

Appendix A-B

PRELIMINARY RESTORATION PLAN

1. Purpose. The Preliminary Restoration Plan (PRP) provides sufficient information and the rationale for determining that a feasibility level study of a potential section 1135 or 206 project is warranted. The PRP consists of a narrative outline containing available project information, a table containing pertinent financial information, a map showing both the vicinity and immediate area of the project, and a letter of intent from a non-Federal sponsor.

2. Submission Requirements. The MSC's shall submit PRP's electronically to the appropriate regional manager in CECW-P. Items such as the letter of intent and map(s) may be provided by fax or mail. Compliance with this requirement will simplify the process of making any necessary corrections and will facilitate processing of the PRP and subsequent project documents and funding requests. During subsequent phases, the main body of the PRP will serve as the ecosystem restoration fact sheet and shall be updated as appropriate.

3. General Instructions.

a. The PRP should be concise but informative.

b. A reproducible map(s). More than one map may be necessary to indicate information specific to the project, such as its nature and extent, and the project's location within the state. For section 1135 projects, the project modification's relationship to the existing project must also be indicated. The map(s) does not need to be in color; a copy of a location or project map from an existing document may be sufficient. **The map must be marked in a fashion that reproduces clearly.** The location of major elements of the proposed project, such as subimpoundments, areas to be planted, channels, etc, should be indicated on the map. Maps should not be fan-folded but more than one page may be used to display the necessary information. An informative map can provide answers to questions for individuals unfamiliar with the project but must be consistent with the data in the text of the PRP.

c. The PRP should be based primarily upon existing data, not new studies. The information presented should address the issues discussed below in a clear, concise and logical fashion. Do not assume that the reader has prior knowledge of the project

being modified (for section 1135), the geographic area, the need for, or benefits of the proposed ecosystem restoration project. The PRP will be the primary source of information considered in making the decision to initiate the feasibility or combined planning and design phase and also provides the non-Federal sponsor with a written description of the proposed project and estimated costs. It provides the foundation for subsequent phases and the baseline against which decisions regarding the appropriate level of project approval will be measured.

d. A letter of intent from a non-Federal sponsor must be included in the PRP. The letter should be project specific and indicate an awareness of the estimated cost, and scope of the project being considered. The letter should mention the estimated cost of the project and state that the sponsor is aware of the requirement to provide either 25 or 35 percent of the total project costs, depending on the authority, which includes the study costs; any necessary additional LERRD's; and 100 percent of the incremental OMRR&R, except for an occasional section 1135 which meets the criteria discussed in paragraph 14 above. The letter should also clearly state that the sponsor is willing and able to meet these requirements, if an acceptable plan is developed. The letter should have been provided within the twelve month period prior to submission to Headquarters.

#### 4. Specific Instructions.

a. Item 1. Project. Bullets may be used to complete this item. Complete sentences are unnecessary.

(1) The name of the ecosystem restoration project is the official name which shall be used in all correspondence concerning the proposed project. The name should be descriptive of the proposed project, yet relatively short. For a section 1135 project this name may be the same as the name of the project being modified but in many cases it will be different. If you plan on referring to a project as "Boyer Chute" or "Duck Island Subimpoundment" or "New Channel Cutoff" use that name here. The projects are being given new PWI numbers so a new, short, name may in fact reduce confusion. This may also be helpful if more than one section 1135 modification may be proposed at a large project.

(2) The PWI number will be assigned at the time the initial work allowance is issued for the feasibility phase, or combined planning and design phase.

(3) For Section 1135 projects:

(i) the "Name of the project being modified" should be the official name of the previously authorized and constructed project.

(ii) The "date constructed" refers to the date that the project being modified was constructed, not the date of construction of the proposed modification.

(iii) The authorization history of the existing project is not required. Simply list the specifically authorized project purposes. For reservoir projects, these purposes should be consistent with those reported to Congress in response to Section 311 of WRDA 90, PL 101-640.

b. Item 2. Location. Use major (generally well-known and recognized) cities as the reference points for location. Also, for section 1135 projects, describe briefly the location of the proposed modification in relationship to the project being modified, for example: on south shoreline of lake 3 miles above the dam in Yellow Creek drainage. However, do not use river miles as the only reference point for location.

c. Item 3. Description of Proposed Ecosystem Restoration. The description of the proposed ecosystem restoration must include a discussion of the following items. To the extent possible, this information should be quantified in absolute rather than relative terms. The project outputs must be clearly described, as well as the method for achieving these results. Additionally, mention how much ecosystem (fish and wildlife habitat) will be restored: 10 acres of wetlands; or two miles of stream suitable for spawning. Ranges may be provided for outputs, scope and number of features, e.g. an increase of 10-20 average annual habitat units, over 30-40 acres, with 1-2 subimpoundments of 5-8 acres each. The importance of the outputs must be addressed in accordance with the guidance in Chapter 7 of ER 1105-2-100. If possible, needs should also be quantified; such as, only five of twenty nests in this area were successful last year due to predation; or 95 percent of the approximately 1 million smolt produced annually were adversely affected by the salinity problem. Simply stating that 5 acres of fresh water marsh will be created is not an adequate description of the proposed project. Alternatives which may be, or have been, considered should be briefly described.

(1) **What is being proposed?** Briefly describe the physical changes to the ecosystem that will result from the proposed

project. (Examples: creation of nesting islands: improved water quality, including temperature, DO levels, etc., behind the weir/dike at river mile 405: managed wetlands)

**(2) For section 1135 projects, describe the Corps project feature or operations to be modified; and/or how the Corps project has contributed to the degradation of the quality of the environment in the location where restoration is being proposed.**

**(3) Describe the major features of the proposed project.** This information is essential for establishing a clear understanding of the scope of the project and later for purposes of evaluating approval authority and should include an estimate of the cost of the major elements. (Examples: operational changes and/or structural changes such as modifying previously disposed dredged material: modifying the outflow structures of a dam: the weir/dike will be notched at a location approximately 200 feet from right bank and the notch will be sized to deliver approximately x cubic feet of water per second during normal mid-late summer flows: or shaping the bank and planting riparian vegetation to shade the stream)

**(4) Why it is proposed?**

(a) Include a brief discussion of the ecosystem degradation recorded in the area. (Examples: reduction in duck populations over several years from historic levels due in part to an absence of adequate nesting habitat: the purpose of notching the dike is to increase the flow of oxygenated water to the slough which has become eutrophic due to high levels of detritus and increased BOD)

(b) The existing ecosystem must be described,

(c) The expected with and without project conditions must be described.

**(5) The expected outputs and how these will be measured.** Do not assume that decision makers are aware of the intrinsic need for, or benefits provided by wetlands, "green tree reservoirs" or other habitat. While the focus should be on restoration of an ecosystem, one species, such as black ducks, may serve as an indicator of the need for, or success of, an ecosystem restoration. However, the range of potential benefits of the proposed project should be briefly mentioned. This may include benefits to other species, not just the indicator species; and beneficial changes to physical parameters, such as water quality, turbidity reduction, etc. (Examples: five

nests/year: seventeen acres of the slough will be restored to a condition supporting spawning of important fish species a, b and c; additionally supporting increased populations of insects, and small reptiles and amphibians important as food for adult fish, predatory birds d and e, and migratory waterfowl f and g.)

(6) **The importance of the proposed outputs must be mentioned.** Any institutional, technical and/or public indications of importance should be described. This might include the presence of endangered species, location within a priority habitat area as described in the North American Waterfowl Management Plan, inclusion in the Coastal America or American Heritage River Programs. Resource scarcity should also be discussed. (Examples: even though small in number the population is in such critical need every nest is significant: as a result of the modification habitat quality for the indicated species will increase from poor to moderately good.)

(7) **There must be a clear statement regarding LERRD.** Either state that the entire project will be implemented on existing Corps project lands or discuss the need for any additional lands or relocations. Coordinate with Real Estate. Even lands already owned by the non-Federal sponsor may have a value which should be estimated at this stage. Acquisition of additional lands should be minimized.

(8) **The relationship of the proposed project** to other Federal or non-Federal planned or completed projects and regional or watershed plans should be discussed. The relationship to ongoing or planned Corps reconnaissance or feasibility studies must be discussed.

(9) **Alternatives** to the proposed project considered during preparation of the PRP should be mentioned. The types of alternatives to be considered in the subsequent phase should be described. This should include a brief discussion of the likely range of alternatives (e.g., how many) and scales of alternatives (e.g., what sizes).

(10) **Study Methodologies.** Briefly describe the techniques, models, and procedures which will be used to define project outputs, and the associated units of measurement. This should include a discussion of the biological or ecological models that will be used to define and quantify the outputs.

d. Item 4. Consistency Statement for Section 1135 Projects.  
By law, Section 1135 project modifications must be consistent

with the authorized project purposes of the project being modified; or if we are not directly modifying the Corps project, the measures must not conflict with the authorized project purposes. The proposed modification should not unacceptably impact the authorized project purposes and it is critical that this be clearly and succinctly discussed.

e. Item 5. Views of Sponsor. Include the name of the sponsor. In addition to the letter of intent the sponsor's interest in the project should be briefly described. If there are any known concerns that might affect execution of a PCA, these should be mentioned. Are there additional interested parties? For example, will some company be contributing money, or some group work with the sponsor on O&M.

f. Item 6. Views of Federal, State and Regional Agencies. At the PRP phase these may be unknown. Views of other agencies might include a discussion of how the proposed project modification relates to specific aspects of the North American Waterfowl Management Plan (not just the general goal of increasing waterfowl populations), discuss U.S. Fish and Wildlife Service support (or lack of) for the proposal, the fact that national or regional organizations such as Ducks Unlimited support the plan, etc. As the project proceeds through planning, the views of agencies formally reviewing the recommended plan through NEPA, E.O. 12372, the National Historic Preservation Act, or the Coordination Act procedures should be summarized. Indicate any action taken in response to these views.

g. Item 7. Environmental Compliance Requirements. This refers to the status of compliance of the proposed project and not of the original project, for a section 1135. This paragraph should include a brief discussion of the status of compliance with all applicable Federal and state statutes, not just the National Environmental Policy Act. Among the items to mention are the status of the Environmental Assessment (EA), dates of filing of the draft and final Environmental Impact Statement (EIS) or date of the Finding of No Significant Impact (FONSI), as appropriate. Only the date of the most recent action is required. For some section 1135 projects, the NEPA documentation for the original project may cover the proposed modification and if so this should be briefly explained. **The date of the FONSI or EIS must be in the fact sheet accompanying the request for construction funding.** Documentation that is more than a few years old should be carefully reviewed to ensure that it meets current requirements.

h. Item 8. Costs and Benefits. This category replaces the more traditional discussion of the NED plan. This is a critical item both in the PRP and the Ecosystem Restoration Report. The expected benefits and costs shall be described. Monetary and/or non-monetary benefits must justify the monetary and/or non-monetary costs. Since the primary output is to be ecosystem restoration, a benefit to cost ratio need not be presented. If a range of outputs, scope and/or features have been discussed the associated range of costs should be included.

(1) The outputs should be displayed in some quantifiable unit such as average annual habitat units or acres of habitat restored or created. Quality should also be discussed. Outputs must be based on comparison of without and with project conditions.

(2) The importance of the outputs provides the principal project justification, in combination with the quantities produced and cost considerations. Importance of outputs is established by reference to technical, institutional, and public recognition (see Chapter 7 of ER 1105-2-100). This would be the place to mention endangered species and support for national programs like the North American Waterfowl Management Plan, American Heritage Rivers or the Brownfields initiative.

(3) Economic benefits from the modifications must be incidental to improvements to fish and wildlife resources. If economic benefits from the project can be quantified, such as for commercial fishing or recreation, these should be included.

(4) Future OMRR&R requirements must be described.

i. Item 9. Schedule. The schedule should be realistic and a reasonable starting date should be indicated. This starting date should be reflected in the table contained in item 11. At a minimum provide estimated times in months for report preparation, plans and specifications, contract award and construction. A brief discussion of the factors contributing to the proposed schedule may be useful. For example, the sponsor requests that construction be staged over two years. Or the project is time of year sensitive and implementation must occur between the months of x and y.

j. Item 10. Supplemental Information. Additional data that will help provide a context for evaluating the proposed project and will aid in making the case for its funding should be presented here. If it is known at this stage that the sponsor is considering contributing part of its share as work-in-kind this

must be discussed in this section, both the approximate amount and nature of the work. The approximate cost, nature, and duration of any proposed post-construction monitoring should also be included.

k. Item 11. Financial Data. **No deviations in this format are permitted.** This section must be consistent with the starting date and schedule discussed in paragraph 4.i. above and the data in the Continuing Authorities Database. In the PRP, if a range of costs has been discussed in item 9, the highest cost should be used in this table.

(1) This section of the PRP and subsequent fact sheet must be complete and up to date at all times. As stages are completed the actual amounts spent should be indicated in the table.

(2) Costs and funding needs should be expressed to no more than three significant figures.

(3) The costs should be based on current year prices and interest rates.

(4) Since the report and plans and specifications are initially federally funded, the non-Federal column should be blank for these rows. The construction costs will reflect the reimbursement from the non-Federal sponsor for its share of the costs incurred prior to construction. For projects approved for one stage planning and design, the report and plans and specification rows will be combined.

(5) An estimate of LERRD and OMRR&R must be provided. At the PRP stage, it is understood that these are estimates. If the sponsor will contribute some work-in-kind the estimated value of this effort should be indicated.

(6) Since the fully funded cost is used in the PCA, this cost should be noted in a separate line to ensure consistency between the various documents.

l. Item 12. Federal Allocations to Date. This item shall be completed on fact sheets accompanying funding requests, Ecosystem Restoration Reports, termination reports and completion reports submitted subsequent to approval of initiation of the feasibility level study. Funds allocated to date shall include reprogrammed funds as well as work allowances received from HQUSACE. These do not include funds received to prepare PRP's under the generic nationwide PWI number. This section must be complete and up to date at all times.

Date:

MSC: (Name)  
District: (Name)

**Section 1135/206 (choose one) Preliminary Restoration Plan**

[Subsequent to receipt of funding for the study phase the title should be: Section 1135/206 (choose one) Fact Sheet]

1. Project: The name of the new project --  
PWI No.

For Section 1135: Name of the project being modified, or which contributed to the degradation, and date constructed

For Section 1135: Authorized purposes of project being modified -- fc/ nav/ power

State Congressional District (do not include the representative's name)

2. Location: -- State, city, county, vicinity - major river
3. Description of Proposed Project: what, where, why, (Corps contribution to the degradation, as appropriate) outputs, with and without future (quantity and quality), how achieve the restoration and how measure the outputs, importance, alternatives, methodologies, LERRDs
4. Consistency Statement( for section 1135):
5. Views of Sponsor: attach letter of intent
6. Views of Federal, State, and Regional Agencies:
7. Status of Environmental Compliance: Date of FONSI or EIS
8. Costs and Benefits: Monetary and non-monetary costs and benefits, not a traditional B/C ratio. Outputs, quantity and quality; importance; incidental economic benefits
9. Schedule: Including report preparation and preparation of plans and specifications: in months
10. Supplemental Information: The approximate value and nature of any proposed work-in-kind should be mentioned here. The approximate cost and nature of any proposed monitoring should also be included.

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11. Financial Data:

a. (all costs in thousands of dollars)

Report	Totals 100	Non-Federal	Federal 100	Project Modification Costs				Balance to Complete
				Federal Funding Needs				
				FY 100	FY+1	FY+2	FY+3	
P&S	250		250		200	50		
Construction	1250	400	850			600	200	50
Totals	1600	400	1200	100	200	650	200	50

Note: Report and Plans and Specifications are initially Federally financed, and costs distributed as part of the non-Federal share of project costs during implementation.

(Projects with a Federal cost of \$300,000 or less will have a combined entry for planning and design instead of separate report and plans and specifications rows.)

b. Non-Federal Requirements:

LERRD	\$ 10,000
Cash	\$ 390,000
Work-in-kind	\$ 0
Annual OMRR&R	\$ 10,000

c. Fully funded cost as found in the PCA. \$\_\_\_\_\_

12. Federal Allocations to Date:

Ecosystem Restoration Report:  
 Plans and Specifications:  
 Implementation (Construction):