



U.S. Army Corps
of Engineers

Project Partnership Kit



IWR Report No. 96-R-10
(revised) January 2001

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PROJECT PARTNERSHIP KIT

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NOTE: Budgetary priorities for the U.S. Army Corps of Engineers may change over time. Changes in both the structure and missions of the Corps, as well as cost sharing policies, are regularly considered by the Administration and the Congress. As a result, information regarding any of the specific programs, missions, or Corps structure contained in this document, may have changed or may be different from what is indicated in this kit.

ACKNOWLEDGMENTS

This document was prepared as an update of the “Sponsor’s Partnership Kit” that was first prepared in June 1987 by Kenneth D. Orth, currently the Chief of Planning at the South Pacific Division. The name of the kit was changed to “Project Partnership Kit” in the March 1996 update to better reflect the mutual responsibility between the U.S. Army Corps of Engineers and sponsors in the development of water resources and environmental projects. The proponent for the Project Partnership Kit is Dr. James F. Johnson, Chief of the Planning and Policy Division, Office of the Deputy Commander for Civil Works. The Civil Works managers responsible for the kit are Harry Kitch, Chief, Guidance Development Branch, and Paul Blakey, Planning Management Branch.

The Project Partnership Kit represents the collective efforts of many individuals. Special thanks are due to members of the Project Partnership Kit Advisory Group. Each advisory group member devoted many hours in thoughtful discussion about partnership concepts and issues, and provided thorough review and critique of drafts of this document.

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Special thanks is extended to IWR technical support staff, especially Richard Whittington, for providing extensive coordination and technical support.

Invaluable insights regarding project partnership and the information needed in this kit were provided by written comment or through phone interviews with project sponsors and Corps field personnel. The assistance provided by the individuals listed below is appreciated.

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TABLE OF CONTENTS

ACKNOWLEDGMENTS	iii
TABLE OF CONTENTS	v
LIST OF FIGURES	vii
LIST OF TABLES	viii
INTRODUCTION	1
PURPOSE OF THIS DOCUMENT	1
THE CORPS, THE SPONSOR, THE PARTNERSHIP	1
ORGANIZATION OF THIS DOCUMENT	3
PARTNER'S RIGHTS AND RESPONSIBILITIES	5
WHO'S WHO IN THE CORPS?	7
INTRODUCTION	7
CIVIL WORKS ORGANIZATION	7
OFFICE RESPONSIBILITIES	11
OTHER RESOURCES OF THE CORPS ORGANIZATION	12
FOR MORE INFORMATION	15
HOW CAN THE CORPS HELP?	17
INTRODUCTION	17
MISSIONS: TYPES OF PROBLEMS AND OPPORTUNITIES	17
Navigation	17
Flood Damage Reduction	19
Ecosystem Restoration	19
Hurricane and Storm Damage Reduction	20
Water Supply	20
Hydroelectric Power	20
Outdoor Recreation	20
Water Quality Control	20
PROGRAMS: WAYS THE CORPS CAN HELP	21
Mission Programs	21
Individually Authorized Studies and Projects	21
Continuing Authorities Program (CAP)	21
Flood Control Projects - Section 205	21

Emergency Streambank and Shoreline Erosion - Section 14	21
Snagging and Clearing for Flood Control - Section 208	21
Navigation Improvements - Section 107	22
Hurricane and Storm Damage Reduction - Section 103	22
Shore Damage Attributable to Federal Navigation Works - Section 111	22
Project Modifications for Improvement of the Environment - Section 1135.....	22
Aquatic Ecosystem Restoration - Section 206	22
Beneficial Uses of Dredged Material - Section 204	22
Regulatory Program	23
Formerly Utilized Sites Remedial Action Program (FUSRAP)	23
Technical Assistance Programs	23
Flood Plain Management Services Program (FPMS)	23
Planning Assistance to States Program (Section 22)	24
Emergency Operations Program	24
Interagency and Intergovernmental Support (IIS) Program	25
Programs of other Agencies	26
FOR MORE INFORMATION	26

<i>DEVELOPMENT OF A CIVIL WORKS PROJECT</i>	27
INTRODUCTION	27
WHO CAN BE A SPONSOR?	27
SPONSOR'S ROLE	27
FIRST STEPS TOWARDS A PROJECT	28
RECONNAISSANCE PHASE	30
FEASIBILITY PHASE	33
PRECONSTRUCTION ENGINEERING AND DESIGN PHASE	35
Project Authorization and Post Authorization Changes	36
CONSTRUCTION PHASE	36
OPERATION AND MAINTENANCE PHASE	39
FOR MORE INFORMATION	39

<i>WHO PAYS AND WHERE DOES THE MONEY COME FROM?</i>	41
INTRODUCTION	41
COST SHARING AND TIMING.....	41
RECONNAISSANCE PHASE	41
FEASIBILITY PHASE	43
PRECONSTRUCTION ENGINEERING AND DESIGN PHASE	43
CONSTRUCTION PHASE	43
OPERATION AND MAINTENANCE PHASE	43
CORPS FUNDING	44
Funding Steps	44
Disclosure of Budgetary Information	47
New Starts	47

SPONSOR FINANCING	47
How Can Sponsors Raise Funds for Their Share of a Civil Works Project?	48
How Can Sponsors provide Their Share of a Civil Works Project to the Corps?	48
What is the Sponsor’s “Financial Analysis”?	49
FOR MORE INFORMATION	49
WHAT’S NEGOTIABLE - WHAT’S NOT?	51
INTRODUCTION	51
FEASIBILITY COST SHARING AGREEMENTS (FCSA)’s	51
DESIGN AGREEMENTS (DA)’S	53
PROJECT COOPERATION AGREEMENTS (PCA)’s	55
OTHER REQUIREMENTS	59
FOR MORE INFORMATION	60
PROJECT DOCUMENTS	61
INTRODUCTION	61
STANDARDIZED DOCUMENTS	61
DESCRIPTION OF DOCUMENTS	61
FOR MORE INFORMATION	64
FOR MORE INFORMATION	65
INTRODUCTION	65
TYPES OF GUIDANCE	65
BEST REFERENCES	66
CORPS TRAINING	66
APPENDIX A: CORPS OFFICE DIRECTORY	67
APPENDIX B: CORPS ABBREVIATIONS, ACRONYMS AND NUMBERS	73
APPENDIX C: CORPS INTERNET ADDRESSES	85
LIST OF FIGURES	
Figure 1 Generalized Partnership in Water Resources Development	4
Figure 2 Corps of Engineers - Organizational Structure.....	8
Figure 3 Corps Civil Works District and Division Boundaries	10
Figure 4 Steps Towards Initiating a Project Reconnaissance Study	29
Figure 5 Civil Works Project Phases, Funding, Activities and Documents	32
Figure 6 Generalized Federal Budget Process Overlying Direct Civil Works Program Cycle	45

LIST OF TABLES

Table 1 Quick Reference – Corps Missions and Program 18

Table 2 Summary of Non-Federal Sponsor Cost Sharing Responsibilities
for Specifically Authorized Projects 42

INTRODUCTION

PURPOSE OF THIS PROJECT PARTNERSHIP KIT

This Project Partnership Kit is designed to help continue the tradition of cooperation in water resources project development and management. This kit serves as an introduction which will allow you, the potential sponsor, to better understand: 1) our organization and authorities 2) the scope of the Corps civil works missions and programs, 3) the project development process by which projects are planned, designed, constructed, and maintained, and 4) the Project Delivery Team (PDT), which you will be a member of.

The kit has been prepared to help you understand how the Corps can help with your water resources and related land problems and opportunities. While the kit has been developed to serve as an introduction to this partnership, it contains sufficient detail to serve as a reference for many aspects of this cooperative relationship. It is intended that this kit be used in conjunction with materials and information supplied by your local Corps district office. Should you desire additional information beyond this kit, sources of supplementary information, including local district contacts, are included for this purpose. Your district Project Manager is one of your best sources of information at the Corps. All project-related questions, concerns, comments, and requests should be directed to your Project Manager, who is usually in the best position to get you a quick response. While the district Project Manager is your primary point of contact, participation in the project development will provide you with access to resources throughout the entire Corps organization.

We look forward to partnering with you in a collaborative process to assure your satisfaction. Feel free to ask questions as you participate with us, and be sure to provide us with feedback.

THE CORPS, THE SPONSOR, THE PARTNERSHIP

The Corps

The U.S. Army Corps of Engineers (Corps) is the Federal government's largest water resources development and management agency, representing Federal interests in commercial navigation, flood damage reduction, ecosystem restoration, and a variety of other resource needs. As a major command of the U.S. Army in the Executive Branch of

the Federal Government, the Corps has both a military mission, to provide engineering services to the Army and Air Force, and a civil works mission, to assist in the development and management of the Nation's water resources. It is our civil works mission that provides local communities and sponsors with opportunities to meet water resource needs where there is both a local and national interest.

The Army's Civil Works mission is to contribute to the national welfare and serve

the public's needs by providing the nation, the Army, and their customers with quality and responsive

- development, management, and integration of the nation's water resources;
- protection, restoration, and management of the environment;
- disaster response and recovery;
- engineering and technical services

in an environmentally sustainable, economical, and technically sound manner through partnerships and the project management business process (PMBP).

The PMBP allows all of the Corps resources to be available to the Project Delivery Team (PDT), which includes you, the Sponsor and Partner.

The Corps is a large organization with division, regional, and district offices located throughout the country (<http://www.usace.army.mil/inet/functions/cw/>). This decentralization allows project sponsors easy access to the Corps and enhances the Corps understanding of local water resources problems and opportunities. The result has been a long and successful tradition of cooperation in water resources project development and management.

The Sponsor

Sponsors are state, tribal, county or local governments, or agencies which are interested in joining with the Corps to participate in civil works projects. The Corps works hand-in-hand with sponsors throughout the country to investigate water resources and related land problems and opportunities and, if warranted, develop projects that would otherwise be beyond the capability of the sponsor itself. Corps water resources activities are initiated

by sponsors or potential sponsors, authorized by Congress, funded by Federal and non-Federal sponsors, and constructed by private contractors supervised by the Corps under the civil works program.

You, the sponsor, will be a member of the Project Delivery Team (PDT) and will play a key role throughout the entire project development process. You will share in the financial costs of studies and projects; and will provide the Corps with sponsor requirements with respect to budget, scope, quality, and schedule as well as any changes to these requirements. You, the sponsor, are a client of the Corps and are expected to evaluate Corps performance. You must be satisfied with the Corps product, consistent with laws, policies and national priorities.

The Partnership

The professional partnership between the Corps and project sponsors is a multifaceted relationship that may encompass many large projects over decades or the few years required to plan and build a single small project. As a result, some sponsors may be very familiar with the Corps organization and procedures; other sponsors may be relatively unfamiliar with the Corps.

You, the sponsor, will take an active role in all phases of project development and will be served by a Corps Project Manager who will be your advocate throughout the study, design and construction phases of project development. The Project Delivery Team will work on the all phases of the project, assuring continuity in the project development process, and a focus on the end product, delivery of a quality project.

As will be apparent in this document, the development of a civil works project can be a complex undertaking. The Corps is committed to fostering a strong relationship with you, through the entire project development and implementation process. The Corps will make every effort to be responsive, flexible, and accessible to your needs. In some cases, you may enter the planning process with a specific vision of the project size and scope. However, as a Federal agency, the Corps is bound to observe existing laws and regulations and conduct the project planning development and implementation process in a prescribed objective manner. The Economic and Environmental Principles and Guidelines for Water and Related Land Resources Implementation Studies (Water Resources Council, 1983) and the Water Resources Development Acts of 1986, 1988, 1990, 1992, 1996, 1999, and 2000 provide for a partnership both in cost sharing and project development. The planning process and outcomes can sometimes be at odds with your

specific objectives. If such situations arise, the Corps is committed to explaining the Corps position and working with you to find alternative solutions to your concerns. To further clarify the nature of this partnership, the roles and responsibilities of partners are presented in the following section of this kit.

ORGANIZATION OF THIS DOCUMENT

Figure 1 presents a schematic of the partnership involved in developing projects to address water resources and related land problems and opportunities of Federal interest. This figure also depicts how the contents of this kit correspond to different elements of this partnership. Through this organization, the procedural steps, and partnership requirements and responsibilities of developing water resources projects, will be described.

Water Resources Project Development Partnership

Chapters of this Kit

- Partner's Rights and Responsibilities (p. 5)
- Who's Who in the Corps? (p. 7)
- Ways the Corps can Help? (p. 21)
- Development of a Civil Works Project (p. 27)
- Who Pays and Where Does the Money Come From? (p. 41)
- What's Negotiable - What's Not (p. 51)
- Project Documents (p. 61)
- For More Information (p. 65)
- Corps Office Directory (p. 67)
- Corps Abbreviations, Acronyms, and Numbers (p. 73)
- Corps Internet Addresses (p. 85)

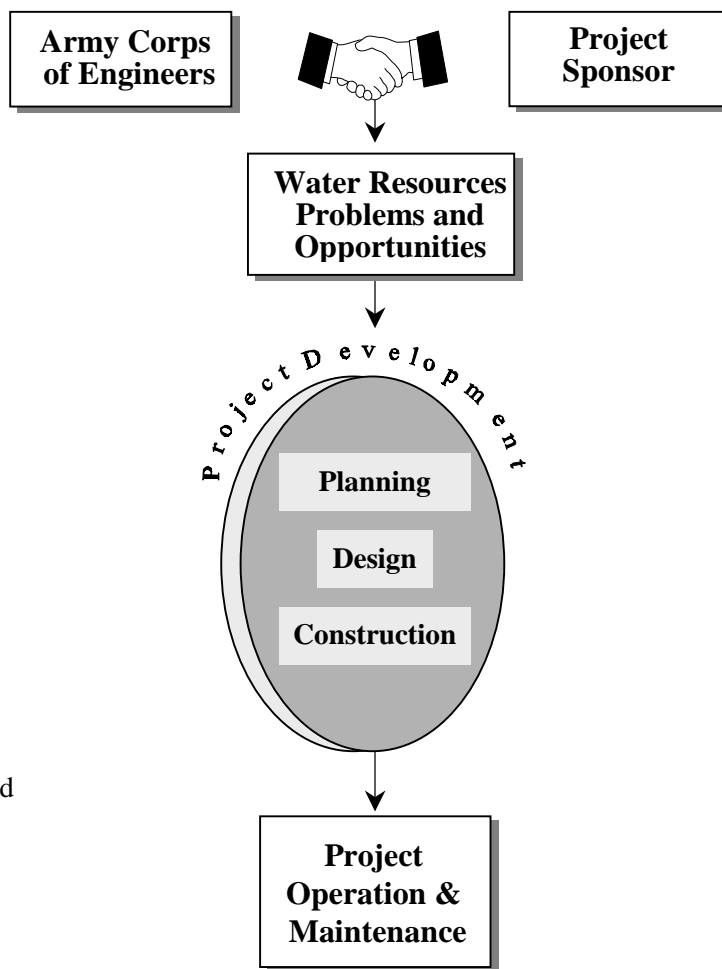


FIGURE 1

GENERALIZED PARTNERSHIP IN WATER RESOURCES DEVELOPMENT

PARTNERS' RIGHTS AND RESPONSIBILITIES

For Corps Civil Works Projects

The U.S. Army Corps of Engineers will participate in partnership with you, the non-Federal sponsor, in the development and management of the Nation's water and related land resources. The quality and success of our partnership is based on mutual respect, integrity, cooperation, flexibility, and sincerity. Whenever there are opportunities for you to cooperate, inform, advise, negotiate, appeal or otherwise participate in any facet of decision-making, we encourage and expect you to do so, and will welcome and fully accept your participation. We encourage you to be involved with the Corps Project Manager in day-to-day management of projects. Your ideas, views and other offerings will be given full and fair consideration and you will be given the opportunity to make a difference in the decision-making process. Our commitment to partnership is supported by the following rights and responsibilities.

AS PARTNERS, WE SHOULD EXPECT FROM EACH OTHER:

- *Communication; to know what is going on; and to be heard, listened to, and understood in an atmosphere that is open and uncompromised. Information and opinions may differ, but will be shared. We will share fiscal documentation on the use of project funds, assessments of risk and uncertainty, and other information.*
- *A corporate spirit and personal attitude of cooperation that seeks ways to meet our mutual objectives and expectations. We encourage creativity and innovation in solving problems and realizing opportunities, marked not by "We can't" but by "How can we?"*
- *Quality service and products that meet or beat agreed to realistic schedules and costs estimates. Promptness is expected in making decisions and completing work concerning costs and budgets, resolution conferences and other meetings, review and approval of documents, and answering the mail.*
- *Consistent, fair, and reasonable answers, guidance, interpretations and other decisions between Corps offices and staff, and from the same office or person over time.*
- *Participation in project meetings, including team meetings, issue resolution conferences, feasibility scoping meetings, alternative formulation meetings, and others.*
- *Participation in preparing project documents, including: reconnaissance and feasibility reports; environmental assessments and impact statements and other environmental documents; engineering and design documentation reports; plans and specifications; project management*

plans and other reports; and feasibility cost sharing agreements and project cooperation agreements. At the national level, views about Corps guidance are welcomed.

- *Professionally competent technical, managerial, and administrative work and products, including the procedures, data, judgments, and documentation behind them in planning, engineering, scientific, real estate, legal, and fiscal matters. We will be accountable for the quality of our actions and work.*
- *Understanding and acceptance that, while we strive for a fair partnership, the relationship will be affected by Federal laws and Administration policies that provide economic opportunities, determine legal responsibilities, protect public safety, and otherwise act in the public interest. Examples include Federal environmental requirements, Corps contracting officer responsibilities, and cost sharing and other legally required items of local cooperation. As a sponsor, you have the right to have such conditions clearly explained as they may arise during the project development process.*
- *Living up to commitments required in documents established in: the feasibility cost sharing agreement, management plan, design agreement, project cooperation agreement, and other formal and informal agreements, acting in good faith to honor promises.*

WHO'S WHO IN THE CORPS?

Corps Organizations and Responsibilities

INTRODUCTION

The Corps is more than the Federal government's largest water resources development and management agency; it is thousands of dedicated civilian and military employees representing over one hundred different professional engineering, scientific, environmental and managerial specialty areas. As an agency of the executive branch of the Federal government, the Corps reflects the policies of the current administration in the way it conducts business. Such policies may change with changes in administrations.

While largely composed of civilians, the Corps is a part of the U.S. Army. Our military leadership operates through a strong chain of command that links the Headquarters, regional offices, divisions, and local districts. This approach permits quick responses in emergency situations and relatively rapid changes in programs.

Our military orientation is complemented by a belief in decentralization wherever possible. This maximizes local authority and provides flexibility at the local level. As illustrated in Figure 2, our civil works program includes four levels of authority, ranging from the Assistant Secretary of the Army for Civil Works [ASA(CW)] and the Chief of Engineers in Washington, DC, to the local district offices across the Nation. Each Corps office is generally organized according to project development functions.

CIVIL WORKS ORGANIZATION

Assistant Secretary of the Army for Civil Works [ASA(CW)]

The ASA(CW) is appointed by the President and is the Administration's policy maker for the Corps civil works program. The Assistant Secretary is also responsible for all Corps foreign activities not exclusively in support of U.S. military forces overseas.

These responsibilities are exercised in accord with the program of the President. The ASA(CW) works cooperatively with the Chief of Engineers through:

- The annual legislative program, which usually includes recommended authorizations to conduct studies and construct projects,

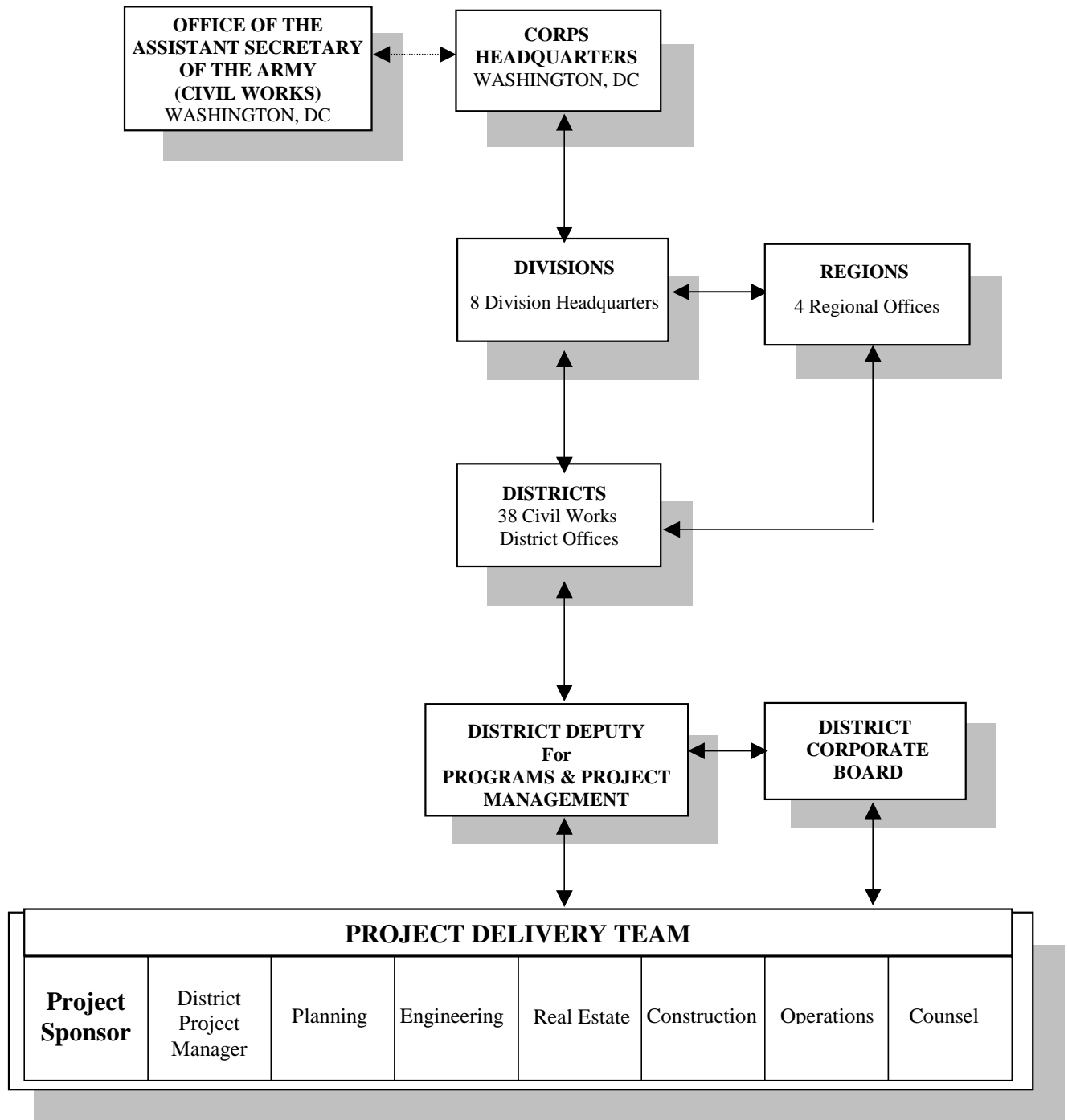


FIGURE 2

CORPS OF ENGINEERS - ORGANIZATIONAL STRUCTURE

- The annual civil works budget, which includes requests for funding for selected studies and projects,
- Providing policy to the Corps, and interpreting policy guidance on specific studies, projects and programs.

Headquarters, U.S. Army Corps of Engineers (HQUSACE):

HQUSACE is commanded by the Chief of Engineers. For Civil Works, the Chief works cooperatively with the Assistant Secretary, and has delegated most responsibility for managing the civil works program to the Deputy Director of Civil Works.

The Headquarters is responsible for organizational leadership and efficient management of the programs and resources of the Corps. It ensures that policy established by the Assistant Secretary, including interpretive policy guidance on specific projects and programs, is applied to all phases of project development. The Headquarters also monitors and provides guidance to the Divisions; provides progress reports to the ASA(CW); supports and helps the ASA(CW) in working with other agencies and organizations; and, together with the ASA(CW), testifies to Congress in support of the civil works program.

Division Offices

Reporting to the Headquarters are eight civil works divisions (see Appendix A) headed by Division Commanders (sometimes referred to as Division Engineers). The divisions are the regional Corps offices

responsible for the supervision and management of their subordinate districts. Divisions are also responsible for efficient use of personnel and funds, ensuring that the district's activities are compatible with policy, and monitoring and reporting to the Headquarters on progress. Divisions serve as the regional Corps interface with other regional agencies and organizations within their boundaries.

Regional Offices

Because of unusually large and/or complex geographic areas, two divisions are further divided with two Regional Offices (see appendix A). This further assists in supervision and management of the districts.

District Offices

The thirty-eight civil works districts (see Appendix A) are led by District Commanders (sometimes referred to as District Engineers). The districts are the local Corps offices responsible for conducting and completing their assigned civil works studies, projects, and programs. They are accountable, and must report periodically, to divisions on the progress and problems encountered in their work.

The districts are the foundation of the Corps civil works program. A Project Delivery Team, a team of professionals led by a Project Manager and composed of members from the planning, engineering, construction, operations, and real estate functions, manages water resources developments over a project's entire life cycle. The team conducts planning studies, performs project design, oversees the



US Army Corps of Engineers

CIVIL WORKS DISTRICT AND DIVISION BOUNDARIES

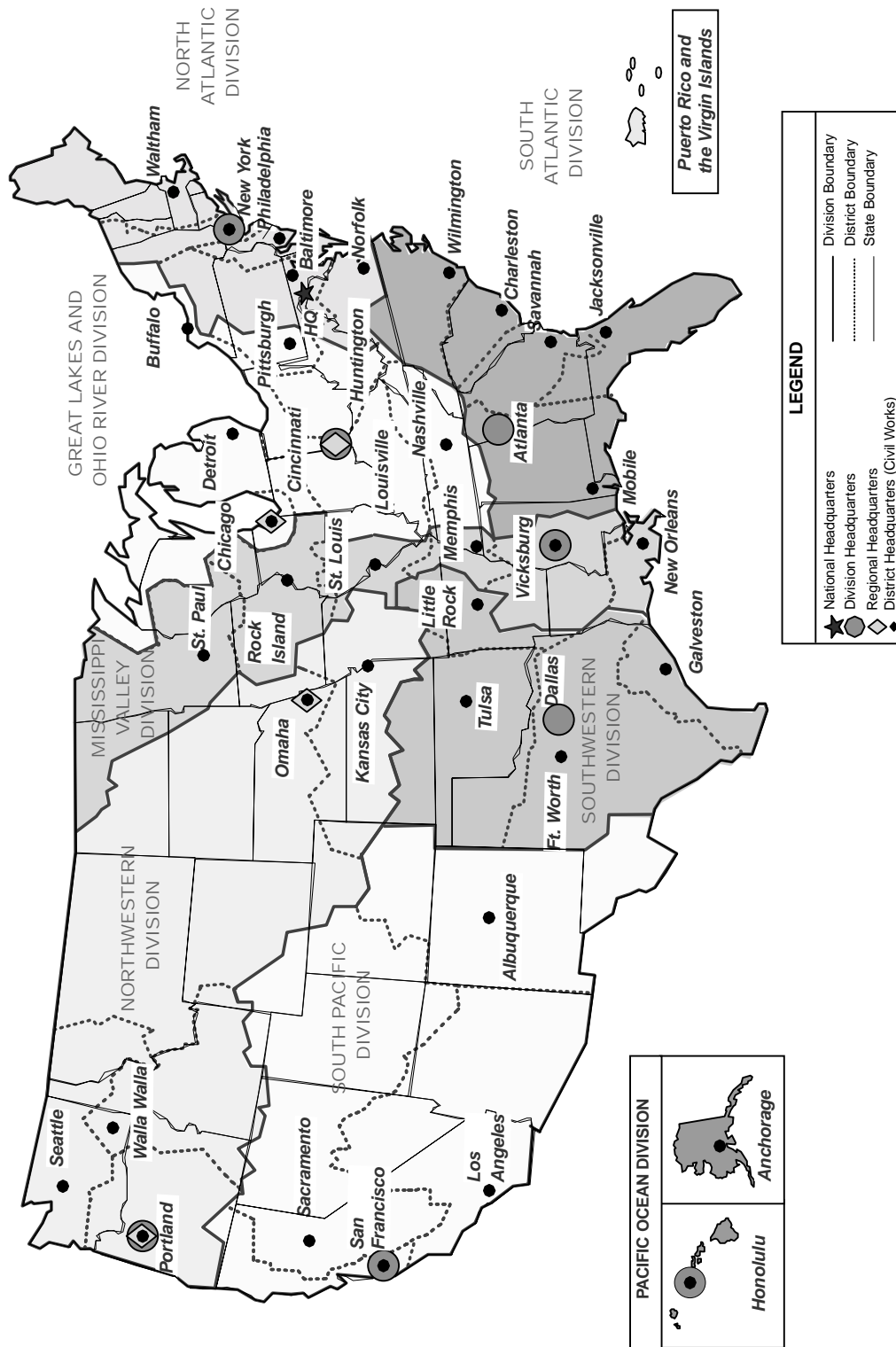


FIGURE 3

CORPS CIVIL WORKS DISTRICT AND DIVISION BOUNDARIES

building of projects by construction contractors, and manages completed Corps facilities. The team writes reports, prepares drawings, estimates costs and schedules, negotiates agreements, and performs all of the day-to-day tasks necessary to get the job done.

They are the Corps face to the Nation, working closely with you, the sponsor; other Federal, state, tribal and local government agencies; businesses; interest groups; homeowners; and all other members of the public. Your contacts and work with the Corps are almost exclusively at the district level.

Districts are also responsible for issuing Section 10 (River and Harbor Act of 1899) and Section 404 (Clean Water Act of 1977) permits for dredging or other construction in the Nation's waters, providing responses to natural disasters and national security emergencies, and performing a variety of real estate activities related to both civil works and Army programs.

Division and district boundaries are illustrated in Figure 3. A Corps office directory is provided in Appendix A.

OFFICE RESPONSIBILITIES

The Headquarters, divisions, regional and district offices are generally organized in the same way. Executive leadership at all levels rests with a military commander. At the Headquarters, the Chief of Engineers, assisted by the Deputy Director of Civil Works, provides overall policy direction as developed by the Administration, Congress, or the agency itself. They have the overall responsibility for the civil works water resources program. Division and district

leadership rests with the Division Commanders and District Commanders, respectively.

Deputy for Programs and Project Management

At the district level, the Deputy for Programs and Project Management (DPM) is the District Commander's civilian deputy responsible for effective program and project management in the district, and the Project Management Business Process (PMBP). The DPM is responsible for the integration of products to produce the projects and manage the program for the district. The DPM provides leadership to a corporate board comprised of senior staff. The DPM provides continuity of corporate leadership in developing and assessing mission and work requirements and in developing corporate programs, plans, goals, and objectives. All work in the district program is assembled under the DPM's oversight so that priority decisions can be made corporately.

Corporate Board (CB)

The Corporate Board is made up of the chiefs of the district technical functions and led by the DPM. The CB is responsible for developing and maintaining a professional, technically competent workforce; establishing and maintaining the necessary systems, technical processes and environment to produce quality products; and providing the technical oversight to assure production of quality products.

Project Delivery Team

The Project Delivery Team (PDT) is a team of Corps and sponsor professionals, led by a Corps Project Manager. Each individual project will have a PDT, made up of members from the planning, engineering, construction, operations, and real estate functions, that will bring the needed expertise for that specific project. The PDT manages water resources developments over a project's entire life cycle. The team conducts planning studies, performs project design, oversees the building of projects by construction contractors, and manages completed Corps facilities. Typical disciplines within the team include engineers (civil, electrical, mechanical, cost), economists, appraisers, realty specialists, biologists, community planners, architects, landscape-architects, archaeologists, and historians. In addition to these major team members, sponsors may occasionally have contact with other parts of the typical district office which provides support functions, including contracting, legal counsel, financial officers, safety, security, etc. The important aspect of all these disciplines and organizations is that we are one team, dedicated to working with you, the sponsor and our partner. The primary Corps point of contact for the PDT is the Project Manager.

Project Manager (PM)

The Corps PM is assigned by the District Commander or DPM, and serves as an advisor and consultant to the Corporate Board. The PM is responsible and accountable for successful completion and delivery of assigned projects within established costs, schedules and quality parameters. The PM is also responsible for assuring that the project stays focused on your needs and expectations

and that all work is integrated and done in accordance with a management plan and approved business processes. The PM assures that your interests are properly represented within the Corps organization and serves as the primary point of contact between you and the Corps. The PM keeps the Corporate Board and functional chiefs apprised of the sponsor's expectations and the status of the project's progress, assists in early identification and resolution of problems, and identifies where additional talent and effort may be required to meet the district's commitments established in the management plan. The PM can make district commitments within preassigned constraints as defined in the management plan in coordination with the functional elements.

OTHER RESOURCES OF THE CORPS ORGANIZATION

Research and Development Laboratories

The Corps Engineering Research and Development Center (ERDC) provide world-renowned scientists and engineers utilizing the latest in specialized equipment to address problems facing the nation. Research support includes mapping and terrain analysis; infrastructure design, construction, operations and maintenance; structural engineering; cold regions and ice engineering; coastal and hydraulic engineering; environmental quality; geotechnical engineering; and high performance computing and information technology. ERDC has eight laboratories:

CONSTRUCTION ENGINEERING RESEARCH LABORATORY (CERL): CERL research is directed toward increasing the Corps ability to more efficiently construct, operate, and

maintain its installations and ensure environmental quality and safety at a reduced life-cycle cost. Many CERL products are in daily use, both within the military and the private/public sectors. An active technology transfer program ensures these products receive the widest dissemination among prospective users.

COASTAL AND HYDRAULICS LABORATORY (CHL): CHL offers unparalleled expertise in shoreline and beach erosion control; flooding and storm protection; design, construction and maintenance of navigation channels, harbors, hydraulic structures, reservoirs, locks, levees and channel realignments for navigation and flood control; coastal and inland dredging; shoaling; salinity problems; groundwater modeling; military logistics-over-the-shore; hydrology; and hydroenvironmental modeling.

COLD REGIONS RESEARCH AND ENGINEERING LABORATORY (CRREL): CRREL addresses the problems and opportunities unique to the world's cold regions, with an emphasis on a balance of theoretical, experimental, laboratory and field work. The laboratory serves military engineering and civil works (navigation on inland waterways, flood control, coastal engineering, etc.).

ENVIRONMENTAL LABORATORY (EL): EL examines the interaction between man and the environment. Environmental expertise is applied to the ecology of estuarine, marine, and freshwater areas; natural and cultural resources management; water quality; management of aquatic nuisance species; projects relating to the environmental impact of dredging and dredged material disposal; wetlands; protection and enhancement of

threatened and endangered species; and environmental cleanup and restoration (waste site characterization and treatment of organic waste, explosives and heavy metals).

GEOTECHNICAL LABORATORY (GL): GL researches man's interaction with the basic materials of the earth's crust: soil, rock and groundwater. Knowledge gained from this research is relevant to many areas of Corps responsibility, including dam and levee construction, pavements, earthquake engineering, and groundwater protection and contaminant abatement.

INFORMATION TECHNOLOGY LABORATORY (ITL): ITL develops and sustains the technological infrastructure to support ERDC. The functions it supports are high-performance computing, high-bandwidth communications, computer-aided engineering, computer-aided design and drafting (CADD), geographic information systems (GIS), software engineering, scientific visualization, library services, electronic and traditional publishing, records management, animation, photography and video production.

STRUCTURES LABORATORY (SL): SL research is focused on ways to make concrete and other construction materials more durable and less expensive, and to devise better ways to evaluate, rehabilitate, and maintain the hundreds of aging civil hydraulic structures operated by the Corps, as well as improve technology for new construction.

TOPOGRAPHIC ENGINEERING CENTER (TEC): TEC supports the Nation's civil and environmental initiatives through research, development and the application of expertise in the topographic and related sciences.

Field Operating Activities (FOA)

The Corps operates five FOA's; two of which are significant to the civil works program:

MARINE DESIGN CENTER (MDC): MDC is the Corps center of expertise and experience for the development and application of innovative strategies and technologies for naval architecture and marine engineering.

INSTITUTE FOR WATER RESOURCES (IWR): IWR supports the civil works program by developing and applying new planning evaluation methods, policies and data in anticipation of changing water resources management conditions. A major focus of IWR is on the systematic evaluation of economic, social, institutional, and environmental needs through the development, transfer, and application of improved analytical techniques for water resources planning.

IWR also has two centers:

Hydrologic Engineering Center (HEC): HEC is responsible for increasing the Corps technical capability in hydrologic engineering and water resources planning and management. By means of programs in research, training, planning analysis, and technical assistance, HEC incorporates state-of-the-art procedures and techniques into manuals and comprehensive computer programs. HEC products are developed for the Corps, but they are also available to the public.

Navigation Data Center (NDC): The NDC, which includes the Waterborne Commerce Statistics Center (WCSC), is

responsible for establishing and maintaining a variety of navigation-oriented databases. These include databases of waterborne commerce, domestic commercial vessels, port facilities, lock facilities and lock operations, and navigation dredging projects. Although organizations within the Corps are the primary users, the data and information are available to all government agencies, organizations and individuals.

Centers of Expertise

The Corps maintains numerous centers of expertise:

MANDATORY CENTERS OF EXPERTISE (MCX's): The Corps maintains 12 MCX's, which are Corps organizations that have been approved as having a unique or exceptional technical capability in a specialized subject area that is critical to other Corps commands:

DIRECTORY OF EXPERTS (DX): The Corps maintains approximately 60 DX database registries that identify organizations and individuals who are designated by the Corps as possessing expertise and/or exceptional technical capability in specialized subject areas.

A list of the MCX's and DX's may be found on the Corps Homepage (see Appendix C, listed under Office of the Directorate of Civil Works).

Dam Safety Program

The Corps provides dam safety services for Department of Defense dams in accordance with the National Dam Safety Program Act (PL 104-303). These services

include engineering, design, and construction services for modifications for existing dams, dam inspection services, dam operator training, emergency action planning, and public awareness programs. These services are also available to other Federal agencies, to state, tribal, and local governments, and to others through other Corps of Engineers programs or on a cost reimbursement basis. The Dam Safety Program is managed from HQ. Across the country the District Dam Safety Officer in each of the Corps geographic districts is responsible for the program.

FOR MORE INFORMATION

The District Commander, Deputy for Programs and Project Management, or your Project Manager in the local Corps district can provide you with more information about our programs for assisting you to meet your water resources needs. Please refer to the last section of this document for sources of additional information.

HOW CAN THE CORPS HELP?

Water Resource Missions and Programs of the Corps

INTRODUCTION

The Army Corps of Engineers, as the Federal government's largest water resources development and management agency, began its water resources (civil works) program in 1824. At that time, Congress appropriated funds for improving navigation. Since then, we have been involved in improving navigation in rivers and harbors, reducing flood damages, and restoring degrading ecosystems. Many projects designed for these missions also generate hydroelectric power; supply water for cities, industries and agriculture; and provide outdoor recreation. Evolving missions in the environment and infrastructure complement our traditional focus as we enter a new century.

This section provides an overview of the Corps missions and types of water resource problems and opportunities that we can assist you and other interested parties in addressing. It also identifies and describes the Corps programs that may be used to address your problems and opportunities. Table 1 shows how the programs apply to our mission areas.

MISSIONS: TYPES OF PROBLEMS AND OPPORTUNITIES

Navigation

The Federal interest in navigation improvements stems from the Commerce Clause of the Constitution. Subsequent Supreme Court decisions have established that the Federal obligation to regulate navigation includes the right to make necessary improvements in waterways. Navigation in harbors and inland waterways is essential to our Nation's transportation system.

The primary objective of navigation improvements is to assist in the development, safety, and conduct of waterborne commerce. This is done by deepening and widening waterways so commercial ships and other watercraft can move efficiently and safely. Other objectives include improvements to

promote commercial fishing and recreational boating and provide storm refuge.

Various measures are used to improve navigation. Port and harbor development typically consists of navigation channels that permit safe passage of vessels and any necessary breakwaters or jetties for protection against hazardous wave conditions. Inland waterways include navigation channels and locks. Sponsors or other non-Federal interests are responsible for providing the infrastructure necessary for full harbor and waterway development, including dredging of berthing areas, docks, and landside warehousing and transportation facilities.

TABLE 1
QUICK REFERENCE
CORPS MISSIONS AND PROGRAMS

		<u>PROGRAMS</u>						
		<u>Mission Programs</u>			<u>Technical Assistance Programs</u>			
		Individually Authorized Studies and Projects	Continuing Authorities Program (9 Programs)	Regulatory Program	Flood Plain Management Services	Planning Assistance to the States	Emergency Operations	Interagency And Intergovern- mental Support Program
<u>MISSIONS</u>								
Navigation	X	X	X		X	X	X	
Flood Control	X	X	X	X	X	X	X	
Ecosystem Restoration	X	X	X		X		X	
Hurricane and Storm Damage Reduction	X	X	X	X	X	X	X	
Water Supply	X		X		X	X	X	
Hydroelectric Power	X		X		X		X	
Outdoor Recreation	X	X	X		X		X	
Water Quality	X		X		X	X	X	

Flood Damage Reduction

The Federal interest in flood damage reduction began in the early nineteenth century in the Mississippi River Basin when the interrelationships between navigation and flood damage reduction became apparent. As the nation developed, disastrous floods endangered life and property, as well as transportation. In the Flood Control Act of 1936, Congress extended the Federal interest in flood damage reduction to the entire country.

While the efforts of Federal, state, tribal and local interests to reduce flood damages have been substantial and effective, flooding still accounts for ninety percent of all natural disaster damage. It forces several hundred thousand people to be evacuated from homes and work places every year. The purpose of flood damage reduction works is to prevent or reduce flood damages and disruptions.

Flood damage reduction is typically accomplished in either, or in a combination of two ways; structurally or non-structurally.

STRUCTURAL MEASURES: Structural flood damage reduction measures include dams and reservoirs, channels, and levees or floodwalls. Dams and reservoirs can be located upstream from damage centers to hold portions of water from large storms and gradually release it in amounts that will not cause high damages downstream. Flood damage reduction reservoirs often include additional storage capacity for multipurpose uses, such as navigation, irrigation, recreation, municipal and industrial water supply, hydroelectric power, and ecosystem

restoration. Also, water courses can be locally modified at the damage area so that they can convey larger amounts of water during storm periods. This is done by enlarging or diverting river or stream channels, or by providing levees or floodwalls along channels.

NON-STRUCTURAL MEASURES: With non-structural measures, homes, stores and other facilities can be modified to reduce flood damages by elevating them or removing them from the flood plain. Remaining lands can be used for purposes suitable to the flood plain, such as ecosystem restoration, outdoor recreation and natural open space. Flood warning systems can be installed to increase the time available for temporary evacuation and flood fighting.

Ecosystem Restoration

Ecosystem restoration activities examine the condition of existing ecosystems, or portions thereof, and determine the feasibility of restoring degraded ecosystem structure, function, and dynamic processes to a less degraded, natural condition. Ecosystem restoration provides a more comprehensive approach for addressing the problems associated with disturbed and degraded ecological resources than does focusing only on fish and wildlife habitat.

Corps activities in ecosystem restoration concentrate on engineering solutions to water and related land resources problems. The Corps principal focus in ecosystem restoration is on those ecological resources and processes that are directly associated with, or directly dependent upon, the hydrological regime of the ecosystem and watershed(s). Not all

ecosystem restoration opportunities are appropriate for Corps involvement. There will be instances where components of ecosystem restoration problems or opportunities are addressed by other agencies through their missions and programs. Those restoration opportunities that involve modification of hydrology or substrate are likely to be most appropriate for Corps initiatives. Such activities are most likely to address ecosystems associated with wetlands, riparian, and aquatic systems. Budget limitations require the Corps to focus its restoration efforts on those initiatives most closely tied to Corps missions and areas of expertise. In some instances it may be possible to pursue an interagency ecosystem approach with the relevant agency in order to implement a more complete approach to the restoration. Generally, it will not be appropriate for the Corps to conduct ecosystem restoration activities on upland, terrestrial sites that are not closely linked to water and related land resources. The Corps will not propose, for Corps implementation, any ecosystem restoration activities that would principally result in treating or otherwise abating pollution problems caused by others where there is, or is likely to be, a legal responsibility for remediation by those parties.

Hurricane and Storm Damage Reduction

Hurricanes periodically cause tidal flooding and catastrophic loss of life and property along the Atlantic and Gulf coasts. In some cases, tidal flooding can be prevented or reduced by building protective structures, such as dams or barriers, in estuaries; by raising the heights of dunes and natural beaches; and by building groins, dikes, seawalls, or breakwaters.

Water Supply

Providing municipal and industrial water supply is primarily the responsibility of non-Federal interests. However, under the authority of the Water Supply Act of 1958, we may, at the request of local interests, include water supply storage in new projects and may modify existing projects to provide new or additional storage.

Hydroelectric Power

Facilities for hydroelectric power are also primarily the responsibility of non-Federal interests. However, we may include hydroelectric power development in multipurpose projects when it complements the major objectives of flood damage reduction or navigation. Power generators and related equipment may be built into dams and reservoirs as integral parts of those projects.

Outdoor Recreation

Development of outdoor recreation facilities at Corps projects dates back to the 1944 Flood Control Act. With about 4,400 recreation areas at over 400 projects, there are more than 500 million annual recreation days of public use at our recreation facilities, providing a variety of opportunities for picnicking, camping, swimming, boating, hunting, fishing, hiking, and other pastimes.

Water Quality Control

The Federal Water Pollution Control Act, as amended, requires that any Federal agency planning a lake project must consider including water storage for regulation of stream flow and quality improvement. Water storage cannot be provided as a substitute for

other means of controlling waste at the source, and the Environmental Protection Agency must determine that there is a need for storage for water quality.

PROGRAMS: WAYS THE CORPS CAN HELP

Mission Programs

INDIVIDUALLY AUTHORIZED STUDIES AND PROJECTS: The traditional and most common way for us to help a community solve a water resource problem is through individually authorized studies and projects. In this manner, we would jointly conduct a study and, if shown by the study to be feasible, construct or implement a project. This approach requires that Congress provide us first with authorization to accomplish a feasibility study and second, a separate authorization to construct or implement a project.

You, the local sponsor, share the study and construction costs with us, and usually pay for all operation and maintenance costs (see Table 2 for cost sharing responsibilities).

This approach may be used to address any one of a variety of water resource problems, including navigation, flood damage reduction, ecosystem restoration, and many of the other needs described above. Unlike the Continuing Authorities Program (see below), there are no project specific Federal cost limitations for individually authorized studies or projects.

CONTINUING AUTHORITIES PROGRAM (CAP): Congress has provided the Corps with a number of standing authorities to study and build water resource projects for various purposes and with specified limits on how

much Federal money can be spent for a project. The process and rules, such as cost sharing, that apply to specifically authorized studies and projects also apply generally to this Program, except that specific congressional authorizations are not needed (see Table 2 for cost sharing responsibilities).

This saves development and approval time, and permits quicker responses to smaller, local problems. The types of problems that can be addressed by the Continuing Authorities Program are:

Flood Control Projects: Authorized by Section 205 of the 1948 Flood Control Act, as amended; the Federal share may not exceed \$7 million for each project. Work under this authority provides for local protection from flooding by the construction or improvement of flood control works such as levees, channels, and dams. Non-structural alternatives are also considered and may include measures such as installation of flood warning systems, raising and/or flood proofing of structures, and relocation of flood prone facilities.

Emergency Streambank and Shoreline Erosion: Authorized by Section 14 of the 1946 Flood Control Act, as amended; the Federal share may not exceed \$1 million for each project. Work under this authority allows emergency streambank and shoreline protection to prevent damage to public facilities, such as roads, bridges, hospitals, schools, and water/sewage treatment plants.

Snagging and Clearing for Flood Control: Authorized by Section 208 of the 1954 Flood Control Act, as amended; the Federal share may not exceed \$500,000 for each project. Work under this authority

provides for local protection from flooding by channel clearing and excavation, with limited embankment construction by use of materials from the clearing operation only.

Navigation Improvements: Authorized by Section 107 of the 1960 River and Harbor Act, as amended; the Federal share may not exceed \$4 million for each project. Work under this authority is intended to provide improvements to navigation including dredging of channels, widening of turning basins, and construction of navigation aids.

Hurricane and Storm Damage Reduction: Authorized by Section 103 of the 1962 River and Harbor Act, as amended; the Federal share may not exceed \$3 million for each project. Work under this authority provides for protection or restoration of public shorelines by the construction of revetments, groins, and jetties, and may also include periodic sand replenishment.

Shore Damage Attributable to Federal Navigation Works: Authorized by Section 111 of the 1968 River and Harbor Act, as amended; the Federal share may not exceed \$5 million for each project. Work under this authority provides for the prevention or mitigation of erosion damages to public or privately owned shores along the coastline of the United States when these damages are a result of a Federal navigation project. This authority cannot be used for shore damages caused by river bank erosion or vessel-generated wave wash. It is not intended to restore shorelines to historic dimensions, but only to reduce erosion to the level that would have existed without the construction of a Federal navigation project. Project cost-sharing may not be required for this program.

Project Modifications for Improvement of the Environment: Authorized by Section 1135 of the Water Resources Development Act of 1986, as amended; the Federal share of each separate project may not exceed \$5 million, including studies, plans and specifications, and construction. A non-Federal sponsor is required to provide 25 percent of the cost of the project. Work under this authority provides for modifications in the structures and operations of water resources projects constructed by the Corps of Engineers. Additionally the Corps may undertake restoration projects at locations where a Corps project has contributed to the degradation. The primary goal of these projects is ecosystem restoration with an emphasis on projects benefiting fish and wildlife. The project must be consistent with the authorized purposes of the project being modified.

Aquatic Ecosystem Restoration: Authorized by Section 206 of the Water Resources Development Act of 1996; the non-Federal share of these projects is 35 percent (including studies, plans and specifications, and construction), and the Federal share is limited to \$5 million. Work under this authority may carry out aquatic ecosystem restoration projects that will improve the quality of the environment, are in the public interest, and are cost-effective. There is no requirement that these projects be associated with any existing Corps project.

Beneficial Uses of Dredged Material: Section 204 of the Water Resources Development Act of 1992, as amended; provides authority to use dredged material from new or existing Federal projects to protect, restore, or create aquatic and ecologically related habitats, including

wetlands. In addition to the benefits justifying the costs, the project must not result in environmental degradation. Existing policy requires the use of the least cost disposal method in Corps projects. If the cost of disposal of dredged material for beneficial uses is higher than the least cost method of disposal, the non-Federal share will be 25 percent of the additional costs of disposal.

REGULATORY PROGRAM: Numerous public laws, dating back to 1890, charge the Corps with responsibility for regulating various activities that affect water resources. If you propose to undertake a regulated activity (listed below), you must apply to the Corps for a "permit" that will allow you to do so. The proposal will be reviewed, then a decision to permit or deny the project will be made. The decision is based on a full public interest review involving a balancing of the proposed activity's benefits against the activity's detrimental impacts. In addition to this balancing process, specific environmental standards must be met for discharges of dredged or fill material into waters of the United States, including wetlands. In most cases, permits are issued with conditions that describe additional actions that must be taken to protect the environment and otherwise make the proposal acceptable.

Types of Regulated Activities Include:

- Construction of other structures or work, including excavation, dredging, or disposal activity in waters of the United States. The term "structural" includes any pier, boat dock, boat ramp, wharf, dolphin, weir, boom, breakwater, bulkhead, revetment, riprap, jetty, artificial island, artificial reef, permanent mooring

structure, power transmission line, permanently moored floating vessel, piling, aid to navigation, or any other obstacle or obstruction. The term "work" includes any dredging or disposal of dredge material, excavation, filling, or other modification of a navigable water of the United States.

- Discharges of dredged or fill material into the waters of the United States, including wetlands; incidental discharge associated with land clearing and excavation activities.

Types of Permits: There are two general categories of permits: individual permits for a specific project; and general permits for certain classes of undertakings. There are 36 nation wide general permits and over 300 regional general permits.

FORMERLY UTILIZED SITES REMEDIAL ACTION PROGRAM (FUSRAP): The Corps has administered and executed the FUSRAP program since fiscal year 1998, when the program was transferred from the Department of Energy (DOE). FUSRAP was created by DOE to cleanup contamination resulting from the early atomic weapons program under direction of the Manhattan Engineering District and the Atomic Energy Commission. Corps cleanup is accomplished in accordance with the requirements of the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) and the National Contingency Plan (NCP).

Technical Assistance Programs (TAP)

FLOOD PLAIN MANAGEMENT SERVICES PROGRAM (FPMS): The FPMS Program is a

means to use our technical expertise in flood plain management to help others outside the Corps. Upon request, we will furnish states, counties, cities, Indian tribes, and certain Federal agencies with flood hazard information, technical services, and planning guidance without charge. Program services are also offered to other Federal agencies and the private sector on a 100 percent cost recovery basis.

The types of technical services that can be provided under this program include data and analyses of depth, velocity, extent, duration, and frequency of flooding, and estimates of potential flood losses. This information may also be used in developing technical guidance that includes: comprehensive flood plain management planning; and development of flood plain regulations, flood warning, and flood emergency preparedness systems, floodproofing; and other remedial measures for addressing flood problems. The Program also conducts studies to improve methods and procedures for flood damage prevention and abatement, and prepares guides and pamphlets on topics such as floodproofing, flood plain regulations and other flood plain management topics.

PLANNING ASSISTANCE TO STATES PROGRAM:

The Planning Assistance to States Program, also known as the Section 22 Program, permits us to use our technical planning expertise to supplement and support state and Indian tribe efforts to undertake broad, statewide, comprehensive water resources planning. Upon request, we will cooperate with a state or tribe in the preparation of plans for the development, use and conservation of water and related land resources located within the state or tribal boundaries.

Assistance is given within the limits of available appropriations. Local and regional officials who are interested in assistance for their communities under this program should contact the Corps or their state or tribal water resources agency. This program is cost shared on a 50 percent Federal and 50 percent non-Federal basis.

Typical problems and opportunities studied under this program are related to: flood damage reduction, water supply, water conservation, water quality, hydropower, erosion, navigation, and related environmental resources.

EMERGENCY OPERATIONS PROGRAM:

Disaster preparedness and assistance before and during natural disasters are primarily state, tribal, and local responsibilities. However, in cases when a disaster exceeds the capabilities of the state, tribe or local community, Federal help is available. The Corps can provide needed additional assistance, usually at the request of the affected state, to help communities deal with a variety of life-threatening natural disasters, including floods, coastal storms and drought. We have also been involved in responding to tornadoes, earthquakes, and volcanic eruptions. Examples of the emergency activities we can do are:

- Assist state, tribal, and local authorities in performing emergency work to protect life and property prior to predicted flooding.
- Supply or loan flood fighting materials, such as sandbags and pumps, if state, tribal and local supplies are exhausted during a flood.
- Furnish technical advice to states, tribes and local officials during an emergency.

- Hire equipment and operators for flood fighting.
- Remove log or debris jams that are blocking stream flow.
- Support efforts to deal with ice jam induced flooding.
- Repair and rehabilitate flood damage reduction works damaged or threatened by floods.
- Provide emergency water for human health and welfare to areas with a contaminated source of water or suffering from a drought.
- Inspect Federal and non-Federal flood damage reduction works.
- Assist state, tribal and local officials in flood emergency preparedness planning and training.

In situations where there is an immediate threat to life and property, such as during a flood, local communities should direct their requests for assistance to their state emergency response agency, which will contact us. In other cases where technical assistance and support preparedness is needed, we may be contacted directly.

INTERAGENCY AND INTERGOVERNMENTAL SUPPORT (IIS) PROGRAM: The IIS Program, is a means for the Corps to provide management and technical expertise to non-Department of Defense (DOD) entities including Federal agencies, states, local governments, territorial governments, tribal governments, private firms, international organizations, and U.S.

firms overseas. Under this program, we provide quality engineering, environmental, construction management, real estate, research and development and other related services.

Supporting others enables the Corps to maintain and enhance its capabilities. The diversity of work allows us to apply design and construction expertise in new and innovative ways. This serves to expand our skill base, thus strengthening our ability to carry out traditional civil works and military roles. We rely heavily on the talents of private firms to execute the IIS mission and work to conduct the IIS program in partnership with the private sector.

Examples of the kinds of work the Corps does regarding the IIS program include: support to the Environmental Protection Agency (EPA) on the Superfund Program; support to the Immigration and Naturalization Service (INS) on various aspects of the border patrol program; partnering with EPA, the department of Housing and Urban Development (HUD) and others on Brownfields-related activities; preparing flood insurance and planning studies for the Federal Emergency Management Agency (FEMA); providing technical assistance to Indian tribes; and providing research for private sector firms.

You, the customer, provide full funding for the effort, and retain control and legal responsibility for your program. We, the Corps, execute within the terms of a given scope of work, agreed upon between us, helping to ensure quality and timely project completion within an established budget. We will negotiate an Interagency Agreement (IA) or Memorandum of Agreement (MOA) with

you before starting work. These agreements include, but are not limited to, a scope of work, lines of communication, reporting procedures, and identification of roles and responsibilities. The customer's needs are the main focus when developing and tailoring the agreements. Additionally, there is no obligation under the agreements for you to provide work to the Corps. This would be at your discretion.

Programs of Other Agencies

Local, state, tribal and other Federal agencies administer other programs that offer assistance in other areas of water resources development and management. The annual "Catalog of Federal Domestic Assistance" describes all of the Federal programs available for help in not only water resources but all

aspects of community needs. The catalog is available in most libraries.

FOR MORE INFORMATION

The District Commander, Deputy for Programs and Project Management, or your Project Manager in the local Corps district can provide you with more information about our programs for assisting you to meet your water resources needs. Please refer to the last section of this document for sources of additional information.

DEVELOPMENT OF A CIVIL WORKS PROJECT

Planning, Design and Construction, and Operation and Maintenance

INTRODUCTION

A civil works project evolves from an idea about how to solve a problem to a functioning solution that reflects both the Nation's and your interests. During its lifetime, a project passes through five basic phases: (1) reconnaissance, (2) feasibility, (3) preconstruction engineering and design, (4) construction (including real estate acquisition and performance of relocations), and (5) operation, maintenance, repair, replacement and rehabilitation.

The development of civil works projects requires significant partnering. The Corps, sponsor, engineering firms, contractors, and others must partner to improve project delivery. At the regional level, divisions partner with other federal, tribal, state and governmental agencies to identify, prioritize, and attain environmental goals for projects to which they contributed to at many levels. The Corps partners with national engineering organizations and national environmental organizations in such alliances as the Coastal America Program; the Clean Water Action Plan, etc.

To assure that all of the Corps resources are available to you, our sponsor and partner, we have developed an infrastructure that provides for access to all of our capabilities. On major projects, it is not uncommon for three or more divisions and six or more districts, laboratories, or centers of expertise to contribute as members of the project delivery team. In particular, the Corps Engineering Research and Development Center (ERDC) programs and activities provide sponsor benefits in improved performance and reliability, often at a considerable cost saving.

WHO CAN BE A SPONSOR?

Section 221 of the 1970 Flood Control Act defines a local sponsor for a Corps water resources project as a non-Federal interest that is "a legally constituted public body with full authority and capability to perform the terms of its agreements and to pay damages, if necessary, in the event of failure to perform".

A sponsor can be a state, or any other political subpart of a state or group of states; an Indian tribe; or a port authority; which has the legal and financial authority and capability to provide the cash and real estate

requirements needed for a project. A sponsor can also be an interstate agency, established under an agreement or compact between two or more states with the consent of Congress under Section 10 of Article 1 of the Constitution.

SPONSOR'S ROLE

Your role in the life of a project changes as the project moves from one phase to the next. Many of your tasks during the five phases of project development are identified in the previous discussions. However,

regardless of the phase, you have a role, and in many cases a responsibility, to participate with us in many of the day-to-day jobs that lead to a project. In general, we expect you to play a very active role in such activities as:

- Attending meetings about the project, including: team meetings; issue resolution conferences, alternative formulation briefings, and other meetings.
- Preparing documents about the project. The feasibility cost sharing, design and project cooperation agreements are usually the most important documents to you, and they must have your involvement.
- Acquiring real property and performing relocations of utilities and public facilities.
- Making joint decisions about the project, including: project costs and schedules; the type and mix of project objectives; formulation and selection of alternative plans; project design, including environmental and aesthetic features; real estate acquisition and relocations; construction phasing; project operations and maintenance; and other factors that affect sponsoring communities.

Our partnership is the foundation for the many relationships needed to produce a project. These relationships include working with a variety of engineers, scientists and other professional disciplines in interdisciplinary teams; and involving elected officials, business leaders, environmental advocates, and any other interested member of the public. The people involved represent local, state, tribal and Federal government agencies, homeowner's associations, sporting clubs, industrial plants and businesses, and

others. These groups and individuals provide a wide range of professional opinions, political positions, and personal views, all of which make the project the best that can be offered when all information and views have been considered.

With this number and diversity of views to consider, some conflict among participants may result. However, the discussion and resolution of disagreements usually produces new and better ideas that improve the final project and bring the widest possible support and acceptance. You should expect to work with a variety of interdisciplinary team members and members of the public, and we encourage and welcome their participation.

FIRST STEPS TOWARD A PROJECT

All of our projects originate with a request from a local community for assistance. This initial request is the beginning of a process that could eventually result in construction of a water resources project. As illustrated in Figure 4, the following six steps will initiate the process that results in a reconnaissance investigation.

1. The first step occurs when a local community, or some particular element of a community, perceives or experiences a water resources problem that is beyond their ability to solve. Examples of problems are major flooding, hazardous or inadequate navigation conditions in a harbor or waterway, and/or degraded environmental conditions.
2. The second step occurs when community representatives, that often may be or include members of the potential

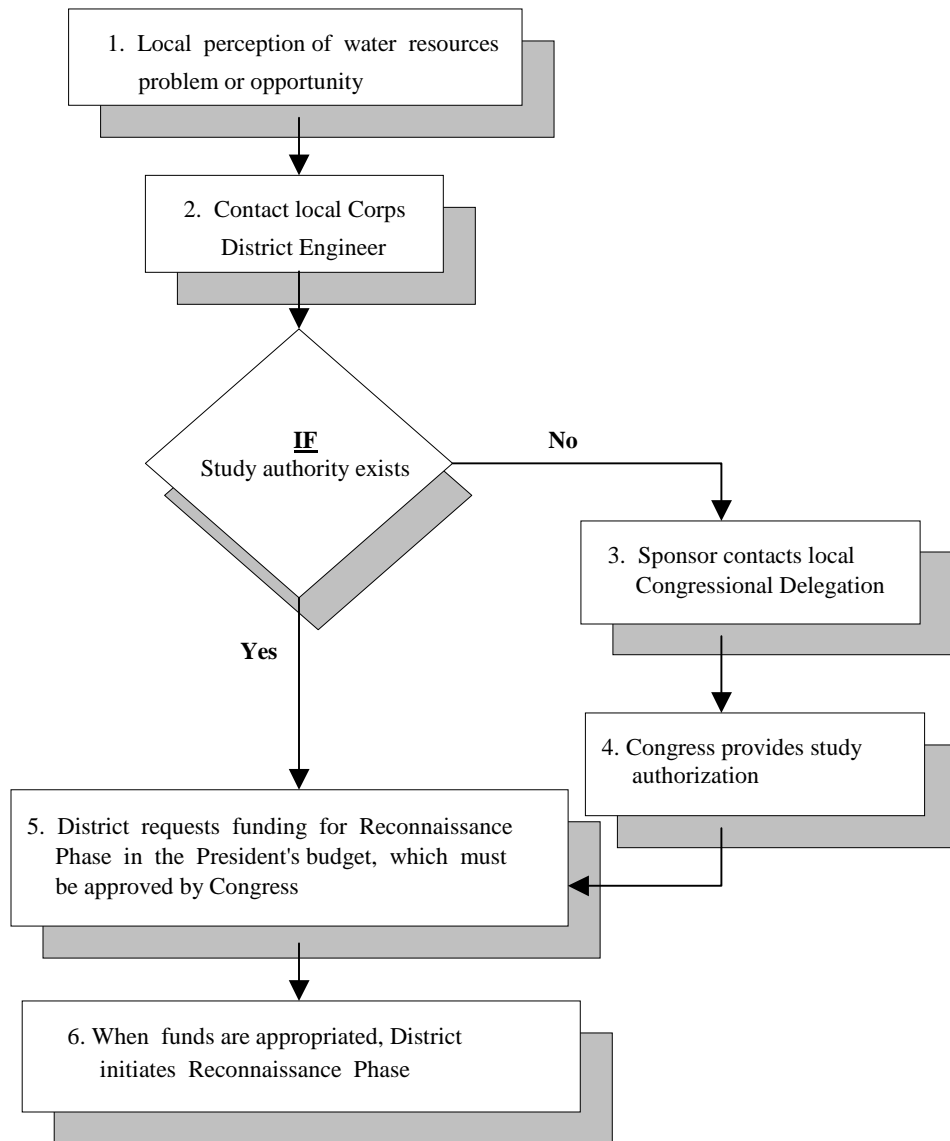


FIGURE 4

STEPS TOWARD INITIATING A PROJECT RECONNAISSANCE STUDY

sponsoring agency, meet with their local Corps district staff to discuss available forms of help, including Federal programs.

If it is agreed that a reconnaissance analysis is the appropriate tool to address the identified water resources problem(s), it will then be determined IF there is an existing and appropriate congressional study authority (a study authority authorizes the conduct of an investigation into the identified problems). IF there is an existing and appropriate study authority, the process would go directly to step five.

3. In certain cases, we can provide technical assistance or relief through some other authorities without further congressional authorization (i.e., Continuing Authorities Program). The third step occurs only IF here is no existing and appropriate study authority for us to investigate the problem. In this step, community representatives contact their congressional delegation to request a study authority.
4. The fourth step occurs when a member of Congress asks the Senate Committee on Environment and Public Works, Subcommittee on Transportation and Infrastructure, or the House of Representatives Committee on Transportation and Infrastructure, Subcommittee on Water Resources and Environment, for an authority for the Corps to study the problem. The subcommittee(s) then sends a Docket Letter to the Corps requesting information about the study area, problems, and potential solutions. If we have previously investigated and reported on water resource problems in the area, the committee may adopt a study resolution to

provide the necessary authority to take another look at the area and review the earlier study. If we have not previously investigated problems in the area, legislation containing a study authority is usually required. Your local Corps district staff can show you examples of previous study authorities.

5. The fifth step occurs once a congressional study authority is available. The study will be assigned to the local Corps district. The district may then, through the normal Federal budget process, ask for money to conduct the first phase of the study, called the reconnaissance phase.
6. The last step occurs when Federal funds to conduct the reconnaissance study are included in an annual Energy and Water Development Appropriations Act. The local district may then begin the Corps study of the community's water resource problems.

RECONNAISSANCE PHASE

As shown in Figure 5, the reconnaissance phase is the first step in the project development process. The reconnaissance phase is paid for by the Corps and no sponsor funds are required. Reconnaissance phase reports, called "905(b) analyses," are based on the authority provided in Section 905(b) of the Water Resources Development Act of 1986. The primary purpose of the reconnaissance phase is to determine if there is Federal interest in proceeding with the second, or feasibility phase. You, as a potential cost-sharing sponsor, can help by providing information and expressing opinions needed to define the

problem, and identify and evaluate solutions. The reconnaissance phase accomplishes the following four essential tasks:

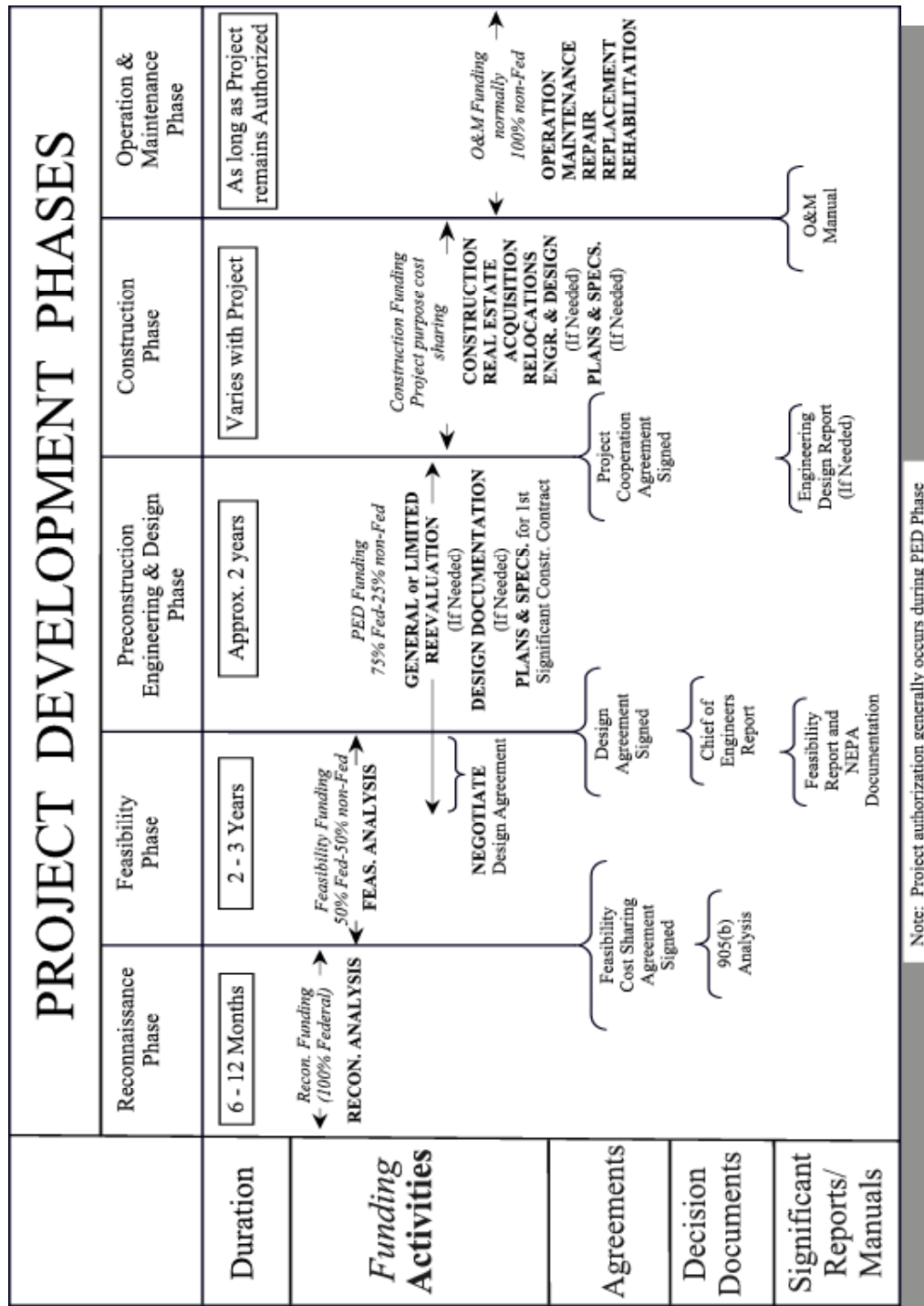
- Determine that the water resources problem(s) warrant Federal participation in feasibility studies;
- Define the Federal interest based on a preliminary appraisal consistent with Army policies, costs, benefits, and environmental impacts of identified potential project alternatives;
- Complete a 905(b) analysis in less than six months;
- Prepare a Feasibility Cost Sharing Agreement (FCSA), which includes a Management Plan (MP) describing the responsibilities, guidelines, tasks, costs estimate and schedule for the feasibility phase; and
- Assess the level of interest and support from non-Federal entities in the identified potential solutions and cost-sharing of the feasibility phase and construction. A letter of intent from you, the local sponsor, stating your willingness to pursue the feasibility study described in the FCSA and MP, and to share in the costs of construction, is required.

The reconnaissance phase begins when the local Corps district obligates Federal funds to conduct the study, and ends when you and our District Commander sign the FCSA. The reconnaissance phase should be completed within twelve months, but in no case can it take longer than eighteen months. As indicated in Figure 5, the major documents

prepared during the reconnaissance phase are the 905(b) analysis, which describes the results of the study, and the FCSA, which includes an MP.

Key events during the reconnaissance phase are:

- Begin reconnaissance phase when the district obligates funds. MP discussions with the non-Federal sponsor should be initiated.
- District Commander signs 905(b) Analysis and transmits to Corps Headquarters for approval. If, for any number of reasons, further analysis is not recommended and the study is terminated, we will nonetheless provide you with all the data and results of our analyses for your use.
 - If there is a decision to proceed into the feasibility phase, you will actively participate with the district in completing negotiations of the MP. Upon completion of negotiations, the FCSA will be executed.
 - If a standard FCSA is used without deviations, this document may be signed by you and the District Commander. This completes the reconnaissance phase. If you seek deviations from the standard FCSA, Headquarters will have to approve it first.



Note: Project authorization generally occurs during PED Phase

FIGURE 5

CIVIL WORKS PROJECT PHASES, FUNDING, ACTIVITIES AND DOCUMENTS

FEASIBILITY PHASE

The feasibility phase is the second phase of the project development process for Corps civil works projects. The purpose of this phase is to fully define problems and opportunities, and describe and evaluate alternative plans and fully describe a recommended project. The feasibility phase is cost shared equally between us (except for inland navigation projects, which are 100 percent Federal cost), and you may provide up to one-half of your share (that is, up to one-quarter of the total study cost) by in-kind services instead of cash.

The feasibility phase begins when the local district obligates both your funds and the Federal funds needed to initiate the feasibility study after the Feasibility Cost Sharing Agreement (FCSA) has been signed (see Figure 5). The phase ends when the Chief of Engineers signs the "Chief's Report" and transmits it and the feasibility report (see chapter on Project Documents) to the Assistant Secretary of the Army for Civil Works [ASA(CW)]. The ASA(CW) then submits the report documentation to the Office of Management and Budget (OMB). OMB then reviews the report to make sure that it is consistent with Administration policies and priorities, and provides clearance to release the report to Congress. ASA(CW) then submits the report to the Congress for authorization to construct the recommended project. Normally it takes two or three years to produce a feasibility report, followed by review and approval of the report at the Washington level.

Feasibility phase planning is guided by the requirements of the "Economic and Environmental Principles and Guidelines for Water and Related Land Resources Implementation Studies" (often called the "Principles and Guidelines", or P&G). The Principles and Guidelines define the Federal objective of Corps project planning, which is to contribute to national economic development consistent with protecting the Nation's environment, pursuant to national environmental statutes, applicable executive orders, and other Federal planning requirements. A wide range of alternatives will be investigated in the feasibility phase. The alternative with the greatest net economic benefit, often called the National Economic Development (NED) Plan, must be identified. In the case of ecosystem restoration projects, the alternative that reasonably maximizes ecosystem restoration benefits compared to project costs, and is consistent with the Federal objective [called the National Ecosystem Restoration (NER) Plan], must be identified.

The selection of an alternative other than the NED Plan (e.g., a locally preferred plan) must be fully documented. The Principles and Guidelines also describe the major steps to be followed in formulating a project, which are:

- Specify the problems and opportunities which are relevant to the planning setting, and are associated with the Federal objective and specific state, tribe, and local concerns.
- Inventory, forecast, and analyze conditions in the area that are relevant to the identified problems and opportunities.

- Formulate alternative plans that would resolve the identified problems and realize the identified opportunities.
- Evaluate the economic, environmental, and other effects, both beneficial and adverse, of each alternative plan.
- Compare alternative plans and their effects.
- Select a recommended plan.

The above planning process is repeated in whole or in part, throughout the feasibility phase. The major documents prepared during this phase are the feasibility report, and either the Environmental Impact Statement (EIS) or Environmental Assessment (EA). These documents describe the results of the study and the recommended project. The report is supported by several technical reports or appendices for project engineering, real estate, and other technical analyses; and the Management Plan (MP) (see chapter on Project Documents). Key events during the feasibility phase are:

- Begin feasibility phase when district begins obligating feasibility funds.
- Feasibility Scoping Meeting (FSM). This mandatory meeting is conducted early in the feasibility phase and will bring you; the Corps headquarters, division and district staffs; and resource agencies together, to focus the feasibility study on key alternatives, to further define the needed depth of analysis, and to refine study / project constraints.
- Alternative Formulation Briefing (AFB). This briefing is held to facilitate early

Washington level acceptance of the plan formulation and selection process, the identified preferred plan, and the definition of Federal and non-Federal responsibilities. The goal of this early participation is to allow the district to release the draft report to the public concurrent with Washington level policy compliance review of the report. The AFB should be scheduled when the district has identified a selected plan and is prepared to present the formulation and evaluation of alternatives. Discussion and resolution of all policy issues are documented in the AFB Project Guidance Memorandum (PGM).

- Public review of the Draft Feasibility Report and NEPA document [usually an Environmental Impact Statement, (EIS)].
- Management Plan (MP) is prepared.
- District Commander signs Final Feasibility Report.
- Division Engineer's Public Notice is issued (Preconstruction, Engineering and Design may begin; see below).
- Final NEPA document is filed.
- Chief of Engineers Report is signed.
- Feasibility Phase ends with ASA(CW) transmittal to Office of Management and Budget (OMB).
- OMB clearance is provided.
- ASA(CW) sends report to Congress.
- Congress Authorizes Construction of a project.

- A Real Estate Plan (REP) is prepared which includes, among other things, a description of the minimum real property interests (estates and acreage) needed for the project.
- A determination is made regarding facilities which must be relocated.
- An estimate is made of the number of displaced persons.
- A baseline cost estimate is determined for real estate including lands and damages, relocation assistance payments, substitute facilities, mapping/surveying, title evidence, administrative costs, and contingencies.
- A detailed schedule is prepared.

You must take a very active role in feasibility phase work as you are the partner, it is your project, and it is during this time that a variety of solutions are investigated and the project takes shape. It is also the time to learn about the real estate requirements that you will be responsible for providing.

You are encouraged to participate as a member of the study team, and must participate on the Study Executive Committee, which oversees study costs, schedules and other aspects of work progress. Decisions made during this phase, including selection of the recommended project, are based in part on your views, and determine what takes place during the rest of the project's life.

PRECONSTRUCTION ENGINEERING AND DESIGN PHASE

The Preconstruction Engineering and Design (PED) phase follows the feasibility phase. The purpose of this phase is to complete any additional planning studies and all of the detailed, technical studies and design needed to begin construction of the project.

The PED phase, generally requires about two years to complete and usually overlaps with the end of the feasibility phase. It begins soon after the Division Engineer's Notice is issued so that technical studies and design may proceed while the Washington-level review of the feasibility report is ongoing. Subject to the availability of PED funds, negotiation of the Design Agreement (DA) may begin three months prior to the Division Engineer's Notice. Expenditures in excess of \$50,000 are not permitted until the Design Agreement is signed. This phase ends with the completion of the first detailed construction contract drawings and Plans and Specifications (P&S), sometimes referred to as "Plans and Specs", or when Construction General (CG) funds are appropriated by Congress.

The major documents prepared during this phase are the Design Documentation Report (DDR), if required, which includes the results of technical engineering and design studies; the Plans and Specifications, which are the detailed drawings and instructions for building the project; and the Project Cooperation Agreement (PCA), which describes sponsor and Corps responsibilities for project construction, operation and maintenance.

Key events during the phase are:

- PED phase is begun after the Corps district receives PED funds and after the Design Agreement (DA) is signed.
- Real Estate Plan (REP) is updated.
- Design Documentation Report (DDR) is prepared (if required).
- Plans and Specifications (P&S) are prepared for the 1st construction contract.
- Draft Project Cooperation Agreement (PCA) is prepared and negotiated.
- Project Authorization must occur prior to signing of the PCA and may occur sooner.

Project Authorization and Post Authorization Changes

Most projects are authorized for construction during the PED phase. Some changes to the project are likely to occur after the project is authorized. However, if it is found that either project features have changed significantly or if the estimated project costs have changed substantially, additional analysis and report may be required. A General Reevaluation Report (GRR) would be required if the authorized project does not meet current needs or is not consistent with current policy, and if overall project reformulation is required. A Limited Reevaluation Report (LRR) may be prepared to evaluate a specific economic or environmental effect. Upon completion of a GRR or LRR, a determination is made as to whether the changes are within the Chief of Engineer's discretionary authority, or whether

additional congressional authority is required. If additional authorization is needed, the report is forwarded to Congress for their action. If additional authority is not needed, the report is usually forwarded to the Congress for their information.

Section 902 of the Water Resources Development Act of 1986 allows for increases in total project costs due to modifications which do not materially alter the scope or function of a project. Project modifications may encompass further Engineering and Design (E&D) refinements to project features that are identified in project authorizing documents, as well as the construction of new project features that are not identified in authorizing documents. In most instances, further engineering and design refinements will be necessary to construct project features that are only generally described in authorizing documents. The maximum total project cost can be increased by up to 20 percent (exclusive of price level changes) to pursue the E&D refinements. The amount specified in the authorizing legislation will be the maximum cost of the project, except for other cost adjustments appropriate under the law.

CONSTRUCTION PHASE

The construction phase begins after Congress appropriates Construction General (CG) funds for the project and the Project Cooperation Agreement (PCA) is negotiated and jointly signed by you and the ASA(CW) (or District Commander, in the case of the Continuing Authorities Program).” During construction, the features that we have agreed to are built and begin to function as needed. Any additional design work that is conducted

during the construction phase is called Engineering and Design (E&D) rather than PED. While the Corps has a small construction workforce and minimal equipment to perform some operation and maintenance activities, we use contractors to actually build new projects.

Project Cooperation Agreement

The construction phase begins after the Congress appropriates funds specifically for the initiation of construction and these funds are allotted to the local Corps district. The Project Cooperation Agreement (PCA) is signed after Congress appropriates the funds for construction. This agreement, which is first drafted during the feasibility phase, may be the most important project document from your perspective. Jointly signed by you and the ASA(CW), the agreement sets forth the partner's responsibilities and commitments for what will be built, cost sharing, real estate acquisitions and relocations, and other factors.

You will be very involved in the preparation of this agreement, as well as the planning and engineering that leads to it.

You will be expected to play an active role in real estate activities throughout the project life cycle. Indeed, real estate acquisition is primarily your responsibility, and its timely completion is critical to the project, since construction cannot begin until this task has been completed. Real estate acquisition begins when we provide you with written descriptions and/or final right-of-way drawings that show the area and estates required for the project and notify you in writing to begin acquisition. The types of real property interests to be acquired will vary from project to project. Usually, fee simple or

some type of standardized easement estate is required, and acquisition is by lease, purchase, donation, or condemnation. Formal notification to proceed will occur at the same time as, or soon after, the PCA is signed.

Ordinarily, sponsors acquire any necessary real property interests, however you may request the Corps acquire them on your behalf. If we elect to perform this service, you will be solely responsible for all costs of the requested services and must provide sufficient funds in advance of our incurring any financial obligation associated with this work. You are ultimately responsible for acquiring the necessary real estate, seeking assistance when needed, and seeing to it that all legal requirements are met. In either case, the sponsor normally retains title to real property interests. The time required for real estate acquisition varies from project to project depending upon the acreage, number of tracts and ownerships, and experience and capability of sponsors. Advertisement of the construction contract may proceed when we certify that you have obtained adequate real property interests. You typically need only provide the Corps with authorization for entry and proof that you have sufficient interest in the necessary lands. In addition you will be responsible for:

- Preparing surveys, maps and legal descriptions.
- Performing individual tract appraisals.
- Obtaining title evidence and performing curative work.
- Conduct of negotiations and eminent domain proceedings.

- Providing relocation assistance services and processing relocation assistance claims and appeals by displaced persons.
- Performing or ensuring the performance of relocations of utilities and public facilities.
- Submitting Lands, Easements, Rights-of-way, Relocations, and Disposal areas (LERRD)s credit requests for approval and documenting same.

Construction work at the project site begins soon after the PCA is approved and executed, the real estate is acquired, and a contract is awarded. The job of building the project may take several years to complete if the project consists of large or complex structures, such as a dam. Smaller projects, such as short stretches of channels, can often be finished in much less time. Construction is considered to be complete when the project has been inspected and accepted from the contractor, and it is turned over to you for use, usually including operation, maintenance, repair, rehabilitation and replacement.

The cost to build a project is shared between us in accordance with the requirements of various Federal laws. Different cost sharing requirements apply to projects with different purposes. These requirements are discussed in detail in the next section of this document.

The focus of construction activities is at the project site and includes activities like earthmoving, concrete placing, seeding and planting, and other activities. Two major types of documents are prepared during the construction phase. The first is a construction contract, which is an agreement between the Corps and the contractor(s) about how the

project will be built. The second is the Project Operation and Maintenance (O&M) manual, which contains the instructions for you to follow for project use after construction is finished. Some projects require several contracts and manuals. Key construction events are:

- Construction funds are appropriated.
- PCA approved and executed.
- Construction contract advertised (one or more).
- Construction contract awarded (one or more).
- Various project-specific construction events, such as: land clearing, rock placement, fill placement on embankment, and test of water release gates.
- Operation and maintenance manual approved.
- Construction contract completed (one or more).
- Project construction completed.
- Project accepted and transferred to you.

As construction proceeds, you should be actively involved with us in reviewing contract documents, and monitoring fiscal and physical progress as work is conducted. You must also work very closely with us in reviewing the operation and maintenance manual to ensure that it reflects your needs and limitations, and that it is easily understood and helpful to its future users.

OPERATION AND MAINTENANCE PHASE

Once a Corps civil works project is constructed or implemented, it is usually turned over to the sponsor for ongoing Operation and Maintenance including Repair, Rehabilitation, and Replacement (OMRR&R). During this phase, all of the activities needed to make the project work are conducted. These activities range from day-to-day maintenance, such as trash removal, to long-term or less frequent jobs, such as repairing access roads, replacing worn out pumps, and ultimately, complete rehabilitation or even replacement of the entire project. It also includes final certification of necessary real estate for operation and maintenance. Unlike most other Corps projects, navigation projects are usually maintained by the Corps.

Your responsibility for project operation and maintenance begins when the project is turned over to you following construction, and continues indefinitely. You must pay for all operation and maintenance costs, except for navigation and fish and wildlife enhancement projects where we have some responsibility

for funding. Your Project Manager can fully explain the specific funding requirements for work following construction of your particular project.

During this phase, the community will realize the full benefits of the project, and responsibility passes from us to you. Our involvement after construction normally will consist of periodic routine inspections to ensure that the project is being properly maintained and is functioning as intended. In very rare circumstances, such as if there is a need to correct a design or construction deficiency, we may return to the project to restudy a situation or to take additional action.

FOR MORE INFORMATION

The District Commander, Deputy for Programs and Project Management, or your Project Manager in the local Corps district can provide you with more information about our programs for assisting you to meet your water resources needs. Please refer to the last section of this document for sources of additional information.

WHO PAYS, AND WHERE DOES THE MONEY COME FROM?

Corps and Sponsor Roles in Sharing and Financing Project Costs

INTRODUCTION

The costs of Corps water resources studies and projects are shared between the Federal government (the Corps) and you, the non-Federal interest (sponsor), in accordance with the cost sharing requirements outlined in Federal laws. By combining your money with Federal funds, limited Federal dollars can be spread further to support a larger volume of projects nationwide. The Corps share of those costs is provided through the Federal budget process. Your sponsor share of those costs can be provided by a variety of means available to local governments, such as local taxes, bonds, and grants from other sources.

The discussions of cost sharing and Federal and local project financing are very general and do not reflect all of the potentially applicable legal and financial requirements and procedures. They are intended to provide you with an overview of a subject that may have very complex applications for some projects. You should discuss cost sharing and financing with your Project Manager to understand the full range of requirements and how they would apply in your case.

COST SHARING AND TIMING

The foundation for conducting a study or building a project is a description of what must be done to complete the job, estimates of how long that will take, and what it will cost. You play a critical role in working with us to accomplish this.

Cost sharing between us is based on formulas in Federal laws that are usually stated as percentages for the shares. Different rules about sharing costs, and when funds must be made available, apply to each phase of project development. Different cost sharing rules also apply to various project purposes, such as flood damage reduction, navigation and ecosystem restoration. The amount of money needed from each partner depends on the total estimated cost of each individual study and project and is calculated by applying

the applicable rules to the total estimated cost. The most widely applicable cost sharing rules are summarized in Table 2.

RECONNAISSANCE PHASE

The reconnaissance phase provides the basis for which we will jointly decide whether a full feasibility study is warranted. The cost of this first phase of project planning is paid entirely by the Federal Government, and no sponsor funds are required. Current Corps policy limits the cost of the reconnaissance phase to \$100,000, and a duration to 12 months. A cost estimate and schedule for the next (feasibility) phase of planning are negotiated between us and documented in a Feasibility Cost Sharing Agreement (FCSA).

TABLE 2

**SUMMARY OF NON-FEDERAL SPONSOR COST SHARING RESPONSIBILITIES
FOR SPECIFICALLY AUTHORIZED PROJECTS**

[Under Water Resources Development Act of 1986 (Public Law 99-662) as amended by Water Resources Development Act of 1996 (Public Law 104-303)]

<u>PROJECT DEVELOPMENT PHASE</u>	<u>NON-FEDERAL Sponsor Cost Share</u>
1. <u>Reconnaissance Phase</u>	0% (100% Federal)
2. <u>Feasibility Phase</u>	50% (except Inland Waterways is 100% Federal)
3. <u>Preconstruction Engineering and Design Phase</u>	25%
4. <u>Construction Phase</u>	<u>By Mission:</u> Navigation, Harbor 20% if depth is ≤ 20 feet 35% if depth is > 20 but ≤ 45 feet 60% if depth is > 45 feet Navigation, Inland 0% (50% Federal, 50% Inland Waterway Trust Fund) Flood Damage Reduction 35% to 50% for Structural Features 35% for Non-structural Features Hurricane and Storm Damage Reduction - 35% Ecosystem Restoration - 35% Water Supply 35% for Agricultural 100% for Municipal and Industrial Recreation - 50%
5. <u>Operations and Maintenance Phase</u>	Flood Damage Reduction - 100% Ecosystem Restoration - 100% Harbors and Inland Navigation - 0% (except 50% of cost over that of 45 foot depth)

NOTE: Cost sharing for the Continuing Authorities Programs (CAP) is in some cases different. The district project manager can provide you with these cost sharing requirements.

FEASIBILITY PHASE

The feasibility phase provides the basis for which we will jointly decide whether a Federal project can and should solve the identified water resources problems. The cost of this second phase of project planning is shared (50 percent Federal, 50 percent non-Federal) between us. You may provide up to one-half of your share (that is, up to one-quarter of the total study cost) in the form of in-kind services; but at least one-half of your share must be provided in cash. In-kind services could include attendance at meetings, document review, technical studies that you conduct, or analyses performed by a contractor hired by and working directly for you. Your funds must be provided up-front so that they are available before they are committed to be spent (not when the bills come in). Study cost sharing applies, except for feasibility studies of navigation on inland waterways, which we fully fund. The feasibility phase ends when OMB provides clearance to release the report to Congress.

PRECONSTRUCTION ENGINEERING AND DESIGN PHASE

The cost of Preconstruction Engineering and Design (PED) is shared (75 percent Federal, 25 percent non-Federal). You must pay your share during the PED phase on a fiscal year basis. Although the non-Federal share of PED cost is 25 percent, the actual or final share that you will pay will be the same as the non-Federal cost share for your particular project purpose; example: flood control is 35 percent. The difference, if any, will be paid in the beginning of the construction phase. If Federal funds are

appropriated for construction or implementation of the project, and if you enter into a Project Cooperation Agreement (PCA) with the Corps, the entire 25 percent share you paid will be credited against your share of the total project cost. The Federal cost of PED is funded with General Investigations (GI) funds. Generally, the cost of developing a GRR or LRR are part of PED costs and are cost shared. (Refer to the section entitled “Development of a Civil Works Project” for descriptions of a GRR and an LRR)

CONSTRUCTION PHASE

A project’s cost estimate, cost-sharing requirements, and timing for the construction phase are described in each project’s Project Cooperation Agreement (PCA). The timing of when your cash contribution for construction is required varies with each purpose and, in some cases, the circumstances of a particular project. As a general guideline, you must pay us all required funds throughout the construction period. You should discuss the timing of making funds available and other cost sharing issues, such as reimbursement for advance work, with your Project Manager.

OPERATION AND MAINTENANCE PHASE

In most cases, costs for Operation, Maintenance, Repair, Replacement, and Rehabilitation, (OMRR&R) for new completed projects are 100 percent sponsor costs. Exceptions to this are for commercial navigation, where we usually pay 100 percent of OMRR&R costs for projects with depths to

45 feet, and 50 percent of increased OMR&R costs for depths in excess of 45 feet.

A project's cost estimate and cost sharing requirements and timing for the project construction phase are described in each project's Project Cooperation Agreement (PCA). The PCA is negotiated and jointly signed by you and the ASA(CW) (or the District Commander in the case of the Continuing Authorities Program) before construction starts. Costs for the PED phase and the operation and maintenance phase are also covered in the agreement.

CORPS FUNDING

The Corps gets funding of its direct civil works program for studies and projects through cycles of the Federal budget process. As an Executive Branch agency, the Corps works for the Administration and with the Congress during each cycle. At the end of each 20-month development and defense cycle, funding is provided in annual appropriations and the program is executed in amounts allocated for a given fiscal year.

The Federal budget process involves many steps over a 20-month program development and defense cycle. Each overlaps a 32-month program development, defense and execution cycle (see Figure 6). Each year, the Corps is "developing" a budget for the budget year 2-years into the future. At the same time, the Corps is "defending" the budget that was developed the year before; and is also "executing" the budget that was developed two years before and defended the previous year. For any given project, it usually takes about twenty months before

funds are actually available to start the work. Although there are as many as five different project phases, (reconnaissance, feasibility, design, construction, and operation and maintenance), there is normally only one 20-month waiting period before execution begins. Once the first phase of work is initiated, the following phases are continuously developed, defended and executed.

Funding steps

The following provides a description of who is involved in the Federal budget and civil works program development, defense, and execution processes, and a general chronology of the events that lead to Federal funding (also see Figure 6). Again, the funding process takes about 20-months from the beginning of the program development stage to the time when districts receive funds. The indicated months for the events described here are general estimates, and may be different in any particular fiscal year. Your Project Manager can tell you what step our study or project is at, and explain more about the process and your roles as an active participant.

Step 1) January - February: At the Washington level, the Office of Management and Budget (OMB) and the ASA(CW) provide budget guidance (for the budget year, two years in the future) to the Corps Headquarters.

Step 2) March: Corps Headquarters prepares and issues guidance to be used by our local offices when they prepare their budget requests. The districts and divisions review and revise project and study cost estimates and schedules. These estimates and schedules provide the bases for their funds requests, and should be prepared with your active participation.

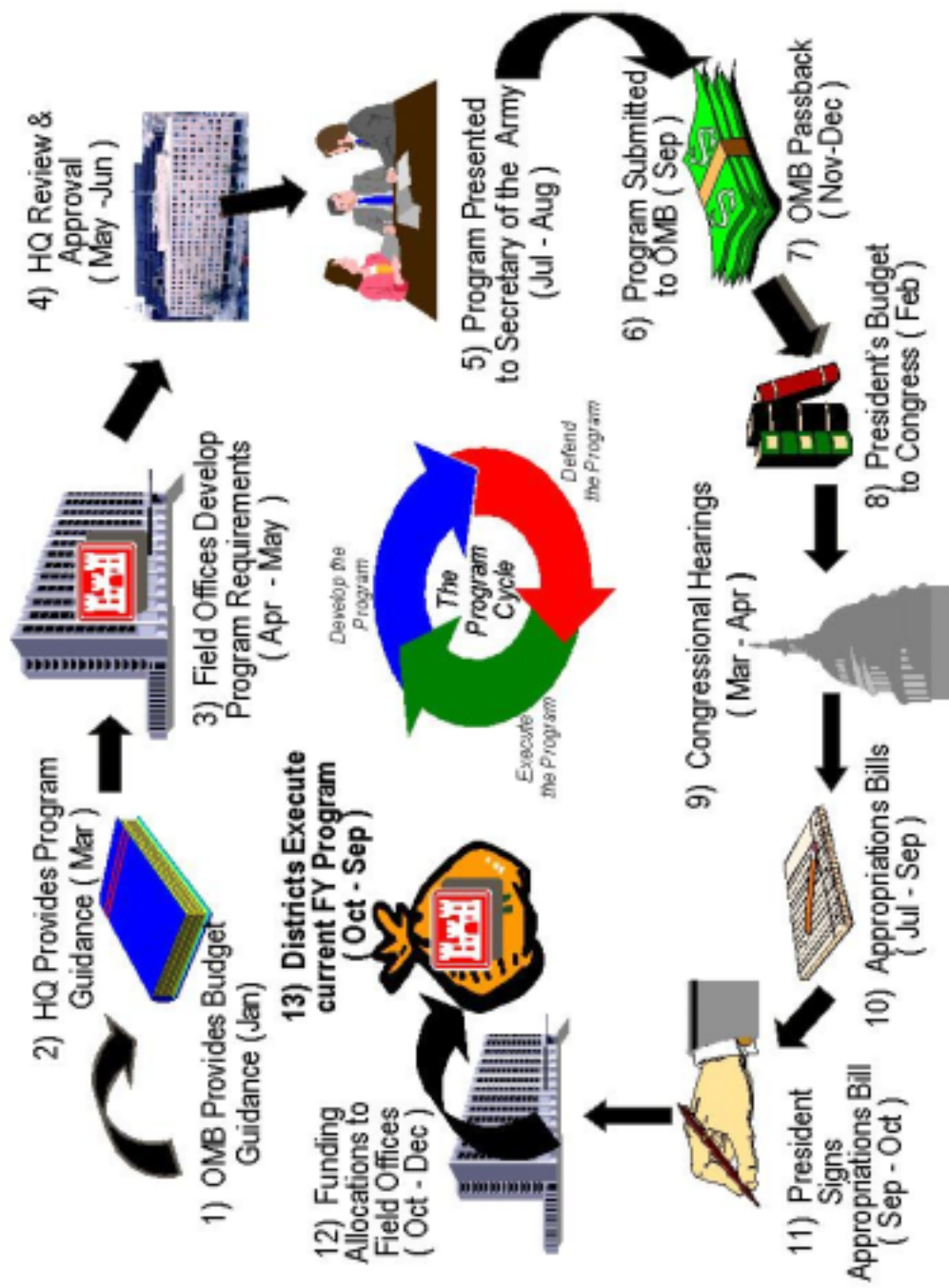


FIGURE 6

GENERALIZED FEDERAL BUDGET PROCESS OVERLYING DIRECT CIVIL WORKS PROGRAM CYCLE

Step 3) April - May: The local districts submit budget requests for their individual projects and studies to their respective regional Divisions. Divisions review and prioritize the district requests and put together a division program request.

Step 4) May - June: Divisions submit their program requests to the Headquarters. The Headquarters further reviews and prioritizes proposals; develops different nationwide programs and budget requests based on various total budget ceilings and policy criteria; and prepare recommended lists of studies and construction projects to be started (called "new starts").

Step 5) July - August: The Headquarters coordinates the proposed program to the ASA(CW) and final adjustments are made.

Step 6) September: The ASA(CW) presents the proposed budget to the OMB. OMB reviews the ASA(CW)'s request in the context of the overall President's budget request for all Federal programs.

Step 7) November - December: In what is called "passback", the OMB notifies the ASA(CW) of the approved budget allowances for various studies, projects, and programs that will be included in the President's budget. For a very brief period, the ASA(CW) may appeal certain budget decisions (called "reclama") before the budget request is finalized. Districts and divisions prepare testimony about individual projects and studies to be delivered to the Congress based on the final approved budget allowances.

Step 8) February: The President's budget request is submitted to Congress; and the President's State of the Union Message is delivered.

Step 9) March - April: The ASA(CW), and, from the Headquarters, the Chief of Engineers and Deputy Commander for Civil Works, appear before the congressional appropriations subcommittees (House and Senate) to defend the budget request for the overall Corps civil works program. The Division Commanders also attend to answer questions about funds requested for individual projects and studies in their regions. These hearings are called "departmental testimony". Sponsors and other interests outside the Corps provide their views to the same congressional appropriations subcommittees about budget requests for Corps studies, projects and programs.

Step 10) July - September: The Congress develops and passes an appropriations act which once signed by the President, gives the Administration funds for studies, projects, and programs. The congressional process that leads to an act is generally as follows:

- The House and Senate appropriations subcommittees review the transcripts of the testimony that they heard, discuss the requests and testimony, and report their recommended appropriations to their respective full committees.
- The full appropriations committees then make recommendations to their respective legislative body, the House, or the Senate.
- Appropriations bills always start in the House; therefore, the appropriations bill is written in the House committee first, and voted on by the House.
- When passed by the House, the bill is sent to the Senate, where it is revised to reflect Senate committee recommendations. It is then voted on by the Senate.

- In what is called a "conference committee", representatives of the House and Senate committees meet to negotiate any differences between their bills and recommend a bill, which will be acceptable to both houses.
- The resulting bill is then presented to both the House and Senate for enactment. Either house may return the bill to conference if it is still not acceptable; however, the bill is usually accepted and enacted by the Congress.
- The bill, becomes an "act" when passed by the Congress and sent to the President for signature.

Step 11) September – October: When signed by the President, the act becomes law.

Step 12) October – December: The OMB apportions the funds available to all Federal agencies. Funds provided to the Corps are then issued in "work allowances" to the districts.

Step 13) October – September of the following budget year: Districts execute studies and projects with allowances and reprogrammed funding.

Disclosure of Budgetary Information:

In the interest of maintaining the best possible circumstances for internal decision making, Federal policy prohibits the disclosure of information about the nature or amount of budget requests except in very limited circumstances. Simply put, a Corps employee may not tell you how much (or if) money has been requested for a project or

study until the Administration's final and official budget request is presented to the Congress. The Corps full policy statement on this subject is presented in the "Digest of Water Resources Policies and Authorities" (Engineering Pamphlet EP 1165-2-1, dated 30 July 1999), and may be discussed with your Project Manager. While budget requests cannot be discussed, it is very important that you continue to work with the district to ensure that schedules and cost estimates, which are the basic foundations for a budget request, reflect your plans for land acquisition, cash flow, and other factors.

New Starts

Getting started as a "new start" study, and later as a "new start" construction project, in the Federal budget process, are probably the most critical steps to take since once an action passes the tests for these two hurdles, each year's funding requests will usually continue to be approved until the study (including PED) or construction is complete. This is called "seamless funding" and provides both the Corps and you with a degree of confidence that funds will be available to continue. This commitment to continued funding of a phase is earned by passing the new start budget tests. While the details vary somewhat each fiscal year, a key part of the budget test is the sponsor's position about the project or study. Your Corps Project Manager can describe current new start requirements.

SPONSOR FINANCING

Your financial share of a Corps study or project usually consists of some combination of two major components: a cash contribution

and real estate interests. You have considerable flexibility to select the way you will raise funds to pay for your share. In addition, you also have latitude in deciding how your share of the project cost is paid.

How Can Sponsors Raise Funds for Their Share of a Civil Works Project?

You may use any one, or a combination, of a number of means to fund your cash share of a project or study. These include:

- Revenues and/or tax receipts.
- Bonds, including general obligation bonds, limited or special obligation bonds, and revenue bonds.
- Grants and loans from Federal, state or other government agencies, or financial institutions. We can accept Federal funds from a local sponsor for construction (example: grant money from another Federal agency) only if the statute under which the funds are provided to you specifically authorizes use of the funds for that purpose.
- Donations and contributions from, for example, potential project beneficiaries.
- Cash on hand.

You may also use various methods to acquire necessary real estate interests, including:

- Purchase or condemnation, which would require a source of funds as described above.
- Donation, by, for example, potential project beneficiaries.

If you borrow funds to purchase or condemn real estate or provide your cash contribution, money to repay the lender may be raised through, for example, taxes, special assessments, and user charges. These methods are also widely used after project construction to pay for ongoing project operation, maintenance, repair, replacement, and rehabilitation costs that are the sponsor's responsibility.

How Can Sponsors Provide Their Share of a Civil Works Project to the Corps?

You may provide your cash share of project or study costs to the Corps by one of the following means:

- Direct Cash Payment: Projects completed in one year require a direct cash payment.
- Escrow or Similar Account: You may deposit your funds in an interest bearing account that we can draw on as needed to pay the non-Federal portion of project costs.
- Letter of Credit: You may deposit your funds in a financial institution that guarantees to us that funds are available to meet cash outlays.
- Federal Repayment Districts: Section 916 of the Water Resources Development Act of 1986 provides that the ASA(CW) may enter into a contract with a Federal Repayment District or other political subdivision of a state for the payment or recovery of a share of a project prior to the project's construction, operation, improvement, or financing.

During the period of study or construction when funds are needed, you have

considerable flexibility to schedule when you make funds available. You need not provide your total cash share of construction before construction begins unless the project is to be built under a single contract fully obligated at the start of construction. However, before we obligate Federal funds for a project or study, you must either pay your share of the funds to be obligated, place your funds in an escrow account or other account acceptable to us, or provide some other irrevocable commitment of payment. To the extent possible, projects and studies are scheduled to permit an incremental obligation of both your funds and our funds, and cash contributions should be provided in the same proportion. If you request us to perform any real estate services for you and we elect to perform any or all of the requested services, you normally must provide the full amount of the funds required to pay for such work in advance of our incurring any financial obligation associated with it.

What is the Sponsor's "Financial Analysis"?

A financial analysis to ensure that you have a reasonable plan to meet your financial commitments is required before a project cooperation agreement can be signed. The analysis includes a financing plan and a statement of financial capability, which are prepared by you, and an assessment of financial capability prepared by the District Commander. Your financing plan consists of a schedule of expenditures, a schedule of sources and uses of your funds during and after construction, and an explanation of your method of financing. Your statement of financial capability provides evidence of your authority and capability to obtain and use the

identified funds. The level of detail included in a financial analysis should be commensurate with the scope and complexity of the project and the financing mechanisms being considered.

FOR MORE INFORMATION

The District Commander, Deputy for Programs and Project Management, or your Project Manager in the local Corps district can provide you with more information about our programs for assisting you to meet your water resources needs. Please refer to the last section of this document for sources of additional information.

WHAT'S NEGOTIABLE – WHAT'S NOT?

Feasibility Cost Sharing Agreements, Design Agreements, Project Cooperation Agreements, and Other Requirements

INTRODUCTION

The development and management of a Federal water resource project is guided and regulated by numerous laws, policies, technical standards, and other requirements. Many of these cannot be changed without further legislation, agreements with interested parties, or conditions that are beyond our authority to change. On the other hand, some conditions are more flexible and there is some leeway for striking the right balance between requirements and individual project circumstances.

Following are some of the requirements that are, and are not, negotiable in your working with the Corps. Included are items from three formal project agreements between us: the feasibility cost sharing agreement, developed prior to initiation of the feasibility phase; the design agreement, developed prior to initiation of the preconstruction, engineering and design phase; the project cooperation agreement, developed prior to initiation of construction; and other requirements commonly encountered over the course of a project's development. It is not meant to be all inclusive, nor provide all of the information needed for negotiation. Rather, it should serve as a starting point for identifying those items worthy of discussion as opposed to those where we cannot change or deviate from a requirement. Your Project Manager can explain these items so that you can be an informed partner and negotiator.

Please keep in mind that, in our negotiations with you, we must fully and fairly represent the Federal Government and public in general. While agreements are negotiated in good faith, final approval may rest at a higher level in the organization, and negotiated decisions may be revised or changed in some cases.

FEASIBILITY COST SHARING AGREEMENTS (FCSA)'s

The following is a general list of items to be considered in a mutually agreed upon FCSA. Your Project Manager can provide a current copy of a model agreement. Also see "Project Documents".

FCSA Negotiable Items:

MANAGEMENT PLAN (MP): The specific engineering and scientific studies and management activities that need to be conducted are different for every study. For each study, agreement should be reached on:

Tasks description: What needs to be done, and what level of detail and effort is needed?

Task responsibilities: Who will pay for or accomplish each task?

Task milestones: How long will the task take, and when will it be done?

Study Schedule: How much total time will be needed to complete the study, based on the time needed for, and sequencing of, all of the study tasks that need to be accomplished? The goal is to complete a feasibility study in two to three years.

Study Cost: The total cost of the study will be based on the total cost of all of the study tasks that need to be accomplished.

Mix of Cash/In-Kind Products and Services: The proportion of cash and non-cash in-kind products and services that a sponsor contributes may vary, so long as the value of the sponsor's total contribution is 50 percent of the total study cost and the sponsor's non-cash contribution (in-kind products and services) is no more than 25 percent of the total study cost.

Estimated Value of In-Kind Products and Services: The dollar value of in-kind products and services provided by the sponsor will be negotiated, based on a detailed Corps estimate and sponsor proposal, as fixed price items. The estimated value must be agreed upon before the work is started.

FCSA Amendment Trigger: The value of a study modification (as a percentage of total study cost or the cost of a work item) that triggers an amendment to the FCSA may be negotiated, up to 15 percent of the cost of the item.

Committee and Team Memberships:

The exact list of who will be members of the study's Executive Committee and the Study Management Team should be negotiated.

Coordination Mechanism: The parties should decide the best way to coordinate their mutual day-to-day activities and decision-making procedures.

Review of Work: Auditing procedures for reviewing, crediting and accepting the work of both parties are negotiable.

FCSA Non-negotiable Items:

COST SHARING: You, the sponsor, must agree to the study cost sharing required in Section 105(a) of the Water Resources Development Act of 1986, as amended, which includes:

- A minimum sponsor contribution of 50 percent of the total feasibility phase study cost.
- A cap on the sponsor's contribution of in-kind products and services (non-cash contribution) limited to 25 percent of the total study cost.

OTHER FEDERAL FUNDS: The sponsor may not use funds received from other Federal sources, such as grants from other Federal agencies, to meet their required non-Federal contribution to the total study cost, unless the granting agency indicates the funds may be used for the intended purpose.

LOBBYING DOCUMENTS: The sponsor must complete a Certificate of Lobbying and, if applicable, a Disclosure of Lobbying Activities.

COMPLIANCE: The study and any recommended project must comply with applicable laws, regulations and standards, particularly the requirements of the "Principles and Guidelines" and environmental laws.

"BOILERPLATE" PROVISIONS: These are standard requirements for all FCSAs, including the:

- "Disputes" article, which states we will work together to resolve any conflicts.
- "Maintenance of Records" article, which describes how records will be kept.
- "Relationship of Parties" article, which recognizes the independence of the parties.
- "Officials Not to Benefit" article, which prohibits elected officials from financially benefiting from the agreement.
- "Federal and State Laws" article, which requires sponsor compliance with all applicable Federal and state laws and regulations.
- "Covenant Against Contingent Fees" article, in which the sponsor warrants that no one was employed to secure the agreement.
- "Termination or Suspension" article, which describes how the agreement will end.

DESIGN AGREEMENTS (DAs)

The following is a general list of items to be considered in a mutually agreed upon design agreement. Your Project Manager can provide a copy of a model agreement.

Design Agreement Negotiable Items:

DESCRIPTION OF THE DESIGN WORK:

The specific scope of the design activities differ for each project.

DESIGN SCHEDULE PHASING AND MANAGEMENT: The sponsor and the Corps should jointly decide the aspects of the design activities based on the availability of Federal and non-Federal funds.

DESIGN COORDINATION TEAM: Establishment of a Design Coordination Team with representatives of the sponsor and Corps is required to facilitate good communication between the partners during design.

COORDINATION MECHANISM: The parties should decide the best way to coordinate their mutual day-to-day activities and decision-making procedures.

REVIEW OF WORK: Auditing procedures for reviewing and accepting the work are negotiable.

Design Agreement Non-negotiable Items:

PAYMENT: The sponsor must agree to pay 25 percent of the design costs.

OTHER FEDERAL FUNDS: The sponsor may not use funds received from other Federal sources, such as grants from other Federal

agencies, to meet their required non-Federal contribution to the total study cost, unless the granting agency indicates the funds may be used for the intended purpose.

LOBBYING DOCUMENTS: The sponsor must complete a Certificate of Lobbying and, if applicable, a Disclosure of Lobbying Activities.

COMPLIANCE: The design and any recommended project must comply with applicable laws, regulations and standards, particularly the requirements of the "Principles and Guidelines" and environmental laws.

"BOILERPLATE" PROVISIONS: These are required by laws and regulations for all design agreements, including the:

- "Disputes" article, which states we will work together to resolve any conflicts.
- "Release of Claims" or "Indemnification" article, in which the sponsor agrees to hold and save harmless, to the extent allowed by law, the Corps free from damages arising from the design, construction, operation, maintenance, repair, replacement, and rehabilitation of the project or project-related betterments, except for damages due to the fault or negligence of the government or its contractors.
- "Government Audit" article, which provides for Corps audits of the sponsor's project records.
- "Maintenance of Records" article, which describes how records will be kept.

- "Relationship of Parties" article, which recognizes the independence of the parties.
- "Officials Not to Benefit" article, which prohibits elected officials from financially benefiting from the agreement.
- "Federal and State Laws" article, which requires sponsor compliance with all applicable Federal and state laws and regulations.
- "Termination or Suspension" article, which describes how the agreement will end.
- "Notices" article, lists the Corps and sponsor's mailing addresses.
- "Confidentiality" article, which assures mutual confidentiality of the parties.
- Certificate of Authority: The sponsor's principal legal officer must attach this statement to the design agreement.

BETTERMENTS: Betterments are improvements desired by the sponsor that are not a part of the Federal project. Costs for all betterments are to be paid by the sponsor.

HAZARDOUS, TOXIC, AND RADIOACTIVE WASTE (HTRW): If Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) regulated hazardous, toxic, or radioactive waste is discovered on lands necessary for the project, and the parties nevertheless agree to proceed with the project, the sponsor is responsible, as between the

Government and sponsor, for any costs for cleanup and response.

CONDITIONS FOR SIGNING: Before the Assistant Secretary of the Army for Civil Works or, under delegated authority, the District or Division Commander will sign a design agreement, the following conditions must be met:

- The Management Plan (MP), on which the design agreement will be based, is approved. The document must include a cost estimate.
- Funds to start design are included in a Federal law (usually the Corps Annual Appropriations Act).
- The sponsor's financing plan is approved by the ASA(CW), or approved by the District or Division Commander under delegated authority.
- The requirements of the National Environmental Policy Act and other applicable environmental mandates have been fully satisfied.

PROJECT COOPERATION AGREEMENTS (PCA)'s

The following is a general list of items to be considered in a mutually agreed upon project cooperation agreement. Model agreements for authorized project purposes and outputs are provided in a series of policy guidance memorandums and an Engineering Regulation on "Project Cooperation Agreements for New Start Construction Projects" (Corps Regulation ER1165-2-131,

dated 15 April 1989). Your Project Manager can provide copies of the guidance and model agreements. Also see "Project Documents," (page 61)

PCA Negotiable Items:

CONSTRUCTION SCHEDULE, PHASING AND MANAGEMENT: The sponsor and the Corps should jointly decide the aspects of construction based on the availability of Federal and non-Federal funds plus the real estate acquisition and performance of relocations schedule.

SCOPE OF THE PROJECT: Negotiable within the limits of economic justification and the legal authority for the project.

DEFERRED PAYMENTS: The sponsor's payment of its cash contribution may be delayed in limited circumstances, but only within statutory limitation, and where the deferred payment plan is approved in advance by the ASA(CW).

PERFORMANCE OF LANDS, EASEMENTS, RIGHTS-OF-WAY, RELOCATIONS, AND DREDGED, OR EXCAVATED MATERIAL, DISPOSAL AREA (LERRD) ACTIVITIES: The sponsor usually acquires all necessary lands, easements, and rights-of-way and performs any necessary relocations. However, in special circumstances, the Corps may, upon request by the sponsor, elect to perform real estate services and performance of relocations on behalf of a sponsor.

LERRD SCHEDULE: The schedule for acquiring lands, easements, and rights-of-way and performing relocations is flexible and should take into account the sponsor's authorities, capabilities and experience and be

coordinated within the construction schedule.

CREDIT FOR WORK DONE BY THE SPONSOR: In certain cases where authorized, the sponsor may receive credit for performing work on the project. The request for creditable work must be approved by ASA(CW) before the work commences.

SUSPENSION OF FUTURE CONTRACT AWARDS: At the request of the sponsor, a dollar cap may be included in the PCA that will permit us to temporarily suspend future construction contract awards if the cumulative costs of awarded contracts approach a negotiated amount (generally the Government's current estimate of total project cost). Should award of the next construction contract exceed this cap, this allows the sponsor time to arrange for additional funds and to proceed when both parties mutually agree.

OBLIGATION OF FUTURE APPROPRIATIONS: In certain circumstances when required under state law, the sponsor may request a PCA provision that recognizes limitations on future appropriations by a state legislature.

FUNDING MECHANISMS: The sponsor may provide its share of the project cost in cash, or through the use of an escrow account or letter of credit. Selection of the escrow officer should also be discussed.

ESCROW ACCOUNT: Frequency of Corps withdrawals from a sponsor's escrow account is negotiable.

REAL ESTATE APPRAISAL: The sponsor may select a qualified real estate appraiser, with Corps approval.

CONSTRUCTION OF NON-FEDERAL BETTERMENTS COINCIDENT WITH PROJECT CONSTRUCTION: The scope and construction schedule for other features that you may wish to have constructed along with our project is negotiable. Payment for such betterments will be at non-Federal expense and must be provided in advance of obligation of funds.

REPORTING CORPS SPENDING OF NON-FEDERAL FUNDS: The Corps is required to report to sponsor on project expenses, including how the sponsor's funds have been used, on at least a quarterly basis.

REPORTING COMPLIANCE: Reporting requirements for Corps monitoring of compliance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Public Law 91-646, as amended) are negotiable.

MANAGEMENT OF SPONSOR-FUNDED OPERATION, MAINTENANCE, REPAIR, REPLACEMENT, AND REHABILITATION: Either the Corps or the sponsor may perform operation, maintenance, repair, replacement, and rehabilitation activities, but the sponsor is responsible for paying all operation, maintenance, repair, replacement, and rehabilitation costs.

PROJECT COORDINATION TEAM: Establishment of a Project Coordination Team with representatives of the sponsor and Corps is required to facilitate good communication between the partners during construction.

PCA Non-negotiable Items:

COST SHARING: Minimum cost sharing requirements prescribed in the Water Resources Development Act of 1986, as

amended, and other applicable Federal laws are not negotiable. The proportion of non-Federal (sponsor) funds required varies for each project purpose or output.

SPONSORS ARE RESPONSIBLE for providing all necessary LERRD requirements as prescribed in the Water Resources Development Act of 1986.

RELOCATION ASSISTANCE: Costs of moving and related expenses, replacement housing payments, and other incidental expenses associated with real property acquisition and relocation of displaced individuals, families, businesses and farms pursuant to the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and its implementing regulations are the sponsor's responsibility.

INTEREST RATE: The interest rate charged on delinquent payments is fixed by Federal law and tied to the current market rate.

IN-KIND SERVICES FOR CONSTRUCTION: We can accept engineering and design, and supervision and administration type activities only where authorized by: the specific project authorization, Section 215 of the 1968 Flood Control Act, as amended, or Sections 104 or 204 of the Water Resources Development Act of 1986, or Section 4 of the Flood Control Act of 1944, as amended (for recreation facilities) if pre-approved by the ASA(CW) and under some authorities, a formal agreement is executed.

CAP ON EXPENDITURES: The PCA may not include a cap on total project expenditures, or limit the sponsor's total contribution except, by the "902 cap."

"902 CAP": For projects authorized by the Water Resources Development Act of 1986 and thereafter, the total cost of certain projects may not be increased by more than an amount that is determined by using a fixed formula without further congressional authorization, pursuant to section 902 of the Act.

OPERATION, MAINTENANCE, REPAIR, REPLACEMENT, AND REHABILITATION: The sponsor is responsible for the costs of project operation, maintenance, repair, replacement and rehabilitation for most project purposes and outputs. The operation, maintenance, repair, replacement, and rehabilitation sponsor need not be the same agency as the project construction sponsor.

BETTERMENTS: Betterments are improvements desired by the sponsor that are not a part of the Federal project. Costs for all betterments are to be paid by the sponsor.

HAZARDOUS, TOXIC, AND RADIOACTIVE WASTE (HTRW): If CERCLA regulated hazardous, toxic, or radioactive waste is discovered on lands necessary for the project, and the parties nevertheless agree to proceed with the project, the sponsor is responsible, as between the Government and sponsor, for any costs for cleanup and response.

OTHER FEDERAL FUNDS: The sponsor may not use funds received from other Federal sources, such as grants from other Federal agencies, to meet their required non-Federal contribution of the total project cost, unless the expenditure of such funds is expressly authorized by statute as verified in writing by the granting agency.

LOBBYING DOCUMENTS: Federal law requires that the sponsor complete a Certificate of Lobbying and, if applicable, a Disclosure of Lobbying Activities.

"BOILERPLATE" PROVISIONS: These are required by laws and regulations for all PCA's, including the "Disputes" article, which states we will work together to resolve any conflicts.

- Release of Claims" or "Indemnification" article, in which the sponsor agrees to hold and save the Corps free from damages arising from the construction, operation, maintenance, repair, replacement, and rehabilitation of the project, except for damages due to the fault or negligence of the government or its contractors.
- "Maintenance of Records" article, which describes how records will be kept.
- "Government Audit" article, which provides for Corps audits of the sponsor's project records.
- "Federal and State Laws" article, which requires sponsor compliance with all applicable Federal and state laws and regulations.
- "Relationship of Parties" article, which recognizes the independence of the parties.
- "Officials Not to Benefit" article, which prohibits elected officials from financially benefiting from the agreement.

- "Termination or Suspension" article, which describes circumstances under which construction can be suspended or terminated.
- "Notices" article, lists the Corps and sponsor's mailing addresses.
- "Confidentiality" article, which assures mutual confidentiality of the parties.
- Certificate of Authority: The sponsor's principal legal officer must attach this statement to the PCA.

CONDITIONS FOR SIGNING: Before the ASA(CW), (or the District or Division Commander under delegated authority) signs a PCA, the following conditions must be met:

THE PROJECT DOCUMENT on which the PCA will be based is approved. The project document must include a Micro-Computer Aided Cost Estimating System (M-CACES) cost estimate.

FUNDS TO START PROJECT CONSTRUCTION are included in a Federal law (usually the Corps Annual Appropriations Act).

THE SPONSOR'S FINANCING PLAN is approved by the ASA(CW), or approved by the District or Division Commander under delegated authority.

THE REQUIREMENTS OF THE NATIONAL ENVIRONMENTAL POLICY ACT and other applicable environmental mandates have been fully satisfied.

OTHER REQUIREMENTS

In addition to the specific items involved in the three formal project agreements, there are a wide variety of standards, practices, and other requirements encountered over the life cycle of a project. The following is a list of some of these requirements. Flexibility to alter the plan of improvements or other aspects of the project generally decreases as a project moves from the early planning stages to construction, and as the project grows more defined and less subject to change.

Other Negotiable Items:

MANAGEMENT PLAN: While the Management Plan (MP) must, as a minimum, include a baseline cost estimate and schedule, the details of these estimates and additional contents of the MP are negotiable.

LEVEL OF DETAIL: Numbers of samples, methodologies in conducting analyses, amount of documentation, and other parameters related to level of detail for studies and investigations must be adequate to meet their intended purpose, and are usually negotiable unless specifically defined otherwise.

PROJECT SCOPE: Areas served by a project, level of project outputs, and other aspects of project scope are variables to be evaluated. Project scope becomes progressively more difficult or expensive to change as a project moves from the early planning stages to construction.

LEVEL OF PROTECTION: There is no minimum or maximum level of protection required for flood damage reduction projects, although public safety and project cost sharing

are crucial considerations in determining the degree of protection to be recommended for any given area subject to flood damages.

NED PLAN SELECTION: The National Economic Development (NED) plan must be identified. In certain situations, a different plan other than the NED Plan may be selected and recommended.

BUDGET REQUEST: Project activities should be budgeted to ensure the earliest practicable completion, with consideration given to the availability of both Federal and sponsor funds.

Other Non-negotiable Items:

ENVIRONMENTAL COMPLIANCE: Corps projects and other Federal actions must comply with the requirements of applicable environmental laws, some of the more well-known of which are:

- National Environmental Policy Act of 1969, as amended
- Fish and Wildlife Coordination Act of 1958, as amended
- Endangered Species Act of 1973
- National Historic Preservation Act of 1966, as amended
- Clean Water Act of 1972, as amended

CORPS PERMITS: For sponsor work beyond the Federal project, Corps permits will be required for certain activities, such as construction of harbor docks and dredging of berthing areas.

DESIGN CRITERIA: Corps projects must be designed and constructed using established technical standards and prudent engineering practices. Project designers should clearly explain necessary design criteria.

CONTRACTING REQUIREMENTS: Many contracting requirements concerning types of contracts that can be used, certain contract clauses, and others are mandated by Federal laws and regulations, and cannot be negotiated.

RECOMMENDATION RESPONSIBILITY: Commanders are responsible for making recommendations to their higher authorities.

FOR MORE INFORMATION

The District Commander, Deputy for Programs and Project Management, or your Project Manager in the local Corps district can provide you with more information about our programs for assisting you to meet your water resources needs. Please refer to the last section of this document for sources of additional information.

PROJECT DOCUMENTS

Corps Models, Outlines, and Forms Used in Project Development

INTRODUCTION

A variety of different types of documents are prepared during the development of a Corps project, and you, the sponsor, will be involved with many of them. Some documents are reports about work that was done, some are agreements concerning responsibilities, and some serve other important purposes. Since most of these documents are required for every project, standardized models and outlines are used to make preparing them easier and ensure that all Corps offices are using similar documents. Where a certain document may have a somewhat different format and content for each project, examples of previous documents are available.

STANDARDIZED DOCUMENTS

The types of standardized documents that you will encounter are generally characterized as follows:

Models

Models are standardized, fill-in-the-blank documents where much of the information is the same for all projects. Some models are short forms, while others are more lengthy text. Model documents are available for the certificate of lobbying, disclosure of lobbying activities, escrow agreement, Feasibility Cost Sharing Agreement (FCSA), Design Agreement (DA), Project Cooperation Agreement (PCA), project executive summary, and statement of financial capability.

Outlines

Outlines are standardized checklists of the information to be included in various project reports. Outlines are available for the Design Memorandum (DM), Environmental

Impact Statement (EIS), feasibility report, financing plan, and reconnaissance report.

Examples

Some documents are needed for every project, but their content and possibly their format differs from project to project. These documents include the study authority, project construction authority, budget authority, Environmental Assessment (EA), justification sheet, letter of credit, letter of intent, and Management Plan (MP).

Your Project Manager can provide you with examples of these documents, as well as examples of blank and completed models (such as a project cooperation agreement) and report outlines (such as a feasibility report).

DESCRIPTION OF DOCUMENTS

The following is a list of some of the generally standardized reports, agreements and other documents that you are likely to be involved with over the life of a project. This

list presents the documents in the appropriate project phase or type of activity. Not all of these documents are used in all cases, and the order of when they are needed may vary for any given study or project.

Reconnaissance Phase:

- Study Authority
- Section 905(b) Analysis
- Feasibility Cost Sharing Agreement
- Management Plan
- Letter of Intent

Feasibility Phase:

- Feasibility Report
- Environmental Impact Statement (or Environmental Assessment)
- Management Plan (update as needed)

Preconstruction Engineering and Design Phase: (some of the following documents may be prepared in the feasibility phase)

- Management Plan (update as needed)
- Certificate of Lobbying
- Disclosure of Lobbying Activities
- Authority (Project Construction)
- Decision Document (typically a feasibility report)
- Design Agreement
- Design Documentation Report
- Financing Plan
- Statement of Financial Capability
- Project Cooperation Agreement
- Escrow Agreement
- Letter of Credit

Construction Phase:

- Management Plan (update as needed)
- Construction Contract Documents
- Operation and Maintenance Manual
- Physical Closeout Documents
- Fiscal Closeout Documents

Operations and Maintenance Phase:

- Management Plan (update as needed)
- Operation and Maintenance Manual (revise as needed)

The following is an alphabetical listing and explanation of the generalized standardized reports, agreements and other documents listed above.

AUTHORITY: This is either a resolution of a committee of the U.S. Congress, or a Federal public law, which gives us approval to: conduct a study (study authority), construct a project (project construction authority, also called project authorization), or spend Federal funds on an authorized study or project (budget authority). It is usually only a line, a sentence, or a paragraph in length.

CERTIFICATE OF LOBBYING: This is your statement concerning lobbying of congressional and other Federal officials. The certificate must accompany a feasibility cost sharing agreement and a project cooperation agreement.

CHIEF OF ENGINEERS REPORT: A Chiefs Reports is prepared when congressional construction authorization is needed to construct a specific project. This document transmits the Chief's recommendations to the Assistant Secretary of the Army for Civil Works who, after coordination with the Office of Management and Budget, transmits the reports to Congress.

CONSTRUCTION CONTRACT DOCUMENTS: Construction Contract Documents (CCD) generally include the plans, specifications and a copy of the construction contract(s).

DESIGN AGREEMENT: This is a written agreement between you and the Department of the Army that describes the scope of the design and other responsibilities during the design of the project.

DESIGN DOCUMENTATION REPORT (DDR): This report presents the results of detailed engineering studies needed to prepare a project's plans and specifications for construction.

DISCLOSURE OF LOBBYING ACTIVITIES: This is a form (Standard Form LLL), completed by you, concerning lobbying of congressional and other Federal officials. In certain circumstances it must accompany a certificate of lobbying (see above).

DIVISION ENGINEERS PUBLIC NOTICE: The DE's public notices provides notice of availability of a specific feasibility report for public review and includes the Division Commander's proposed recommendations to the Chief of Engineers.

ENVIRONMENTAL ASSESSMENT (EA): This report presents the results of the evaluation of environmental effects of the project and its alternatives. In certain circumstances, an environmental assessment may be adequate and an environmental impact statement (see below) may not be required. A Finding Of No Significant Impact (FONSI) must also be prepared for each environmental assessment.

ENVIRONMENTAL IMPACT STATEMENT (EIS): This report presents the results of the evaluation of environmental effects of the project and its alternatives. Outlines for statements that are combined or integrated with feasibility reports are in Appendix C of

the "Planning Guidance Notebook".

ESCROW AGREEMENT: This is a written agreement among you, your financial institution, and the Department of the Army in which the parties agree that your funds are to be deposited in an interest bearing account at the financial institution, and the Corps can withdraw those funds as needed for the study or project.

FEASIBILITY COST SHARING AGREEMENT (FCSA): This is a written agreement between you and the Department of the Army, represented by the local District Commander, to share the cost of a feasibility phase study.

FEASIBILITY REPORT: This report presents the results of the formulation, evaluation and selection of project plans conducted during the feasibility phase of project planning.

FINANCING PLAN: This report describes the sources and uses of your project funds as support for the statement of financial capability (see below).

FISCAL CLOSEOUT DOCUMENTS: After a project is completed, fiscal closeout documents are prepared by the Project Manager. The Project Manager completes Engineering (ENG) Form 3013 (Work Order and Completion Report) and transfers work from the Construction in Progress Ledger to a General Ledger Account(s) or the Sponsor. Final cost accounting will be done at this time.

JUSTIFICATION SHEET: This is a brief description of how funds are to be used for a study or project in an upcoming fiscal year. It is submitted to the Congress in support of a

President's budget request for the upcoming fiscal year.

LETTER OF CREDIT: This is a letter from your financial institution that guarantees to the Federal government that the funds are available to meet required cash outlays.

LETTER OF INTENT: This is a letter from you to the local District Commander stating that you are ready, willing and able to execute the feasibility cost sharing agreement.

MANAGEMENT PLAN (MP): The MP is a living, working level document that records the history, documents commitments by the Corps and the sponsor, and depicts the future direction of the project. The MP is a binding agreement among all elements supporting the project that details how the work will be executed and how resources will be expended. It defines the baseline scope, schedule, resources, including contingencies, and provides a configuration (change) management plan for the project. The MP is appended to the feasibility cost sharing agreement.

OPERATION AND MAINTENANCE MANUAL: Manuals covering Operation, Maintenance, Repair, Replacement, and Rehabilitation (OMRR&R) are normally developed by the Corps district responsible for the work in accordance with the project authorization and Project Cooperation Agreement (PCA). The manual includes sections or topics on authorization; location; pertinent information; construction history; project performance; project cooperation agreement; operation; emergency operation; maintenance and inspection; surveillance; repair, replacement and rehabilitation; and notification of distress.

PHYSICAL CLOSEOUT DOCUMENTS: On civil works projects, physical completion is normally documented by a transfer letter from the Government to the Sponsor in accordance with the Project Cooperation Agreement (PCA). This letter may also include certain completion documents such as as-built drawings, construction contract plans and specifications, final approved shop drawings, installed equipment lists, and Operation, Maintenance, Repair, Replacement, and Rehabilitation (OMRR&R) manuals.

PROJECT COOPERATION AGREEMENT (PCA): This is a written agreement between you and the Department of the Army that describes our financial and other responsibilities for construction, operation and maintenance of a project.

SECTION 905(B) ANALYSIS: Section 905(b) analysis documents the results of the reconnaissance phase and identifies Corps interest in proceeding into the feasibility phase.

STATEMENT OF FINANCIAL CAPACITY: This is your description of your capability to meet your project financial obligation in accordance with the project funding schedule.

FOR MORE INFORMATION

The District Commander, Deputy for Programs and Project Management, or your Project Manager in the local Corps district can provide you with more information about our programs for assisting you to meet your water resources needs. Please refer to the last section of this document for sources of additional information.

FOR MORE INFORMATION

INTRODUCTION

As stated throughout this document, your Corps Project Manager is always available for consultation regarding any specific questions you may have as a sponsor. In addition, for questions or concerns that are not specific to an ongoing project, the Deputy for Programs and Project Management is an important source of information. This section provides an overview of sources of additional information about the project development process, including Corps guidance, other Corps publications, and Corps training courses. These avenues should be pursued with your Project Manager to answer any specific questions that may arise.

You should be generally familiar with legislation applicable to your study or project, particularly the authorizing legislation (varies from case to case; see your Project Manager), and the Water Resources Development Act of 1986, which is the basis for many of the current Corps policies and practices. We have created guidance that helps district offices develop projects in a manner consistent with Corps policies. However, the guidance, and district's use of the guidance, is intended to be flexible to some extent.

TYPES OF GUIDANCE

Corps guidance addresses several topics including: Policy, Project Management, Planning, Engineering and Design, Real Estate, Construction, Operations and Maintenance, and Financing and Budgeting. This guidance includes three types of Corps documents: regulations, pamphlets, and circulars.

Engineer Regulation (ER)

ER's provide the required "thou shalt" instructions and policy and procedural guidance about what to do on a particular topic (see Appendix C for internet address).

Engineer Pamphlet (EP)

EP's provide "how to" guidance in

support of regulation requirements, or good-to-know information about a particular topic (see Appendix C for internet address).

Engineer Circular (EC)

EC's are short term documents usually with a two-year life, that provide guidance on short-term topics, interim guidance on a topic that will soon be included in a regulation, or guidance that is updated annually (see Appendix C for internet address).

Also included are selected regulations of other agencies that are published in the Code of Federal Regulations.

Model Agreements

Model agreements provide standard language that meet Corps legal requirements.

Any exceptions to model agreements require approval from the Corps Headquarters and/or the Assistant secretary of the Army for Civil Works (see Appendix C for internet address).

BEST REFERENCES

You are encouraged to obtain and look through the "Digest of Water Resources Policies and Authorities", Corps pamphlet number EP 1165-2-1 (see Appendix C for internet address), as the most comprehensive single source about the Corps and the way we conduct business.

CORPS TRAINING

The Proponent Sponsored Engineer Corps Training (PROSPECT) Program offers many short courses to improve and maintain the wide variety of technical and managerial skills and knowledge of our employees. Many of these courses may be equally valuable to our study and project sponsors, particularly to counterpart Project Managers and for sponsors involved in complex projects or several projects. While there are legal problems to be solved regarding attendance of these courses by non-Federal sponsors, your Corps Project Manager may be able to arrange such attendance.

APPENDIX A: CORPS OFFICE DIRECTORY

HEADQUARTERS, U.S. ARMY CORPS OF ENGINEERS

Deputy Directorate of Civil Works
441 G Street, NW
Washington, DC 20314-1000
Executive Office: 202-761-0105
Public Affairs Office: 202-761-0014
www.usace.army.mil/inet/functions/cw/

U.S. ARMY ENGINEER DIVISION, MISSISSIPPI VALLEY

1400 Walnut Street
Vicksburg, MS 39180
Executive Office: 601-634-5750
Public Affairs Office: 601-634-7783
<http://www.mvd.usace.army.mil/>

U.S. Army Engineer District,
Memphis
Room B-202
167 North Main Street
Memphis, TN 38103-1894
Executive Office: 901-544-3221
Public Affairs Office: 901-544-3348
<http://www.mvm.usace.army.mil/>

U.S. Army Engineer District,
St. Paul
P.O. Box 1159
St. Paul, MN 55101-1638
Executive Office: 651-290-5200
Public Affairs Office: 513-684-3097
<http://www.mvp.usace.army.mil/>

U.S. Army Engineer District,
New Orleans
7400 Leake Avenue
New Orleans, LA 70118
Executive Office: 504-862-2077
Public Affairs Office: 504-862-2201
<http://www.mvn.usace.armymil/>

U.S. Army Engineer District,
Rock Island
P.O. Box 2004
Rock Island, IL 61204-2004
Executive Office: 309-794-4220
Public Affairs Office: 309-794-5204
<http://www.mvr.usace.army.mil/>

U.S. Army Engineer District,
St. Louis
1222 Spruce Street
St. Louis, MO 63103-2833
Executive Office: 314-331-8010
Public Affairs Office: 314-331-8002
<http://www.mvs.usace.army.mil/>

U.S. Army Engineer District,
Vicksburg
4155 Clay Street
Vicksburg, MS 39183
Executive Office: 601-631-5010
Public Affairs Office: 601-631-5052
<http://www.mvk.usace.army.mil/>

**U.S. ARMY ENGINEER DIVISION,
NORTH ATLANTIC**

Fort Hamilton Military Community
302 General Lee Ave.
Brooklyn, NY 11252-6700
Executive Office: 718-765-7000
Public Affairs Office: 718-765-7018
<http://www.nad.usace.army.mil/>

U.S. Army Engineer District,
Baltimore
P.O. Box 1715
Baltimore, MD 21203-1715
Executive Office: 410-962-4545
Public Affairs Office: 410-962-2809
<http://www.nab.usace.army.mil/>

U.S. Army Engineer District,
Norfolk
803 Front Street
Norfolk, VA 23510-1096
Executive Office: 757-441-7601
Public Affairs Office: 757-441-7606
<http://www.nad.usace.army.mil/nao.htm>

U.S. Army Engineer District,
New England
696 Virginia Rd.
Concord, MA 01742-2751
Executive Office: 978-318-8220
Public Affairs Office: 978-318-8657
<http://www.nae.usace.army.mil/>

U.S. Army Engineer District,
Philadelphia
Wannamaker Building
100 Penn Square East
Philadelphia, PA 19107-3390
Executive Office: 215-656-6504
Public Affairs Office: 215-656-6515
<http://www.nad.usace.army.mil/nap.htm>

U.S. Army Engineer District,
New York
Jacob K. Javits Federal Building
New York, NY 10278-0090
Executive Office: 212-264-0100
Public Affairs Office: 212-264-1722
<http://www.nan.usace.army.mil/>

**U.S. ARMY ENGINEER DIVISION,
NORTHWESTERN**

220 NW 8th Avenue
Portland, OR 97208-2870
Executive Office: 503-808-3700
Public Affairs Office: 503-808-3710
<http://www.nwd.usace.army.mil/>

U.S. Army Engineer District,
Omaha
Omaha District Corps of Engineers
106 South 15th Street
Omaha, Nebraska 68102-1618
Executive Office: 402-221-3906
Public Affairs Office: 402-221-3917
<http://www.nwo.usace.army.mil/>

U.S. Army Engineer District,
Kansas City
601 East 12th Street
Kansas City, MO 64106-2896
Executive Office: 816-426-3201
Public Affairs Office: 816-983-3486
<http://www.nwk.usace.army.mil/>

U.S. Army Engineer District,
Portland
P.O. Box 2946
Portland, OR 97208-2946
Executive Office: 503-808-4500
Public Affairs Office: 503-808-4510
<http://www.nwp.usace.army.mil/>

U.S. Army Engineer District,
Seattle
P.O. Box 3755
Seattle, WA 98124-3755
Executive Office: 206-764-3690
Public Affairs Office: 206-764-3750
<http://www.nws.usace.army.mil/>

U.S. Army Engineer District,
Walla Walla
201 North Third Avenue
Walla Walla, WA 99362-1876
Executive Office: 509-527-7700
Public Affairs Office: 509-527-7020
<http://www.nww.usace.army.mil/>

**U.S. ARMY ENGINEER DIVISION,
GREAT LAKES AND OHIO RIVER**

P.O. Box 1159
Cincinnati, OH 45201-1159
Executive Office: 513-684-3002
<http://www.lrd.usace.army.mil/>

U.S. Army Engineer District,
Buffalo
1776 Niagara Street
Buffalo, NY 14207-3199
Executive Office: 716-879-4200
Public Affairs Office: 716-879-4209
<http://www.lrb.usace.army.mil/>

U.S. Army Engineer District,
Chicago
111 North Canal Street, Suite 600
Chicago, IL 60606-7206
Executive Office: 312-353-6400
Public Affairs Office: 312-353-1300
<http://www.usace.army.mil/lrc/>

U.S. Army Engineer District,
Detroit
P.O. Box 1027
Detroit, MI 48231-1027
Executive Office: 313-226-6762
Public Affairs Office: 313-226-4680
<http://www.lre.usace.army.mil/>

U.S. Army Engineer District,
Pittsburgh
Room 2032
William S. Moorehead Federal Building
1000 Liberty Avenue
Pittsburgh, PA 15222-4186
Executive Office: 412-395-7103
Public Affairs Office: 412-395-7500
<http://www.lrp.usace.army.mil/>

U.S. Army Engineer District,
Huntington
502 8th Street
Huntington, WV 25701-2070
Executive Office: 304-529-5395
Public Affairs Office: 304-529-5452
<http://www.orh.usace.army.mil/>

U.S. Army Engineer District,
Louisville
P.O. Box 59
Louisville, KY 40201-0059
Executive Office: 502-315-6101
Public Affairs Office: 502-315-6765
<http://www.lrl.usace.army.mil/>

U.S. Army Engineer District,
Nashville
P.O. Box 1070
Nashville, TN 37202-1070
Executive Office: 615-736-5626
Public Affairs Office: 615-736-7161
<http://www.orn.usace.army.mil/>

**U.S. ARMY ENGINEER DIVISION,
PACIFIC OCEAN**

Building 525
Fort Shafter, HI 96858-5440
Executive Office: 808-438-1500
Public Affairs Office: 808-438-8319
<http://www.pod.usace.army.mil/>

U.S. Army Engineer District,
Honolulu
Building 230
Ft. Shafter, HI 96858-5440
Executive Office: 808-438-1069
Public Affairs Office: 808-438-9862
<http://www.poh.usace.army.mil/welcome.html>

U.S. Army Engineer District,
Alaska
P.O. Box 898
Anchorage, AK 99506-0898
Executive Office: 907-753-2504
Public Affairs Office: 907-753-2520
<http://www.poa.usace.army.mil/>

**U.S. ARMY ENGINEER DIVISION,
SOUTH ATLANTIC**

Room 9M15
60 Forsyth Street, SW
Atlanta, GA 30303-8801
Executive Office: 404-562-5005
Public Affairs Office: 404-562-5011
<http://www.sad.usace.army.mil/>

U.S. Army Engineer District,
Charleston
69A Hagood Avenue
Charleston, SC 29403-5107
Executive Office: 843-329-8004
Public Affairs Office: 843-329-8123
<http://www.sac.usace.army.mil/>

U.S. Army Engineer District,
Savannah
P.O. Box 889
Savannah, GA 31402-0889
Executive Office: 912-652-5226
Public Affairs Office: 912-652-5279
<http://www.sas.usace.army.mil/>

U.S. Army Engineer District,
Jacksonville
P.O. Box 4970
Jacksonville, FL 32232-0019
Executive Office: 904-232-2241
Public Affairs Office: 904-232-2242
<http://www.saj.usace.army.mil/>

U.S. Army Engineer District,
Wilmington
P.O. Box 1890
Wilmington, NC 28402-1890
Executive Office: 910-251-4654
Public Affairs Office: 910-251-4626
<http://www.saw.usace.army.mil/>

U.S. Army Engineer District,
Mobile
P.O. Box 2288
Mobile, AL 36628-0001
Executive Office: 334-690-2511
Public Affairs Office: 334-690-2505
<http://www.sam.usace.army.mil/>

**U.S. ARMY ENGINEER DIVISION,
SOUTH PACIFIC**

333 Market Street
San Francisco, CA 94105-2195
Executive Office: 415-977-8001
Public Affairs Office: 415-977-8112
<http://www.spd.usace.army.mil/>

U.S. Army Engineer District,
Albuquerque
4101 Jefferson Plaza NE
Albuquerque, NM 87109-1580
Executive Office: 342-3432
Public Affairs Office: 505-342-3171
<http://www.spa.usace.army.mil/>

U.S. Army Engineer District,
Sacramento
1325 J Street
Sacramento, CA 95814-2922
Executive Office: 916-557-7490
Public Affairs Office: 916-557-7461
<http://www.spk.usace.army.mil/>

U.S. Army Engineer District,
Los Angeles
P.O. Box 532711
Los Angeles, CA 90053-2325
Executive Office: 213-452-3966
Public Affairs Office: 213-452-3908
<http://www.spl.usace.army.mil/>

U.S. Army Engineer District,
San Francisco
333 Market Street
San Francisco, CA 94105-2197
Executive Office: 415-744-8500
Public Affairs Office: 415-977-8658
<http://www.spn.usace.army.mil/>

**U.S. ARMY ENGINEER DIVISION,
SOUTHWESTERN**

1100 Commerce Street
Suite 8B15B
Dallas, TX 75242-0216
Executive Office: 214-767-2502
Public Affairs Office: 214-767-2510
<http://www.swt.usace.army.mil/swd/>

U.S. Engineer District,
Fort Worth
P.O. Box 17300
Fort Worth, TX 76102-0300
Executive Office: 817-978-2300
Public Affairs Office: 817-978-2196
<http://www.swf.usace.army.mil/>

U.S. Army Engineer District,
Little Rock
P.O. Box 867
Little Rock, AR 72203-0867
Executive Office: 501-324-5531
Public Affairs Office: 501-324-5551
<http://www.swl.usace.army.mil/>

U.S. Army Engineer District,
Galveston
P.O. Box 1229
Galveston, TX 77553-1229
Executive Office: 409-766-3001
Public Affairs Office: 409-766-3004
<http://www.swg.usace.army.mil/>

U.S. Army Engineer District,
Tulsa
1645 S. 101st East Avenue
Tulsa, OK 74128-4609
Executive Office: 918-669-7201
Public Affairs Office: 918-669-7366
<http://www.swt.usace.army.mil/>

APPENDIX B: CORPS ABBREVIATIONS, ACRONYMS, AND NUMBERS

ABBREVIATIONS AND ACRONYMS

To streamline intra-organizational communication, Corps personnel often rely on acronyms, abbreviations, and numbers of planning procedures and projects. To non-Corps parties, this Corps jargon can make communication with the Corps seem challenging. However, a list of acronyms, abbreviations and numbers follow to make this kit more valuable as a reference throughout the planning process. The intent is not to require you to learn the Corps language, but to facilitate communication as we together progress through the planning process. Some of these entries are common throughout business, government or the construction industry; many are unique to the Army or the Corps.

AAA	Army Audit Agency
a-b-c's	requirements for local cooperation in 1936 Flood Control Act
ACHP	Advisory Council on Historic Preservation
ACO	Administrative Contracting Officer
ADR	alternative dispute resolution
AE	Architect-Engineer
AF	acre-foot
AFARS	Army Federal Acquisition Regulation Supplement
AR	Army Regulation
ASA(CW)	Assistant Secretary of the Army (Civil Works)
ASAP	as soon as possible
BC	benefit-cost
BCR	benefit-cost ratio
BOD	biological oxygen demand
BY	budget year
CAP	Continuing Authorities Program
CB	Corporate Board
CBD	Commerce Business Daily
CBO	Congressional Budget Office
CBRA	Coastal Barrier Resources Act, or (COBRA)
CDR	Commander
CE	Corps of Engineers
CECC	Office of the Chief Counsel

CECW	Office of the Directorate of Civil Works
CECW-B	Headquarters, Civil Works, Programs Management Division
CECW-E	Headquarters, Civil Works, Engineering and Construction Division
CECW-O	Headquarters, Civil Works, Operations Division
CECW-P	Headquarters, Civil Works, Planning and Policy Division
CEQ	Council on Environmental Quality
CERB	Coastal Engineering Research Board
CERC	Coastal Engineering Research Center
CERCLA	Comprehensive Environmental Response, Compensation and Liability Act of 1980 (Superfund)
CERE	Office of the Deputy Chief of Staff, Real Estate
CERL	Construction Engineering Research Laboratory
CF	copy for, copy furnished
CFR	Code of Federal Regulations
CG Account	construction, general
CHL	Coastal and Hydraulics Laboratory
CMR	Command Management Review
COB	close of business
COD	chemical oxygen demand
COE	Corps of Engineers
COEMIS	Corps of Engineers Management Information System
CONUS	Continental United States
COR	Contracting Officer's Representative
CPAR	Construction Productivity Advancement Research
CPM	critical path method
CRA	continuing resolution authority
CRREL	Cold Regions Research and Engineering Laboratory
CSI	Construction Specifications Institute
CVM	contingent value method
CW	Civil Works
CWA	Clean Water Act (of 1977)
CWCCIS	Civil Works Construction Cost Index System
CWIS	Civil Works Information System
CY	cubic yard
CY	current year (budget process)
CZM	coastal zone management
CZMA	Coastal Zone Management Act
DA	Department of the Army
DAR	Defense Acquisition Regulations
DC	District Commander or Division Commander
DPM	Deputy for Programs and Project Management
DE	District Engineer or Division Engineer

DEIS	Draft Environmental Impact Statement
DFARS	Defense Federal Acquisition Regulation Supplement
DIST	District
DIV	Division
DDR	Design Documentation Report
DOD	Department of Defense
DOD	dissolved oxygen demand
DOE	Department of Energy
DOI	Department of the Interior
DOJ	Department of Justice
DOT	Department of Transportation
DPR	Detailed Project Report
DPS	Detailed Project Study
DTO	data for testifying officers
DX	Directory of Experts
EA	Environmental Assessment
EAB	Environmental Advisory Board
EC	Engineer Circular
EDR	Engineering Decision Report
E&D	Engineering and Design
EEO	Equal Employment Opportunity
EFARS	Engineer Federal Acquisition Regulation Supplement
EIS	Environmental Impact Statement
EL	Environmental Laboratory
EM	Engineer Manual
EO	Executive Order
EOB	Executive Office Building
EOC	Emergency Operations Center
EP	Engineer Pamphlet
EPA	Environmental Protection Agency
EQ	environmental quality
ER	Engineer Regulation
ERTS	Earth Resources Technology Satellite
ESA	Endangered Species Act
ETL	Engineer Technical Letter
ETL	Engineering Topographic Laboratories
F&A	Finance and Accounting
FAD	Funding Authorization Document
FAO	Finance and Accounting Officer
FAR	Federal Acquisition Regulation

FC	flood control
FCSA	Feasibility Cost Sharing Agreement
FDM	Feature Design Memorandum
FDP	flood damage prevention
FEIS	Final Environmental Impact Statement
FEMA	Federal Emergency Management Agency
FERC	Federal Energy Regulatory Commission
FIA	Federal Insurance Administration
FIS	Flood Insurance Studies
F&M	foundations and materials
FOA	Field Operating Activity or Field Operating Agency
FOI	Freedom of Information
FOIA	Freedom of Information Act
FONSI	Finding of No Significant Impact
FPC	Federal Power Commission
FPMS	Flood Plain Management Services
FR	Federal Register
FRC	Feasibility Review Conference
FWL	fish and wildlife
FWS	Fish and Wildlife Service
FY	fiscal year
FYI	for your information
GAO	General Accounting Office
GE	General Expense (appropriation)
GI	General Investigations (appropriation)
GIS	Geographic Information System
GIWW	Gulf Inter-Coastal Waterway
GL	Geotechnical Laboratory
GNF	general navigation feature
GPO	Government Printing Office
GRH	Gramm - Rudman - Hollings Act
GRR	General Reevaluation Report
GS	general schedule
GSA	General Services Administration
HABS	Historic American Buildings Survey
HAC	House Appropriations Committee
HAZMAT	hazardous material
HD	House Document
HEC	Hydrologic Engineering Center
HEP	Habitat Evaluation Procedures
HES	Habitat Evaluation System

H&H	hydrology and hydraulics
HHS	Health and Human Services
HL	hired labor
HTIC	House Transportation and Infrastructure Committee
HQ	Headquarters
HQUSACE	Headquarters, U.S. Army Corps of Engineers
HR	House of Representatives
HR	House Resolution
HSDR	hurricane and storm damage reduction
HTRW	hazardous, toxic, and radioactive waste
HUD	Housing and Urban Development
HVAC	heating, ventilation and air conditioning
IA	Initial Appraisal
IAW	in accordance with
IBWC	International Boundary and Water Commission
IDC	Indefinite Delivery Contract
IDC	interest during construction
IG	Inspector General
IJC	International Joint Commission
IM	Information Management
IMO	Information Management Office
INSA	Inland Navigation Systems Analysis
IPA	Intergovernmental Personnel Act
IPR	In-Progress Review
IRC	Issue Resolution Conference
ITL	Information Technology Laboratory
ITR	independent technical review
IWR	Institute for Water Resources
IWW	inland waterways
IWTF	Inland Waterway Trust Fund
JTR	Joint Travel Regulation
LASH	lighter aboard ship
L&D	lock and dam
LERD	lands, easements, rights of way, disposal areas
LERR	lands, easements, rights of way, relocations
LERRD	lands, easements, rights of way, relocations, disposal areas
LMMP	Limited Map Maintenance Program
LOI	Letter Of Intent
LPP	local protection project

LRR	Limited Reevaluation Report
MACOM	Major Army Command
MARAD	Maritime Administration
M-CACES	Micro-Computer Aided Cost Estimating System
MCX	Mandatory Center of Expertise
MDC	Marine Design Center
MHWM	mean high water mark
MFR	Memorandum for Record
M&I	municipal and industrial
MLW	mean low water
MLLW	mean lower low water
MOB	mobilization
MOD	Miscellaneous Obligation Document
MOU	Memorandum of Understanding
MP	Military Programs
MP	Management Plan
MPF	maximum probable flood
MRC	Mississippi River Commission
MRD	Missouri River Division
MR&T	Mississippi River and Tributaries
MSC	Major Subordinate Command
MVD	Mississippi Valley Division
NAD	North Atlantic Division
NADB	National Archeological Data Base
NAS	Network Analysis System
NASA	National Aeronautics and Space Administration
NAV	navigation
NDC	Navigation Data Center
NED	national economic development
NEPA	National Environmental Policy Act
NGVD	National Geodetic Vertical Datum
NFIP	National Flood Insurance Program
NIMBY	not in my back yard
NLT	not later than
NMFS	National Marine Fisheries Service
NOAA	National Oceanographic and Atmospheric Administration
NOI	Notice of Intent
NPDES	National Pollutant Discharge Elimination System
NPS	National Park Service
NRA	National Recreation Area
NRHP	National Register of Historic Places

NTE	not to exceed
NTIS	National Technical Information Service
NTP	Notice To Proceed
NWD	Northwestern Division
O/A	on or about
OASA(CW)	Office of the Assistant Secretary of the Army, Civil Works
OBE	overcome by events
OBERS	Office of Business Economics/Economic Research Service
OM	Operating Manual
O&M	operation and maintenance
OMB	Office of Management and Budget
OMRR&R	operation, maintenance, repair, replacement and rehabilitation
OSA	Office of the Secretary of the Army
OSD	Office of the Secretary of Defense
OSE	other social effects
OSHA	Occupational Safety and Health Administration
PAC	post-authorization change
PAO	Office of Public Affairs
PAS	Planning Assistance to States
PB-1	Engineering Form 2200, Summary Construction Program
PB-2a	Engineering Form 2201A, Detailed Project Schedule
PB-3	Engineering Form 2202, Project Cost Estimate
PB-6	Engineering Form 2204, Study Cost Estimate
PCA	Project Cooperation Agreement
PDT	Project Delivery Team
PE	Professional Engineer
PED	preconstruction engineering and design
PES	Project Executive Summary
P&G	Principles and Guidelines
PGM	Project Guidance Memorandum
PGN	Planning Guidance Notebook
PL	Public Law
PM	Project Manager
PMF	probable maximum flood
POC	point of contact
POD	Pacific Ocean Division
PRB	Project Review Board
PRIP	Plant Replacement and Improvement Program
PRISM	Project Resources Information System for Management
PROSPECT	Proponent-Sponsored Engineer Corps Training

P&S	Plans and Specifications
P&S	Principles and Standards
QA/QC	Quality Assurance/Quality Control
Q's & A's	questions and answers
R&D	research and development
RDM	Relocation Design Memorandum
RE	real estate
REC	recreation
RED	regional economic development
REDM	Real Estate Supplement
RFP	Request For Proposal
R&H	river and harbor
RMO	Resource Management Office
ROD	Record of Decision
ROW	right of way
SA	Secretary of the Army
S&A	supervision and administration
SAB	subject as above
SAC	Senate Appropriations Committee
SACCR	Schedule and Cost Change Report
SAD	South Atlantic Division
SADBU	Small and Disadvantaged Business Utilization
SBH	small boat harbor
SCORP	State Comprehensive Outdoor Recreation Plan
SCRB	separable cost-remaining benefit
SCS	Soil Conservation Service
SD	Senate Document
SEPWC	Senate Environment and Public Works Committee
SES	Senior Executive Service
SHPO	State Historic Preservation Officer
S&I	supervision and inspection
SL	Structures Laboratory
SM	Study Manager
SMSA	standard metropolitan statistical area
SOP	Standard Operating Procedures
SOS	Scope of Studies
SOW	Scope of Work
SPD	South Pacific Division
SPF	standard project flood
SPH	standard project hurricane

SPOC	Single Point Of Contact
SR	Senate Resolution
S&S	savings and slippage
SWB	social well-being
SWD	Southwestern Division
TBA	to be announced
TBD	to be determined
TCM	travel cost method
TDY	temporary duty
TEC	Topographic Engineering Center
TM	Technical Manual
TRC	Technical Review Conference
UDV	unit day value
USACE	United States Army Corps of Engineers
USAED	United States Army Engineer District or United States Army Engineer Division
USC	United States Code
USCG	United States Coast Guard
USEPA	United States Environmental Protection Agency
USFWS	United States Fish and Wildlife Service
USGS	United States Geological Survey
VE	Value Engineering
WBS	Work Breakdown Structure
WCSC	Waterborne Commerce Statistics Center
WES	Waterways Experiment Station
WRC	Water Resources Council
WRDA	Water Resources Development Act
WS	water supply

NUMBERS

In addition to alphabetic abbreviations, numbers are often used in place of expressions, especially in place of citations to sections of laws or numbers assigned to various commonly used forms. The following list defines some of the more commonly used number expressions.

2a	Engineering Form 2201A, Detailed Project Schedule PB-2a - Report of project expenditures by quarter by project accounting features.
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- 3 Section 3, 1945 River and Harbor Act - One of the continuing authorities; for small snagging and clearing projects for navigation.
- 8a Section 8a, Small Business Act of 1953 - Provides that certain contractors are certified by the Small Business Administration as both small and disadvantaged business concerns.
- 10 Section 10, 1899 River and Harbor Act - Permit authority concerning obstructions to navigation in navigable waters of the United States.
- 14 Section 14, 1946 Flood Control Act, as amended - One of the continuing authorities; for small emergency projects for streambank and shoreline protection of public works and nonprofit public services.
- 91-646 Public Law 91-646, Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended.
- 99-662 Public Law 99-662, Water Resources Development Act of 1986.
- 100-676 Public Law 100-676, Water Resources Development Act of 1988.
- 101-640 Public Law 101-640, Water Resources Development Act of 1990.
- 102-580 Public Law 102-580, Water Resources Development Act of 1992.
- 103 Section 103, 1962 River and Harbor Act, as amended - One of the continuing authorities; for small beach erosion control projects.
- 104 Section 104, 1986 Water Resources Development Act - Authority for crediting sponsors for certain work compatible with a Federal flood control project.
- 104-303 Public Law 104-303, Water Resources Development Act of 1996.
- 106 Section 106, National Historic Preservation Act of 1966, as amended - Establishes regulations for historic preservation.
- 107 Section 107, 1960 River and Harbor Act, as amended - One of the continuing authorities; for small navigation projects.
- 111 Section 111, 1968 River and Harbor Act, as amended - One of the continuing authorities; for small mitigation projects for shore damage attributable to navigation works.

- 204 Section 204, 1986 Water Resources Development Act - Authorizes reimbursement to non-Federal sponsors for construction of authorized Federal harbor projects.
- 204 Section 204, 1992 Water Resources Development Act - Beneficial uses of dredged material.
- 205 Section 205, 1948 Flood Control Act, as amended - One of the continuing authorities; for small flood control projects.
- 206 Section 206 of the Water Resources Development Act of 1996 - Aquatic Ecosystem Restoration.
- 208 Section 208, 1954 Flood Control Act, as amended - One of the continuing authorities; for small snagging and clearing projects for flood control.
- 215 Section 215, 1968 Flood Control Act, as amended - Authority to reimburse a non-Federal public body for construction of part of an authorized Federal project.
- 216 Section 216, 1970 River and Harbor and Flood Control Act - Authority for study ("review") of completed projects.
- 221 Section 221, 1970 River and Harbor and Flood Control Act - Requires a written agreement for local cooperation.
- 404 Section 404, Federal Water Pollution Control Act Amendments of 1972 - Permit authority concerning the discharge of dredged or fill material into the waters of the United States.
- 566 Public Law 566, Watershed Protection and Flood Prevention Act - Provides the Secretary of Agriculture with authority for flood prevention and soil conservation.
- 710 Code 710 - Budget code for recreation facilities at completed projects.
- 902 Section 902, 1986 Water Resources Development Act - Establishes a twenty per cent cap on project cost increases.
- 1135 Section 1135, Water Resources Development Act of 1986, as amended - Project Modifications for Improvement of the Environment.
- 2101 Civil Works Funds Scheduled Obligations and Expenditures - Monthly report of scheduled and actual project expenditures and obligations for the current fiscal year.

- 2544 DA Form 2544, Intra-Army Order for Reimbursable Services - Form for transferring funds between major offices.
- 3011a Report on Status of Appropriations and Work Allowances - Monthly report of scheduled and actual project obligations and expenditures for the previous month.
- 11988 Executive Order 11988, 24 May 1977, Flood Plain Management -Establishes the flood plain management responsibilities of Federal agencies.
- 11990 Executive Order 11990, 24 May 1977, Protection of Wetlands - Establishes wetlands policies for Federal agencies.

APPENDIX C: CORPS INTERNET ADDRESSES

CORPS INTERNET LINKS

The following are the current internet addresses for this document, The Project Partnership Kit, and the Corps Headquarters Homepage.

THIS DOCUMENT – “PROJECT PARTNERSHIP KIT”

<http://www.iwr.usace.army.mil/iwr/pdf/ppkit.pdf>

CORPS HEADQUARTERS HOME PAGE

<http://www.usace.army.mil/>

DIVISION, REGIONAL, AND DISTRICT OFFICES: See Appendix A

The following addresses will provide direct access to information regarding the Corps organization, programs, guidance and other important topics. These addresses are current at the time of publication of this document, but may possibly change over time. If a particular address is not available, this information may also be found at links to the Corps Headquarters Home Page, address listed above.

WHAT WE DO:

<http://www.usace.army.mil/whatwedo/>

INFORMATION LINKS:

<http://www.usace.army.mil/information.html>

NEWS - PUBLIC AFFAIRS OFFICE:

<http://www.hq.usace.army.mil/cepa/cepa.htm>

ORGANIZATION: with links to Headquarters offices, division offices, regional offices, district offices, Corps laboratories, and centers of expertise:

<http://www.usace.army.mil/inet/organization/>

SEARCH & REFERENCE:

<http://www.usace.army.mil/search.html>

FAQS (FREQUENTLY ASKED QUESTIONS):

<http://www.usace.army.mil/faq.html>

OFFICE OF THE DIRECTORATE OF CIVIL WORKS:

<http://www.usace.army.mil/inet/functions/cw/>

Engineering and Construction Division:

<http://www.usace.army.mil/inet/functions/cw/cecwe/>

Operations Division:

<http://www.usace.army.mil/inet/functions/cw/cecwo/>

Planning and Policy Division:

<http://www.usace.army.mil/inet/functions/cw/cecwa2/>

Programs Management Division:

<http://www.usace.army.mil/inet/functions/cw/cecwb/>

ENGINEERING RESEARCH AND DEVELOPMENT CENTER AND ITS LABORATORIES:

<http://www.erdc.usace.army.mil/organiz.html>

FIELD OPERATING ACTIVITIES:

<http://www.usace.army.mil/organizations.htm#FOA>

CENTERS OF EXPERTISE:

<http://www.usace.army.mil/organizations.htm#CENTER>

OFFICE OF THE DEPUTY CHIEF OF STAFF, REAL ESTATE:

<http://www.hq.usace.army.mil/cere>

OFFICE OF INTERAGENCY AND INTERNATIONAL ACTIVITIES:

<http://www.hq.usace.army.mil/cecs-i/IISWWW/Web399/iishmpg.htm>

PUBLICATIONS OF THE HEADQUARTERS: This collection of publications is the only repository for all official USACE Engineering Regulations (ER's), Engineering Pamphlets (EP's), Engineering Circulars (EC's), Engineering Manuals (EM's), and other documents originating from HQUSACE.

<http://www.usace.army.mil/inet/usace-docs/>

GENERAL PLANNING GUIDANCE:

<http://www.usace.army.mil/inet/functions/cw/cecwp/guidance.htm>

POLICY GUIDANCE LETTERS:

<http://www.usace.army.mil/inet/functions/cw/cecwa/branches/guidance/pgls/pglindex.htm>

MODEL FEASIBILITY PHASE COST SHARING AGREEMENTS (FCSA)s:

<http://www.usace.army.mil/inet/functions/cw/cecwp/fcsa.htm>

DESIGN AGREEMENTS [FORMERLY CALLED PROJECT COOPERATION AGREEMENTS (PCA)S]:

<http://www.usace.army.mil/inet/functions/cw/cecwa/pcapage.htm>

KEY REFERENCE DOCUMENTS:

(ER 1105-2-100) Guidance for Conducting Civil Works Planning Studies

<http://www.usace.army.mil/inet/usace-docs/eng-regs/er1105-2-100/toc.htm>

(EP 1165-2-1) Digest of Water Resources Policies and Authorities

<http://www.usace.army.mil/inet/usace-docs/eng-pamphlets/ep1165-2-1/toc.htm>

PARTNERING GUIDE FOR CIVIL MISSIONS

<http://www.usace.army.mil/inet/functions/cw/cecwb/partner.pdf>

OFFICE OF THE ASSISTANT SECRETARY OF THE ARMY (CIVIL WORK)

<http://www.hqda.army.mil/asacw/>

DEPARTMENT OF THE ARMY

<http://www.army.mil/>