items Programmed in PY (Threshold $3,000,000)
State 1				
Project A	Total			
	O			
	M			
Project B	Total			
	O			
	M			
State 2				
Project A	Total			
	O			
	M			
Project B	Total			
	O			
	M			
NAD Division Total in Region	Total			
	O			
	M			

ILLUSTRATION C-2.5a
MAJOR SUBORDINATE COMMAND
JUSTIFICATION OF ESTIMATE

APPROPRIATION TITLE: Operation and Maintenance, FY (PY)

I. Navigation

Channels and Harbors. The program estimate of $ provides for essential operation and maintenance work on xx channel and harbor projects named in the list which follows. The work to be accomplished under this activity consists of operating and maintaining the coastal navigation channels, harbors and anchorages by means of dredging, constructing bulkheads and spoil disposal areas, snagging, and repairing channel stabilization works, navigation structures, and harbor jetties, all as authorized in the laws pertaining to river and harbor projects.

Region 02 Mid-Atlantic - The drainage within the United States that ultimately discharges into: (a) the Atlantic Ocean within and between the states of New York and Virginia; (b) Long Island Sound south of the New York-Connecticut State Line; and (c) the Riviere Richelieu, a tributary of the St. Lawrence River. Includes all of Delaware and New Jersey and the District of Columbia, and parts of Connecticut, Maryland, Massachusetts, New York, Pennsylvania, Vermont, Virginia, and West Virginia.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

District Of Columbia
Inspection Of Completed Works, DC
Potomac And Anacostia Rivers, DC (Drift Removal)
Potomac River Below Washington, DC
Project Condition Surveys, DC
Washington Harbor, DC 1/

Delaware
Delaware Bay Coastline, Roosevelt Inlet To Lewes Beach, DE
Delaware River, Philadelphia To The Sea, NJ, PA & De
Intracoastal Waterway, Rehoboth Bay To Delaware Bay, DE 1/
Mispillion River, DE
Murderkill River, DE
Project Condition Surveys, DE
Wilmington Harbor, DE

Maryland
Assateague Island, MD
Baltimore Harbor And Chan. (50 Foot), MD
Baltimore Harbor, MD (Drift Removal)
Inspection Of Completed Works, MD
Intracoastal Waterway, DElaware R To Chesapeake Bay, DE & MD
Ocean City Harbor And Inlet And Sinepuxent Bay, MD 1/
Poplar Island, MD
Project Condition Surveys, MD
Scheduling Reservoir Operations, MD
Twitch Cove & Big Thorofare R., MD
Wicomico River, MD

New Jersey
Barnegat Inlet, NJ 1/
Cape May Inlet To Lower Township, NJ
Cold Spring Inlet, NJ
Delaware River At Camden, NJ
Delaware River, Philadelphia, PA To Trenton, NJ
Inspection Of Completed Works, NJ
Lower Cape May Meadows, Cape May Point, NJ
Manasquan River, NJ
New Jersey Intracoastal Waterway, NJ 1/
Newark Bay, Hackensack And Passaic Rivers, NJ
Passaic River Flood Warning Systems, NJ
Project Condition Surveys, NJ
Raritan River, NJ
Salem River, NJ 1/

New York
Almond Lake, NY
Arkport Dam, NY
East River, NY
East Rockaway Inlet, NY
East Sidney Lake, NY
Eastchester Creek, NY 1/

Region 02 Mid-Atlantic - Continued

Fire Island Inlet To Jones Inlet, NY
Flushing Bay And Creek, NY
Region 02 Mid-Atlantic - Continued

Hudson River Channel, NY

Hudson River, NY (O&C) 1/
Hudson River, NY (Maint)
Inspection Of Completed Works, NY
Jamaica Bay, NY 1/
Jones Inlet, NY 1/
Little Sodus Bay Harbor, NY
Long Island Intracoastal Waterway, NY 1/
Narrows Of Lake Champlain, VT & NY 1/
New York And New Jersey Channels, NY
New York Harbor, NY
New York Harbor, NY & NJ (Drift Removal)
New York Harbor, NY (Prevention Of Obstructive Deposits)

Project Condition Surveys, NY
Southern New York Flood Control Projects, NY
Whitney Point Lake, N

Pennsylvania

Alvin R Bush Dam, PA
Aylesworth Creek Lake, PA
Beltzville Lake, PA
Blue Marsh Lake, PA
Cowanesque Lake, PA
Curwensville Lake, PA
Foster Joseph Sayers Dam, PA
Francis E Walter Dam, PA
General Edgar Jadwin Dam And Reservoir, PA
Inspection Of Completed Works, PA
Prompton Lake, PA
Raystown Lake, PA

Scheduling Reservoir Operations, PA
Schuylkill River, PA
Stillwater Lake, PA
Tioga - Hammond Lakes, PA
York Indian Rock Dam, PA

Virginia

Norfolk Harbor, VA (Prevention Of Obstructive Deposits)
Gathright Dam And Lake Moomaw, VA
Hampton Rds, Norfolk & Newport News Hbr, VA (Drift Removal)
Inspection Of Completed Works, VA
James River Channel, VA
Norfolk Harbor, VA
Project Condition Surveys, VA
Inspection Of Completed Works, Vt

West Virginia

Cumberland, MD And Ridgeley, WV
Jennings Randolph Lake, MD & Wv

1/ Projects funded in the PY budget for minimal operation and maintenance.

In addition, funding may be reallocated to the following projects that were included in the PY-1 budget, where necessary to complete a useful increment of work for which PY funding proves to be insufficient.

Maryland

Maryland Project 1

New Jersey

New Jersey Project 1
New Jersey Project 2

New York

New York Project 1
New York Project 1

Region 02 Mid-Atlantic - Continued

The PY budget includes funding for operation, maintenance, and rehabilitation in Region 2 by business line as follows:

Great Lakes and Ohio River Division (LRD) (Dollars in Thousands)				
Business Line Navigation State/Project Name		FY (PY-1) Total (operations) (Maintenance)	FY (PY) Total (operations) (Maintenance)	Reason for Change and Major Maintenance Items 1. Reasons for change in Operartions from PY-1 to PY (10% +/-) 2. Major Maintenance Items Programmed in PY (Threshold $3,000,000)
Sate 1				
Project A	Total			
	O			
	M			
Project B	Total			
	O			
	M			
State 2				
Project A	Total			
	O			
	M			
Project B	Total			
	O			
	M			
LRD Division Total in Region	Total			
	O			
	M			

Region 02 Mid-Atlantic - Continued

The PY budget includes funding for operation, maintenance, and rehabilitation in Region 2 by business line as follows:

North Atlantic Division (NAD) (Dollars in Thousands)				
Business Line Navigation State/Project Name		FY (PY-1) Total (operations) (Maintenance)	FY (PY) Total (operations) (Maintenance)	Reason for Change and Major Maintenance Items 1. Reasons for change in Operartions from PY-1 to PY (10% +/-) 2. Major Maintenance Items Programmed in PY (Threshold $3,000,000)
State 1				
Project A	Total			
	O			
	M			
Project B	Total			
	O			
	M			
State 2				
Project A	Total			
	O			
	M			
Project B	Total			
	O			
	M			
NAD Division Total in Region	Total			
	O			
	M			

Region 02 Mid-Atlantic - Continued

The PY budget includes funding for operation, maintenance, and rehabilitation in Region 2 by business line as follows:

Region 2 Total				
Business Line Navigation		FY (PY-1) Total (operations) (Maintenance)	FY (PY) Total (operations) (Maintenance)	Reason for Change and Major Maintenance Items 1. Reasons for change in Operartions from PY-1 to PY (10% +/-) 2. Major Maintenance Items Programmed in PY (Threshold $3,000,000)
Region 2 Total	Total			
	O			
	M			

ILLUSTRATION C-2.5b
MAJOR SUBORDINATE COMMAND
JUSTIFICATION OF ESTIMATE

APPROPRIATION TITLE: Operation and Maintenance, FY (PY)

2. Flood Control
a**. Reservoirs: Scheduling Reservoir Operations.** The $ requested in FY (PY) supports preparation, review and updating of water control manuals, real-time data collection to monitor hydrologic conditions, and the issuance of gate regulation instructions as necessary at non-Corps dam and reservoir projects at which the Corps is responsible for flood control or navigation.

Region 11 Arkansas-White-Red - The drainage of the Arkansas, White, and Red River Basins above the points of highest backwater effect of the Mississippi River. Includes all of Oklahoma and parts of Arkansas, Colorado, Kansas, Louisiana, Missouri, New Mexico, and Texas.

Projects funded in the FY 2008 budget for operation, maintenance and rehabilitation are as follows:

Arkansas	Louisiana	Texas
Colorado	Missouri	
Kansas	Oklahoma	

1/ Projects funded in the PY budget for minimal operation and maintenance.

In addition, funding may be reallocated to the following projects that were included in the PY-1 budget, where necessary to complete a useful increment of work for which PY funding proves to be insufficient.

Arkansas
Arkansas Project 1
Arkansas Project 2

Texas
Texas Project 1

The PY budget includes funding for **Scheduling Reservoir Operations** in Region 11 follows:

South Western Division (SWD) (Dollars in Thousands)			
Business Program Flood Control Scheduling Reservoir Operations State/Project Name	FY (PY-1) Total (operations) (Maintenance)	FY (PY) Total (operations) (Maintenance)	Reason for Change and Major Maintenance Items 1. Reasons for change in Operations from PY-1 to PY (10% +/-) 2. Major Maintenance Items Programmed in PY (Threshold $3,000,000)
Arkansas			
Colorado			
Kansas			
Louisiana			
Missouri			
Oklahoma			
Texas			
SWD Division Total in Region			

b. **Channel Improvement**: **Inspection of Completed Works**. The $ requested in FY (PY) supports inspections at flood control projects constructed by the Corps and operated and maintained by non-Federal interests. The inspections are conducted to determine the extent of compliance with legal standards and to advise local interests, as necessary, of corrective measures required to ensure that project structures and facilities will continue to safely provide flood protection benefits. These projects consist of features such as channels, levees, flood walls, drainage structures and pumping plants.

The PY budget includes funding for **Inspection of Completed Works** in Region 11 follows:

South Western Division (SWD) (Dollars in Thousands)			
Business Program Flood Control Inspection of Completed Works State/Project Name	FY (PY-1) Total (operations) (Maintenance)	FY (PY) Total (operations) (Maintenance)	Reason for Change and Major Maintenance Items 1. Reasons for change in Operations from PY-1 to PY (10% +/-) 2. Major Maintenance Items Programmed in PY (Threshold $3,000,000)
Arkansas			
Colorado			
Kansas			
Louisiana			
Missouri			
Oklahoma			
Texas			
SWD Division Total in Region			

ILLUSTRATION C-2.5c
MAJOR SUBORDINATE COMMAND
JUSTIFICATION OF ESTIMATE

APPROPRIATION TITLE: Operation and Maintenance, FY (PY)

4. Protection of Navigation
a**. Project Condition Surveys**. The $ requested in FY (PY) supports hydrographic surveys, inspections, and studies to determine the condition of navigation channels that do not have any other maintenance work included in the program request and disseminate the information to users of the projects. For the projects that do not require maintenance, surveys are performed at many of them in order to determine the degree of sedimentation so that users can be advised of channel conditions and future maintenance can be scheduled.

Region 04 Great Lakes - The drainage within the United States that ultimately discharges into: (a) the Great Lakes system, including the lake surfaces, bays, and islands; and (b) the St. Lawrence River to the Riviere Richelieu drainage boundary. Includes parts of Illinois, Indiana, Michigan, Minnesota, New York, Ohio, Pennsylvania, and Wisconsin.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Illinois	Minnesota	Pennsylvania
Indiana	New York	Wisconsin
Michigan	Ohio	

1/ Projects funded in the PY budget for minimal operation and maintenance.

In addition, funding may be reallocated to the following projects that were included in the PY-1 budget, where necessary to complete a useful increment of work for which PY funding proves to be insufficient.

Indiana
Indiana Project 1
Indiana Project 2

New York
New Yorks Project 1

The PY budget includes funding for **Scheduling Reservoir Operations** in Region 4 follows:

Great Lakes and Ohio River Division (LRD) (Dollars in Thousands)			
Business Program Protection of Navigation Project Condition Surveys State/Project Name	FY (PY-1) Total (operations) (Maintenance)	FY (PY) Total (operations) (Maintenance)	Reason for Change and Major Maintenance Items 1. Reasons for change in Operations from PY-1 to PY (10% +/-) 2. Major Maintenance Items Programmed in PY (Threshold $3,000,000)
Illinois			
Indiana			
Michigan			
Minnesota			
New York			
Ohio			
Pennsylvania			
Wisconsin			
LRD Division Total in Region			

b. Surveillance of Northern Boundary Waters. The $ requested in FY (PY) supports meeting US obligations under provisions of boundary water treaties and other international agreements. Data collection includes current velocity measurements, presence and intensity of ice, water levels, land use patterns and estimating potential damages caused by extreme levels. This information can be used to enhance water level forecasts, develop crises response plans, and provide advance warning to area residents and waterway users of impending floods or ice jams.

The FY 2008 budget includes funding for **Surveillance of Northern Boundary Waters** in Region 4 follows:

Great Lakes and Ohio River Division (LRD) (Dollars in Thousands)			
Business Program Protection of Navigation Surveillance of Northern Boundary Waters State/Project Name	FY (PY-1) Total (operations) (Maintenance)	FY (PY) Total (operations) (Maintenance)	Reason for Change and Major Maintenance Items 1. Reasons for change in Operations from PY-1 to PY (10% +/-) 2. Major Maintenance Items Programmed in PY (Threshold $3,000,000)
Illinois			
Indiana			
Michigan			
Minnesota			
New York			
Ohio			
Pennsylvania			
LRD Division Total in Region			

Table C-2-7
Water Resource Regions

Region Names and District Acronyms
are Listed on Following Pages

The work is accomplished in the following water resource regions as delineated by watershed boundaries:

Region 01 New England
Region 02 Mid-Atlantic
Region 03 South Atlantic-Gulf
Region 04 Great Lakes
Region 05 Ohio
Region 06 Tennessee
Region 07 Upper Mississippi
Region 08 Lower Mississippi
Region 09 Souris-Red-Rainy
Region 10 Missouri
Region 11 Arkansas-White-Red
Region 12 Texas-Gulf
Region 13 Rio Grande
Region 14 Upper Colorado
Region 15 Lower Colorado
Region 16 Great Basin
Region 17 Pacific Northwest
Region 18 California
Region 19 Alaska
Region 20 Hawaii
Region 21 Caribbean

GLOSSARY OF DISTRICT ACRONYMS

LRB Buffalo District
LRC Chicago District
LRD Great Lakes & Ohio River Division
LRE Detroit District
LRH Huntington District
LRL Louisville District
LRN Nashville District
LRP Pittsburgh District
MVD Mississippi Valley Division
MVK Vicksburg District
MVM Memphis District
MVN New Orleans District
MVP St. Paul District
MVR Rock Island District
MVS St. Louis District
NAB Baltimore District
NAD North Atlantic Division
NAE New England District
NAN New York District
NAO Norfolk District
NAP Philadelphia District
NWD Northwestern Division
NWK Kansas City District
NWO Omaha District
NWP Portland District
NWS Seattle District
NWW Walla Walla District
POA Alaska District
POD Pacific Ocean Division
POH Honolulu District
SAC Charleston District
SAD South Atlantic Division
SAJ Jacksonville District
SAM Mobile District
SAS Savannah District
SAW Wilmington District
SPD South Pacific Division
SPL Los Angeles District
SPK Sacramento District
SPN San Francisco District
SPA Albuquerque District
SWD Southwestern Division
SWF Fort Worth District
SWG Galveston District
SWL Little Rock District
SWT Tulsa District

Table C-2-7
Water Resource Regions

Region 01 New England -- The drainage within the United States that ultimately discharges into: (a) the Bay of Fundy; (b) the Atlantic Ocean within and between the states of Maine and Connecticut; (c) Long Island Sound north of the New York-Connecticut state line; and (d) the Riviere St. Francois, a tributary of the St. Lawrence River. Includes all of Maine, New Hampshire and Rhode Island and parts of Connecticut, Massachusetts, New York, and Vermont.

Projects funded in the PY budget for operation, maintenance, and rehabilitation are as follows:

Connecticut
Black Rock Lake, CT
Colebrook River Lake, CT
Hancock Brook Lake, CT
Hop Brook Lake, CT
Inspection Of Completed Works, CT
Long Island Sound, CT & NY
Mansfield Hollow Lake, CT
Northfield Brook Lake, CT
Project Condition Surveys, CT
Stamford Hurricane Barrier, CT
Thomaston Dam, CT
West Thompson Lake, CT

Massachusetts
Barre Falls Dam, MA
Birch Hill Dam, MA
Buffumville Lake, MA
Cape Cod Canal, MA
Charles River Natural Valley Storage Area, MA
Conant Brook Lake, MA
East Brimfield Lake, MA
Hodges Village Dam, MA
Inspection Of Completed Works, MA
Knightville Dam, MA
Littleville Lake, MA
New Bedford Fairhaven And Acushnet Hurricane Barrier, MA
Project Condition Surveys, MA
Salem Harbor, MA
Tully Lake, MA
West Hill Dam, MA
Westville Lake, MA

Maine
Bucks Harbor, Machiasport, ME
Disposal Area Monitoring, ME
Inspection Of Completed Works, ME
Portland Harbor, ME
Project Condition Surveys, ME
Surveillance Of Northern Boundary Waters, ME

New Hampshire
Blackwater Dam, NH
Edward Macdowell Lake, NH
Franklin Falls Dam, NH
Hopkinton - Everett Lakes, NH
Inspection Of Completed Works, NH
Otter Brook Lake, NH
Project Condition Surveys, NH
Surry Mountain Lake, NH

Rhode Island
Inspection Of Completed Works, RI
Point Judith Pond Hbr Of Refuge, RI
Project Condition Surveys, RI

Vermont
Ball Mountain Lake, VT
Inspection Of Completed Works, VT
North Hartland Lake, VT
North Springfield Lake, VT
Townshend Lake, VT
Union Village Dam, VT

Region 02 Mid-Atlantic - The drainage within the United States that ultimately discharges into: (a) the Atlantic Ocean within and between the states of New York and Virginia; (b) Long Island Sound south of the New York-Connecticut State Line; and (c) the Riviere Richelieu, a tributary of the St. Lawrence River. Includes all of Delaware and New Jersey and the District of Columbia, and parts of Connecticut, Maryland, Massachusetts, New York, Pennsylvania, Vermont, Virginia, and West Virginia.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

District Of Columbia
Inspection Of Completed Works, DC
Potomac And Anacostia Rivers, DC (Drift Removal)
Potomac River Below Washington, DC
Project Condition Surveys, DC
Washington Harbor, DC 1/

Delaware
Delaware Bay Coastline, Roosevelt Inlet To Lewes Beach, DE
Delaware River, Philadelphia To The Sea, NJ, PA & De
Intracoastal Waterway, Rehoboth Bay To Delaware Bay, DE 1/
Mispillion River, DE
Murderkill River, DE
Project Condition Surveys, DE
Wilmington Harbor, DE

Maryland
Assateague Island, MD
Baltimore Harbor And Chan. (50 Foot), MD
Baltimore Harbor, MD (Drift Removal)
Inspection Of Completed Works, MD
Intracoastal Waterway, DElaware R To Chesapeake Bay, DE & MD
Ocean City Harbor And Inlet And Sinepuxent Bay, MD 1/
Poplar Island, MD
Project Condition Surveys, MD
Scheduling Reservoir Operations, MD
Twitch Cove & Big Thorofare R., MD
Wicomico River, MD

New Jersey
Barnegat Inlet, NJ 1/
Cape May Inlet To Lower Township, NJ
Cold Spring Inlet, NJ
Delaware River At Camden, NJ
Delaware River, Philadelphia, PA To Trenton, NJ
Inspection Of Completed Works, NJ
Lower Cape May Meadows, Cape May Point, NJ
Manasquan River, NJ
New Jersey Intracoastal Waterway, NJ 1/
Newark Bay, Hackensack And Passaic Rivers, NJ
Passaic River Flood Warning Systems, NJ
Project Condition Surveys, NJ
Raritan River, NJ
Salem River, NJ 1/

New York
Almond Lake, NY
Arkport Dam, NY
East River, NY
East Rockaway Inlet, NY
East Sidney Lake, NY
Eastchester Creek, NY 1/
Fire Island Inlet To Jones Inlet, NY
Flushing Bay And Creek, NY
Hudson River Channel, NY
Hudson River, NY (O&C) 1/
Hudson River, NY (Maint)
Inspection Of Completed Works, NY
Jamaica Bay, NY 1/
Jones Inlet, NY 1/
Little Sodus Bay Harbor, NY
Long Island Intracoastal Waterway, NY 1/
Narrows Of Lake Champlain, VT & NY 1/
New York And New Jersey Channels, NY
New York Harbor, NY
New York Harbor, NY & NJ (Drift Removal)
New York Harbor, NY (Prevention Of Obstructive Deposits)
Project Condition Surveys, NY
Southern New York Flood Control Projects, NY
Whitney Point Lake, NY

Pennsylvania
Alvin R Bush Dam, PA
Aylesworth Creek Lake, PA
Beltzville Lake, PA
Blue Marsh Lake, PA
Cowanesque Lake, PA
Curwensville Lake, PA
Foster Joseph Sayers Dam, PA

Table C-2-7
Water Resource Regions

Region 02 Mid-Atlantic - Continued

General Edgar Jadwin Dam And Reservoir, PA
Inspection Of Completed Works, PA
Prompton Lake, PA
Raystown Lake, PA
Scheduling Reservoir Operations, PA
Schuylkill River, PA
Stillwater Lake, PA
Tioga - Hammond Lakes, PA
York Indian Rock Dam, PA

Virginia
Norfolk Harbor, VA (Prevention Of Obstructive Deposits)
Gathright Dam And Lake Moomaw, VA
Hampton Rds, Norfolk & Newport News Hbr, VA (Drift Removal)
Inspection Of Completed Works, VA
James River Channel, VA
Norfolk Harbor, VA
Project Condition Surveys, VA
Inspection Of Completed Works, Vt

West Virginia
Cumberland, MD And Ridgeley, WV
Jennings Randolph Lake, MD & Wv

Region 03 South Atlantic-Gulf The drainage that ultimately discharges into: (a) the Atlantic Ocean within and between the states of Virginia and Florida; (b) the Gulf of Mexico within and between the states of Florida and Louisiana; and (c) the associated waters. Includes all of Florida and South Carolina, and parts of Alabama, Georgia, Louisiana, Mississippi, North Carolina, Tennessee, and Virginia.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Alabama
Alabama - Coosa Comprehensive Water Study, AL
Alabama - Coosa River, AL 1/
Alabama - Coosa System, AL
Black Warrior And Tombigbee Rivers, AL
Gulf Intracoastal Waterway, AL
Inspection Of Completed Works, AL
Millers Ferry Lock And Dam, William 'Bill' Dannelly Lake, AL 1/
Mobile Harbor, AL
Project Condition Surveys, AL
Robert F Henry Lock And Dam, AL 1/
Scheduling Reservoir Operations, AL
West Point Dam And Lake, GA & AL

Florida
AIWW, Norfolk, VA To St Johns River, FL, GA, SC, NC & VA
Apalachicola, Chattahoochee And Flint Rivers, GA, AL & FL 1/
Brevard County, Canaveral Harbor, FL
Canaveral Harbor, FL
Central And Southern Florida, FL
Fernandina Harbor, FL
Fort Myers Beach, FL
Inspection Of Completed Works, FL
Intracoastal Waterway, Jacksonville To Miami, FL 1/
Jacksonville Harbor, FL
Lake Worth Sand Transfer Plant, FL
Miami River, FL
Nassau County, FL
Okeechobee Waterway, FL 1/
Palm Beach Harbor, FL
Pensacola Harbor, FL
Project Condition Surveys, FL
Removal Of Aquatic Growth, FL
Scheduling Reservoir Operations, FL
St John'S County, FL
Tampa Harbor, FL

Georgia
Allatoona Lake, GA 1/
Atlantic Intracoastal Waterway, GA
Brunswick Harbor, GA
Buford Dam And Lake Sidney Lanier, GA
Carters Dam And Lake, GA
Inspection Of Completed Works, GA
Jim Woodruff Lock And Dam, Lake Seminole, FL, AL & GA 1/
Project Condition Surveys, GA
Savannah Harbor, GA
Savannah River Below Augusta, GA 1/
Walter F George L&D, AL & GA 1/

Mississippi
Pearl River, MS & LA 1/
East Fork, Tombigbee River, MS
Gulfport Harbor, MS

Inspection Of Completed Works, MS
Okatibbee Lake, MS
Pascagoula Harbor, MS
Region 03 South Atlantic-Gulf - continued

Project Condition Surveys, MS
Tennessee - Tombigbee Waterway Wildlife Mitigation, AL & MS
Tennessee - Tombigbee Waterway, AL & MS
North Carolina
Atlantic Intracoastal Waterway, NC
B Everett Jordan Dam And Lake, NC
Cape Fear Riv. Above Wilmington, NC 1/
Falls Lake, NC
Inspection Of Completed Works, NC
John H Kerr Lake, VA & NC
Manteo (Shallowbag) Bay, NC
Morehead City Harbor, NC
New River Inlet, NC
Project Condition Surveys, NC
Rollinson Channel, NC
W Kerr Scott Dam And Reservoir, NC
Wilmington Harbor, NC

South Carolina
Atlantic Intracoastal Waterway, SC 1/
Charleston Harbor, SC
Cooper River, Charleston Harbor, SC
Folly Beach, SC
Georgetown Harbor, SC
Hartwell Lake, GA & SC
Inspection Of Completed Works, SC
J Strom Thurmond Lake, GA & SC
Project Condition Surveys, SC
Richard B Russell Dam And Lake, GA &SC

Virginia
Atlantic Intracoastal Waterway - ACC, VA
Atlantic Intracoastal Waterway - DSC, VA
Chincoteague Harbor Of Refuge, VA
Chincoteague Inlet, VA
Philpott Lake, VA
Rudee Inlet, VA

Region 04 Great Lakes - The drainage within the United States that ultimately discharges into: (a) the Great Lakes system, including the lake surfaces, bays, and islands; and (b) the St. Lawrence River to the Riviere Richelieu drainage boundary. Includes parts of Illinois, Indiana, Michigan, Minnesota, New York, Ohio, Pennsylvania, and Wisconsin.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Illinois
Chicago Harbor, IL
Chicago River, IL 1/
Inspection Of Completed Works, IL
Lake Michigan Diversion, IL
Project Condition Surveys, IL
Surveillance Of Northern Boundary Wtrs, IL
Waukegan Harbor, IL

Indiana
Burns Waterway Harbor, IN
Calumet Harbor And River, IL & IN
Indiana Harbor (Confi. Disposal Facility), IN
Indiana Harbor, IN
Inspection Of Completed Works, IN
Project Condition Surveys, IN
Surveillance Of Northern Boundary Wtrs, IN

Michigan
Alpena Harbor, MI
Channels In Lake St Clair, MI
Charlevoix Harbor, MI
Detroit River, MI
Grand Haven Harbor, MI
Grays Reef Passage, MI
Holland Harbor, MI
Inspection Of Completed Works, MI
Ludington Harbor, MI
Manistee Harbor, MI
Muskegon Harbor, MI
Ontonagon Harbor, MI
Presque Isle Harbor, MI
Project Condition Surveys, MI
Rouge River, MI
Saginaw River, MI
St Clair River, MI
St Joseph Harbor, MI
St Marys River, MI
Surveillance Of Northern Boundary Waters, MI

Minnesota
Inspection Of Completed Works, MN
Project Condition Surveys, MN

Region 04 Great Lakes - continued

Surveillance Of Northern Boundary Waters, MN
Two Harbors, MN
New York
Black Rock Chan. & Tonawanda Harbor, NY
Buffalo Harbor, NY
Dunkirk Harbor, NY 1/
Inspection Of Completed Works, NY
Mt Morris Lake, NY
Oswego Harbor, NY
Project Condition Surveys, NY
Rochester Harbor, NY
Surveillance Of Northern Boundary Waters, NY

Ohio
Ashtabula Harbor, OH
Cleveland Harbor, OH
Conneaut Harbor, OH
Fairport Harbor, OH
Huron Harbor, OH
Lorain Harbor, OH
Sandusky Harbor, OH
Toledo Harbor, OH
Pennsylvania
Erie Harbor, PA

Wisconsin
Duluth - Superior Harbor, MN & WI
Fox River, WI
Green Bay Harbor, WI
Inspection Of Completed Works, WI
Manitowoc Harbor, WI
Milwaukee Harbor, WI
Project Condition Surveys, WI

Region 05 Ohio - The drainage of the Ohio River Basin, excluding the Tennessee River Basin. Includes parts of Illinois, Indiana, Kentucky, Maryland, New York, North Carolina, Ohio, Pennsylvania, Tennessee, Virginia and West Virginia.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Indiana
Markland Locks And Dam, KY & IN (Major Rehab)
Brookville Lake, IN
Cagles Mill Lake, IN
Cecil M Harden Lake, IN
Inspection Of Completed Works, IN
J Edward Roush Lake, IN
Mississinewa Lake, IN
Monroe Lake, IN
Patoka Lake, IN
Salamonie Lake, IN
Surveillance Of Northern Boundary Waters, IN
Kentucky
Barren River Lake, KY
Big Sandy Harbor, KY
Buckhorn Lake, KY
Carr Creek Lake, KY
Cave Run Lake, KY
Dewey Lake, KY
Fishtrap Lake, KY
Grayson Lake, KY
Green And Barren Rivers, KY
Green River Lake, KY
Inspection Of Completed Works, KY
Kentucky River, KY
Laurel River Lake, KY
Martins Fork Lake, KY
Middlesboro Cumberland River Basin, KY
Nolin Lake, KY
Paintsville Lake, KY
Rough River Lake, KY
Taylorsville Lake, KY
Wolf Creek Dam, Lake Cumberland, KY
Yatesville Lake, KY

Ohio
Alum Creek Lake, OH
Berlin Lake, OH
Caesar Creek Lake, OH
Clarence J Brown Dam, OH
Deer Creek Lake, OH
Delaware Lake, OH
Dillon Lake, OH
Inspection Of Completed Works, OH
Michael J Kirwan Dam And Reservoir, OH
Mosquito Creek Lake, OH
Muskingum River Lakes, OH
North Branch Kokosing River Lake, OH
Ohio River Locks And Dams, KY, IL, IN & OH

Region 05 Ohio - continued

Ohio River Locks And Dams, WV, KY & OH
Ohio River Open Channel Work, KY, IL, IN & OH
Ohio River Open Channel Work, WV, KY & OH
Paint Creek Lake, OH
Project Condition Surveys, OH
Surveillance Of Northern Boundary Waters, OH
Tom Jenkins Dam, OH

Tennessee
Barkley Dam And Lake Barkley, KY & TN
Center Hill Lake, TN
Cheatham Lock And Dam, TN
Cordell Hull Dam And Reservoir, TN
Dale Hollow Lake, TN
J Percy Priest Dam And Reservoir, TN
Old Hickory Lock And Dam, TN

West Fork Of Mill Creek Lake, OH
William H Harsha Lake, OH
Pennsylvania
Allegheny River, PA
Conemaugh River Lake, PA
Crooked Creek Lake, PA
East Branch Clarion River Lake, PA
Inspection Of Completed Works, PA
Johnstown, PA
Kinzua Dam And Allegheny Reservoir, PA
Loyalhanna Lake, PA
Mahoning Creek Lake, PA
Monongahela River, PA

Virginia
John W Flannagan Dam And Reservoir, VA
North Fork Of Pound River Lake, VA

West Virginia
Beech Fork Lake, WV
Bluestone Lake, WV
Burnsville Lake, WV
East Lynn Lake, WV
Elkins, WV

Project Condition Surveys, PA
Punxsutawney, PA
Shenango River Lake, PA
Surveillance Of Northern Boundary Waters, PA
Tionesta Lake, PA
Union City Lake, PA
Woodcock Creek Lake, PA
Youghiogheny River Lake, PA & MD

Inspection Of Completed Works, WV
Kanawha River Locks And Dams, WV
Ohio River Locks And Dams, PA, OH & WV
Ohio River Open Channel Work, PA, OH & WV
R D Bailey Lake, WV
Stonewall Jackson Lake, WV
Summersville Lake, WV
Sutton Lake, WV
Tygart Lake, WV

Region 06 Tennessee - The drainage of the Tennessee River Basin. Includes parts of Alabama, Georgia, Kentucky, Mississippi, North Carolina, Tennessee, and Virginia.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Kentucky
Project Condition Surveys, KY

Tennessee
Chickamauga Lock, TN
Tennessee River, TN
Project Condition Surveys, TN
Inspection Of Completed Works, TN

Region 07 Upper Mississippi - The drainage of the Mississippi River Basin above the confluence with the Ohio River, excluding the Missouri River Basin. Includes parts of Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, South Dakota, and Wisconsin.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Iowa
Coralville Lake, IA
Inspection Of Completed Works, IA
Lock And Dam 11, Mississippi River, IA (Major Rehab)
Lock And Dam 19, Mississippi River, IA (Major Rehab)
Red Rock Dam And Lake Red Rock, IA
Saylorville Lake, IA

llinois
Carlyle Lake, IL
Farm Creek Reservoirs, IL
Inspection Of Completed Works, IL
Kaskaskia River Navigation, IL
Lake Shelbyville, IL
Lock And Dam 24, Miss. River, IL & MO (Major Rehab)
Lock And Dam 27, Mississippi River, IL (Major Rehab)
Miss River Btwn Mo River And Minneapolis (Mvr Portion), IL
Miss River Btwn Mo River And Minneapolis (Mvs Portion), IL
Miss River Btwn The Ohio And Mo Rivers (Reg Works), MO & IL
Rend Lake, IL

Indiana
Illinois Waterway (MVR Portion), IL & IN
Illinois Waterway (MVS Portion), IL & IN

Minnesota
Lac Qui Parle Lakes, Minnesota River, MN
Minnesota River, MN
Miss River Btwn Mo River And Minneapolis (MVP Portion), MN
Red Lake Reservoir, MN
Reservoirs At Headwaters Of Miss.River, MN

Missouri
Clarence Cannon Dam And Mark Twain Lake, MO
Region 07 Upper Mississippi - continued

Inspection Of Completed Works, MO
Project Condition Surveys, MO
Union Lake, MO

South Dakota
Bigstone Lake Whetstone River, MN & SD

Wisconsin
Eau Galle River Lake, WI
Inspection Of Completed Works, WI
Project Condition Surveys, WI
Surveillance Of Northern Boundary Waters, WI

Region 08 Lower Mississippi - The drainage of: (a) the Mississippi River below its confluence with the Ohio River, excluding the Arkansas, Red, and White River Basins above the points of highest backwater effect of the Mississippi River in those basins; and (b) coastal streams that ultimately discharge into the Gulf of Mexico from the Pearl River Basin boundary to the Sabine River and Sabine Lake drainage boundary. Includes parts of Arkansas, Kentucky Louisiana, Mississippi, Missouri, and Tennessee.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Arkansas
Blakely Mt Dam, LAke Ouachita, AR
Degray Lake, AR
Helena Harbor, Phillips County, AR 1/
Narrows Dam, LAke Greeson, AR
Osceola Harbor, AR 1/
White River, AR 1/
Kentucky
Elvis Stahr (Hickman) Harbor, KY 1/
Louisiana
Atchafalaya River And Bayous Chene, Boeuf And Black, LA
Bayou Lafourche And Lafourche Jump Waterway, LA
Bayou Teche, LA
Calcasieu River And Pass, LA
Freshwater Bayou, LA
Gulf Intracoastal Waterway, LA
Houma Navigation Canal, LA 1/
Inspection Of Completed Works, LA
Lake Providence Harbor, LA 1/
Madison Parish Port, LA 1/
Mermentau River, LA
Mississippi River, Baton Rouge To The Gulf Of Mexico, LA
Ouachita And Black Rivers, AR & LA
Removal Of Aquatic Growth, LA
Missouri
Caruthersville Harbor, MO 1/
New Madrid Harbor, MO
Mississippi
Mouth Of Yazoo River, MS
Rosedale Harbor, MS
Tennessee
Wolf River Harbor, YN

Region 09 Souris-Red-Rainy - The drainage within the United states of the Lake of the Woods and the Rainy, Red, and Souris River Basins that ultimately discharges into Lake Winnipeg and Hudson Bay. Includes parts of Minnesota, North Dakota, and South Dakota. Region 10 Missouri Region -- The drainage within the United states of: (a) the Missouri River Basin, (b) the Saskatchewan River Basin, and (c) several small closed basins. Includes all of Nebraska and parts of Colorado, Iowa, Kansas, Minnesota, Missouri, Montana, North Dakota, South Dakota, and Wyoming.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Minnesota
Lake Traverse, SD & MN
Orwell Lake, MN
Project Condition Surveys, MN
Surveillance Of Northern Boundary Waters, MN
North Dakota
Homme Lake, ND
Inspection Of Completed Works, ND
Lake Ashtabula And Baldhill Dam, ND
Souris River, ND
Surveillance Of Northern Boundary Waters, ND

Region 10 Missouri - The drainage within the United states of: (a) the Missouri River Basin, (b) the Saskatchewan River Basin, and (c) several small closed basins. Includes all of Nebraska and parts of Colorado, Iowa, Kansas, Minnesota, Missouri, Montana, North Dakota, South Dakota, and Wyoming.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Colorado
Bear Creek Lake, CO
Chatfield Lake, CO
Cherry Creek Lake, CO
Inspection Of Completed Works, CO
Iowa
Inspection Of Completed Works, IA
Missouri River - Kenslers Bend, NE To Sioux City, IA
Rathbun Lake, IA
Kansas
Clinton Lake, KS
Hillsdale Lake, KS
Kanopolis Lake, KS
Melvern Lake, KS
Milford Lake, KS
Perry Lake, KS
Pomona Lake, KS
Tuttle Creek Lake, KS
Wilson Lake, KS
Missouri
Region 10 Missouri - continued

Harry S Truman Dam And Reservoir, MO
Inspection Of Completed Works, MO
Little Blue River Lakes, MO
Long Branch Lake, MO
Missouri River - Rulo To Mouth, IA, NE, KS & MO
Pomme De Terre Lake, MO
Scheduling Reservoir Operations, MO
Smithville Lake, MO
Stockton Lake, MO
Montana
Ft Peck Dam And Lake, MT
Inspection Of Completed Works, MT
Scheduling Reservoir Operations, MT
Missouri R Between Fort Peck Dam And Gavins Pt, SD, MT & ND
Missouri R Master Wtr Control Manual, NE, IA, KS, MO, MT, ND
North Dakota
Bowman - Haley Lake, ND
Garrison Dam, Lake Sakakawea, ND
Inspection Of Completed Works, ND
Pipestem Lake, ND
Scheduling Reservoir Operations, ND
Nebraska
Harlan County Lake, NE
Inspection Of Completed Works, NE
Missouri River - Sioux City To Rulo, IA & NE
Papillion Creek And Tributaries Lakes, NE
Papio Creek, NE
Salt Creek And Tributaries, NE
South Dakota
Big Bend Dam, Lake Sharpe, SD
Cold Brook Lake, SD
Cottonwood Springs Lake, SD
Fort Randall Dam, Lake Francis Case, SD
Gavins Point Dam, Lewis And Clark Lake, NE & SD
Inspection Of Completed Works, SD
Missouri National Recreational River, NE & SD
Oahe Dam, Lake Oahe, SD & ND
Scheduling Reservoir Operations, SD
Wyoming
Inspection Of Completed Works, WY
Scheduling Reservoir Operations, WY

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Region 11 Arkansas-White-Red - The drainage of the Arkansas, White, and Red River Basins above the points of highest backwater effect of the Mississippi River. Includes all of Oklahoma and parts of Arkansas, Colorado, Kansas, Louisiana, Missouri, New Mexico, and Texas.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Arkansas
Beaver Lake, AR
Blue Mountain Lake, AR
Bull Shoals Lake, AR
Dardanelle Lock And Dam, AR
Dequeen Lake, AR
Dierks Lake, AR
Gillham Lake, AR
Greers Ferry Lake, AR
Inspection Of Completed Works, AR
Mcclellan-Kerr Arkansas River Navigation System, AR
Millwood Lake, AR
Nimrod Lake, AR
Norfork Lake, AR
Ozark - Jeta Taylor Lock And Dam, AR
Project Condition Surveys, AR

Colorado
John Martin Reservoir, CO
Trinidad Lake, CO

Kansas
Council Grove Lake, KS
El Dorado Lake, KS
Elk City Lake, KS
Fall River Lake, KS
Inspection Of Completed Works, KS
John Redmond Dam And Reservoir, KS
Marion Lake, KS
Pearson - Skubitz Big Hill Lake, KS
Scheduling Reservoir Operations, KS
Toronto Lake, KS

Louisiana
Bayou Bodcau Reservoir, LA
Caddo Lake, LA
J Bennett Johnston Waterway, LA
Wallace Lake, LA
Region 11 Arkansas-White-Red - continued

Missouri
Clearwater Lake, MO
Table Rock Lake, MO
Oklahoma
Conchas Lake, NM

Oklahoma
Arcadia Lake, OK
Birch Lake, OK
Broken Bow Lake, OK
Canton Lake, OK
Copan Lake, OK
Eufaula Lake, OK
Fort Gibson Lake, OK
Fort Supply Lake, OK
Great Salt Plains Lake, OK
Heyburn Lake, OK
Hugo Lake, OK
Hulah Lake, OK
Inspection Of Completed Works, OK
Kaw Lake, OK
Keystone Lake, OK
Mcclellan-Kerr Arkansas River Navigation System, OK
Oologah Lake, OK
Optima Lake, OK
Pensacola Reservoir, LAke Of The Cherokees, OK
Pine Creek Lake, OK
Robert S Kerr Lock And Dam And Reservoirs, OK
Sardis Lake, OK
Scheduling Reservoir Operations, OK
Skiatook Lake, OK
Tenkiller Ferry Lake, OK
Waurika Lake, OK
Webbers Falls Lock And Dam, OK
Wister Lake, OK

Texas
Arkansas - Red River Basins Chloride Control – Area Viii, TX
Denison Dam, LAke Texoma, TX
Ferrells Bridge Dam, LAke O' The Pines, TX
Inspection Of Completed Works, TX
Jim Chapman Lake, TX
Lake Kemp, TX
Pat Mayse Lake, TX
Scheduling Reservoir Operations, TX
Wright Patman Dam And Lake, TX

Region 12 Texas-Gulf - The drainage that discharges into the Gulf of Mexico from and including Sabine Pass to the Rio Grande Basin boundary. Includes parts of Louisiana, New Mexico, and Texas

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Texas
Estelline Springs Experimental Project, TX
Project Condition Surveys, La
Scheduling Reservoir Operations, TX
Texas Water Allocation Assessment, TX
Channel To Port Bolivar, TX
Inspection Of Completed Works, TX
Project Condition Surveys, TX
Joe Pool Lake, TX
Aquilla Lake, TX
Texas City Ship Channel, TX
Ray Roberts Lake, TX
Hords Creek Lake, TX
Bardwell Lake, TX
Belton Lake, TX
Benbrook Lake, TX
Brazos Island Harbor, TX
Buffalo Bayou And Tributaries, TX
Canyon Lake, TX
Corpus Christi Ship Channel, TX
Freeport Harbor, TX
Galveston Harbor And Channel, TX
GIWW, Channel To Victoria, TX
Granger Dam And Lake, TX
Grapevine Lake, TX
Gulf Intracoastal Waterway, TX
Houston Ship Channel, TX
Lavon Lake, TX
Region 12 Texas-Gulf - continued

Lewisville Dam, TX
Matagorda Ship Channel, TX
Navarro Mills Lake, TX
North San Gabriel Dam And Lake Georgetown, TX
O C Fisher Dam And Lake, TX
Proctor Lake, TX
Sabine - Neches Waterway, TX
Sam Rayburn Dam And Reservoir, TX
Somerville Lake, TX
Stillhouse Hollow Dam, TX
Town Bluff Dam, B A Steinhagen Lake, TX
Waco Lake, TX
Wallisville Lake, TX
Whitney Lake, TX

Region 13 Rio Grande - The drainage within the United states of: (a) the Rio Grande Basin, and (b) the San Luis Valley, North Plains, Plains of San Agustin, Mimbres River, Estancia, Jornada Del Muerto, Tularosa Valley, Salt Basin, and Other Closed Basins. Includes parts of Colorado, New Mexico, and Texas

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:
.

New Mexico
Abiquiu Dam, NM
Cochiti Lake, NM
Galisteo Dam, NM
Inspection Of Completed Works, NM
Jemez Canyon Dam, NM
Santa Rosa Dam And Lake, NM
Scheduling Reservoir Operations, NM
Two Rivers Dam, NM
Texas
Inspection Of Completed Works, TX

Region 14 Upper Colorado - The drainage of: (a) the Colorado River Basin above the Lee Ferry compact point which is one mile below the mouth of the Paria River; and (b) the Great Divide closed basin. Includes parts of Arizona, Colorado, New Mexico, Utah, and Wyoming.

Project funded in the PY budget for operation, maintenance and rehabilitation is as follows:

Colorado
Inspection Of Completed Works, CO
Scheduling Reservoir Operations, CO

Region 15 Lower Colorado - The drainage within the United States of: (a) the Colorado River Basin below the Lee Ferry compact point which is one mile below the mouth of the Paria River; (b) streams that originate within the United States and ultimately discharge into the Gulf of California; and (c) the Animas Valley, Willcox Playa, and other smaller closed basins. Includes parts of Arizona, California, Nevada, New Mexico, and Utah.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Arizona
Alamo Lake, AZ
Inspection Of Completed Works, AZ
Painted Rock Dam, AZ
Scheduling Reservoir Operations, AZ
Whitlow Ranch Dam, AZ

Nevada
Pine And Mathews Canyons Lakes, NV

Region 16 Great Basin - The drainage of the Great Basin that discharges into the states of Utah and Nevada. Includes Parts of California, Idaho, Nevada, Oregon, Utah, and Wyoming.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Nevada
Inspection Of Completed Works, NV

Utah
Inspection Of Completed Works, UT
Scheduling Reservoir Operations, UT

Region 17 Pacific Northwest - The drainage within the United States that ultimately discharges into: (a) the Straits of Georgia and of Juan De Fuca, and (b) the Pacific Ocean within the states of Oregon and Washington; and that part of the Great Basin whose discharge is into the state of Oregon. Includes all of Washington and parts of California, Idaho, Montana, Nevada, Oregon, Utah, and Wyoming.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Idaho
Albeni Falls Dam, ID
Dworshak Dam And Reservoir, ID
Inspection Of Completed Works, ID
Lucky Peak Lake, ID
Scheduling Reservoir Operations, ID
Montana
Libby Dam, Lake Koocanusa, MT
Oregon
Applegate Lake, OR
Blue River Lake, OR
Chetco River, OR
Columbia & Lwr Willamette R Blw Vancouver, WA & Portland, OR
Columbia R. At Baker Bay, WA & OR 1/
Columbia River Between Vancouver, WA And The Dalles, OR
Coos Bay, OR
Coquille River, OR 1/
Cottage Grove Lake, OR
Cougar Lake, OR
Depoe Bay, OR 1/
Detroit Lake, OR
Dorena Lake, OR
Fall Creek Lake, OR
Fern Ridge Lake, OR
Green Peter - Foster Lakes, OR
Hills Creek Lake, OR
Inspection Of Completed Works, OR
Lookout Point Lake, OR
Lost Creek Lake, OR
Port Orford, OR
Project Condition Surveys, OR
Rogue River At Gold Beach, OR
Scheduling Reservoir Operations, OR
Siuslaw River, OR
Skipanon Channel, OR
Surveillance Of Northern Boundary Wtrs, OR
The Dalles Lock And Dam, WA & OR
Tillamook Bay And Bar, OR 1/
Umpqua River, OR
Willamette River At Willamette Falls, OR 1/
Willamette River Bank Protection, OR
Willow Creek Lake, OR
Yaquina Bay And Harbor, OR
Yaquina River, OR 1/
Washington
Bonneville Lock And Dam, OR & WA
Chief Joseph Dam, WA
Region 17 Pacific Northwest - continued

Columbia River At The Mouth, OR & WA
Columbia River Btwn Chinook And Sand Island, WA 1/
Ediz Hook, WA
Everett Harbor And Snohomish River, WA
Grays Harbor And Chehalis River, WA
Howard Hanson Dam, WA
Ice Harbor Lock And Dam, WA
Inspection Of Completed Works, WA
John Day Lock And Dam, OR & WA
Lake Washington Ship Canal, WA
Little Goose Lock And Dam, WA
Lower Granite Lock And Dam, WA
Lower Monumental Lock And Dam, WA
Mcnary Lock And Dam, OR & WA
Mill Creek Lake, WA
Mt St Helens Sediment Control, WA
Mud Mountain Dam, WA
Neah Bay, WA 1/
Olympia Harbor, WA
Project Condition Surveys, WA
Puget Sound And Tributary Waters, WA
Quillayute River, WA
Scheduling Reservoir Operations, WA
Seattle Harbor, WA
Stillaguamish River, WA
Surveillance Of Northern Boundary Waters, WA
Swinomish Channel, WA 1/
Tacoma, Puyallup River, WA
Willapa River And Harbor, WA 1/
Wyoming
Jackson Hole Levees, WY

Region 18 California - (a) the drainage within the United States that ultimately discharges into the Pacific Ocean within the state of California; and (b) those parts of the Great Basin (or other closed basins) that discharge into the state of California. Includes parts of California, Nevada, and Oregon.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

All in California

Black Butte Lake, CA
Buchanan Dam, Hv Eastman Lake, CA
Channel Islands Harbor, CA
Coyote Valley Dam, Lake Mendocino, CA
Dry Creek (Warm Springs) Lake And Channel, CA
Farmington Dam, CA
Hidden Dam, Hensley Lake, CA
Humboldt Harbor And Bay, CA
Inspection Of Completed Works, CA
Isabella Lake, CA
Los Angeles County Drainage Area, CA
Marina Del Rey, CA
Martis Creek Lake, Nv & Ca
Merced County Streams, CA
Mojave River Dam, CA
Morro Bay Harbor, CA
New Hogan Lake, CA
New Melones Lake, Downstream Channel, CA
Oakland Harbor, CA
Oceanside Harbor, CA
Pine Flat Lake, CA
Project Condition Surveys, CA
Richmond Harbor, CA
Sacramento River (30 Foot Project), CA
Sacramento River And Tributaries (Debris Control), CA
Sacramento R. Shallow Draft Chan., CA 1/
San Francisco Bay, Delta Model Structure, CA
San Francisco Harbor And Bay, CA (Drift Removal)
San Francisco Harbor, CA
San Joaquin River, CA
San Pablo Bay And Mare Island Strait, CA
Santa Ana River Basin, CA
Santa Barbara Harbor, CA
Scheduling Reservoir Operations, CA
Success Lake, CA
Suisun Bay Channel, CA
Surfside - Sunset - Newport Beach, CA
Terminus Dam, Lake Kaweah, CA
Ventura Harbor, CA
Yuba River, CA 1/

Region 19 Alaska - The drainage within the state of Alaska. Includes all of Alaska.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

All in Alaska

Anchorage Harbor, AK
Chena River Lakes, AK
Dillingham Harbor, AK
Homer Harbor, AK
Inspection Of Completed Works, AK
Ketchikan Harbor, Bar Point, AK
Ninilchik Harbor, AK
Nome Harbor, AK
Project Condition Surveys, AK

Region 20 Hawaii - The drainage within the state of Hawaii. Includes all of Hawaii and Pacific Commonwealths.

Projects funded in the PY budget for operation, maintenance and rehabilitation are as follows:

Hawii
Barbers Point Harbor, HI
Inspection Of Completed Works, HI
Project Condition Surveys, HI

Northern Mariana Islands
Rota Harbor, CNMI

American Samoa
Ofu Harbor, AS
Tau Harbor, AS

Region 21 Caribbean - The drainage within: (a) the Commonwealth of Puerto Rico; (b) the Virgin Islands of the United States; and (c) other United States Caribbean outlying areas. Includes land areas over which the United States has some degree of interest, jurisdiction, or sovereignty.

The following project is funded in the PY budget for operation, maintenance and rehabilitation:

Puerto Rico
San Juan Harbor, PR

1/ Projects funded in the PY budget for minimal operation and maintenance.

Table C-2-7
Water Resource Regions

The Flood Control, Mississippi River and Tributaries (MR&T) appropriation funds planning, construction, and operation and maintenance activities associated with projects to reduce flood damage in the lower Mississippi River alluvial valley below Cape Girardeau, Missouri. The entire MR&T area is included in Region 8 Lower Mississippi - The drainage of: (a) the Mississippi River below its confluence with the Ohio River, excluding the Arkansas, Red, and White River Basins above the points of highest backwater effect of the Mississippi River in those basins; and (b) coastal streams that ultimately discharge into the Gulf of Mexico from the Pearl River Basin boundary to the Sabine River and Sabine Lake drainage boundary. Includes parts of Arkansas, Kentucky Louisiana, Mississippi, Missouri, and Tennessee. Projects funded in the FY 2008 budget for operation, maintenance, and rehabilitation are as follows:

Arkansas
Helena Harbor, Phillips County, AR
Inspection Of Completed Works, AR
Lower Arkansas River, North Bank, AR
Lower Arkansas River, South Bank, AR
White River Backwater, AR

Illinois
Inspection Of Completed Works, IL

Kentucky
Inspection Of Completed Works, KY

Louisiana
Atchafalaya Basin, Floodway System, LA
Atchafalaya Basin, LA
Baton Rouge Harbor, Devil Swamp, LA
Bayou Cocodrie And Tributaries, LA
Bonnet Carre, LA
Inspection Of Compelted Works, LA
Lower Red River, South Bank Levees, LA
Mississippi Delta Region, LA
Old River, LA
Tensas Basin, Boeuf And Tensas Rivers, AR
& LA
Tensas Basin, Red River Backwater, LA

Missouri
Inspection Of Completed Works, MO
St Francis Basin, AR & MO
Wappapello Lake, MO

Mississippi
Greenville Harbor, MS
Inspection Of Completed Works, MS
Vicksburg Harbor, MS
Yazoo Basin, ARkabutla Lake, MS
Yazoo Basin, Big Sunflower River, MS
Yazoo Basin, Enid Lake, MS
Yazoo Basin, Greenwood, MS
Yazoo Basin, Grenada Lake, MS
Yazoo Basin, Main Stem, MS
Yazoo Basin, Sardis Lake, MS
Yazoo Basin, Tributaries, MS
Yazoo Basin, Will M Whittington Aux Chan, MS
Yazoo Basin, Yazoo Backwater Area, MS
Yazoo Basin, Yazoo City, MS

Tennessee
Inspection Of Completed Works, TN
Memphis Harbor, Mckellar Lake, TN

Mississippi River Levees
Revetments And Dikes
Dredging

SUB-ANNEX C-3
OPERATION AND MAINTENANCE
NATIONAL EMERGENCY PREPAREDNESS PROGRAM (NEPP)

C-3.1. **General.** Through the use of the Evaluation and Corrective Action Program and other similar assessment tools, every effort should be made to ensure that your current state of organizational readiness is maintained in a manner which assures that your capability to support the nation in a national emergency is sustained. *National Emergency Preparedness Program (NEPP)* activities to be programmed are Local Preparedness (Continuity of Operations) 903-510, National Preparedness (primarily the development of Catastrophic Disaster Response Plans (CDRP)) 903-520, Facilities (903-530), the Emergency Water Program (903-540), Continuity of Government (903-550), and NEPP Training/Exercises (903-560). Overall program priorities are:

Preparedness Plans and SOPs (including CDRP's, COOP, COG)
Program Management
Exercises and Training
Emergency Facilities (EOC)

Field organizations should not anticipate any significant mid-year fiscal relief from HQUSACE (CECS-HS) for personnel or other program costs. MSC's should critically review subordinate district requirements to ensure consistency with overall priorities. If necessary, MSC's should propose reprogramming within the Division to accomplish highest priority efforts.

C-3.2. **General Program.**

a. **National Emergency Preparedness Program (Code 903-500).** This feature series includes those civil administrative, supervisory and procurement activities at each USACE activity that are concerned solely with developing and maintaining a high state of preparedness for national emergency operations of the Corps of Engineers Civil Works functions.

b. **Continuity of Operations (Code 903-510).** This feature series applies to USACE oriented Continuity of Operations (COOP) preparedness planning. Activities in this category include those associated with the identification of specific USACE reconstitution missions, the analysis of required resources, the establishment of organizational and operational procedures, the preparation and publication of contingency plans, and the participation in exercises related to USACE emergency relocation and reconstitution missions as a result of either a natural or manmade disaster. Planning items should include but are not limited to: command succession, identification of alternate relocation/alternate headquarters site(s) (NEPP does not support funding for the acquisition of space), development of appropriate crisis relocation team(s), identification and storage of duplicate emergency files, and other considerations necessary to ensure minimum downtime of the affected organization. This also includes, in conjunction with other appropriate offices, the development of a framework for the individual plans that address the continued operation of Corps civil works projects.

c. **National Preparedness Planning (Code 903-520).** This feature series consists of activities and services which provide the Corps with the capability to ensure that MSC's and districts can provide support for the nation during national emergency events other than reconstitution. Included are those activities associated with the identification of the USACE national emergency missions, the establishment of organizational and operational procedures, the preparation and publication of catastrophic disaster response plans. Also included is the necessary planning coordination with related Federal, state, and

local entities. Efforts include, but are not limited to, the following:

(1) Technological and other manmade disasters.

(2) Anti and Counter Terrorism.

(3) Military Support to Civil Authorities, including the development of catastrophic disaster response plans.

(4) Command, Control, Communications and Computers (C4).

(5) Individual Mobilization Augmentee (IMA) Program Management. IMA management associated solely with disaster response and the development and maintenance of disaster related TDAs.

(6) Port Readiness. Activities associated with maintenance of navigable waterways.

(7) Resource Management and Administration. Requirements associated with programming, personnel management, and reports.

d. **Emergency Operations Center Support (Code 903-530).** This feature consists of the exclusive use of space which supports Emergency Operations Centers (EOCs). Included are those activities associated with the operation and maintenance in support of the facilities (rent, supplies, equipment, etc.). This class does not include any labor charges. The EOC will be funded on a joint basis between NEPP and other readiness programs.

e. **Emergency Water Program (Code 903-540).** This applies to requirements of Executive Order (E.O.) 12656 (For Headquarters, U.S. Army Corps of Engineers (HQUSACE only).

f. **Continuity of Government (Code 903-550).** Defined as plans to support Federal Emergency Management Agency (FEMA) and other Federal, state and local agencies in their efforts to reestablish civil authority lost as a result of natural or manmade disaster or an attack on the United States (HQUSACE and only as directed).

g. **Catastrophic Disaster Training and Exercises (Code 903-560).** The development of and participation in catastrophic disaster exercises and training in the inter- and intra-agency arena. The development and participation in evaluation and corrective action programs related to catastrophic disasters will be funded under this class.

C-3.3. **Cost Estimates.** Estimates should include overhead costs for both PY-1, PY, and PY+n. PY-1 figures entered in Illustrations C-3.1 and C-3.2 should reflect any recommended increases from the PY-1 program request.

C-3.4. **Recommended Funding Level.** PY-1 and PY funding levels for all series other than Code 903-520 are expected to be no higher than PY-2 levels, (Code 903-520 funding will be based upon specific scenario based CDRP assignments). MSC's will establish priorities for each major level of effort and identify those areas which cause recommended division/district programs to exceed funding levels defined. Requirements above PY-2 allocations should be specifically addressed. *Salary costs for MSC Emergency Management Chiefs are to be funded under the General Expenses appropriation, not Operation and Maintenance, or Flood Control and Coastal Emergencies appropriation accounts*.

C-3.5. **Submission Requirements.** HQUSACE will provide electronic versions for Illustrations to MSC's. MSC's will consolidate district's submissions and forward hard copies to the Office of Homeland Security, CECS-HS, not later than 15 June. Although detailed breakdowns of MSC and district programs for PY + n years are not required, districts will provide estimates to division headquarters to justify total programs for PY + n. Questions regarding NEPP program management submissions can be addressed to Liz Miller, CECS-HS, telephone: (202) 761-0217.

Illustration C-3.1

NATIONAL EMERGENCY PREPAREDNESS PROGRAM
FOUR-YEAR PROGRAM
(Dollars in thousands)

APPROPRIATION TITLE: Operation and Maintenance. FY (PY)
DIVISION OFFICE OR DISTRICT: _____.
(SYMBOL)

Date
(Date Prepared)

Class	Title	PY-1	PY	PY+1	PY+2	PY+3	PY+4
510	Continuity of Operations						
520	National Preparedness Planning						
530	Emergency Operations Center Support						
560	Catastrophic Disaster Training/Exercises						
	Totals						

[FOR ILLUSTRATION PURPOSES ONLY -- TYPE AS REQUIRED]

ILLUSTRATION C-3.2
_____ DIVISION
NATIONAL EMERGENCY PREPAREDNESS PROGRAM
RECOMMENDED PROGRAM SUPPORTINFG DATA
(Dollars in thousands)

APPROPRIATION TITLE: Operation and Maintenance. FY
(PY)

DIVISION OFFICE OR DISTRICT: _____.
(Symbol)

Date _____
(Date Prepared)

ACTIVITY	MAJOR AREA OF EFFORT	PRIORITY	PY-1	PY	PY+2
510	Continuity of Operations				
520	National Preparedness Planning				
530	Emergency Operations Center Support				
560	Catastrophic Disaster Training/Exercises				
	Totals				

[FOR ILLUSTRATION PURPOSES ONLY -- TYPE AS REQUIRED]

ALL PREVIOUSLY PUBLISHED ILLUSTRATIONS FOR THIS CHAPTER (c-3) HAVE BEEN DELETED

ANNEX D
EXPENSES
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SUBANNEX D-1
EXPENSES
APPLICABILITY

D-1.1. **Appropriation Title.** Expenses 96X3124

D-1.2. **Purpose.** This annex provides guidance for development of the Expenses (E) Program for Headquarters, U. S. Army Corps of Engineers (HQUSACE), Major Subordinate Commands (MSCs), and other command and control support activities.

D-1.3. **Activities Included.**

Activity Title	Appn	Cat/Class/ Subclass	Guidance Located in Subannex
Headquarters, US Army Corps of Engineers	905	800	D-2
Major Subordinate Commands	905	800	D-2
Humphreys Engineer Center Support Activity	905	800	D-2
Engineer Research and Development Center	905	800	D-2
Institute for Water Resources	905	800	D-2
USACE Finance Center	905	800	D-2

SUBANNEX D-2
EXPENSES
PROGRAM GUIDANCE

D-2.1. **Program Objective.** The objective of the Expenses (E) Program is to resource the Civil Works Executive Direction and Management (ED&M) activities of the US Army Corps of Engineers (USACE).

a. Program and Financing. The E Program will be developed for the accomplishment of the program objective by HQUSACE, Major Subordinate Commands (MSCs), and other USACE command and control support activities. The E Program will reflect any carry-over from prior fiscal years and the USACE Consolidated Command Guidance (CCG), last updated on 30 Dec 05, as well as any new initiatives approved by the Chief of Engineers' and/or directed by Assistant Secretary of Army (ASA) for Civil Works (CW)/Office of Management and Budget (OMB)/Congress. The ED&M model, which will be web-based, will be the vehicle for requirements representation. The Model is operated by NAD. It will be used by Resource Management Office at HQ and MSC to build budgets beginning in FY 07. Instructions for the model data entry will be forthcoming.

b. Audit costs formally budgeted through the Expense Account will be funded through the Revolving Fund Account beginning FY 07 and beyond.

c. Labor Requirements and Funding.

(1) Labor Requirements. Estimates of labor requirements for Program Year (PY) (2008) will reflect the most efficient utilization of personnel necessary to achieve the program objective. Staffing will be at the 2012 authorized level published in the CCG.

(2) Labor Funding. Funding requests for PY will include base labor cost as of 1 Oct, PY-2 (2006), plus projected inflation rates which will be provided. The rates will reflect the national and locality pay raises, plus agency contributions for employee benefits. In preparing estimates for overtime, analyze the use of overtime to ensure it is prudent and efficient; explore all reasonable alternatives to overtime, such as flexible scheduling; and assure that adequate approval, monitoring, and audit procedures are in place to avoid abuses. Total labor funding requirements should be adjusted to include incentive awards as well as projected hire lag. Costs for employees in the Student Educational Employment Program and costs for E-funded military/uniformed-officers will be included in estimating total labor/personnel-compensation costs.

(3) Non-labor Requirements and Funding. Non-labor requirements will be model generated. Instructions for data input into the model will be forth coming.

D-2.2. **Supporting Data.** The PY E Program request will be comprised of a Transmittal Letter, Program Justification Statement, two detail summaries and model data.

a. Transmittal Letter. The Program request will be transmitted by a letter signed by the MSC Commander/Director or Separate Office/Activity or authorized delegate. This transmittal letter will confirm compliance with this guidance and the accuracy and adequacy of the request.

b. Program Justification Statement. This statement will explain any extraordinary requirements above inflation, and the negative impact of not funding them. If your are planning additional restructuring, consolidation or downsizing initiatives or co-location with another Corps activity, include justification showing estimated savings, and your funding timetable, with anticipated 2008 costs broken out between civil and military programs functions. In addition, if your requirements exceed the 2012 FTE guidance,

you must justify the positions individually and explain why these cannot be accommodated within the guidance. The name, office symbol, and telephone number of the preparer will be provided in the narrative or transmittal letter.

c. Program and Financing Summary (Illustration D-2.1). This is a summary of E Program funding broken down by feature/sub-feature, as shown. The year 2006 funding total equals the amount of the Funding Authorization Document (FAD) received in the PY-2 plus any prior year carry-over, and includes any adjustments to your program since the last CCG. The sum of amount shown in O/C 11 and O/C 12 equals the salaries and benefits for the E Program staff reflected under Item III of Illustration D-2.2. Following are specific instructions on the treatment of several expenses which have caused confusion in the past.

(1) Permanent Change of Station (PCS) costs should be recorded as follows: Temporary Quarters Quarters Supplemental Expenses, sale of residence allowance and miscellaneous moving expenses under O/C 12.1; Transportation and Per Diem while on travel status under O/C 21; Transportation of Household Goods (HHG) under O/C 22; and, Storage of HHG under O/C 25.7. **The total (E) projected costs of PCS for each year should be footnoted at the bottom of the page.**

(2) Training costs should be recorded as follows: payments to private sector for training courses under O/C 25.01; tuition payments to universities or colleges leading to a degree and payments for attendance at conferences under O/C 25.02; and payments to other Federal Government agencies for training under O/C 25.03. **The total (E) projected costs of training for each year should also be footnoted at the bottom of the page**.

d. Personnel Summary (Illustration D-2.2). This is a summary of ED&M labor, expressed in FTE workyears and full-time permanent (FTP) positions. Item III equals the sum of Items I and II, while Item IV reflects all non-E Program labor, broken out by civil and military program functions. These categories are further broken out by direct-funded (funded by direct obligation authority appropriated to the Corps) and reimbursable-funded (funded by reimbursable obligation authority established upon acceptance of customer orders and/or funds received from other programs or agencies, e.g. Department of Energy, Air Force, etc.). Item V is the sum of Items III and IV, which equals the total ED&M labor.

D-2.3. **Submission Requirements.** Supporting data, described above, will be submitted in hard copy to the Director of Resource Management (CERM-ZA), WASH DC 20314-1000, and by electronic mail to CERM-B (Attention Mrs. Eloisa Brown), dates to be specified. An Excel workbook, with separate worksheets for the two illustrations will be provided to you via e-mail and must be used in order to assure consistency in the program submissions. If there are any problems complying with these submission requirements, contact Mrs. Brown at 202 761-0406, or Mrs. Charlene Kalinich at 202 761-1104.

ILLUSTRATION D-2.1
EXPENSES
PROGRAM AND FINANCING SUMMARY ($000)

MSC/Other Activity: _____ **Date** :_____

Feature/ Subfeature	**Title**	**Current Program PY-2**	**Assumed Budget PY-1**	**Budget Request PY_____**
DIRECT OBLIGATIONS:				
11 01	Full Time Permanent (FTP)			
11 03	Other than FTP			
11 05	Other Personnel Compensation			
11 07	Military Officer's Pay (Incl BAS/BAQ)			
12 01	Civilian Personnel Benefits			
12 02	Military Benefits			
13 01	Former Personnel Benefits			
Subtotal Labor				
2100	Travel/Transportation of Persons			
2200	Transportation of Things			
Subtotal Travel/Transportation				
23 01	Rental Payments to GSA			
23 02	Rental Payments to Others			
23 03	Communications, Utilities & Miscellaneous			
Subtotal Rent/Comm/Utilities & Misc Charges				
24 00	**Printing & Reproduction**			
25 01	Advisory & Assistance Services			
25 02	Other Services			
25 03	Purchase of Goods & Services from Government Accts			
25 04	O&M of Facilities			
25 07	O&M of Equipment by non-government			
Subtotal Other Contracts				
26 00	**Supplies & Materials**			
31 00	**Equipment**			
32 00	**Lands and Structures**			
TOTAL DIRECT OBLIGATIONS				
REIMBURSABLE OBLIGATIONS				

TOTAL NEW OBLIGATIONS _____

_____ _____

ILLUSTRATION D-2.2
EXECUTIVE DIRECTION AND MANAGEMENT
PERSONNEL SUMMARY

MSC/Other Activity: _____ **Date**:_____

	ACTUAL PY-2			ESTIMATE PY-1			ESTIMATE PY		
Title	**FTE Work Years**	**Total FTP Posn**	**Salaries and Benefits**	**FTE Work Years**	**Total FTP Posn**	**Salaries and Benefits**	**FTE Work Years**	**Total FTP Posn**	**Salaries and Benefits**
I. E-funded civilians									
II. E-funded military									
III. **Total E-funded staff**									
IV. Remaining Staff									
a. **Military functions**:									
Direct-funded									
Reimbursable									
b. **Civil functions**:									
Direct-funded									
Reimbursable									
V. **TOTAL MSC/SFOA STAFFING** (SUM of III, IVa. & IVb.)									

ANNEX E
REVOLVING FUND
PLANT REPLACEMENT AND IMPROVEMENT PROGRAM (PRIP)
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Annex E

PLANT, REVOLVING FUND
PLANT REPLACEMENT AND IMPROVEMENT PROGRAM (PRIP)
(RCS CECW-D-1)

E-1.1. **Purpose and Scope.** This annex provides policy and general procedural guidance for Plant Replacement and Improvement Program (PRIP) development. To provide a uniform approach for program development and justification, the various plant items have been grouped into categories. Guidance for the electronic transmission of automated data for submittal of limited program recommendations is contained in the 1130 series of Engineer Regulations (ERs). Procedures for preparing input, for generating these reports, and for updating data are also included in the ER 1130 series. From time to time, additional detailed guidance will be provided by CERM-B in supplemental memoranda.

E-1.2. **Program Development Concepts.**

a. **Categories.** All plant items should be identified by category. Detailed definitions for the categories and subcategories can be found in Annex G, ER 37-1-29, Financial Administration, Financial Management of Capital Investments. The categories and subcategories authorized for use with this program submission are as follows:

Category/Subcategory Title	Category/Subcategory Code	
Leasehold Improvements	LH	
Land	00	
Buildings	05	
Structures	10	
Aircraft	20	
Dredges	30	
Other Floating Plant	40	
Total Mobile Land Plant	50	
Passenger Vehicles (Suspended)		5V
Other Mobile Land Plant		5X
Total Fixed Land Plant	60	
Communications Equipment		6C
Other Fixed Land Plant		6X
Tools, Office Furniture, and Equipment	70	
Software	80	
Total Automatic Data Processing Hardware	90	
Computers and Peripherals		9A
Computer Aided Design and Drafting		9D
Water Control Data Systems		9W

b. **Major and Minor Items.** For programming purposes all items of plant will be classified as either major or minor items. Major Items will be further classified as either new or continuing items.

(1) **Major Items.** New Major Items consist of those items which exceed HQUSACE authority and which require submittal through the Assistant Secretary of the Army (CW) to the Office of Management and Budget (OMB) and the Congressional Committees on Appropriations for concurrence. The limit of Chief of Engineers authority is $700,000. However, for purposes of the FY 08 program submission, all new requirements estimated to cost $525,000 or more will be treated as New Major Items, and submitted with full justification for Congressional review. Continuing Major Items consist of those acquisitions costing more than $700,000, which were previously submitted to and concurred in by OMB; and authorized by the Congressional committees. An update shall be submitted on all continuing major items with scheduled obligations in FY08. Continuing Major Items with cost increases of 10% or more require re-authorization. Documentation to support the increase will be submitted along with an updated Economic Analysis. In the absence of Congressional action on the current year PRIP budget request, the President's current year program will be used for planning purposes with the assumption that the program request for continuing items and new starts will be enacted by 1 October of the current year. In the case that appropriations are not made by the Congress, but that a continuing resolution is instituted, major item new start projects will not be executed until full year appropriations are enacted.

(2) **Minor Items.** For FY08 minor items are those items which exceed the capitalization threshold of $250,000 but which do not exceed the Chief of Engineers authority level.

E-1.3. **Program Guidance.** Major Subordinate Command (MSC) Commanders will develop and submit a total PRIP for their command to include district requirements. Tabulation of program requirements will reflect the total MSC program and will show both MSC and district priorities for each item of plant. Each item of plant (major and minor) shall be submitted with full justification. This justification shall be submitted on ENG Form 4613-R for major items and ENG Form 4943-R for minor items. Electronic facsimiles of these forms are acceptable. In addition, major item new starts proposed for FY 08 shall be submitted in accordance with ER 37-1-29 and are to be accompanied by economic and affordability analyses. A five year PRIP plan will be submitted annually, showing the current year, the program year, and the follow- on three out-years using ENG Form 1978-R or an approved electronic facsimile. The PRIP plan shall be updated only after the mid-year review at the end of the second fiscal quarter or whenever significant changes occur. A copy of the semiannual update and changes shall be forwarded to CERM-B not later than 15 April.

E-1.4. **Submission Requirements and Dates.** See Table 2 of the main part of this EC.

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Annex F
AUTOMATION PROGRAM

F-1.1. **Background.** House Report 103-135, June 17, 1993, accompanying the Energy and Water Development Appropriations Bill, 1994, directs the Corps to "provide separate and distinct data for automation costs" in future program requests. The basis for this request is the Committee's belief that "the cost attributable to the development and implementation of automated programs of the Corps of Engineers is entirely unreasonable." In accordance with this direction, the Civil Works Directorate provides Congress with a display of estimated automation costs with its annual program submissions.

F-1.2. **Program Development Concepts.** For PY (FY 08), the Corps will provide a display similar to that of PY-1, organizing CW automation costs according to the Programs for major investments

a. The Programmatic management of major IT investment enables the Corps to achieve greater efficiencies within these investments. The programs are:

- Financial Management Services Program
- Asset Management Services Program
- Emergency Preparedness and Response Program
- Business Management Tools Program
- Acquisition Services Program
- Science and Engineering Technology Program
- Real Estate Management Program
- IT Infrastructure and Office Automation Program

b. Additionally, we will distinguish between items proposed for PRIP acquisition (i. e., items supporting more than one project or program and costing more than $250,000), also displayed under the Revolving Fund section of the program; and items costing less than $250,000, and expensed, or acquired using specific study, project or program funds.

F-1.3. **Program Guidance.** Information Technology Investment Portfolio System (ITIPS) must be maintained up-to-date and reflect your best estimate of what actual requirements will be since it is the data source for the estimate of our automation costs being reported to Congress. The PRIP Five-Year Plan remains primarily a planning tool, but since the data in it is used to prepare our automation costs estimate it is important that it too reflect your best estimate of what actual requirements will be. Justifications to support PY PRIP requirements in plan are to be submitted with the PRIP budget submittal due 1 Jun. Refer to ER 37-1-29 for instructions for preparing, justifying and submitting PRIP budget requirements

SPECIAL NOTE FOR AUTOMATED ENGINEERING TOOLS (ITIPS classification). The Automated Engineering Tools (AET) classification represents an aggregation of field-level initiatives of individual offices throughout USACE for procurement and support of AIS products in support of assigned technical functions. Nearly three-quarters of this funding item is identified for Computer Aided Design (CAD) and Geographic Information System (GIS) tools. The remainder includes surveying, mapping, global positioning systems, data management, and remote lock and dam operating systems. AET represents the

largest single cost item under the Science and Engineering Technology Program, approximately $40M USACE-wide in PY. Please pay particular attention to the accuracy of this line item in the update of your ITIPS record. We will be utilizing these numbers to better define the magnitude of our Science and Engineering (S&E) tools investments, as part of the ongoing USACE efforts to improve the support of S&E.

F-1.4. **Submission Dates and Requirements.**

a. **Information Technology Investment Portfolio System (ITIPS).** In the case of the ITIPS, which is updated annually as part of the Corps' Capital Planning and Investment Control Process (CPIC), the most important data elements for the Civil Works automation budget are contained in the PY Requirements Tabs (Direct, Site, and PRIP) for development, modernization, operations and support. Although ITIPS is continually available for updating, the Requirements Tabs (for financial data input) are only open during the 1st quarter of the FY to coincide with the start of the CPIC process. Please ensure that the ITIPS is kept up to date and all cost data are entered during the aforementioned update period. (In accordance with ER 25-1-2, the functional proponent has Life Cycle Management of Information Systems (LCMIS) responsibility for any Automated Information System AIS. Although this party may not be responsible for entering data into the ITIPS, it is responsible for the accuracy of the data.)

b. **PRIP Five-year Plan.** A new PRIP Five-year Plan must be submitted annually on 30 Jul. Please ensure that your annual PRIP Five-year Plan contains accurate FY 08 estimates for Categories 80 (Software) and 90 (Hardware). Refer to ER 37-1-29 for instructions for preparing the PRIP Five-Year Plan and update submission requirements.