

DEPARTMENT OF THE ARMY
U. S. Army Corps of Engineers
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CECW-B

Circular
No. 11-2-179

31 March 2000

EXPIRES 31 MARCH 2001
Army Programs
CORPS OF ENGINEERS CIVIL WORKS DIRECT PROGRAM
PROGRAM DEVELOPMENT GUIDANCE
FISCAL YEAR 2002

1. **Purpose.** This Engineer Circular (EC) provides guidance for development and submission of the Corps of Engineers direct Civil Works Program for Fiscal Year 2002 (FY02) and appropriate outyear periods. For programs with studies and projects, i. e., the General Investigations (GI); Construction, General (CG); Operation and Maintenance, General (O&M); and Flood Control, Mississippi River and Tributaries Project (MR&T) programs; and Formerly Utilized Sites Remedial Action Program (FUSRAP), the total period is ten years. For programs of an administrative nature, i. e., the General Expenses (GE), Flood Control and Coastal Emergencies (FC&CE), Regulatory Program, and Plant Replacement and Improvement Program (PRIP) part of the Revolving Fund (RF), the total periods are shorter. Specifically excluded from coverage are most research and development activities, including RF activities (excepting PRIP activities), activities funded by Permanent Appropriations (PA), and activities funded by the Coastal Wetlands Restoration Trust Fund (CWRTF).

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. Budget of the United States Government, Fiscal Year 2000¹, Analytical Perspectives
- b. Web site, <http://155.75.78.40/acrobat.htm>, subject: Adobe Acrobat program package and instructions for downloading to personal computers.

<u>bc.</u>	PL 84-99	<u>vu.</u>	ER 11-1-320
<u>ed.</u>	PL 92-500	<u>wv.</u>	ER 11-2-220
<u>de.</u>	PL 97-348	<u>xw.</u>	ER 11-2-240
<u>ef.</u>	PL 99-662	<u>yx.</u>	ER 11-2-290
<u>fg.</u>	PL 101-508	<u>zy.</u>	ER 25-1-2
<u>gh.</u>	PL 101-591	<u>aaz</u>	ER 37-2-10
<u>hi.</u>	PL 101-601	<u>bbaa.</u>	ER 1105-2-100
<u>ij.</u>	PL 102-580	<u>eebb.</u>	ER 1110-1-8156
<u>jk.</u>	PL 103-62	<u>ddcc.</u>	ER 1110-2-100
<u>kl.</u>	EO 11514	<u>eedd.</u>	ER 1110-2-1302
<u>lm.</u>	EO 12088	<u>ffee.</u>	ER 1130-2-500
<u>mn.</u>	EO 12512	<u>ggff.</u>	ER 1130-2-510
<u>no.</u>	EO 12856	<u>hhgg.</u>	ER 1130-2-540
<u>op.</u>	EO 12893	<u>iihh.</u>	ER 1165-2-119
<u>pq.</u>	EO 12906	<u>jjii.</u>	ER 1165-2-131
<u>qr.</u>	OMB Circular A-11	<u>kkjj.</u>	ER 1165-2-400
<u>r.</u>	AR 11-2	<u>llkk.</u>	EC 11-1-42
<u>s.</u>	AR 385-10	<u>mm.</u>	EC 11-2-174
<u>ts.</u>	EM 1110-1-2909	<u>ll.</u>	EC 25-1-276
<u>ut.</u>	ER 5-1-11	<u>oo.</u>	EP 385-1-58

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) = FY04~~2~~
- PY - 1 = one year before PY = FY00~~01~~
- PY - 2 = two years before PY (CFY before 1 October, next, and CFY-1 thereafter) = FY99~~00~~
- PY - 3 = three years before PY (CFY-1 before 1 October, next, and CFY-2 thereafter) = FY98~~9~~
- 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.** Reference ~~to~~ the Government Performance and Results Act of 1993 (GPRA), requires that agencies have developed strategic plans, by 30 September 1997, and develop an annual performance plan by FY99 . annual performance plans and reports. Strategic plans are to cover a 5-year planning horizon beyond the program year and be updated every 3 years. Statutory requirements of GPRA apply at the Department of Defense level. But, as a matter of policy, the Office of Management and Budget (OMB) requires that the Corps' Civil Works Program comply with the requirements. GPRA stipulates that a consultation process with the Office of Management and Budget (OMB) and Congress must be completed before submission of any such strategic plan. A draft Civil Works Strategic Plan and the key elements of a FY99 Civil Works Annual Performance Plan were submitted to OMB in November 1996 to begin the required consultation process. A revised Civil Works Strategic Plan was resubmitted to OMB and Congress in August 1997. Revisions were made to respond to comments received from OMB and Congress. On March 23, 1998, the Civil Works Strategic Plan was transmitted to Congress. Strategic Plans were submitted through OMB to Congress in August 1997 and again in March 1998. Consensus and agreement were not achieved among the Corps, OMB, and Congress on those two submissions. As a living document, the plan will be updated regularly. The Act requires the Strategic Plan be revised at least every three years. OMB has issued general guidance in Circular A-11 requiring Strategic Plans be revised and resubmitted by September 30, 2000. Implications for formulating the 2001 Civil Works Program will be worked out as OMB formulates guidance for Civil Works Program Strategic Planning requirements. In August 1999 the Assistant Secretary of Army for Civil Works and the Chief of Engineers agreed on need to develop a new Civil Works Program Strategic Plan. Completion of the new plan is not expected until late in 2000; not in time to influence initial formulation of the FY02 program to be submitted to OMB in August. Implications of completing the plan later in the FY02 program development process will be worked out as coordination of the plan with OMB and Congress is accomplished.

(2) **Initial Guidance.** Appendix C provides guidance for program development for ~~five~~ six business functions within the Civil Works Operations and Maintenance, General, Program, ~~based on the findings of the Pilot GPRA Project performed by the O&M organization for OMB (Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and National Emergency Preparedness~~

Programs). The O&M Pilot GPRA Project was completed in FY96 and the findings and recommendations of the pilot project have been coordinated with OMB. The five business functions described in Appendix C constitute a subset of the nine results-oriented business programs included in the proposed Annual Performance Plan. Appendix C will provide insight, based upon the pilot experience, to how GPRA may shape program development, generally, as consultations with OMB and Congress continue.). The O&M organization successfully completed a results-oriented business program restructuring in 1996 as a Pilot GPRA Project for OMB. It is continuing to apply that structure for FY 2002 budget development.

b. Presidential Policy.

(1) OMB 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 funded by each account, and serve as benchmarks for use in evaluating Congressional actions. The 10-year period approximates the implementation life of projects from start to finish, and accommodates adequate definition of long-term resource requirements. These ceilings are presented, in whole or in part, for all accounts in the appendices covering the accounts.

(2) Economic assumptions underlying Presidential policy of reference a are reflected in Table 1. These assumptions, along with related assumptions and data, are shown for PY-1 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) 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 Civil Service Retirement System (CSRS); the other, under the Federal Employee Retirement System (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 than under CSRS. With an annual permanent force attrition of 7 - 8% and associated turnover initially representing a considerable share of that, the CSRS part is expected to become negligible by FY20. 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) Presidential policy pay raise assumptions for federal civilian permanent workers are shown in reference b, Table 1-1, entitled "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 0.348 and 0.0051, or 8679% and 4421% of the 0.03648 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) Presidential policy inflation rates reflect assumed price increases for "goods and services" of temporary federal and nonfederal workers, and for nonpay items. The Budget Enforcement Act of 1997, PL 105-33, requires that the Gross Domestic Product (GDP) fixed weight year-over-year 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, reference s.) At the recommendation of OMB, "Federal Nondefense Nonresidential Structure Construction" 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.

c. Army Policy.

(1) All program support materials and documents will adhere to Army policy. Purposes to be considered include commercial navigation, flood damage reduction, including hurricane and storm damage reduction, and the restoration and protection of environmental resources, including fish and wildlife habitat, i. e., inland and coastal wetlands, other aquatic and riparian habitat, and upland habitat. Hydropower and/or municipal or industrial water supply may be included only if provided in conjunction with commercial navigation or flood damage reduction.

(2) Programs for the MR&T account will be developed in accordance with guidance provided for comparable programs of other accounts.

(3) For specifically authorized studies and projects the emphasis in the 10-year program 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.

(4) Once the reconnaissance phase study is completed and the feasibility phase study has been initiated, follow-on work will be treated as continuing effort until a new construction start decision is made. If the project was not reviewed by Army or subject to efficiencies and controls of cost-sharing, a new start review and approval is needed for each, Preconstruction Engineering and Design (PED), and initiation of construction.

(5) Recommended new starts for major rehabilitation and dredged material disposal facilities projects will be included under the CG and MR&T accounts, and are discussed in Subappendix B-2. This emphasizes the importance of caring for existing facilities and that other types of new construction starts must compete with such projects for scarce resources in the future. Major rehabilitation and dredged material disposal facilities projects new starts will be characterized as construction-type new starts in testimony, press releases, and other communications. Ongoing major rehabilitation projects initiated between FY85 and FY91 will continue to be funded until fiscally complete under the O&M account. Program submission for these projects will be in accordance with procedures for continuing work in Subappendix C-2.

(6) The extent to which a study, project, or activity contributes to restoration or protection of environmental resources will influence the ranking of new start candidates, along with such other criteria as economics, engineering considerations, and sponsor support. Justified mitigation, restoration, and protection activities, fitting the definitions in Table 3 for these three categories, may be programmed. Consistent with the Water Resources Development Act of 1996 (WRDA 96), proposals for restoration and protection generally require 35% local cost sharing in the implementation and full nonfederal operation and maintenance of the completed work. Justified mitigation measures will be cost shared to the same degree that other project costs are shared or reimbursed. The fish and wildlife restoration initiative does not change the formulation, justification, or cost sharing for mitigation in implementing a water resources development projects.

(7) 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 based on the schedule last presented to Congress,

extended as necessary by the project manager to include initiation and/or completion of construction. Such schedule extensions will reflect realistic expectations of the sponsor's financial capability. The funding schedules should be reviewed and adjusted continuously to reflect Congressional action, the sponsor's financial capability, and project progress.

c. Alternative Multiyear Programs.

(1) OMB ceilings reflect intent of the President's 10-year program from a national perspective. However, the Corps may recommend its own program within the overall ceiling for the Civil Works Program and, therefore, still generally consistent with that perspective. To this end, it can select alternative work mixes and associated funding levels, by 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, with focus on work flow and physical progress.

(2) In the interest of developing an optimum Civil Works Program, each MSC must develop at least two alternative multiyear programs - a "baseline program," based on Presidential policy and a "capability program," based on capability-level production.

(a) **Baseline Program.** For each account, each MSC must develop a realistic, multiyear program reflecting PY-2 work allowances and projected current year appropriations; fitting within the OMB 10-year planning ceiling; and meeting further requirements for program formulation presented in the appendix covering the account. Absent Congressional action on PY-1 appropriations, assume that the President's PY-1 program will be enacted and that funds will be appropriated and made available by 1 October of the current year. (Note that this is not the same baseline program represented by "baseline estimates" required by reference h, and discussed in reference s.)

(b) **Capability Program.** For each of its GI, CG, and MR&T accounts, as applicable, each MSC must develop a realistic multiyear program reflecting PY-2 work allowances and capability-level production. Additional new starts, non-cost-shared elements of studies and projects, separable elements, and restudies should be considered for this program. Any proposal to advance the latest schedule submitted to Congress for a particular study, project, or activity should be specifically identified. Supporting data should justify the need for the increase(s). Program year funding amounts for studies and projects of this program will be approved as program year capability amounts.

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 AEs 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 ~~6-7/8~~ 5/8% will be used to determine the "current" economics of any project. For projects funded for construction projects, 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 1974 Water Resource Development Act. 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 Corps' new infrastructure investments include new start regular construction projects, resumptions, unstarted projects, unstarted separable elements, and reconstruction projects.

b. Evaluation.

(1) 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 a 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.

(a) **New Start and Continuing PED Projects.** 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 June 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, which year precedes the fiscal year of 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 Start Construction Projects.** For any project or element proposed as a new construction start, 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 start 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, which year precedes the fiscal year of 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) MSCs have approval authority for all LRRs and all other post-authorization documents for projects not requiring additional Congressional authorization and for which total federal costs do not exceed \$15 million. GRRs and GDMs for projects with total federal costs exceeding \$15 million must be approved by headquarters, U. S. Army Corps of Engineers (HQUSACE) (ATTN: CECW-P).

9. **Manpower.** No manpower data is required by this EC. CERM-M will use current resourcing standards of the ~~Force Configuration (FORCON) System~~ USACE Manpower - Corps of Engineers - Manpower Requirements Systems, discussed in reference ~~lmm~~, 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 ~~FY00PY~~, then manpower data compatible with it will be input to CERM-M in accordance with the then current ~~FORCON~~ EC (to be published in January of CCY+1).

10. **Waivers.** All program submissions MUST comply with stated policy; however, MSCs are encouraged to request waivers, or clarification, as needed. Illustration 1 provides a standard format for requesting waivers. It has been filled in to show an example of the type of information which should be included in the request. Waivers may be requested to program for items which do not comply fully with guidance of this EC up until the supporting data required for the items is due.

11. 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.** Submissions are input electronically to ADP system databases, or to recipients by E-mail, ~~floppy-disk~~ file transfer protocol (FTP), or hardcopy. Input instructions are provided by various means, including, in addition to this EC, the OMABS, PRISM, and Requirement Statement Management System (RSMS) User's Manuals, and messages by E-mail or hardcopy.

(1) **ADP Databases.** Data is input to databases of up to four ADP systems. These include the Automated Information Systems Inventory System (AISIS), OMABS, PRISM, and RSMS. Data of AISIS and RSMS overlap somewhat, however, the focus of AISIS is requirements for existing AIS, whereas, the focus of RSMS is requirements for new automation systems or items.

(a) **AISIS.** Instructions for input to the AISIS database were provided by CEIM-L by memo of 5 Dec 95, subject: Automated Information System Inventory System (AISIS). These instructions cover input of Corps AIS requirements, both existing and new. Requirements include those of corporate systems (e. g., CEFMS, PRISM, etc.) and local systems (e. g., tasker tracking systems, etc.) for development, deployment, maintenance, upgrading, and/or replacement discussed in Appendix H. This database remains open, but input is required by the date shown under "Main Part" in Table 2.

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(b) **OMABS.** Instructions for input to the OMABS database were recently provided by CECW-OM-B in the latest OMABS User's Manual. These instructions cover input for O&M activities of Appendix C (including non-CG major rehabilitation projects) and RP activities of Appendix F. (No such input is required for FC&CE activities of Appendix D). Help with instructions in this manual is available from each district's OMABS coordinator. This database is open; it will close on the date shown in Table 2.

(c) **PRISM.** Instructions for input to the PRISM database will be provided by CECW-BA in the updated PRISM User's Manual on or about 201 May. These instructions cover input for GI and CG activities, comparable activities of the MR&T project, and GE activities of appendices A, B, and E, respectively, and the O&M major rehabilitation activity of Appendix C. This database is open; it will close on the various dates shown under "General Investigations," "Construction, General," "Operations and Maintenance, General," and "General Expenses" in Table 2.

(d) **RSMS.** Instructions for input to the RSMS database were provided by CEIM-L in the latest RSMS User's Manual. These instructions cover input of automation requirements, including new AIS (e. g., new corporate computer programs like FORCON), hardware (e. g., personal computers, monitors, printers, and teleconferencing equipment; etc.), and software (e. g., wordprocessor upgrades, etc.), discussed in Appendix H. This database remains open; but input is required by the date shown under "Automation Costs" in Table 2.

(2) **E-mail and ~~Floppy Disc~~ FTP Data.**

(a) Justification Statements and Books.

- General.

Complete your updates of illustrations A-2.1 through A-2.4, B-2.4, B-4, C-2.5a through C-2.5c, C-4, and I-1.1 of the appendices for GI, CG, O&M, FC,MR&T, and FUSRAP items, as applicable, by dates specified in Table 2.

Use 10 point regular font of one kind only (such as Arial or Courier), 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 1.5" from bottom edge of page. This provides a 0.5" footer height for printing the footer and page number.) Number all pages at the bottom right.

Develop project completion schedules consistent with the President's budget funding amounts to be provided later, and reflect these schedules in your PB-2As by dates to be specified later. 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 Appendix B.

Major rehabilitation projects started after FY91 are part of the CG program; those started earlier are part of the O&M program.

Submit justification statements, as completed, via e-mail to Area Managers of CECW-BA, C, E, or W, as appropriate, for review. Coordinate e-mailing logistics with your Area Manager, beforehand.

- Initial Submission.

Submit justification statements for GI, CG, and FC,MR&T new starts, only. For GI, these include reconnaissance, feasibility, and PED study new starts. For CG, these include major rehabilitation, reimbursement, resumption, deficiency correction, reconstruction, dredged material disposal facility, and

unstarted projects, and unstarted separable elements new starts. For FC,MR&T, these include all of the above.

- 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 later.

- Congressional Submission.

The ultimate products of the justification development process are nine justification books for Congress - one for each division and one for Remaining Items. Each division is responsible for developing its own book 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 4.0 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.

In the table of contents, use lower case Roman numerals; on all other pages beginning with the summary, use Arabic numerals. 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 y, except, do not include the disclosure statement noted in Appendix L, paragraph 1.

Justification documents for O&M major rehabilitation projects are the same (except Illustration B-2.1) as required for CG projects, including justification statements, status maps (included at the end of the O&M justification package), and PB-2As. For major rehabilitation of inland waterways locks and dams and associated structures, show half of funding from the Inland Waterway Trust Fund.

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. (All of these amounts will be included in the OMABS database and accessible then.) Round all funding amounts to the nearest \$K. Add the following statement (less quotation marks) after the introductory paragraph for each category, as applicable:

"The requested amount includes an amount from the Special Recreation Use Fees Special Fund (SRUF) for recreation areas."

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."

Identify States for each of the following items: Scheduling Reservoir Operations, Inspection of Completed

Works, Project Condition Surveys, and Surveillance of Northern Boundary Waters. If the cost for more than one State is attributable mostly to one State, show all cost for that State.

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 4.0 file. Adobe Acrobat software and instructions for downloading to personal computers are available through reference b.

(b) **Other.** CECW-OM will provide instructions to cover FC&CE activities of Appendix D, requiring input by floppy disc or E-mail or FTP directly to that office by dates specified in Table 2.

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

c. **Document Marking.** All submissions required by this EC are not to be released outside the Department of the Army. See ER 11-2-240, Appendix L, paragraph 1, for instructions regarding the marking of documents for restricted distribution.

12. Environmental Program.

a. **Goal.** Restoring and protecting the environment, including ecosystem functions and values as well as plant and animal communities, is an important goal which the Corps is pursuing through its Civil Works studies, projects, and programs. Collection and updating of environmental data enables tracking progress in meeting this goal, as well as presentation of information on Civil Works environmental activities to OMB, Army officials, other agencies, and various congressional committees and public groups.

b. **Reporting Requirements.** Environmental reporting requirements are detailed in Executive Orders and in OMB circulars and data requests. They are also detailed in the "U. S. Army Environmental Strategy Into the 21st Century," which categorizes environmental activities under the "four pillars" of compliance (pollution control); restoration (hazardous toxic and radiological waste (HTRW) cleanup); prevention (recycling, contaminant reduction); and conservation (mitigation, ecosystem restoration, protection).

c. **Work Categories.** Environmental work may be funded under one or more of six categories defined, along with related activities, in Table 3. However, most will be funded under one of the first three categories, which are subdivided to allow tracking of various types of wetlands activities.

d. **Input Instructions.** Environmental program data is both project/activity-specific and programmatic. Project/activity-specific data are input electronically to databases of two ADP systems - PRISM and OMABS. Programmatic data (e. g., for the RP, Section 1135 and 307A, and Coastal Wetlands Restoration Trust Fund accounts) are developed at HQUSACE. Instructions for input of project/activity specific data are provided by various means, including, in addition to this EC, the PRISM and OMABS User's Manuals, and messages by E-mail or hardcopy. All input must be entered by the date shown in Table 2, under "Main Part".

(1) **PRISM.** The database of this system contains data on funding as it was appropriated for PY-2 and/or programmed for PY-1 for environmental activities in the GI, CG, and MR&T accounts. Data for both PY-2 and PY-1 must be updated to reflect actual obligations and appropriations, and new data for the PY must be entered. The database includes two descriptive fields, one for PY-1 and another for the PY. Descriptions in these fields must explain concisely the work underway or scheduled, and identify

quantitative and/or qualitative outputs that funding is to achieve (e. g., acres of wetland to be restored, acres of habitat to be acquired, nature of resource to be restored, protected, or mitigated). Descriptions must be complete and not refer to a previous year's description.

(2) **OMABS.** The database of this system contains data on environmentally-related categories of the O&M account, including but not limited to 605.1, 605.5, 607.12, 608, 624.2, and 621.16. These categories are defined in Appendix C, Table C-2.3.

13. **Balance-to-Complete Report.** Districts will update the Balance-to-Complete Report (PRISM/PBS Report 46 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 ~~reported to the House Appropriations Committee on opening day of the annual program hearings~~ the subject of periodic Congressional questions on project balances-to-complete CECW-BA is the proponent of this report; however, CECW-BC/BE/BW area managers will review the contents of the report when necessary to meet requirements.

14. **Certifications of Compliance.** You must submit, to CECW-BD, 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 Geospacial Data.** ER 1110-1-8156, "Policies, Guidance, and Requirements for Geospacial Data and Systems," and EM 1110-1-2909, "Geospacial Data and Systems, "assist USACE in protecting its investment in Geospacial data and systems and in complying with Executive Order 12906, entitled "Coordinating Geographic Data Acquisition and Access - The National Spatial Data Infrastructure (NSDI)." USACE collects a variety of geospacial 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.

(1) 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 Geospacial data that it has created and made this documentation (metadata) available via the National Geospacial Data Clearinghouse on the Internet. (Illustration 2 is included in Appendix B of the ER.) The certification is due by the date shown under "Main Part" in Table 2.

(2) Paragraph 8 of the ER explains that, beginning in the FY97 Civil Works Program cycle, USACE project engineers will include costs of complying with Executive Order 12906 in the mapping or other appropriate programs for civil works, military construction, and reimbursable projects. These costs are described in more detail in Chapters 3 through 9 of the EM and include making metadata files, inventorying old/archived Geospacial data, and accessing the clearinghouse.

b. **Coastal Barrier Laws.** OMB's Circular A-11, entitled "Preparation and Submission of Budget Estimates," 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, 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 ~~FY99~~ 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 under "Main Part" 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:



9 Appendices
APP A - General Investigations
APP B - Construction, General

THOMAS F. CAVER, JR., P.E.
Chief, Programs Management Division
Directorate of Civil Works

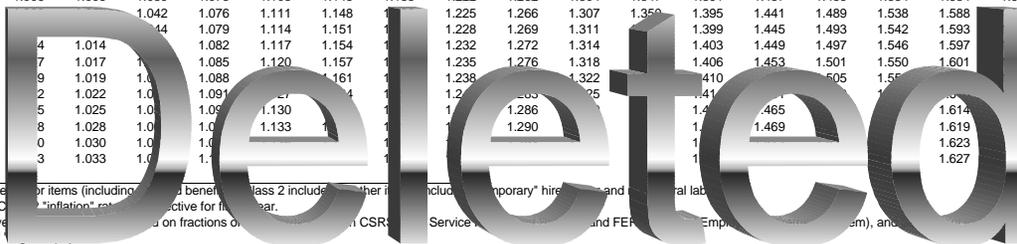
APP C - Operation and Maintenance, General
APP D - Flood Control and Coastal Emergencies
APP E - General Expenses
APP F - Regulatory Program
APP G - Revolving Fund (Plant Replacement and Improvement Program (PRIP))
APP H - Automation Costs
APP I - Formerly Utilized Sites Remedial Action Program

Table 1
FY01 PROGRAM
COST ESTIMATE UPDATING
RATES

COST ITEM 1/	CY/FY																					
	99	00	01	02	03	04	05	06	07	08	09	10	11	12	13	14	15	16	17	18	19	20
ECONOMIC ASSUMPTIONS 2/																						
Class 1																						
Base																						
Pay																						
Regular	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	
Awards	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	
Total	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	
Burden 3/																						
CSRS																						
Retirement	0.085	0.085	0.085	0.075	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	
Health Insurance 4/	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	
Medicare 5/	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	
Life Insurance 6/	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	
Total	0.152	0.152	0.152	0.142	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	
FERS																						
Retirement																						
Regular	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	
Thrift Savings Plan																						
Basic	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	
Match	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	
Total	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	
Old Age Survivors Disability Insurance	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	
Health Insurance 4/	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	
Medicare 5/	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	
Life Insurance 6/	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	
Total	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	
Composite																						
Force 7/																						
Total	13	24,734	24,734	24,734	24,734	24,734	24,734	24,734	24,734	24,734	24,734	24,734	24,734	24,734	24,734	24,734	24,734	24,734	24,734	24,734	24,734	
Temporary	8	3,092	3,092	3,092	3,092	3,092	3,092	3,092	3,092	3,092	3,092	3,092	3,092	3,092	3,092	3,092	3,092	3,092	3,092	3,092	3,092	
Permanent	5	21,642	21,642	21,642	21,642	21,642	21,642	21,642	21,642	21,642	21,642	21,642	21,642	21,642	21,642	21,642	21,642	21,642	21,642	21,642	21,642	
Attrition 8/	0	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	
CSRS																						
Turnover 9/	8	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	
Total	8	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	0.049	
FERS																						
Anniversary 10/	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36
Total	10,263	11,135	12,139	13,091	13,992	14,841	15,639	16,386	17,081	17,726	18,319	18,862	19,355	19,797	20,190	20,533	20,827	21,072	21,271	21,423	21,642	21,642
Allocation																						
CSRS	0.080	0.074	0.067	0.056	0.048	0.043	0.038	0.033	0.029	0.025	0.021	0.018	0.014	0.012	0.009	0.007	0.005	0.004	0.002	0.001	0.000	0.000
FERS	0.132	0.144	0.157	0.170	0.182	0.193	0.203	0.213	0.222	0.230	0.238	0.245	0.251	0.257	0.262	0.266	0.270	0.273	0.276	0.278	0.281	0.281
Total	0.213	0.218	0.224	0.226	0.230	0.236	0.241	0.246	0.250	0.255	0.259	0.262	0.266	0.269	0.271	0.273	0.275	0.277	0.278	0.279	0.281	0.281
Total (composite burden)	0.213	0.218	0.224	0.226	0.230	0.236	0.241	0.246	0.250	0.255	0.259	0.262	0.266	0.269	0.271	0.273	0.275	0.277	0.278	0.279	0.281	0.281
Total (burden)	0.213	0.218	0.224	0.226	0.230	0.236	0.241	0.246	0.250	0.255	0.259	0.262	0.266	0.269	0.271	0.273	0.275	0.277	0.278	0.279	0.281	0.281
Total (total pay and burden)	1.233	1.238	1.244	1.246	1.250	1.256	1.261	1.266	1.270	1.275	1.279	1.282	1.286	1.289	1.291	1.293	1.295	1.297	1.298	1.299	1.301	1.301
Raise 11/																						
Applicable to Then-year Base																						
Gross	0.036	0.044	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	
Absorption 12/	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	
Net	0.036	0.044	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	
Applicable to PY-1 Base																						
Pay	0.036	0.044	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	
Burden	0.036	0.045	0.040	0.039	0.040	0.040	0.040	0.040	0.040	0.040	0.040	0.040	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	
Base	0.036	0.044	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	0.039	
Updating Factor 13/	0.036	0.049	0.044	0.040	0.042	0.044	0.043	0.043	0.043	0.043	0.042	0.042	0.041	0.041	0.041	0.041	0.041	0.040	0.040	0.040	0.039	
Class 2																						
Inflation	0.027	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	
Absorption 12/	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	
Updating Factor 14/	0.027	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	0.033	

Table 1
FY01 PROGRAM
COST ESTIMATE UPDATING
RATES

COST ITEM 1/	CY/FY																					
	99 SIMPLE 15/	00	01	02	03	04	05	06	07	08	09	10 COMPOUND 16/	11	12	13	14	15	16	17	18	19	20
Class 1	1.040	1.039	1.046	1.093	1.139	1.186	1.238	1.291	1.347	1.405	1.465	1.527	1.591	1.657	1.726	1.797	1.870	1.946	2.025	2.106	2.190	2.278
Oct	1.034	1.042	1.038	1.097	1.141	1.185	1.236	1.292	1.347	1.405	1.465	1.527	1.591	1.658	1.726	1.797	1.871	1.947	2.025	2.107	2.191	2.277
Nov	1.034	1.042	1.038	1.097	1.141	1.185	1.236	1.292	1.347	1.405	1.465	1.527	1.591	1.658	1.726	1.797	1.871	1.947	2.025	2.107	2.191	2.277
Dec	1.034	1.042	1.038	1.097	1.141	1.185	1.236	1.292	1.347	1.405	1.465	1.527	1.591	1.658	1.726	1.797	1.871	1.947	2.025	2.107	2.191	2.277
Jan	1.042	1.038	1.049	1.092	1.138	1.187	1.238	1.291	1.347	1.405	1.465	1.527	1.591	1.657	1.726	1.797	1.870	1.946	2.025	2.106	2.190	2.278
Feb	1.042	1.038	1.049	1.092	1.138	1.187	1.238	1.291	1.347	1.405	1.465	1.527	1.591	1.657	1.726	1.797	1.870	1.946	2.025	2.106	2.190	2.278
Mar	1.042	1.038	1.049	1.092	1.138	1.187	1.238	1.291	1.347	1.405	1.465	1.527	1.591	1.657	1.726	1.797	1.870	1.946	2.025	2.106	2.190	2.278
Apr	1.042	1.038	1.049	1.092	1.138	1.187	1.238	1.291	1.347	1.405	1.465	1.527	1.591	1.657	1.726	1.797	1.870	1.946	2.025	2.106	2.190	2.278
May	1.042	1.038	1.049	1.092	1.138	1.187	1.238	1.291	1.347	1.405	1.465	1.527	1.591	1.657	1.726	1.797	1.870	1.946	2.025	2.106	2.190	2.278
Jun	1.042	1.038	1.049	1.092	1.138	1.187	1.238	1.291	1.347	1.405	1.465	1.527	1.591	1.657	1.726	1.797	1.870	1.946	2.025	2.106	2.190	2.278
Jul	1.042	1.038	1.049	1.092	1.138	1.187	1.238	1.291	1.347	1.405	1.465	1.527	1.591	1.657	1.726	1.797	1.870	1.946	2.025	2.106	2.190	2.278
Aug	1.042	1.038	1.049	1.092	1.138	1.187	1.238	1.291	1.347	1.405	1.465	1.527	1.591	1.657	1.726	1.797	1.870	1.946	2.025	2.106	2.190	2.278
Sep	1.042	1.038	1.049	1.092	1.138	1.187	1.238	1.291	1.347	1.405	1.465	1.527	1.591	1.657	1.726	1.797	1.870	1.946	2.025	2.106	2.190	2.278
Class 2	1.027	1.033	1.033	1.067	1.102	1.139	1.176	1.215	1.255	1.297	1.339	1.384	1.429	1.476	1.525	1.575	1.627	1.681	1.737	1.794	1.853	1.914
Oct	1.003	1.003	1.036	1.070	1.105	1.142	1.179	1.218	1.259	1.300	1.343	1.387	1.433	1.480	1.529	1.580	1.632	1.686	1.741	1.799	1.858	1.920
Nov	1.006	1.006	1.039	1.073	1.108	1.145	1.183	1.222	1.262	1.304	1.347	1.391	1.437	1.485	1.534	1.584	1.636	1.690	1.746	1.804	1.863	1.925
Dec	1.042	1.042	1.076	1.111	1.148	1.185	1.223	1.262	1.302	1.345	1.389	1.435	1.482	1.530	1.579	1.629	1.680	1.732	1.785	1.839	1.894	1.950
Jan	1.044	1.044	1.079	1.114	1.151	1.188	1.226	1.265	1.305	1.347	1.391	1.437	1.484	1.532	1.581	1.631	1.682	1.734	1.787	1.841	1.896	1.952
Feb	1.044	1.014	1.082	1.117	1.154	1.191	1.230	1.270	1.311	1.353	1.400	1.448	1.497	1.546	1.597	1.648	1.700	1.752	1.805	1.859	1.914	1.970
Mar	1.044	1.017	1.085	1.120	1.157	1.194	1.233	1.273	1.314	1.356	1.403	1.451	1.501	1.550	1.601	1.652	1.704	1.756	1.809	1.863	1.918	1.974
Apr	1.044	1.019	1.088	1.123	1.160	1.197	1.236	1.276	1.317	1.359	1.406	1.454	1.503	1.552	1.603	1.654	1.706	1.758	1.811	1.865	1.920	1.976
May	1.044	1.022	1.091	1.126	1.163	1.200	1.240	1.280	1.321	1.363	1.410	1.458	1.507	1.556	1.606	1.656	1.708	1.760	1.813	1.867	1.922	1.978
Jun	1.044	1.025	1.094	1.129	1.166	1.203	1.243	1.283	1.324	1.366	1.413	1.461	1.510	1.559	1.609	1.659	1.711	1.763	1.816	1.870	1.925	1.981
Jul	1.044	1.028	1.097	1.132	1.169	1.206	1.246	1.286	1.327	1.369	1.416	1.464	1.513	1.562	1.612	1.662	1.714	1.766	1.819	1.873	1.928	1.984
Aug	1.044	1.030	1.099	1.134	1.171	1.208	1.248	1.288	1.329	1.371	1.418	1.466	1.515	1.564	1.614	1.664	1.716	1.768	1.821	1.875	1.930	1.986
Sep	1.044	1.033	1.102	1.137	1.174	1.211	1.251	1.291	1.332	1.374	1.421	1.469	1.518	1.567	1.617	1.667	1.719	1.771	1.824	1.878	1.933	1.989



1/ Class 1 or Class 2. Class 1 includes "permanent" hire for items (including... and benefits... Class 2 includes... other items... including temporary" hire... and...
 2/ Class 1 "raise" rates are effective for calendar year; Class 2 "inflation" rates are effective for fiscal year.
 3/ Generally, fraction of total pay contributed by the government... on fractions of... CSRS... Service... and FER... Emp... (em), and... er rate.
 4/ Not based on pay, however, expressed as fraction of...
 5/ Based on "total" instead of "regular" pay; rates reflect adjustment for this.
 6/ Only partially based on pay, however, expressed as fraction of "regular" pay.
 7/ Manpower in fulltime equivalent employment years (FTEs).
 8/ Fraction of permanent manpower lost, annually.
 9/ Fraction of permanent manpower shifted (turned over) from CSRS to FERS coverage, annually.
 10/ Number of FERS anniversary. (All federal permanent employees first hired after 1983 have been covered by FERS, created by Congress to bring federal workers under the Social Security System, beginning in 1984.)
 11/ Applies to all permanent civilian workers, including SES, GM, GS, and Wage Board employees.
 12/ Fraction of raise to be absorbed (not realized).
 13/ Used in amounts of 1/4 for initial calendar year (CY) and 3/4 for final CY for any fiscal year (FY) of any period in calculating "Compound Rate" for final FY of the period. For example, in calculating the Class 1 compound rate for FY02, use rates for FY01 as follows: (1 + (1/4)(CY99 rate) + (3/4)(CY00 rate))(1 + (1/4)(CY00 rate) + (3/4)(CY01 rate)) = (1 + (1/4)(0.038) + (3/4)(0.049))(1 + (1/4)(0.049) + (3/4)(0.044)) = 1.093.
 14/ Used for any FY of any period in calculating "Compound Rate" for final FY of the period. For example, in calculating the Class 2 compound rate for FY02, use rates for FY01 and 02 as follows: (1 + FY01 rate)(1 + FY02 rate) = (1 + 0.033)(1 + 0.033) = 1.067
 15/ Use FY00 annual rates to update estimates based on 1 Oct 98 prices to get estimates based on 1 Oct 99 prices. Use monthly rates in accordance with Footnote 17. (See first two points of Algorithm, and Example 1.)
 16/ Use annual rates to update estimates based on 1 Oct 99 prices to get estimates based on 1 Oct prices for year of interest. Use monthly rates in accordance with Footnote 17. (See last two points of Algorithm, and Example 2 and 3.) Determine the rate for years beyond FY20 by multiplying the FY20 rate by: (1 + (FY20 rate - FY19 rate)/(FY19 rate))^n^th power. For example, determine the Class 1 rate for FY24 by evaluating: (2.278)((1 + (2.278 - 2.190)/(2.190))^4th power) = 2.666. Determine the Class 2 rate evaluating: (1.914)((1 + (1.914 - 1.853)/(1.853))^4th power) = 2.180.
 17/ Class 1 monthly rates are nonapplicable individually. They are included only to show month-wise parts of annual updating factors, reflecting annual start-of-calendar-year raises applicable for the full year. Do not use them to update estimates. On the hand, Class 2 monthly rates are applicable individually. They reflect continually accruing inflation over the full year of interest. Use these to update estimates based on 1 Oct 98 prices to get estimates based on end-of-month prices for any month of in For improved accuracy, interpolate proportionally between successive rates.

Algorithm:

- o Update "work/workload." For each program/project/activity (PPA), revise the work/workload, as necessary, to best reflect reality.
- o Complete "base year cost estimates." For each PPA, given revised work/workload, inflate the cost estimate based on 1 Oct 98 prices to get the cost estimate based on 1 Oct 99 prices, by use of simple rates.
- o Update "execution schedules." For each PPA, revise the execution schedule to best reflect reality, spreading the cost estimate based on 1 Oct 99 prices accordingly.
- o Complete "full-inflation cost estimates." For each PPA, inflate the cost estimate based on 1 Oct 99 prices, as spread by the execution schedule, by use of compound rates.

Table 1
FY01 PROGRAM
COST ESTIMATE UPDATING
RATES

Examples: (Methods shown provide minimum acceptable accuracy. Refinements in these, theoretically providing greater accuracy, are permissible. Monthly rates of each class are provided to accommodate such refinement.)

1. Estimate "base year cost estimate" for a Class 1 item with a 1 Oct 98 cost of \$1M by evaluating:
 $(\$1M \text{ in } 1 \text{ Oct } 98 \text{ prices})(FY00 \text{ rate}) = (\$1M)(1.039) = \$1.039M.$
2. Estimate the remaining "full-inflation cost estimate" for a Class 1 item with scheduled multi-year cost, in base year prices, of \$100K, monthly, through 30 Jun 02 by evaluating:
 $(\$1.2M \text{ in } 1 \text{ Oct } 99 \text{ prices}) + (\$1.2M \text{ in } 1 \text{ Oct } 99 \text{ prices})(FY01 \text{ rate}) + (\$0.6M \text{ in } 1 \text{ Oct } 99 \text{ prices})(FY02 \text{ rate}) = (\$1.2M) + (\$1.2M)(1.046) + (\$0.6M)(1.093) = \$3.111M.$
3. Estimate the "full-inflation cost estimate" for a Class 2 item with scheduled multi-year costs, in base year prices, of \$10M, from 23 Apr 09 through 26 Sep 11 by evaluating:
 - contract period midpoint FY (FY in which midpoint of contract falls):
contract period = 23 Apr 09 through 26 Sep 11 = 2 years, 5 months, 3 days = 2.43 years;
period from start to midpoint of contract period = 2.43 years / 2 = 1.22 years;
date of midpoint of contract period = 23 Apr 09 + 1.22 years = 12 Jul 10;
midpoint FY = 10.
 - "full-inflation cost estimate" (reflecting inflation through midpoint FY):
 $(\$10M \text{ in } 1 \text{ Oct } 99 \text{ prices})(FY10 \text{ rate}) = \$10M(1$

Deleted

Table 1
FY02 PROGRAM
COST ESTIMATE UPDATING
RATES

COST ITEM 1/	CY/FY																					
	00	01	02	03	04	05	06	07	08	09	10	11	12	13	14	15	16	17	18	19	20	21
Class 1	ECONOMIC ASSUMPTIONS 2/																					
Base																						
Pay																						
Regular	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000	1.000
Awards	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020	0.020
Total	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020	1.020
Burden 3/																						
CSRS																						
Retirement	0.085	0.085	0.075	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070
Health Insurance 4/	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050
Medicare 5/	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015
Life Insurance 6/	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002
Total	0.152	0.152	0.142	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137	0.137
FERS																						
Retirement																						
Regular	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107	0.107
Thrift Savings Plan																						
Basic	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010	0.010
Match	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035	0.035
Total	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045	0.045
Old Age Survivors Disability Insurance	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062	0.062
Health Insurance 4/	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050	0.050
Medicare 5/	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015
Life Insurance 6/	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002	0.002
Total	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281	0.281
Composite																						
Force 7/																						
Total	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725	24,725
Temporary	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091	3,091
Permanent	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634	21,634
Attrition 8/	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070	0.070
CSRS																						
Turnover 9/	0.049	0.046	0.044	0.042	0.039	0.037	0.035	0.032	0.030	0.027	0.025	0.023	0.020	0.018	0.016	0.014	0.011	0.009	0.007	1.000	1.000	1.000
Total	10,512	9,508	8,556	7,655	6,805	6,007	5,261	4,565	3,920	3,326	2,783	2,291	1,848	1,455	1,112	817	571	373	220	0	0	0
FERS																						
Anniversary 10/	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37
Total	11,122	12,126	13,078	13,979	14,829	15,627	16,373	17,069	17,714	18,308	18,851	19,343	19,786	20,179	20,522	20,817	21,063	21,261	21,414	21,634	21,634	21,634
Allocation																						
CSRS																						
FERS	0.074	0.067	0.056	0.048	0.043	0.038	0.033	0.029	0.025	0.021	0.018	0.014	0.012	0.009	0.007	0.005	0.004	0.002	0.001	0.000	0.000	0.000
Total	0.144	0.157	0.170	0.181	0.192	0.203	0.213	0.222	0.230	0.238	0.245	0.251	0.257	0.262	0.266	0.270	0.273	0.276	0.278	0.281	0.281	0.281
Total (composite burden)	0.218	0.224	0.226	0.230	0.235	0.241	0.246	0.250	0.255	0.259	0.262	0.266	0.268	0.271	0.273	0.275	0.277	0.278	0.279	0.281	0.281	0.281
Total (burden)	0.218	0.224	0.226	0.230	0.235	0.241	0.246	0.250	0.255	0.259	0.262	0.266	0.268	0.271	0.273	0.275	0.277	0.278	0.279	0.281	0.281	0.281
Total (pay and burden)	1.238	1.244	1.246	1.250	1.255	1.261	1.266	1.270	1.275	1.279	1.282	1.286	1.288	1.291	1.293	1.295	1.297	1.298	1.299	1.301	1.301	1.301
Raise 11/																						
Applicable to Then-year Base																						
Gross	0.048	0.037	0.037	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032
Absorption 12/	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Net	0.048	0.037	0.037	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032
Applicable to PY-1 Base																						
Pay	0.048	0.037	0.037	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032
Burden	0.049	0.038	0.037	0.033	0.033	0.033	0.033	0.033	0.033	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032
Base	0.048	0.037	0.037	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032
Updating Factor 13/	0.053	0.042	0.038	0.035	0.037	0.036	0.036	0.036	0.035	0.035	0.035	0.035	0.034	0.034	0.034	0.034	0.033	0.033	0.033	0.033	0.032	0.032
Class 2																						
Inflation	0.027	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032
Absorption 12/	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Updating Factor 14/	0.027	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032	0.032

Table 1
FY02 PROGRAM
COST ESTIMATE UPDATING
RATES

COST ITEM 1/	CY/FY																					
	00 SIMPLE 15/	01	02	03	04	05	06	07	08	09	10	11 COMPOUND 16/	12	13	14	15	16	17	18	19	20	21
Class 1	1.036	1.049	1.045	1.086	1.125	1.166	1.208	1.252	1.297	1.343	1.391	1.439	1.489	1.540	1.593	1.647	1.702	1.759	1.817	1.877	1.939	2.002
Oct	1.042	1.037	1.053	1.089	1.128	1.165	1.209	1.252	1.297	1.343	1.391	1.439	1.489	1.541	1.593	1.647	1.703	1.760	1.818	1.878	1.939	2.004
Nov	1.042	1.037	1.053	1.089	1.128	1.165	1.209	1.252	1.297	1.343	1.391	1.439	1.489	1.541	1.593	1.647	1.703	1.760	1.818	1.878	1.939	2.004
Dec	1.042	1.037	1.053	1.089	1.128	1.165	1.209	1.252	1.297	1.343	1.391	1.439	1.489	1.541	1.593	1.647	1.703	1.760	1.818	1.878	1.939	2.004
Jan	1.037	1.053	1.042	1.085	1.124	1.166	1.208	1.252	1.297	1.343	1.390	1.439	1.489	1.540	1.593	1.647	1.702	1.759	1.817	1.877	1.939	2.001
Feb	1.037	1.053	1.042	1.085	1.124	1.166	1.208	1.252	1.297	1.343	1.390	1.439	1.489	1.540	1.593	1.647	1.702	1.759	1.817	1.877	1.939	2.001
Mar	1.037	1.053	1.042	1.085	1.124	1.166	1.208	1.252	1.297	1.343	1.390	1.439	1.489	1.540	1.593	1.647	1.702	1.759	1.817	1.877	1.939	2.001
Apr	1.037	1.053	1.042	1.085	1.124	1.166	1.208	1.252	1.297	1.343	1.390	1.439	1.489	1.540	1.593	1.647	1.702	1.759	1.817	1.877	1.939	2.001
May	1.037	1.053	1.042	1.085	1.124	1.166	1.208	1.252	1.297	1.343	1.390	1.439	1.489	1.540	1.593	1.647	1.702	1.759	1.817	1.877	1.939	2.001
Jun	1.037	1.053	1.042	1.085	1.124	1.166	1.208	1.252	1.297	1.343	1.390	1.439	1.489	1.540	1.593	1.647	1.702	1.759	1.817	1.877	1.939	2.001
Jul	1.037	1.053	1.042	1.085	1.124	1.166	1.208	1.252	1.297	1.343	1.390	1.439	1.489	1.540	1.593	1.647	1.702	1.759	1.817	1.877	1.939	2.001
Aug	1.037	1.053	1.042	1.085	1.124	1.166	1.208	1.252	1.297	1.343	1.390	1.439	1.489	1.540	1.593	1.647	1.702	1.759	1.817	1.877	1.939	2.001
Sep	1.037	1.053	1.042	1.085	1.124	1.166	1.208	1.252	1.297	1.343	1.390	1.439	1.489	1.540	1.593	1.647	1.702	1.759	1.817	1.877	1.939	2.001
Class 2	1.027	1.032	1.032	1.065	1.099	1.134	1.171	1.208	1.247	1.287	1.328	1.370	1.414	1.459	1.506	1.554	1.604	1.655	1.708	1.763	1.819	1.878
Oct	1.003	1.003	1.035	1.068	1.102	1.137	1.174	1.211	1.250	1.290	1.331	1.374	1.418	1.463	1.510	1.558	1.608	1.660	1.713	1.768	1.824	1.883
Nov	1.005	1.005	1.038	1.071	1.105	1.140	1.177	1.214	1.253	1.293	1.335	1.378	1.422	1.467	1.514	1.563	1.613	1.664	1.717	1.772	1.829	1.888
Dec	1.008	1.008	1.040	1.074	1.108	1.143	1.180	1.218	1.257	1.297	1.338	1.381	1.425	1.471	1.518	1.567	1.617	1.669	1.722	1.777	1.834	1.893
Jan	1.011	1.011	1.043	1.076	1.111	1.146	1.183	1.221	1.260	1.300	1.342	1.385	1.429	1.475	1.522	1.571	1.621	1.673	1.726	1.782	1.839	1.898
Feb	1.013	1.013	1.046	1.079	1.114	1.149	1.186	1.224	1.263	1.304	1.345	1.389	1.433	1.479	1.526	1.575	1.625	1.677	1.731	1.786	1.844	1.903
Mar	1.016	1.016	1.049	1.082	1.117	1.152	1.189	1.227	1.267	1.307	1.349	1.392	1.437	1.483	1.530	1.579	1.630	1.682	1.736	1.791	1.848	1.908
Apr	1.019	1.019	1.051	1.085	1.120	1.155	1.192	1.231	1.270	1.311	1.353	1.396	1.440	1.487	1.534	1.583	1.634	1.686	1.740	1.796	1.853	1.913
May	1.021	1.021	1.054	1.088	1.123	1.158	1.196	1.234	1.273	1.314	1.356	1.399	1.444	1.490	1.538	1.587	1.638	1.691	1.745	1.801	1.858	1.918
Jun	1.024	1.024	1.057	1.091	1.125	1.161	1.199	1.237	1.277	1.317	1.360	1.403	1.448	1.494	1.542	1.592	1.642	1.695	1.749	1.805	1.863	1.923
Jul	1.027	1.027	1.060	1.093	1.128	1.165	1.202	1.240	1.280	1.321	1.363	1.407	1.452	1.498	1.546	1.596	1.647	1.699	1.754	1.810	1.868	1.928
Aug	1.029	1.029	1.062	1.096	1.131	1.168	1.205	1.243	1.283	1.324	1.367	1.410	1.456	1.502	1.550	1.600	1.651	1.704	1.758	1.815	1.873	1.933
Sep	1.032	1.032	1.065	1.099	1.134	1.171	1.208	1.247	1.287	1.328	1.370	1.414	1.459	1.506	1.554	1.604	1.655	1.708	1.763	1.819	1.878	1.938

1/ Class 1 or Class 2. Class 1 includes "permanent" hired labor items (including pay and benefits). Class 2 includes all other items, including "temporary" hired labor and nonfederal labor.
2/ Class 1 "raise" rates are effective for calendar year; Class 2 "inflation" rates are effective for fiscal year.
3/ Generally, fraction of total pay contributed by the government for benefits. Based on fractions of force participating in CSRS (Civil Service Retirement System) and FERS (Federal Employee Retirement System), and permanent force turnover rate.
4/ Not based on pay, however, expressed as fraction of "regular" pay.
5/ Based on "total" instead of "regular" pay; rates reflect adjustment for this.
6/ Only partially based on pay, however, expressed as fraction of "regular" pay.
7/ Manpower in fulltime equivalent employment years (FTEs).
8/ Fraction of permanent manpower lost, annually.
9/ Fraction of permanent manpower shifted (turned over) from CSRS to FERS coverage, annually.
10/ Number of FERS anniversary. (All federal permanent employees first hired after 1983 have been covered by FERS, created by Congress to bring federal workers under the Social Security System, beginning in 1984.)
11/ Applies to all permanent civilian workers, including SES, GM, GS, and Wage Board employees.
12/ Fraction of raise to be absorbed (not realized).
13/ Used in amounts of 1/4 for initial calendar year (CY) and 3/4 for final CY for any fiscal year (FY) of any period in calculating "Compound Rate" for final FY of the period. For example, in calculating the Class 1 compound rate for FY03, use rates for FY00, FY01, and FY02 as follows:

$$(1 + (1/4)(CY00 \text{ rate}) + (3/4)(CY01 \text{ rate})) \times (1 + (1/4)(CY01 \text{ rate}) + (3/4)(CY02 \text{ rate})) = (1 + (1/4)(0.053) + (3/4)(0.042)) \times (1 + (1/4)(0.042) + (3/4)(0.038)) = 1.086.$$

14/ Used for any FY of any period in calculating "Compound Rate" for final FY of the period. For example, in calculating the Class 2 compound rate for FY03, use rates for FY02 and 03 as follows:

$$(1 + FY02 \text{ rate})(1 + FY03 \text{ rate}) = (1 + 0.032)(1 + 0.032) = 1.065$$

15/ Use FY01 annual rates to update estimates based on 1 Oct 99 prices to get estimates based on 1 Oct 00 prices. Use monthly rates in accordance with Footnote 17. (See first two points of Algorithm, and Example 1.)
16/ Use annual rates to update estimates based on 1 Oct 00 prices to get estimates based on 1 Oct prices for year of interest. Use monthly rates in accordance with Footnote 17. (See last two points of Algorithm, and Example 2 and 3.) Determine the rate for years beyond FY21 by multiplying the FY21 rate by: $(1 + (FY21 \text{ rate} - FY20 \text{ rate}) / (FY20 \text{ rate}))^n$ power. For example, determine the Class 1 rate for FY25 by evaluating:

$$(2.002)(1 + (2.002 - 1.939) / (1.939))^{4\text{th power}} = 2.271.$$

Determine the Class 2 rate by evaluating:

$$(1.878)(1 + (1.878 - 1.819) / (1.819))^{4\text{th power}} = 2.130.$$

17/ Class 1 monthly rates are nonapplicable individually. They are included only to show month-wise parts of annual updating factors, reflecting annual start-of-calendar-year raises applicable for the full year. Do not use them to update estimates. On the hand, Class 2 monthly rates are applicable individually. They reflect continually accruing inflation over the full year of interest. Use these to update estimates based on 1 Oct 99 prices to get estimates based on end-of-month prices for any month of interest. For improved accuracy, interpolate proportionally between successive rates.

Table 1
FY02 PROGRAM
COST ESTIMATE UPDATING
RATES

Algorithm:

- o Update "work/workload." For each program/project/activity (PPA), revise the work/workload, as necessary, to best reflect reality.
- o Complete "base year cost estimates." For each PPA, given revised work/workload, inflate the cost estimate based on 1 Oct 99 prices to get the cost estimate based on 1 Oct 00 prices, by use of FY01 simple rates.
- o Update "execution schedules." For each PPA, revise the execution schedule to best reflect reality, spreading the cost estimate based on 1 Oct 00 prices accordingly.
- o Complete "full-inflation cost estimates." For each PPA, inflate the cost estimate based on 1 Oct 00 prices, as spread by the execution schedule, by use of compound rates.

Examples: (Methods shown provide minimum acceptable accuracy. Refinements in these, theoretically providing greater accuracy, are permissible. Monthly rates of each class are provided to accommodate such refinement.)

1. Estimate "base year cost estimate" for a Class 1 item with a 1 Oct 99 cost of \$1M by evaluating:
 $(\$1M \text{ in } 1 \text{ Oct } 99 \text{ prices})(\text{FY01 rate}) = (\$1M)(1.049) = \$1.049M.$
2. Estimate the remaining "full-inflation cost estimate" for a Class 1 item with scheduled multi-year cost, in base year prices, of \$100K, monthly, through 30 Jun 03 by evaluating:
 $(\$1.2M \text{ in } 1 \text{ Oct } 00 \text{ prices}) + (\$1.2M \text{ in } 1 \text{ Oct } 00 \text{ prices})(\text{FY02 rate}) + (\$0.6M \text{ in } 1 \text{ Oct } 00 \text{ prices})(\text{FY03 rate}) = (\$1.2M) + (\$1.2M)(1.045) + (\$0.6M)(1.086) = \$3.106M.$
3. Estimate the "full-inflation cost estimate" for a Class 2 item with scheduled multi-year costs, in base year prices, of \$10M, from 23 Apr 10 through 26 Sep 12 by evaluating:
 - contract period midpoint FY (FY in which midpoint of contract falls):
contract period = 23 Apr 10 through 26 Sep 12 = 2 years, 5 months, 3 days = 2.43 years;
period from start to midpoint of contract period = 2.43 years / 2 = 1.22 years;
date of midpoint of contract period = 23 Apr 10 + 1.22 years = 12 Jul 11;
midpoint FY = 11.
 - "full-inflation cost estimate" (reflecting inflation through midpoint FY):
 $(\$10M \text{ in } 1 \text{ Oct } 00 \text{ prices})(\text{FY11 rate}) = \$10M(1.370) = \$13.70M.$

EC 11-2-179
31 Mar 00

APPROPRIATION ACCOUNT: _____ *		ILLUSTRATION 1 REQUEST FOR WAIVER PY THROUGH PY+4 PROGRAM (dollars in thousands \$K)					REASONS FOR WAIVER
DIVISION: _____		PY	PY+1	PY+2	PY+3	PY+4	
PROJECT NAME							
(GENERAL INVESTIGATIONS - PED program)							
PROJECT B							
Baseline Level	250	180	100			Fund as PY new construction start. PY-1 PED Congressional add advanced schedule 1 year. Sponsor working on financing now. PY & PY+1 funding adjusted to award 1st contract in 4th qtr of PY+1.	
Requested Amount	325	215	0				
Change	75	35	(100)	0	0		
(CONSTRUCTION, GENERAL - ongoing program)							
PROJECT A							
Baseline Level	2,000	0	0	0	0	Fund at capability level per request of project sponsor. Will advance completion by 8 months. No impact on outyear amounts.	
Requested Amount	4,000	0	0	0	0		
Change	2,000	0	0	0	0		
(CONSTRUCTION, GENERAL - new start program)							
PROJECT C							
Baseline Level	N/A					Recommended PY-1 new construction start. Selection Criterion 4 (cost estimate) not met. Authorized (NED) plan is backed by sponsor; financing is firm, with State support. Construction cost estimate is expected to be within 16% of authorized estimate, after inflation adjustment. Benefits are urban. BCR is 1.3 (at 7-1/8 6 5/8 %).	
Requested Amount	858	2,200	2,900	3,500	5,100		
Requested Amount	858	2,200	2,900	3,500	5,100		
(TOTAL)*							
Baseline Level							
Requested Amount							

* For each account; for the CG account, show the ongoing and new starts programs, separately.

FOR ILLUSTRATION PURPOSES ONLY
(TO BE TYPED AS NECESSARY)

ILLUSTRATION 2

DATE: _____

CERTIFICATION OF COMPLIANCE WITH SECTION 3(D) OF EXECUTIVE ORDER 12906
and SECTION 7.g(4) 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 Geospatial data that is available through the National Geospatial 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 Geospatial Data Clearinghouse in accordance with ER 1110-1-8156.

Colonel, Corps of Engineers
Commanding

FOR ILLUSTRATIVE PURPOSES ONLY
(TO BE TYPED AS NECESSARY)

EC 11-2-179
31 Mar 00

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 15 before completing the checklist.

TEST QUESTIONS:

1. Does the 10-year program provide for continuity in the workflow once the new start decisions are made?

Response: YES _____ NO _____ NA _____

Remarks:

2. Are projections of work and funding requirements consistent with current approved project management schedules?

Response: YES _____ NO _____ NA _____

Remarks:

3. Do study and PED schedules include all steps/milestones through the completion of construction?

Response: YES _____ NO _____ NA _____

Remarks:

4. Are funding schedules continuously reviewed and adjusted to reflect Congressional actions, the local sponsors' financial capability, and project progress?

Response: YES _____ NO _____ NA _____

Remarks:

5. Does development of the multi-year programs follow the guidance included in the applicable appendices of the Program EC?

Response: YES _____ NO _____ NA _____

Remarks:

6. Are alternative multi-year program proposals fully documented?

Response: YES _____ NO _____ NA _____

Remarks:

ILLUSTRATION 4 (Continued)
MANAGEMENT CONTROL EVALUATION CHECKLIST

7. Is the multi-year Capability program independent of the other programs, yet consistent with Army policy and approved project cooperation agreements?

Response: YES _____ NO _____ NA _____
Remarks:

8. Have the "Class 1" rates of Table 1, "PY Program, Cost Estimate Updating," been applied to the pay-related costs for civilian employees?

Response: YES _____ NO _____ NA _____
Remarks:

9. 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?

Response: YES _____ NO _____ NA _____
Remarks:

10. 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?

Response: YES _____ NO _____ NA _____
Remarks:

11. 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?

Response: YES _____ NO _____ NA _____
Remarks:

12. Are the appropriate discount rates being used to compute the benefit-cost ratios of projects?

Response: YES _____ NO _____ NA _____
Remarks:

13. 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?

Response: YES _____ NO _____ NA _____
Remarks:

ILLUSTRATION 4 (Continued)
MANAGEMENT CONTROL EVALUATION CHECKLIST

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?

Response: YES _____ NO _____ NA _____
Remarks:

14. 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?

Response: YES _____ NO _____ NA _____
Remarks:

15. 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, and upland habitat?

Response: YES _____ NO _____ NA _____
Remarks:

16. Do recommended new construction starts have firm M-CACES baseline cost estimates?

Response: YES _____ NO _____ NA _____
Remarks:

17. Have new start recommendations been screened according to the criteria established in the Program EC?

Response: YES _____ NO _____ NA _____
Remarks:

18. Are the projects programmed for construction in PY through PY+9 based on the estimates and schedules established for them in programmed studies and PED projects, as applicable?

Response: YES _____ NO _____ NA _____
Remarks:

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

a. construction is programmed in the fiscal year following PED completion?

Response: YES _____ NO _____ NA _____
Remarks:

ILLUSTRATION 4 (Continued)
MANAGEMENT CONTROL EVALUATION CHECKLIST

b. project cost estimates are identical?

Response: YES _____ NO _____ NA _____
Remarks:

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

EC 11-2-179
31 Mar 00

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 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 2004 2002 BUDGET							
EC PART	SUBMISSION						
	ITEM	RECIPIENT 1/	INPUT MEANS			COPIES 2/	DUE DATE 3/
			ADP DATA BASE	E-MAIL/ FLOPPY DISC/FTP	HARD COPY		
MAIN PART							
MAIN	Illustration 1, Request for Waiver	4/ CECW-B Area Manager			X	2	4/6/
	Environmental Data into for PRISM and OMABS	NA	X			NA	30 Jun
	Balance-to-Complete Report (PRISM/PBS)	NA	X			NA	45 31 Dec
	Illustration 2, Certification of Compliance with Section 3(D) of Executive Order 12906	CECW-BD			X	1	15 Aug
	Illustration 3A, Certification of Compliance with Coastal Barrier Resources Act (Program Request)	CECW-BD			X	1	15 Aug
	Illustration 3B, Certification of Compliance with Coastal Barrier Resources Act (Past Fiscal Year)	CECW-BD			X	1	15 Oct
	Illustration 5, Certification of Use of Management Control Evaluation Checklist	CECW-BD			X	1	22 Jun
GENERAL INVESTIGATIONS							
A-2	Illustration A-2.1, New Start Reconnaissance Phase Study, <u>Justification Statement</u> <u>New</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u> <u>Continuing</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u>	CECW-BG/BE/BW Area Manager				1	8 Jun 6/ 6/ 6/ 6/ 6/
	Illustration A-2.2, Cost-shared Feasibility Study - Continuing <u>Justification Statement</u> <u>New</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u> <u>Continuing</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u>	CECW-BG/BE/BW Area Manager				1	8 Jun 6/ 6/ 22 Jun 6/ 6/

TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 2004-2002 BUDGET (Continued)							
EC PART	SUBMISSION						
	ITEM	RECIPIENT 1/	INPUT MEANS			COPIES 2/	DUE DATE 3/
			ADP DATA BASE	E-MAIL/ FLOPPY DISC/FTP	HARD COPY		
GENERAL INVESTIGATIONS (Continued)							
	Illustration A-2.3, Full Federal Expense Feasibility Study-- <u>Continuing, Justification Statement</u> New Initial Revised Congressional Continuing Initial Revised Congressional	CECW-BC/BE/BW Area Manager		4/ 4/ 5/ 4/ 4/ 5/		1	8 Jun 6/ 6/ 22 Jun 6/ 6/
	Illustration A-2.4, Preconstruction Engineering and Design, <u>Justification Statement</u> New Initial Revised Congressional Continuing Initial Revised Congressional	CECW-BC/BE/BW CECW-BC/BE/BW Area Manager		4/ 4/ 5/ 4/ 4/ 5/		1 4	8 Jun 6/ 6/ 22 Jun 6/ 6/
	Illustration A-2.5, Data Summary Table (Baseline Level)	NA	X			NA	30 Jun
	Illustration A-2.6, Data Summary Table (Information Level)	NA	X			NA	30 Jun
	Extension of PED Funding	CECW-BW		4/	X	31	1 Jul
A-3	Illustration A-3.1, District Breakdown	CECW-BW		4/	X	41	8 Jul
	Illustration A-3.2, Special Investigations - Work Accomplished	CECW-BW		4/	X	41	8 Jul
	Illustration A-3.3, Planning Assistance to States - Priority Listing	CECW-BW		4/	X	41	8 Jul
	Illustration A-3.4, International Water Studies	CECW-BW		4/	X	41	8 Jul

TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 2004-2002 BUDGET (Continued)							
EC PART	SUBMISSION						
	ITEM	RECIPIENT 1/	INPUT MEANS			COPIES 2/	DUE DATE 3/
			ADP DATA BASE	E-MAIL/ FLOPPY DISCFTP	HARD COPY		
GENERAL INVESTIGATIONS (Continued)							
	Illustration A-3.5, Floodplain Management Services	CECW-BW		4/	x	41	8 Jul
CONSTRUCTION, GENERAL							
B-2	Baseline Level PB-2a	NA	X			NA	30 Jun
	Environmental Information info for Environmental Program Database	NA	X			NA	30 Jun
	Illustration B-2.1, Project Data Summary	NA	X			NA	30 Jun
	Illustration B-2.2A, Federal (Corps) Funding Requirements Summary	NA	X			NA	30 Jun
	Illustration B-2.2B, Inland Waterways Trust Fund Requirements Summary	NA	X			NA	30 Jun
	Illustration B-2.2C, Other Federal Agency Funding Summary	NA	X			NA	30 Jun
	Illustration B-2.2D, Non-federal Cash Contributions and Other Costs Summary	NA	X			NA	30 Jun
	Illustration B-2.2E, Harbor Maintenance Trust Services Fund Requirements Summary	NA	X			NA	30 Jun
	Illustration B-2.3, Completions Summary - Construction	NA	X			NA	30 Jun
	Illustration B-2.4, PY Justification Statement <u>New</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u> <u>Continuing</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u>	CECW-BC/BE/BW Area Manager		4/ 4/ 5/ 4/ 4/ 5/		1	6/1 Jun 6/ 6/ 6/ 6/ 6/

<p align="center">TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 2004-2002 BUDGET (Continued)</p>							
EC PART	SUBMISSION						
	ITEM	RECIPIENT 1/	INPUT MEANS			COPIES 2/	DUE DATE 3/
			ADP DATA BASE	E-MAIL/ FLOPPY DISCFTP	HARD COPY		
CONSTRUCTION, GENERAL (Continued)							
	Illustration B-2.6, PY Proposed New Major Rehabilitation and Other New Work Summary	CECW-BC/BE/BW Area Manager		4/	X	31	1 Jun
	Illustration B-2.7, Construction Eligibility Checklist	CECW-BC/BE/BW Area Manager		4/	X	10	1 Jun
	Feasibility Report, EDR, LRR or GRR	CECW-BC/BE/BW Area Manager			X	3	6/
	Maps for New Start Regular Construction, Reimbursement, Resumption, Major Rehabilitation, Dam Safety Assurance, Deficiency Correction, Reconstruction, Dredged Material Disposal Facilities, and Unstarted Projects, and Unstarted Separable Elements <u>New</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u> <u>Continuing</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u>	CECW-BC/BE/BW Area Manager		5/	X	10	1 Jun 6/ 6/ 6/ 6/ 6/
	Reconnaissance Report for New Deficiency Correction, Reconstruction, Dam Safety Assurance, and Dredged Material Disposal Facilities Projects	CECW-BC/BE/BW Area Manager			X	3	1 Jun
	Evaluation Report for New Major Rehabilitation Projects	CECW-OM-B			X	3	15 Mar
	EDR or Reevaluation Report for Resumptions, Unstarted Projects, and Unstarted Separable Elements	CECW-BC/BE/BW Area Manager			X	3	1 Jun

<p align="center">TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 20042002 BUDGET (Continued)</p>							
EC PART	SUBMISSION						
	ITEM	RECIPIENT 1/	INPUT MEANS			COPIES 2/	DUE DATE 3/
			ADP DATA BASE	E-MAIL/ FLOPPY DISCFTP	HARD COPY		
CONSTRUCTION, GENERAL (Continued)							
	Approved M-CACES baseline cost estimate (summary sheets) for New Start Regular Construction, Reimbursement, Resumption, Major Rehabilitation, Deficiency Correction, Reconstruction, and Unstarted Projects, and Unstarted Separable Elements	CECW-BC/BE/BW/ <u>Area Manager</u>		4/	X	1	1 Jun
B-3	Continuing Authorities Program	NA	X			1	6/
B-4	Illustration B-4	CECW-BE			X	1	15 Jun
OPERATION AND MAINTENANCE, GENERAL							
C-2	Work Package information into computer by district	NA	X			NA	145 May
	Final MSC Rankings into computer	NA	X			NA	448 Jun
	Environmental Information into computer	NA	X			NA	30 Jun
	Baseline Level PB-2a for O&M-Funded Major Rehabilitation Projects	CECW-BC <u>Area Manager</u>		X	X	41	30 Jun
	Evaluation Report for Major Rehabilitation Projects	CECW-BC <u>Area Manager</u>			X	3	15 Mar
	Illustration B-2.4, PY Justification Sheet for O&M-Funded Major Rehabilitation Projects	CECW-BC <u>Area Manager</u>		5/		NA	6/1 Jun
	Illustration C-2.1, Supplemental Justification - Major Maintenance	CECW-BC <u>Area Manager</u>		X	X	31	448 Jun
	Illustration C-2-2, Dredged Material Management Plans	CECW-BC <u>Area Manager</u>		X	X	31	1 Jul

TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 20042002 BUDGET (Continued)							
EC PART	SUBMISSION						
	ITEM	RECIPIENT 1/	INPUT MEANS			COPIES 2/	DUE DATE 3/
			ADP DATA BASE	E-MAIL/ FLOPPY DISCFTP	HARD COPY		
OPERATION AND MAINTENANCE, GENERAL (Continued)							
	Illustration C-2.5, Justification of Estimate (Congressional Submission)	CECW-B <u>Area Manager</u>		5/		1	6/
C-3	Illustration C-3.1, National Emergency Preparedness - Recommended Program	CECW-OE-P		<u>X</u>	X	<u>3</u> 1	15 Jun
	Illustration C-3.2, National Emergency Preparedness - Recommended Program Supporting Data	CECW-OE-P		X		1	15 Jun
C-4	Illustration C-4.1, Supplemental Information Sheet for Recreation Facilities at Completed Projects	CECW-ON	X	<u>X</u>	X	<u>2</u> 1	15 Jun
FLOOD CONTROL AND COASTAL EMERGENCIES							
D	Illustration D-1, Program Request, Flood Control & Coastal Emergencies	CECW-OE-M		X		1	1 Jul
	Illustration D-2, Supporting Data	CECW-OE-M		X		1	1 Jul
	Illustration D-3, Emergency Management Program Data Sheet	CECW-OE-M		X		1	1 Jul
GENERAL EXPENSES							
E-2	Illustration E-2.1, Appropriation Summary Justification	CERM-B		X	X	1	<u>6</u> 8 Jun
	Illustration E-2.2, Personnel Summary Justification	CERM-B		X	X	1	<u>6</u> 8 Jun
REGULATORY PROGRAM							
F	Regulatory Program	CECW- <u>BOR</u>	<u>8</u> /	<u>X</u>	<u>8</u> /	<u>8</u> 1	<u>20</u> 15 Jun

TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 2004-2002 BUDGET (Continued)							
EC PART	SUBMISSION						
	ITEM	RECIPIENT 1/	INPUT MEANS			COPIES 2/	DUE DATE 3/
			ADP DATA BASE	E-MAIL/ FLOPPY DISCFTP	HARD COPY		
REVOLVING FUND PLANT REPLACEMENT AND IMPROVEMENT PROGRAM							
G	PRIP - Current Year Request	CERM-B	X	X	X	2	30 Jun
	New Major Items	CERM-B	X	X	X	2	30 Apr
	Update of Continuing Major Items	CERM-B	X	X	X	2	30 Jun
	Three-year PRIP Original Initial Midyear Review Updates as needed	CERM-B CERM-B CERM-B	X X X	X X X	X X X	2 2 2	15 Oct 15 Apr 6/
	Current Year Obligation/Expenditure Schedule	CERM-B		X	X	2	15 Apr 15 Jul 15 Nov
	Category Transfer Report	CERM-B CERM-B CERM-B CERM-B		X X X X	X X X X	2 2 2 2	15 Jan 15 Apr 15 Jul 15 Oct
AUTOMATION COSTS							
H-4	Information Technology Investment Portfolio System (ITIPS)	NA	X			NA	31 Jan
	Three-year PRIP (original initial)	CERM-B		X	X	1	15 Oct
FORMERLY UTILIZED SITES REMEDIAL ACTION PROGRAM (FUSRAP)							
I	FUSRAP Data	NA	X			NA	15 Jun
	Illustration I-1.1, Formerly Utilized Sites Remedial Action Program, Justification Statement, Initial Revised Congressional	CECW-BA	4/ 4/ 5/	X		1	15 Jun 6/ 6/

<p style="text-align: center;">TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 2004-2002 BUDGET (Continued)</p>							
EC PART	SUBMISSION						
	ITEM	RECIPIENT 1/	INPUT MEANS			COPIES 2/	DUE DATE 3/
			ADP DATA BASE	E-MAIL/ FLOPPY DISCFTP	HARD COPY		
FOOTNOTES:							
1/	All floppy disc and hardcopy submissions will be sent to the recipient shown, WASH, DC 20314-1000.						
2/	Including original.						
3/	If date shown falls on a weekend or holiday, the date of the next workday becomes the due date.						
4/	Submit to the recipient by the due date for the item. <u>Microsoft files.</u>						
5/	<u>Word documents, Adobe Acrobat files.</u>						
6/	1 June for new start construction, major rehabilitation, dam safety assurance, reimbursement, resumption, deficiency correction, reconstruction, dredged material disposal facility, and unstarted projects, and unstarted separable elements; date will be specified later for continuing projects.						
7/	<u>As will be specified if and when item is requested.</u>						
8/	See instructions in Appendix F.						

TABLE 3 CORPS OF ENGINEERS - CIVIL WORKS ENVIRONMENTAL PROGRAM DATABASE DEFINITIONS	
<i>Definitions of Categories</i>	
1. <i>Mitigation.</i> Measures authorized by Congress or approved by headquarters to compensate for ecological resources unavoidably affected by a Corps project or activity. Includes stand-alone projects; work undertaken concurrently with project construction; and operation, maintenance and management of completed mitigation measures.	
2. <i>Restoration.</i> Measures undertaken to return a degraded ecosystem's functions and values, including its hydrology, plant and animal communities, and/or portions thereof, to a less degraded ecological condition. The goal of restoration is to return the environmental study area to as near a natural condition as is justified and technically feasible. Priority will be given to restoration where a Corps project contributed to the degradation of the ecosystem and to modifications of existing Corps projects when such modifications are the most cost-effective means of restoring the ecological resources. [Note: HTRW cleanup is now a separate category.]	
3. <i>Protection.</i> Protection consists of measures undertaken to protect and preserve an ecosystem's functions and values against future degradation as part of the operation, maintenance and management of a Corps project (e. g., natural resources management, and environmental dredging studies). It may be appropriate to include protection measures as an integral part of an ecosystem restoration project. However, for programming purposes, such measures are to be reported under the "restoration" category, as part of the overall restoration project.	
4. <i>Cleanup.</i> Measures undertaken to achieve compliance with Federal or State laws or regulations to clean up hazardous, toxic and radioactive wastes (HTRW) on lands associated with Corps projects in planning or under construction, or on lands managed by the Corps (e. g., site studies, Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) remedial actions, Resource Conservation and Recovery Act (RCRA) corrective actions, and cleanups related to leaking underground storage tanks). Includes items reported under OMB Circular A-106.	
5. <i>Compliance.</i> Measures undertaken to achieve or sustain compliance with Federal or State laws or regulations under Clean Water Act, Clean Air Act, and other pollution control laws. Includes items reported under OMB Circular A-106. [Note: Measures to comply with the National Environmental Policy Act and the Endangered Species Act should now be reported along with other planning and construction costs under Mitigation or Restoration, as appropriate.]	
6. <i>Prevention.</i> Measures undertaken to implement Executive Order 12856, Federal Compliance With Right to Know Laws and Pollution Prevention Requirements.	
<i>Definitions of Activities Within Categories</i>	
1. <i>Wetlands.</i> Measures involving wetlands, as defined in the Corps of Engineers 1987 Manual for Identifying and Delineating Jurisdictional Wetlands. [Mitigation, Restoration, and Protection Categories only.]	
<p style="margin-left: 40px;">a. <i>Restoration/Creation.</i> [formerly Conservation and Creation subactivities] Non-regulatory measures to restore or create wetlands. Includes programs for the purchase or donation of easements on wetlands. Includes construction and planning costs, as well as activities to evaluate the initial success and continued management of these projects.</p>	
<p style="margin-left: 40px;">b. <i>Watershed Planning.</i> Technical assistance to States, Indian Tribes, local governments, or regional entities with wetland management authorities for the purpose of assisting non-Federal entities programs to protect or manage wetlands. Includes Section 22 activities.</p>	
<p style="margin-left: 40px;">c. <i>Mapping.</i> Measures to systematically collect geographically referenced information about the distribution, abundance, or characteristics of wetlands. Includes expenditures to produce and distribute aerial photographs, maps, or digital products.</p>	
<p style="margin-left: 40px;">d. <i>Land Acquisition.</i> Costs to acquire land for the purposes of mitigation, restoration, and protection of existing wetlands.</p>	
2. <i>Other Ecological Resources.</i> Activities other than those related to wetlands. [Mitigation, Restoration, Protection, Cleanup, Compliance and Prevention Categories]	