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U.S. Army Corps of Engineers  
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Engineer Manual 5-1-11

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CECW/CEMP

## Management Project Delivery Business Process

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FOR THE COMMANDER:

DAMON A. DELAROSA  
COL, EN  
Chief of Staff

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**Purpose.** The U.S. Army Corps of Engineers (USACE) Project Delivery Business Process (PDBP) Manual is intended to assist USACE in operating as a team-based organization functioning regionally, while focusing on the safe delivery of projects on time, within budget, as well as on meeting both Stakeholder expectations and public interests. The manual gives USACE an enhanced ability to plan work; to manage time, people, and finances; to determine shortfalls; and to provide corrective action before a crisis develops. Universal understanding of the manual and its processes is pivotal to the success of USACE.

**Applicability.** This manual applies to all Headquarters, USACE (HQUSACE) staff elements and USACE Divisions, Districts, Centers, and Field Operating Activities (FOA); all USACE employees.

**Distribution Statement.** Approved for internal release; distribution is unlimited.

**Proponent and Exception Authority.** The Program and Project Management Community of Practice (PPM CoP) will be responsible for coordinating efforts with other functional CoP leads to ensure that this manual is necessary, it is updated regularly, it reflects actual practice, and it supports corporate policy. For instructions on how to execute specific data entry in the automated information system (AIS), please refer to the AIS User Guide. Only the proponent of a publication or form may modify it by officially revising or rescinding it.

# ***Summary of Change***

EM 5-1-11

Project Delivery Business Process

This minor administrative revision, dated 21 August 2024:

- Provides clarity on the use of Earned Value Management for projects at Chapter 15 Project Execution, Monitoring, and Control (PROC3000), para 15-2.a by changing the word “will” to “can”.
- Provides further clarity on the use of Earned Value Management for projects at Chapter 50 Reference Documents: Earned Value Management (REF8010G), para 50-1 Scope by inserting “if required”.
- Updates references in Appendix A

This minor administrative revision, dated 27 March 2024:

- Removes all references of Deputy District Engineer and DDE and replaces them with Deputy for Programs and Project Management or DPM, respectively.
- For clarity, updates previous instances of ‘DPM’ to the fully-spelled out term of ‘Director’s Policy Memorandum’
- Updates references in Appendix A

## Foreword

USACE is on the front lines of some of this Nation's toughest challenges. And like we have done for more than 246 years we are stepping up and engineering solutions to meet these unprecedented challenges. Because of our reputation as the Nation's premier engineers, we have grown from an agency with an annual program of \$20–\$22B to one that is now an \$84B. With this growth the opportunity we are taking advantage of is transforming our organization and decision-making processes to safely deliver this massive program while finishing quality projects on time within budget and doing it safely. As the Army's and Nation's engineers, our Soldiers and Civilians play integral roles in shaping the future of this country and of nations around the world.

In 2009, we published our Project Management Business Processes (PMBP). Over the last ten plus years, we realized those processes appeared to focus on project management processes. However, we are a Project Delivery organization and our business processes needed to reflect that. We made a conscious decision in 2018 to change from PMBP to P "Delivery" BP. Changing to PDBP was not enough. In 2020, we began updating our Project "Delivery" Business Processes with an expanded focus on Teams Delivering Programs and Projects. This was a collaborative effort with participation with representation from labs, Centers, every region as well as all offices at headquarters. Our updated manual is published as an Engineer Manual (EM 5–1–11), a compliment to Engineer Regulation (ER) 5–1–11. PDBP guides our project delivery teams to execute projects in a consistent way from anywhere in the world. You can read more about the PDBP doctrine in ER 5–1–11, "The USACE Business Process," dated 31 July 2018.

The PDBP Manual documents USACE-wide corporate business processes that:

- Establish a baseline delivery process for all work.
- Encompass each phase of delivery for all work.
- Provide the framework for executing projects and programs, while providing flexibility to adjust for local requirements to meet mission needs.
- Provide the foundational elements for Project Delivery Teams to successfully deliver on commitments to our stakeholders.

The PDBP manual codifies USACE standard business processes (BPs) that are implemented through our automated information systems (AISs). The BPs also describe, in some detail, responsibilities, process flow diagrams, and references.

As we continue to meet our Nation's most challenging engineering needs, we will use sound cost estimates, aggressively achievable schedules, innovative contracting, and timely execution; all of which will allow us to retain our status as the world's premiere public design and construction organization. I call on every one of you to familiarize yourselves with our corporate business processes and apply them skillfully as we strive to SAFELY deliver quality projects on time within budget!

Scott A. Spellmon  
Lieutenant General, U.S. Army  
Chief of Engineers

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## **Glossary of Terms**

## **Chapter 1**

### **Introduction**

#### **1-1. Purpose**

The U.S. Army Corps of Engineers (USACE) Project Delivery Business Process (PDBP) Manual is intended to assist USACE in operating as a team-based organization functioning regionally, while focusing on the safe delivery of projects on time, within budget, as well as on meeting both Stakeholder expectations and public interests. The manual gives USACE an enhanced ability to plan work; to manage time, people, and finances; to determine shortfalls; and to provide corrective action before a crisis develops. Universal understanding of the manual and its processes is pivotal to the success of USACE.

#### **1-2. Applicability**

This manual applies to all Headquarters, USACE (HQUSACE) staff elements and USACE Divisions, Districts, Centers, and Field Operating Activities (FOA).

#### **1-3. Distribution Statement**

Approved for public release; distribution is unlimited.

#### **1-4. References**

References and document links are in Appendix A.

#### **1-5. Records Management (Recordkeeping) Requirements**

The records management requirement for all record numbers, associated forms, and reports required by this regulation are addressed in the Army Records Retention Schedule – Army (RRS-A). Detailed information for all related record numbers is located in the Army Records Information Management System (ARIMS)/RRS-A at <https://www.arims.army.mil>. If any record numbers, forms, and reports are not current, addressed, and/or published correctly in ARIMS/RRS-A, see Department of the Army Pamphlet (DA PAM) 25-403, Guide to Recordkeeping in the Army, for guidance.

#### **1-6. Ownership**

The Program and Project Management Community of Practice (PPM CoP) will be responsible for coordinating efforts with other functional CoP leads to ensure that this manual is necessary, it is updated regularly, it reflects actual practice, and it supports corporate policy. For instructions on how to execute specific data entry in the automated information system (AIS), please refer to the AIS User Guide.

## **Chapter 2**

### **How to Use This Manual**

#### **2-1. Manual Layout**

a. The manual centrally manages and arranges all USACE business processes. There are 28 processes in total.



b. The Table of Contents presents each process, showing the process phase and type (the Project Initiation Phase; Planning Phase; Execution, Control, and Monitor Phase; Closeout Phase; Operating Processes; and Program Specific Processes). Following the processes, there are references, appendixes, and the glossary.

c. The PDBP flowchart shown in [Figure 2–2](#) explains how the PDBPs interact.

## **2–2. Process Documents**

a. Section Breakdown within a Process. Processes are broken down into the following sections: scope, process overview, end result, responsibilities, process steps, process flowchart, policy references, related topics, and distribution.

(1) *Scope* – defines the section’s purpose and goals.

(2) *Process Overview* – summarizes the process and explains when and under what circumstances the process is performed.

(3) *End Result* – describes what has been accomplished upon completion of the process.

(4) *Responsibilities* – identifies the roles to be performed for a given process.

(5) *Process Steps* – identifies the Role performing the step and the order in which it occurs.

(6) *Process Flowcharts* – flowcharts identify the steps visually through which all decisions and actions should be follow at USACE.

(7) *Policy References* – offers outside process-related policies that pertain to the process.

(8) *Related Topics* – relates other processes and references that pertain to the process.

(9) *Distribution* – identifies personnel and offices that support the process.

b. Flowchart Symbols and Legend. [Figure 2–1](#) shows the icons used to denote the flowchart components:

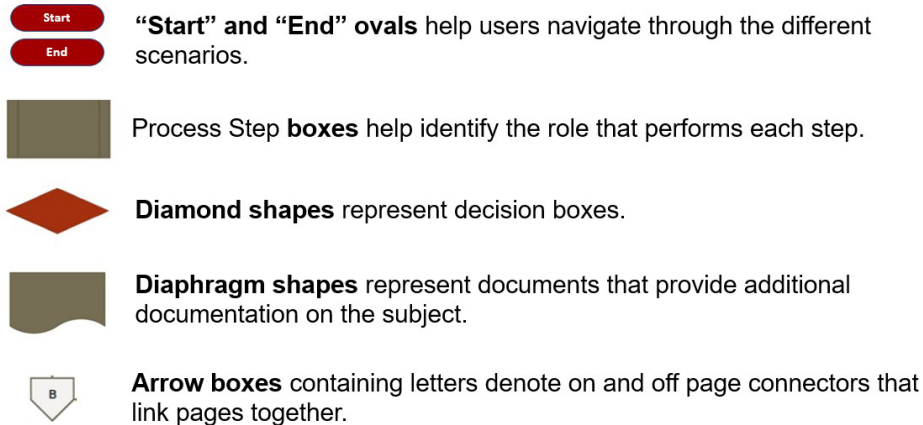
(1) Flowcharts begin at the top left with the “Start” oval and navigate through the different scenarios until the “End” oval.

(2) The process steps are outlined in boxes in the order the steps take place. Each box identifies the role that performs each step.

(3) The diamond shapes represent decision boxes.

(4) Diagram shapes represent documents that provide additional documentation on the subject. Clicking on a document title will take the user to the document itself.

(5) On and off page connectors are denoted with down pointing arrow boxes containing letters that link pages together.



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**Figure 2–1. Business Process Flowchart Icons**

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### **2–3. Reference Documents**

Reference documents contain additional information that support the USACE business processes and can be found in the Reference chapters ([Chapter 35](#) through [Chapter 59](#)) of this document.

### **2–4. Appendixes**

Processes and reference documents that contain links to additional information, diagrams, and forms are linked to the appendix section of the manual.

### **2–5. Glossary of Terms**

Acronyms and terms used in this manual are explained in the [Glossary of Terms](#) section of the manual.

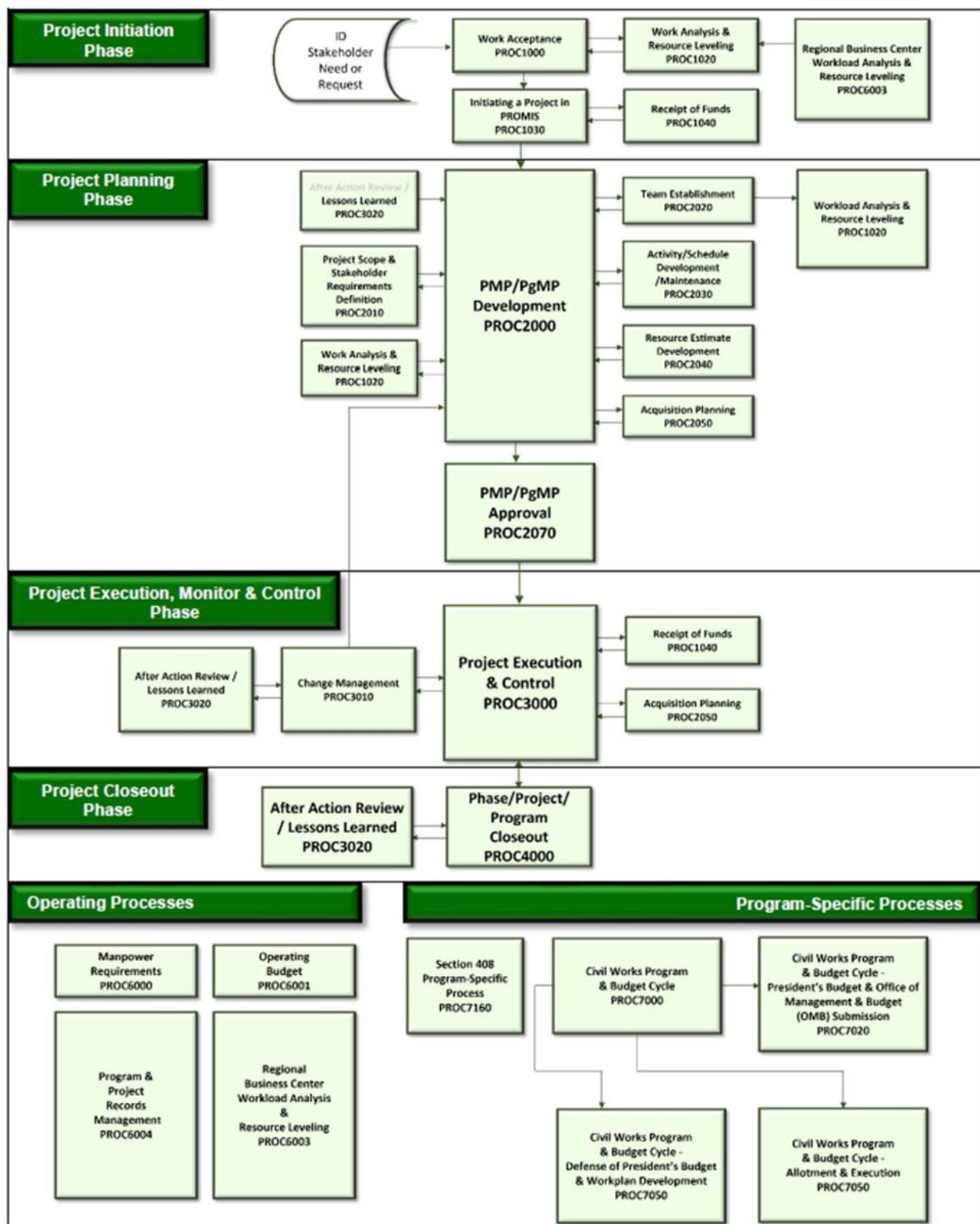


Figure 2–2. Overall PDBP Flow Diagram

## Chapter 3

### Project Initiation: Work Acceptance (PROC1000)

#### 3–1. Scope

This process defines the steps required to accept new work from both existing and new Primary Stakeholders, and to establish authorities and procedures for work acceptance and assigning accepted work. While completing this process, impacts to the Nation, reputational risk, and workload/workforce analysis will also be considered as a part of the Risk Informed Decision Making (RIDM); refer to the [Reference Documents: Risk Management Plan \(REF8007G\)](#) process when determining whether to accept work. Communications throughout the enterprise must remain transparent and consistent while evaluating impacts within this process.

#### 3–2. Process Overview

This process is performed whenever new project work is directed from HQUSACE or requested by an existing or new primary stakeholder, refer to the current ER 5–1–11 for definitions of types of work, refer to the current ER 1140–1–211 for responsibilities and documentation requirements for the acceptance and performance of work on a reimbursable basis. HQUSACE has the discretion to accept all work on behalf of USACE. Those programs that have specific Standard Operating Procedures (SOPs) for work acceptance or guidance such as from an Engineering and Construction Bulletin (ECB) may be implemented to supplement this process.

#### 3–3. End Result

Upon completion of this process:

- a. The decision to accept or not accept the work concluded in a timely manner.
- b. Primary Stakeholder notified of decision.
- c. Program Manager (PgM) assigned.
- d. Project Manager (PM) assigned.
- e. The PgM determines sufficient resources available to accept work.
- f. The PgM, with assistance from counsel, determined all applicable legal requirements are met and, if applicable, appropriate reimbursable agreement documentation is in place.

#### 3–4. Responsibilities

- a. The USACE employee is responsible for:
  - (1) Receiving requests or inquiries for potential new work.
  - (2) Notifying the Deputy for Programs and Project Management (DPM).
- b. The DPM or designated representative per local SOPs, is responsible for accepting new work and notifying/assigning new work to the appropriate PgM.
- c. The PgM or designated representative is responsible for:
  - (1) Coordinating with Resource Providers (RPs) to identify methods of delivery and secure committed resources prior to obtaining approval from the DPM according to locally established SOPs. RPs include all functional areas comprising the Project Delivery Team (PDT) required to deliver a successfully completed project).

(2) Advising the DPM on the acceptability of work and on assigning the work if accepted.

(3) Coordinating with the major subordinate command (MSC) PgM if the work is outside of the USACE Activity's Area of Responsibility (AOR).

d. The District Commander is responsible for informing Primary Stakeholders when work cannot be accepted.

e. The MSC Civil Works Integration Division/Military Integration Division Chiefs/PgM is responsible for coordinating work between MSCs and across AOR boundaries.

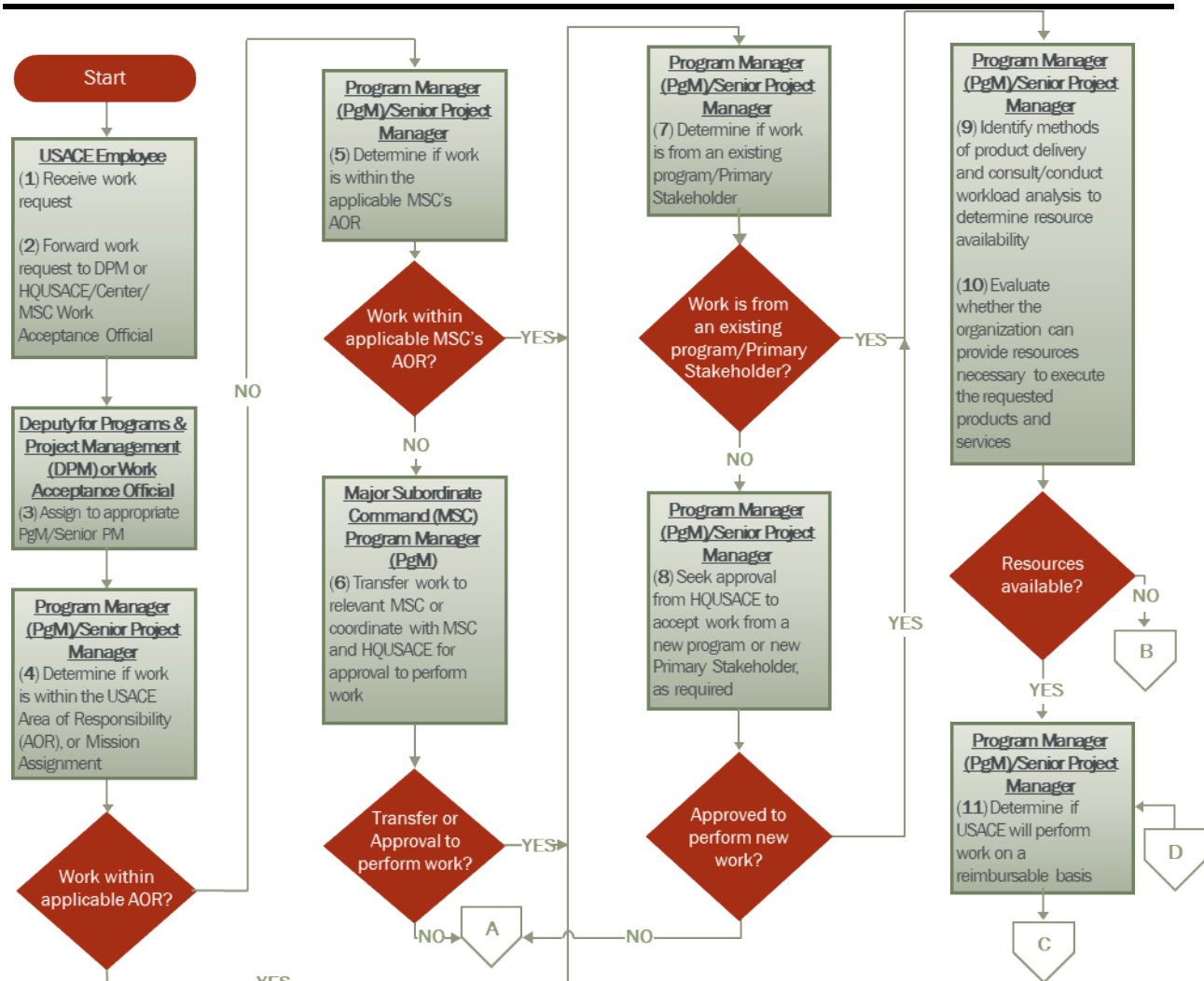
### 3–5. Process Steps

[Table 3–1](#) details the process steps in PROC1000.

Table 3–1 Work Acceptance (PROC1000) Process Steps	
Responsible POC	Actions
USACE Employee	<ol style="list-style-type: none"><li>1. Receive work request. The initial work request should include information to develop a preliminary scope.</li><li>2. Forward work request to DPM or HQUSACE/Center/MSC Work Acceptance Official.</li></ol>
Deputy for Programs and Project Management (DPM) or Work Acceptance Official	<ol style="list-style-type: none"><li>3. Assign work request to appropriate PgM/Senior PM. According to local SOPs, the role of the PgM could be further delegated to a Senior Project Manager.</li></ol>
Program Manager (PgM)/Senior Project Manager	<ol style="list-style-type: none"><li>4. Determine if work is within the USACE Activity's AOR, or Mission Assignment. For additional information, refer to current ER 5–1–10, Corps-Wide Areas of Work Responsibility, and current ER 1140–1–211, Reimbursable Services. Identify the statutory authority that permits USACE to perform the work on behalf of the stakeholder or otherwise provide the requested support (for example, the Economy Act (31 U.S.C. § 1535); the Chief's Economy Act (10 U.S.C. 7036(e)); the Project Order Authority (41 U.S.C. § 6307); 33 U.S.C. § 2323a) and ensure compliance with all requirements related to such authority. <b><i>If work is within the applicable AOR, go to #7. Otherwise, go to #5.</i></b></li><li>5. Determine if work is within the applicable MSC's AOR. <b><i>If work is within the applicable MSC's AOR, go to #7. Otherwise, go to #6.</i></b></li></ol>
Major Subordinate Command (MSC) PgM	<ol style="list-style-type: none"><li>6. Transfer work to relevant MSC or coordinate with MSC and HQUSACE for approval to perform work. <b><i>If transfer or approval to perform work, go to #7. Otherwise, go to #16.</i></b></li></ol>
PgM/Senior Project Manager	<ol style="list-style-type: none"><li>7. Determine if work is from an existing program/Primary Stakeholder. Program/Primary Stakeholder information is available through ERs and local files. <b><i>If work is from existing program/Primary Stakeholder, go to #9. Otherwise, go to #8.</i></b></li></ol>

Responsible POC	Actions
	<p>8. Seek approval from HQUSACE to accept work for a new program or new Primary Stakeholder, as required.</p> <p><b><i>If approved to perform new work, go to #9, Otherwise, go to #16.</i></b></p> <p>9. Identify methods of product delivery and consult/conduct workload analysis to determine resource availability.</p> <p>Refer to <a href="#">Project Initiation: Workload Analysis and Resource Leveling (PROC1020)</a> to review a summary level version report if a current workload analysis cannot be referenced. This review should be completed concurrently with this process step.</p> <p>Availability of resources should be determined in coordination with Resource Providers. While completing this process, impacts to the Nation, reputational risk, and Workload/Workforce (current or historical) analysis will also be considered as a part of the RIDM process.</p> <p>10. Evaluate whether the organization can provide resources necessary to execute the requested products and services.</p> <p><b><i>If resources are available, go to #11. Otherwise, go to #14.</i></b></p> <p>11. Determine if USACE will perform work on a reimbursable basis.</p> <p>For reimbursable support, refer to current ER 1140–1–211 para. 8.h. for situations that might require higher approval.</p> <p><b><i>If reimbursable work, go to #12. Otherwise, go to #17.</i></b></p> <p>12. Determine if work falls within the scope of an existing Memorandum of Agreement (MOA) or Interagency Agreement (IAA).</p> <p><b><i>If work falls outside existing scope, go to #13. Otherwise, go to #17.</i></b></p> <p>13. Execute an MOA/IAA with Primary Stakeholder that covers the work.</p> <p>Refer to current ER 1140–1–211 and the HQUSACE Interagency and International Services Office website for reimbursable agreement documentation requirements.</p> <p><b><i>Go to task #17.</i></b></p>
MSC PgM	<p>14. Collaborate with Primary Stakeholder and coordinate within the Regional Business Center (RBC) to evaluate availability of resources in the Districts or within the Division.</p> <p><b><i>If resources are available, go to #11. Otherwise, go to #15.</i></b></p> <p>15. Collaborate with Primary Stakeholder and coordinate with other RBCs throughout USACE to evaluate availability of resources in Districts within other Divisions/Centers in a timely manner.</p> <p><b><i>If resources are available within other Divisions/Centers, go to #11. Otherwise, go to #16.</i></b></p>
Commander	<p>16. Inform Primary Stakeholder USACE cannot accept work and help redirect to other sources.</p> <p><b><i>End of activity.</i></b></p>
DPM or Work Acceptance Official	<p>17. Accept work. Notify Primary Stakeholder of capability to perform work and invite them to participate as part of PDT.</p> <p>If reimbursable, execute orders(s) for work under existing MOA/IAA prior to commencing work.</p> <p>18. Assign and notify PM.</p> <p><b><i>End of activity.</i></b></p> <p><b><i>Go to <a href="#">Project Initiation: Initiating a Project in PROMIS (PROC1030)</a>.</i></b></p>

[Figure 3–1](#) and [Figure 3–2](#) show the flowchart for this process.



**Figure 3–1. Work Acceptance (PROC1000) (Part a)**



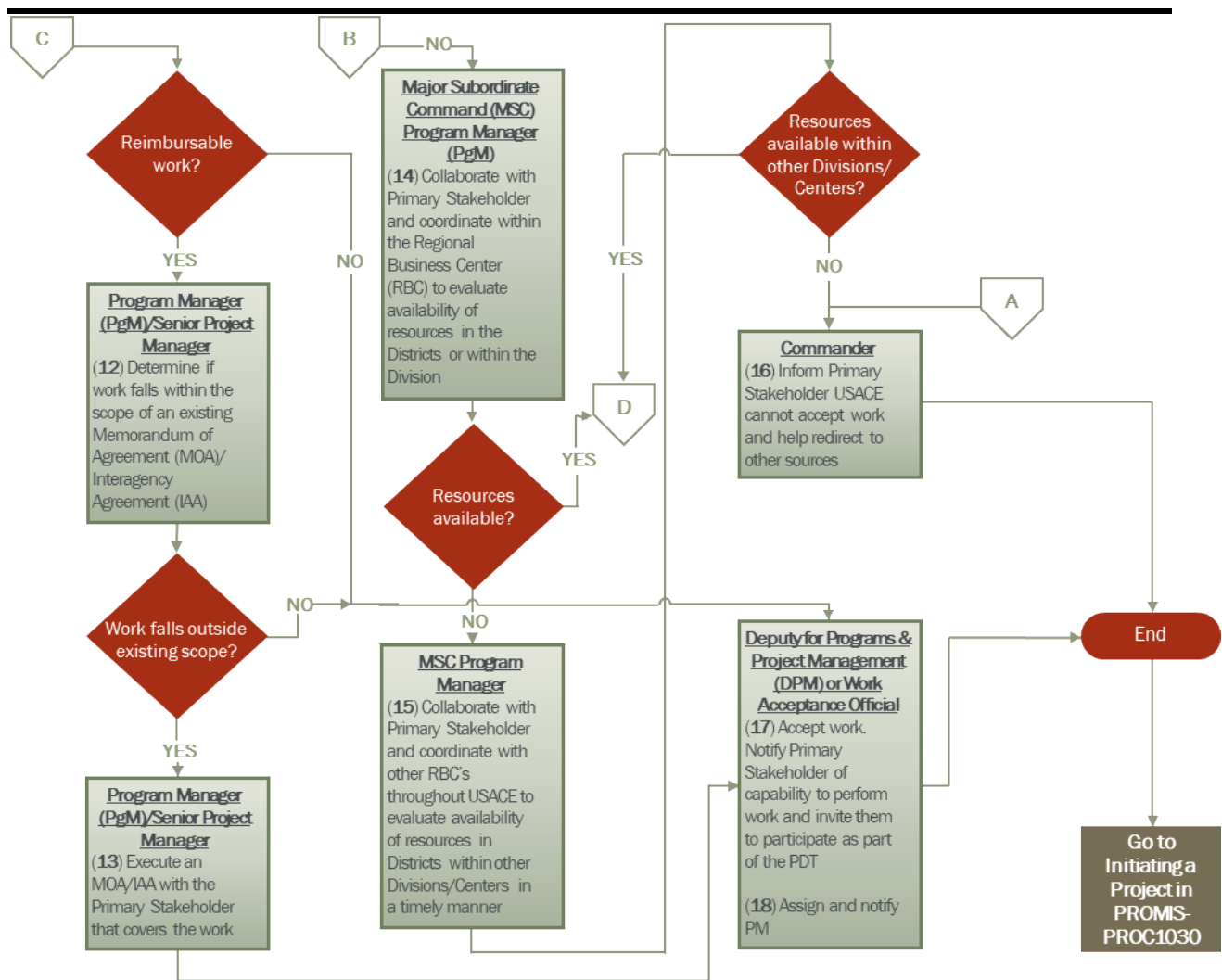


Figure 3–2. Work Acceptance (PROC1000) (Part b)

### 3–7. Policy References (See Appendix A)

- a. 10 U.S.C. § 3036, The Chief's Economy Act.
- b. 10 U.S.C. § 6505, The Intergovernmental Cooperation Act.
- c. 15 U.S.C. § 1535, The Economy Act.
- d. 33 U.S.C. 2323a § 234 of WRDA 96, Interagency and International Support Authority.
- e. 42 U.S.C. § 5121, Robert T. Stafford Disaster Relief and Emergency Assistance Act.
- f. ER 5–1–10, Corps-Wide Areas of Work Responsibility.
- g. ER 5–1–11, U.S. Army Corps of Engineers Business Process.
- h. ER 37–1–26, Issuance and Acceptance of Project Orders.
- i. ER 37–1–30 Financial Administration Accounting and Reporting.
- j. ER 1140–1–211, Support for Others: Reimbursable Work.



### **3–8. Related Topics**

- a. Acronyms and Glossary (REF8000G).
- b. Workload Analysis and Resource Leveling (PROC1020).
- c. Initiating a Project in PROMIS (PROC1030).
- d. Project Management Plan Content (REF8005G).
- e. Program Management Plan Content (REF8028G).
- f. Regional Business Center Workload Analysis and Resource Leveling (PROC6003).
- g. Team Establishment (PROC2020).
- h. Sustainment, Restoration, and Modernization (SRM) Program (Program Specific (REF8030G).
- i. Program and Project Records Management (PROC6004).

### **3–9. Distribution**

- a. Business Management Division.
- b. Commander.
- c. Deputy for Programs and Project Management.
- d. Work Acceptance Official.
- e. MSC Program Manager.
- f. Program Manager.
- g. Project Manager.
- h. Senior Project Manager.
- i. USACE Employee.

## **Chapter 4**

### **Project Initiation: Workload Analysis and Resource Leveling (PROC1020)**

#### **4–1. Scope**

- a. This process defines an approach to assist Project Managers, Resource Providers, Branch Function Chiefs, Local Division Function Chiefs, and Regional Function Chiefs in accomplishing resource planning for the current fiscal year (CFY), and the two years beyond the CFY (CFY+1 and CFY+2). The Regional Management Board (RMB) and Business Management Division (BMD) will use [Operating Processes: Regional Business Center Workload Analysis and Resource Leveling \(PROC6003\)](#).
- b. Projections of an organization's CFY+1 and CFY+2 activities will be estimated based on best available information, which may not be available when the projections are compiled. Even an approximation based on Project Management Plans (PMPs) and Program Management Plan Content (PgMPs), or other available written documents, would be valuable for determining workload in the future. Reports analyzing Project Management Information System (PROMIS) resources (labor or other) in summary or in detail by resource line items, by function, or by organization are available in the Enterprise Data Warehouse (EDW) or the current reporting system. Suggest Labor Over/Under Report and Resource Provider Report to show primarily labor resources but all other resources as well.

c. A resource in the context of this process is defined as a representative from within HQUSACE/MSC/Center/District or other agencies. Resources obtained via contract are addressed in [Project Planning: Acquisition Planning \(PROC2050\)](#).

#### **4-2. Process Overview**

This process is performed whenever workload and resource availability are being analyzed. This can occur at a summary level when evaluating whether work should be accepted, refer to [Project Initiation: Work Acceptance \(PROC1000\)](#), or the impact of changes to existing projects/programs, refer to [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#). If work is a support services program, refer to [Operating Processes: Operating Budget \(PROC6001\)](#), in lieu of this process.

#### **4-3. End Result**

Completion of this process results in validating resource availability.

#### **4-4. Responsibilities**

- a. The Resource Provider(s) is responsible for:
  - (1) Extracting data from PROMIS to analyze scope, methods of accomplishment, budget and distribution for activities identified by Project Delivery Teams (PDTs) in CFY, CFY+1, and CFY+2.
  - (2) Ensuring adequate resources are available to meet the mission requirements and assigning roles to individual resources.
- b. The Project Manager is responsible for working with Resource Providers to resolve their team members' CFY workload conflicts.
- c. The Branch Function Chief for each function is responsible for analyzing District workload and resolving resource conflicts between the PM and the Section Resource Providers.
- d. The Local Division Function Chief is responsible for:
  - (1) Analyzing District workload and resolving resource conflicts between the PM and Section Resource Providers that are not resolved by the Branch Function Chiefs.
  - (2) Communicating District workload and resolving resource conflicts of the function between other Functional Division Chiefs (and Regional function chiefs at the MSC) that are not resolved within the local organization.
- e. The Regional Function Chief is responsible for:
  - (1) Resolving CFY resource conflicts referred by Local Division Function Chiefs at the District.
  - (2) Developing strategic plans regarding staffing, contract type and quantity, development of regional centers of expertise, etc., to posture the Regional Business Center (RBC) for the most efficient and effective future mission performance under [Operating Processes: Regional Business Center Workload Analysis and Resource Leveling \(PROC6003\)](#).
- f. The MSC Commander is responsible for approving or rejecting recommendations of the Regional Function Chief.

#### **4-5. Process Steps**

[Table 4-1](#) details the process steps in PROC1020.

**Table 4–1**  
**Workload Analysis and Resource Leveling (PROC1020) Process Steps**

Responsible POC	Actions
Resource Provider(s)	<p>1. Evaluate Workload Analysis report and best available data as to whether the organization can provide resources necessary to execute the requested products and services.</p> <p>Obtain resource report in summary and in detail from EDW or other current system for affected functional areas and timeframe.</p> <p>Evaluate resource assignment based on stakeholder preference, the availability of local USACE and regional in-house resources, considering outsourcing percentage goals, and the need to maintain RBC competency levels.</p> <p>If arriving from PROC1000, review a summary version of Workload analysis report as a factor for Work Acceptance.</p> <p><b><i>If you entered this process from <a href="#">Project Initiation: Work Acceptance (PROC1000)</a>, end of activity. Otherwise, go to #2.</i></b></p> <p>2. Evaluate activities for lowest organizational level or functional employees.</p> <p>Accurate resource estimates will be developed for each organizational level of the PDT for the entire project duration or approved project phase.</p> <p>Evaluate organization labor capacity: The level-of-effort calculation is based on resource durations in PROMIS. Typically, USACE employees cannot devote 100% of their effort to one activity or one project at a time. In order to provide better schedules to the project delivery team and other stakeholders, and to provide better workload analyses to Resource Providers, a computation is provided to compute productive time (effective hours) available per FTE.</p> <p>Refer to <a href="#">Reference Documents: Standard Computations for Workload Analysis and Resource Leveling (REF8001G)</a>.</p> <p>Summary and detail reports showing rollups for function and organization workload for month or fiscal year are available. Considering the staff availability and capability, resource providers will determine CFY excess capacity or workload. As a rule, CFY workload is acceptable if within the upper and lower limits shown in the Quarterly Trigger Values Chart within <a href="#">Reference Documents: Standard Computations for Workload Analysis and Resource Leveling (REF8001G)</a>. Eighty percent of the effective hours is the recommended target for annual workload during the first quarter of the CFY, or during the CFY+1 or CFY+2. Some organizations may have higher or lower workload targets, but normally the annual target workload should be no more than 100% of effective hours in CFY. However, analysis may demonstrate overtime to be an effective means to meet short-term workload requirements according to local SOPs.</p> <p><b><i>If workload conflict exists, go to #3. Otherwise, end of activity.</i></b></p>
Resource Provider(s), Project Manager (PM)	<p>3. Change activity scope/schedule/resources to resolve their team members' CFY workload conflicts while still meeting stakeholder expectations.</p> <p>This step may require further coordination with stakeholder.</p> <p>Project managers also includes program managers as defined in the ER 5–1–11, including Support Services in conjunction with the development of Program Management Plans (PgMP).</p> <p><b><i>If workload conflict remains, go to #4. Otherwise, end of activity.</i></b></p>

Responsible POC	Actions
Branch Function Chief	<p>4. Determine if other alternatives are available to resolve conflict. The PM/RP is responsible for communicating the decisions to the District and documenting in the PMP/PgMP.</p> <p><b><i>If workload conflicts are resolved, end of activity. Otherwise, go to #5.</i></b></p>
Local Division Function Chief	<p>5. Determine if other alternatives are available to resolve conflict. The PM/RP is responsible for communicating the decisions to the District and documenting in the PMP/PgMP.</p> <p><b><i>If workload conflicts are resolved, end of activity. Otherwise, go to #6.</i></b></p>
Regional Function Chief	<p>6. Execute PROMIS Regional Resource Workload Analysis report. Evaluate function workload versus capacity.</p> <p>7. Provide Recommendation to MSC Commander. Refer to <a href="#">Operating Processes: Regional Business Center Workload Analysis and Resource Leveling (PROC6003)</a>.</p>
MSC Commander	<p>8. Approve Regional Function Chief recommendation. <b><i>If recommendation approved, go to #9. Otherwise, go to #6.</i></b></p> <p>9. Notify Regional Function Chief and District Commander of decision. The PM/RP is responsible for communicating the workforce decisions and documenting in the PMP/PgMP.</p> <p><b><i>End of activity.</i></b></p>

#### 4-6. Process Flowchart

Figure 4-1 and Figure 4-2 show the flowchart for this process.

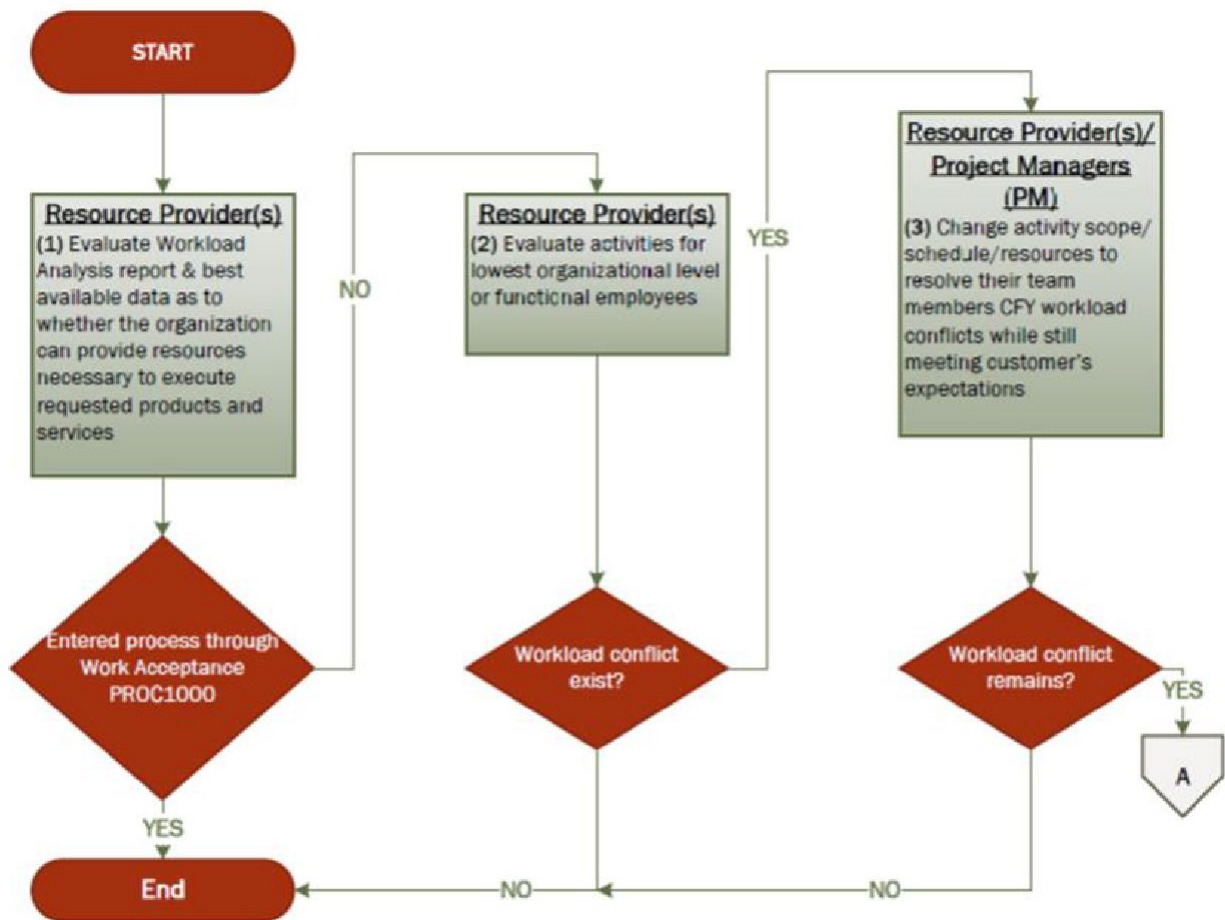


Figure 4-1. Workload Analysis and Resource Leveling (PROC1020) (Part a)

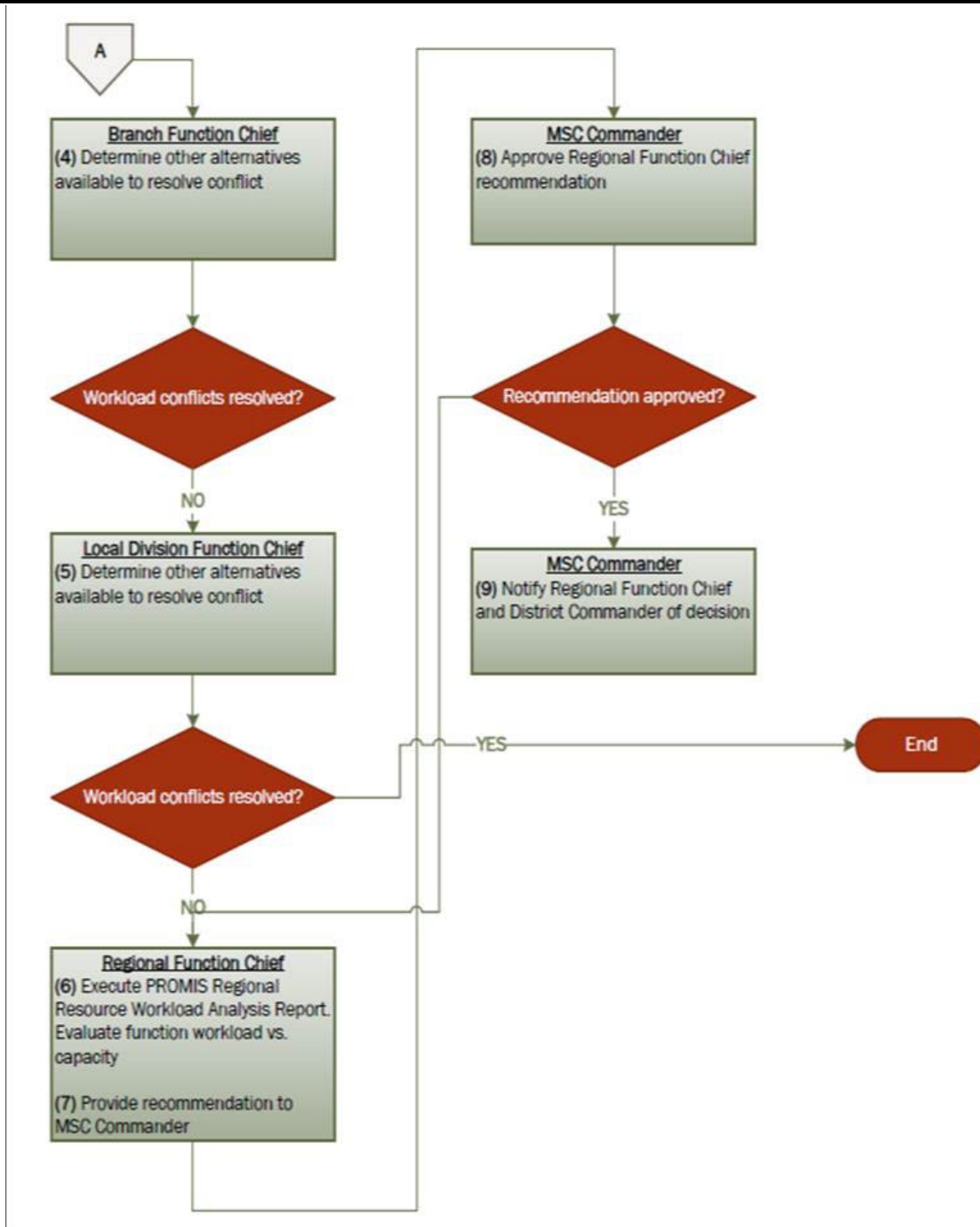


Figure 4–2. Workload Analysis and Resource Leveling (PROC1020) (Part b)

#### 4–7. Policy References (See Appendix A)

- a. ER 5–1–11, U.S. Army Corps of Engineers Business Process.
- b. USACE Command Guidance.

#### **4–8. Related Topics**

- a. Resource Estimate Development (PROC2040).
- b. Resource Forecast Analysis Annual Schedule (REF8002G).
- c. Change Management (PROC3010).
- d. PMP/PgMP Development (PROC2000).
- e. Regional Business Center Workload Analysis and Resource Leveling (PROC6003).
- f. Standard Computations for Workload Analysis and Resource Leveling (REF8001G).
- g. Team Establishment (PROC2020).
- h. Work Acceptance (PROC1000).
- i. CEFMS Cost of Doing Business Cookbook.

#### **4–9. Distribution**

- a. Resource Provider(s).
- b. Project Manager.
- c. Branch Function Chief.
- d. MSC Commander.
- e. Local Division Function Chief.
- f. Regional Function Chief.
- g. Project Delivery Team.
- h. Program Manager.

### **Chapter 5**

#### **Project Initiation: Initiating a Project in PROMIS (PROC1030)**

##### **5–1. Scope**

This process defines initial procedures for entering a project into PROMIS. A project may be a program, as well as what is traditionally considered a project. These procedures are required before a Project Manager and Project Delivery Team (PDT) can begin creating the project activities, establishing a schedule, and entering resource estimates. This must also occur prior to creation of a Purchase Request and Commitment (PR&C), refer to [Reference Documents: Work Management – Financial Management Interface \(REF8014G\)](#).

##### **5–2. Process Overview**

This process explains how a project will be initiated in PROMIS. Each project will be defined in one of two categories: future year work or current year work, refer to [Reference Documents: Project Management Plan Content \(REF8005G\)](#), [Reference Documents: Program Management Plan Content \(REF8028G\)](#). This process originates from [Project Initiation: Work Acceptance \(PROC1000\)](#). This involves the PM communicating to the Project Initiator the required data needed to initiate a project. This process must be completed to continue with the work management process detailed in [Project Planning: Project Management Plan/Program Management Plan Development \(PROC2000\)](#) and related processes in PROMIS. Note that effort for initiating the project



may require the expenditure of overhead funds, check with your Resource Management office for appropriate funds.

### 5-3. End Result

Upon completion of this process, a project will be created in PROMIS, as well as the project work item in CEFMS II. At this time, the [Project Initiation: Receipt of Funds \(PROC1040\)](#) process needs to be evaluated. The project will be at “Project Initiation Complete” at the end of this process.

### 5-4. Responsibilities

- a. The Project Manager is responsible for:
  - (1) Ensuring that the project is established promptly in PROMIS and CEFMS II.
  - (2) Verifying that the project work item has been created.
- b. The Project Initiator is responsible for creating the project in PROMIS.

### 5-5. Process Steps

[Table 5-1](#) details the process steps in PROC1030.

**Table 5-1**

**Initiating a Project in PROMIS (PROC1030) Process Steps**

Responsible POC	Actions
<b>Project Manager (PM)</b>	<ol style="list-style-type: none"> <li>1. Receive work assignment from Deputy for Programs and Project Management (DPM) or Work Acceptance Official. The DPM/Work Acceptance Official must provide other relevant project background information. <b><i>If a new project in PROMIS, go to #2. Otherwise, go to #5.</i></b></li> <li>2. Furnish necessary information to the Project Initiator. Information includes appropriate template name/type, etc. The “template” may be an existing project that can be used as a template or a PROMIS HQ provided template; this may be more efficient, as it may more completely populate the project with data. Refer to <a href="#">Reference Documents: Civil Works Program-Specific Information (REF8010G)</a>, <a href="#">Reference Documents: Military Program-Specific Information (REF8011G)</a>, <a href="#">Reference Documents: Environmental Program-Specific Information (REF8012G)</a>, <a href="#">Reference Documents: Sustainment, Restoration, and Modernization Program-Specific Information (REF8030G)</a>, or <a href="#">Reference Documents: Interagency and International Services Program-Specific Information (REF8017G)</a>.</li> </ol>
<b>Project Initiator</b>	<ol style="list-style-type: none"> <li>3. Enter project information into Project Initiation Portal based on information from PM via Project Initiation Form (PIF). Templates are available on the PROMIS Portal Document Library (<a href="https://promis.usace.army.mil/ords/f?p=1000:9:13223902777736">https://promis.usace.army.mil/ords/f?p=1000:9:13223902777736</a>). For step-by-step instructions for entering the data in the Portal, please see “Initiating a Project in Primavera Web” in the PROMIS User Guide. In the case of initiating a Military Construction (MILCON) project, HQUSACE will create the project in Construction Appropriation Programming, Control and Execution System (CAPCES) and Air Force Civil Engineering System (ACES) first. The interface will send the projects</li> </ol>



Responsible POC	Actions
	<p>to PROMIS where the Project Initiator will set the project type to Military, then select either the CAPCES or ACES project subtype.</p> <p>In the case of initiating a FUDS project, HQUSACE will create the project in Formerly Used Defense Sites Management Information System (FUDMIS) first. The interface will send the projects to PROMIS where the Project Initiator will set the project type to Civil, then select FUDS project subtype.</p> <p>The user may choose to select and copy an appropriate project template or existing project in PROMIS if desired. Care should be taken when copying an existing project so as not to pull in related financial data.</p> <p>The default status for new projects is "New."</p> <p>Once the project is initiated in the Project Initiation Portal, and created in PROMIS, a link will be established between the two. The CEFMS II/PROMIS Interface will create the project work item in CEFMS II, refer to <a href="#">Reference Documents: Work Management – Financial Management Interface (REF8014G)</a>.</p> <p>All Key Members will be electronically notified that the project has been created in PROMIS.</p>
PM	<ol style="list-style-type: none"> <li>4. Receive project notification via workflow. Refer to workflow status in PROMIS, <a href="https://p2pmbportaltrain.usace.army.mil/P2UserGuide/index.htm">https://p2pmbportaltrain.usace.army.mil/P2UserGuide/index.htm</a></li> <li>5. Review project data in PROMIS to determine if changes or additions are necessary.  <b><i>If changes necessary, go to #2. Otherwise, go to #6.</i></b></li> <li>6. Determine if funds have been received. The PM will verify accuracy of funding data, according to local SOPs. <b><i>If funds are received, stop and complete <a href="#">Project Initiation: Receipt of Funds (PROC1040)</a>, go to <a href="#">Project Planning: Project Management Plan/Program Management Plan Development (PROC2000)</a>. Otherwise, go to #7.</i></b></li> <li>7. Stop work on the project until funds are received.</li> </ol> <p><b><i>End of activity.</i></b></p>

## 5-6. Process Flowchart

Figure 5-1 shows the flowchart for this process.

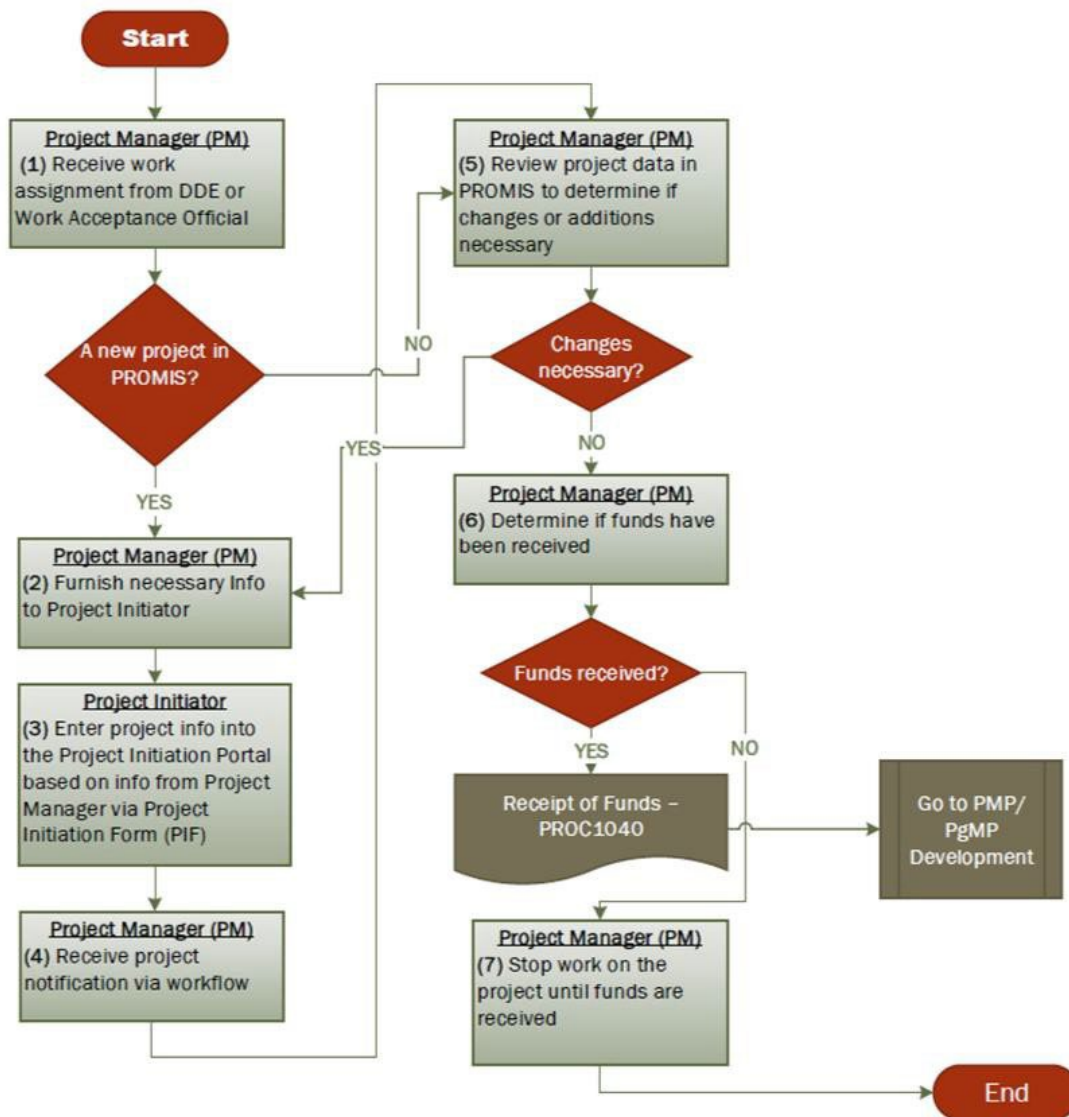


Figure 5-1. Initiating a Project in PROMIS (PROC1030)

## 5-7. Policy References (See Appendix A)

- a. DoD 7000.14-R, Department of Defense Financial Management Regulation.
- b. ER 5-1-11, U.S. Army Corps of Engineers Business Process.
- c. ER 37-1-26, Issuance and Acceptance of Project Orders.
- d. ER 37-1-28, Continuing Resolution Authority (CRA).
- e. ER 37-1-30, Accounting and Reporting.

## 5-8. Related Topics

- a. CEFMS II Users Manuals Online.
- b. Earned Value Management (REF8018G).

- c. Civil Works Program-Specific Information (REF8010G).
- d. Environmental Program-Specific Information (REF8012G).
- e. Interagency and International Services (IIS) Program-Specific Information (REF8017G).
- f. Military Program-Specific Information (REF8011G).
- g. PMP Content (REF8005G).
- h. PgMP Content (REF8028G).
- i. PMP/PgMP Development (PROC2000).
- j. Receipt of Funds (PROC1040).
- k. Work Acceptance (PROC1000).
- l. Work Management – Financial Management Interface (REF8014G).
- m. Sustainment, Restoration, and Modernization (SRM) Program-Specific Information (REF8030G).
- n. Project Initiation Forms Library on PDBP Portal.

## **5–9. Distribution**

- a. Project Initiator.
- b. Project Manager.

## **Chapter 6**

### **Project Initiation: Receipt of Funds (PROC1040)**

#### **6–1. Scope**

This process defines procedures for receipt, documentation, CEFMS II entry and notification of funding in support of work performed by USACE Activities. These procedures address all funds received through a Funding Authorization Document (FAD), Customer Order or non-Federal sources.

#### **6–2. Process Overview**

This process is performed whenever project funds or funding documents are received. The project for which funds are received must be created in PROMIS by using the process [Project Initiation: Initiating a Project in PROMIS \(PROC1030\)](#). By entering the project information in PROMIS, the Project Delivery Team (PDT) will be establishing the manner in which they want to manage and report on the project, including the financial organizational and product relationships that will exist between PROMIS and CEFMS II. PROMIS will provide the resource budget and work item to be used in CEFMS II as defined within the [Reference Documents: Work Management – Financial Management Interface \(REF8014G\)](#) according to these relationships. The Project Manager is responsible for management of funds at the project level.

#### **6–3. End Result**

Upon completion of this process, funds provided for the execution of work are received and ready for use.

#### 6–4. Responsibilities

- a. The Resource Management Office (RMO) is responsible for:
  - (1) Recording the receipt and acceptance of all funding.
  - (2) Verifying that the funds are appropriate in time, purpose, and amount.
  - (3) Recording funds in CEFMS II under the appropriate program (for example, MILCON, General Investigation (GI), and Construction General (CG), Operation and Maintenance (O&M)) in coordination with the Program/Project Manager.
- b. CEFMS II Responsible Employee (CEFMS II RE) is responsible for designating alternate responsible employee(s) for their funded work item(s) (FWIs).
- c. CEFMS II Alternate Responsible Employee (CEFMS II Alt RE) or equivalent is responsible for technically approving customer orders.

#### 6–5. Process Steps

[Table 6–1](#) details the process steps in PROC1040.

Table 6–1 Receipt of Funds (PROC1040) Process Steps	
Responsible POC	Activity
Resource Management Office (RMO)	<ol style="list-style-type: none"><li>1. Record the project funds in CEFMS II under the appropriate program in coordination with the PM. When funds are received, regardless of source, ensure they are loaded to the appropriate FWI that has been created in CEFMS II through the interface with PROMIS, refer to <a href="#">Reference Documents: Work Management – Financial Management Interface (REF8014G)</a>. Refer to CEFMS II Users Manuals. <b><i>If receiving a FAD, go to #6. Otherwise, go to #2.</i></b></li><li>2. Notify CEFMS II Alternate Responsible Employee (or person with equivalent role) to technically approve. This could also be the CEFMS II Responsible Employee.</li></ol>
CEFMS II Alternate Responsible Employee	<ol style="list-style-type: none"><li>3. Technically approve the customer order in CEFMS II. The appropriate FWI is attached to the customer order during the technical approval process. Refer to CEFMS II Users Manuals.</li></ol>
RMO	<ol style="list-style-type: none"><li>4. Financially approve the customer order in CEFMS II. Refer to <a href="https://usace.dps.mil/sites/INTRA-FC/SitePages/CEFMS-II.aspx">https://usace.dps.mil/sites/INTRA-FC/SitePages/CEFMS-II.aspx</a></li><li>5. Accept the customer order in CEFMS II. This creates an automated email to the CEFMS II Alternate Responsible Employee (or person with equivalent role) (technical approver) notifying of acceptance. Refer to CEFMS II Users Manuals. <b><i>Go to step #10</i></b></li></ol>
Project Manager (PM)	<ol style="list-style-type: none"><li>6. Provides distribution of obligation authority to RMO.</li></ol>
RMO	<ol style="list-style-type: none"><li>7. Registers funding authority.</li></ol>

<b>Responsible POC</b>	<b>Activity</b>
	8. Notify CEFMS II Alternate Responsible Employee (or person with equivalent role) and PM that funds are loaded and available to be distributed to the appropriate FWI.
<b>PM</b>	9. Distributes funding to the FWI.
<b>CEFMS II Responsible Employee</b>	10. Designate FWI permissions and notify PM. 11. Designate CEFMS II Alternate Responsible Employees for the FWI and verify the work item is funded. Refer to <a href="https://usace.dps.mil/sites/INTRA-FC/SitePages/CEFMS-II.aspx">https://usace.dps.mil/sites/INTRA-FC/SitePages/CEFMS-II.aspx</a> . <b><i>End of activity.</i></b>

## 6-6. Process Flowchart

Figure 6-1 shows the flowchart for this process.

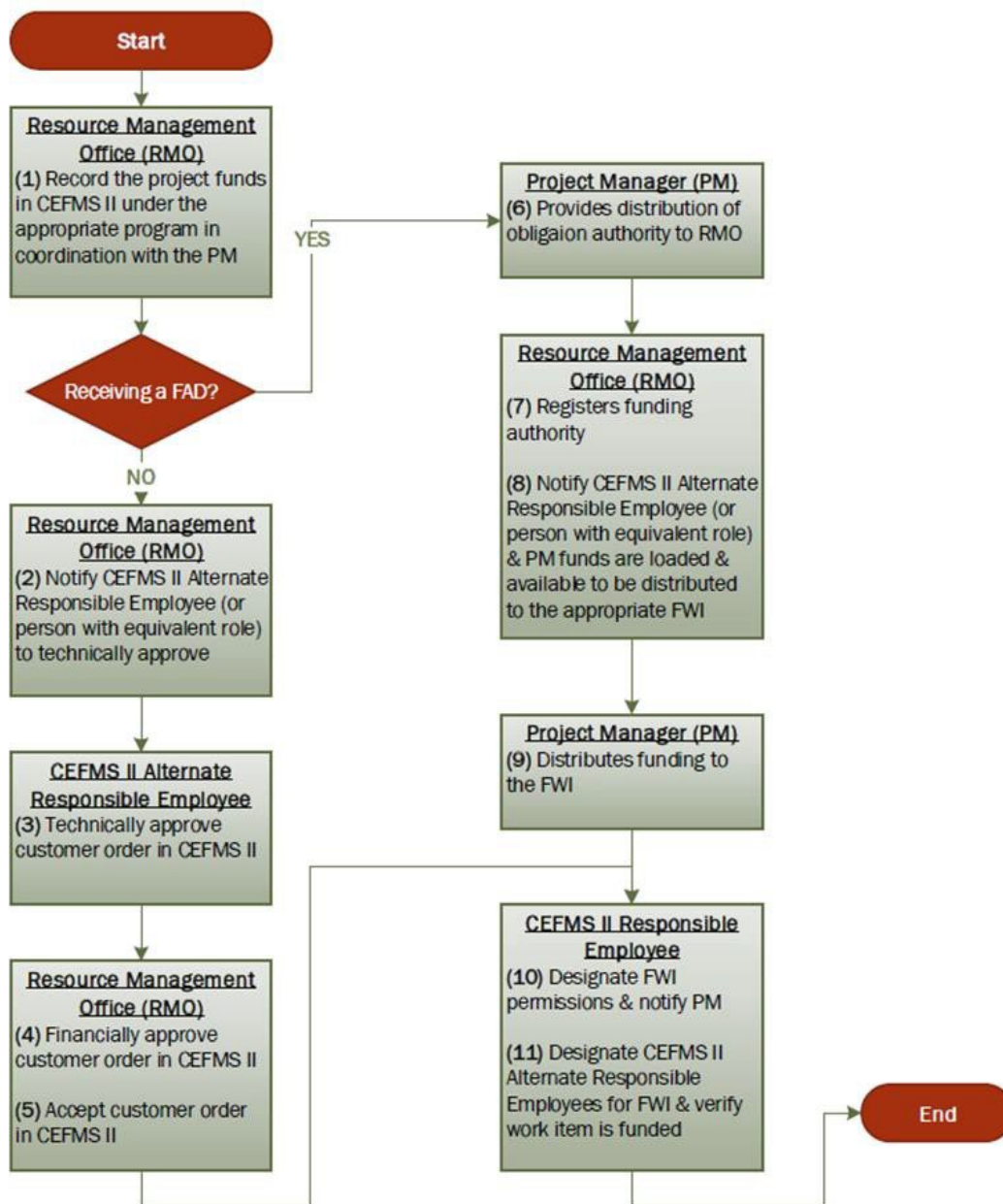


Figure 6-1. Receipt of Funds (PROC1040)

## 6-7. Policy References (See Appendix A)

- a. ER 5-1-11, U.S. Army Corps of Engineers Business Process.
- b. ER 37-1-26, Issuance and Acceptance of Project Orders.
- c. ER 37-1-30, Financial Administration Accounting and Reporting.
- d. ER 1165-2-30, Acceptance and Return of Required, Contributed, or Advance Funds.

## **6–8. Related Topics**

- a. CEFMS II Users Manuals.
- b. Contingency Funds, Project Level (REF8003G).
- c. Resource Estimate Development (PROC2040).
- d. Work Acceptance (PROC1000).
- e. Initiating a Project in PROMIS (PROC1030).
- f. Work Management – Financial Management Interface (REF8014G).
- g. Sustainment, Restoration, and Modernization (SRM) Program-Specific Information (REF8030G).

## **6–9. Distribution**

- a. CEFMS II Responsible Employee.
- b. CEFMS II Alternate Responsible Employee.
- c. Program Manager.
- d. Project Manager.
- e. Resource Management Office.

## **Chapter 7**

### **Project Planning: Project Management Plan/Program Management Plan Development (PROC2000)**

#### **7–1. Scope**

a. This process serves as the overall framework for all processes associated with the development of the Project Management Plan (PMP). According to ER 5–1–11, all projects will have a PMP. The PMP and the Program Management Plan (PgMP) are living documents that is meant to be updated and changed as the project/program evolves and serves to identify the scope, schedule, budget, and resources needed to accomplish project/program execution. The PMP sections, including but not limited to, communications, risk, quality, acquisition, value management, project partnering, and change strategies which detail how the project/program will be managed and accomplished. Specific PMP content details are contained in the reference document [Reference Documents: Project Management Plan Content](#) (REF8005G).

b. Program Management Plan. The PgMP serves as the overall framework for all processes associated with the development of the PgMP. According to ER 5–1–11, plans may be required by stakeholders, HQUSACE leadership/MSO leadership to support the expedited delivery of project outcomes. The PgMP should clearly communicate, at a minimum, how the overall program will be programmatically managed and may provide details necessary for delivering projects. An abbreviated PMP should be developed for a project, or phase that falls within a program. Information does not need to be repeated that is included in the PgMP, but the PMP should address projects specifics associated with scope, schedule, and budget. Specific PgMP content details and modified direction for each of the process-specific sections below are contained in the reference document [Reference Documents: Program Management Plan Content](#) (REF8028G).



## 7-2. Process Overview

This process is performed after the work has been accepted and the Project Manager, Program Manager assigned. ER 5-1-11 defines two categories of work for which PMPs/PgMPs apply. First, a project, which is defined as a temporary endeavor undertaken to create a unique product, service, or result. Internal services are discrete projects when they are unique and non-recurring. Second, a program, where the program is comprised of a collection of related projects, services, routine administrative and recurring operational processes, or some mixture of these, which are managed in a coordinated way to obtain benefits and control not available from managing individually.

a. PMP/PgMP Development is the “umbrella” process for completion of project planning phase. Execution of this process occurs after [Project Initiation: Initiating a Project in PROMIS \(PROC1030\)](#), during the initial stages of project development, and will also occur if the thresholds developed as part of this process are exceeded, causing this process to be executed from within the [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#). As a result of [Project Planning: Acquisition Planning \(PROC2050\)](#), this process may also be entered.

b. The PMP/PgMP will be an electronic document stored per MSC, Center/District guidance and will be available to the Project Delivery Team (PDT)/Program Delivery Team (PgDT) to reference, refer to [Operating Processes: Program and Project Records Management \(PROC6004\)](#). Developing, reviewing, and revising the PMP/PgMP content is a continuous process conducted by both the PM/PgM and the PDT/PgDT throughout the life of the project. PMP templates can be found on the Programs and Project Management (PPM) Community of Practice SharePoint (<https://cops.usace.army.mil/sites/PPM/Pages/Home.aspx>) and locally from MSC, Center/District resources.

c. Once completed, the PMP/PgMP is submitted for approval via [Project Planning: Project Management Plan/Program Management Plan Development Approval \(PROC2070\)](#).

d. The content of the PMP, both for future and current work, is prescribed in [Reference Documents: Project Management Plan Content \(REF8005G\)](#) or for the PgMP in [Reference Documents: Program Management Plan Content \(REF8028G\)](#). The PMP is a living document that varies in size and complexity for each project. The level of detail required is based on the size and complexity of the individual project.

e. For example, a small, low-risk project may have a brief PMP that references sections of an overarching approved PgMP (such as the Communications Plan) as appropriate. A complex, moderate- to high-risk project will require a detailed PMP that addresses the project’s special conditions. Small, recurring projects may use a standard template that is customized for each project.

f. The PM/PgM leads the PDT/PgDT in developing the PMP/PgMP.

(1) The PM/PgM ensures that all PDT/PgDT members are familiar with and have ready access to the PMP/PgMP, so that they have access to the most current information. The PM/PgM updates the PMP/PgMP in conjunction with the PDT/PgDT. The project schedule and budget must be developed and maintained in PROMIS for the life of the project as defined in [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#) and [Project Planning: Resource Estimate Development \(PROC2040\)](#).



(2) The frequency and triggers for PMP/PgMP updates should be laid out in the PMP/PgMP, considering any MSC, Center/District guidance as well as project-specific factors. The PM/PgM is responsible for obtaining input from the PDT/PgDT/Program Leadership Team (PLT), Resource Provider(s), and senior level civilian (Deputy for Programs and Project Management (DPM)) to gain the team's commitment to the PMP/PgMP, and for updating it as additional requirements and information become available. PDT/PgDT members are responsible for informing the PM/PgM when changes occur that could require revisions to the PMP/PgMP. The PM/PgM and PDT/PgDT should consult the PMP/PgMP to review the process for changing the PMP/PgMP and requirements for approving changes as part of [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#).

g. The initial scope of work received during [Project Initiation: Work Acceptance \(PROC1000\)](#) should be documented in the Scope section of the PMP/PgMP. The scope may be revised during subsequent iterations as needed, utilizing [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#).

h. During initial PMP/PgMP development, the PDT/PgDT is established utilizing [Project Planning: Team Establishment \(PROC2020\)](#). This process will also be executed if changes to the team are necessary during subsequent iterations, and when the Review Teams are established.

i. The PDT/PgDT will review the After Action Review (AAR)/Lessons Learned database for incorporation of best practices into the PMP/PgMP. For those smaller projects, the PgMP will incorporate Lessons Learned, refer to [Project Execution, Monitor and Control: After Action Review and Lessons Learned \(PROC3020\)](#) for more information.

j. If an approved template is used in [Project Initiation: Initiating a Project in PROMIS \(PROC1030\)](#), then the PDT/PgDT will need to review the schedule logic and activity durations. To update the schedule, create a new schedule, or add activities to an existing schedule following the [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#) process.

k. If the resource estimate needs to be developed or refined, the [Project Planning: Resource Estimate Development \(PROC2040\)](#) process will be followed. The Resource Estimate defines the anticipated project costs and labor budgets for activities within the schedule. The acquisition strategy will be determined in [Project Planning: Acquisition Planning \(PROC2050\)](#). Individual PDT/PgDT members and Resource Providers (RPs) will notify the PM/PgM if their resource estimate (budget) needs to be revised. If the requested revision is approved, the PM/PgM will be responsible for updating the PMP/PgMP and budget in PROMIS. During [Project Planning: Team Establishment \(PROC2020\)](#) RPs will ensure that the resources assigned to the project are available as defined in the PMP/PgMP.

l. Quality goals and objectives will be addressed in the PMP/PgMP and measured as part of the effort in preparation of the [Reference Documents: Quality Management Plan \(REF8008G\)](#). Value improvement will be measured using the goals and expectations in the PMP/PgMP as defined in the Value Management Plan, refer to [Reference Documents: Value Management Plan \(REF8023G\)](#).

m. RPs will evaluate their ability to provide the required resources by executing the [Project Initiation: Workload Analysis and Resource Leveling \(PROC1020\)](#) process. At the completion of this process, either return to [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#), or proceed to [Project Planning: Project Management Plan/Program Management Plan](#) Development Approval (PROC2070).

### **7-3. End Result**

Upon completion of this process, you should have a draft PMP/PgMP that outlines the scope, schedule, budget, resources, and initial management framework. The process steps should be revisited when a project enters a new phase/when changes occur.

### **7-4. Responsibilities**

- a. The Project Manager/Program Manager is responsible for:
  - (1) Leading the PDT/PgDT, including the stakeholder, in the development of the PMP/PgMP.
  - (2) Identifying funds for the development of the PMP/PgMP.
  - (3) Ensure all necessary disciplines are included on the PDT/PgDT following [Project Planning: Team Establishment \(PROC2020\)](#).
  - (4) Obtaining input and commitment from the PDT/PgDT/PLT, Resource Providers(s), and Senior Leaders.
  - (5) Updating the PMP/PgMP as additional requirements and information become available following [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#).
- b. The PDT/PgDT is responsible for:
  - (1) Developing the PMP/PgMP.
  - (2) Scoping, scheduling, and estimating their portions of the project accurately.
  - (3) Discussing and agreeing on the quality and delivery expected for their respective products and services.
  - (4) Discussing and agreeing on the key decision points included in the PMP/PgMP.
  - (5) Discussing and agreeing on a systematic approach to measure the progress, status, and quality of their respective products and services.
  - (6) Committing to complete their portions of the work within the agreed upon budget and schedule.
  - (7) Performing quality work and meeting the public trust.
  - (8) Informing the PM/PgDT when changes occur that could require revisions to the PMP/PgMP.
- c. The Resource Provider(s) is responsible for:
  - (1) Reviewing the scope, schedule, budget, and resource estimate agreed on by their respective PDT/PgDT member.
  - (2) Ensuring the commitment of their respective PDT/PgDT member to complete their portions of the work within the agreed budget and schedule.
  - (3) Reviewing the quality of the work of their respective PDT/PgDT member.

### **7-5. Process Steps**

[Table 7-1](#) details the process steps in PROC2000.

**Table 7–1  
Project Management Plan/Program Management Plan Development (PROC2000) Process Steps**

Responsible POC	Actions
<b>Project Manager/ Program Manager (PM/PgM)</b>	<ol style="list-style-type: none"> <li>1. Determine if funds are available to begin/continue process per local SOP. <b><i>If adequate funds are available, go to #6. Otherwise, go to #2.</i></b></li> <li>2. Evaluate other sources of funds. <b><i>If Civil Works (CW) funds are needed, go to #3. Otherwise, go to #5.</i></b></li> <li>3. Determine if reprogramming of funds from another project is possible. <b><i>If reprogramming of funds is possible, go to #4. Otherwise, go to #5.</i></b></li> <li>4. Reprogram funds. <b><i>Go to task #6.</i></b></li> <li>5. Request/receive funds. <b><i>Stop and complete <a href="#">Project Initiation: Receipt of Funds (PROC1040)</a>.</i></b> The process cannot continue without adequate funds.</li> <li>6. Open the project in PROMIS, and review project information for accuracy.</li> <li>7. Determine if project scope developed in <a href="#">Project Planning: Project Scope and Stakeholder Requirements Definition (PROC2010)</a> adequately defines the project goals. The initial scope may be brief and contain limited detail. The initial scope only needs to be as detailed as required to determine the PDT/PgDT membership. Refinements to the scope will occur during subsequent iterations of the process as additional understanding of requirements and constraints is developed. <b><i>If scope is adequate, go to #8. Otherwise, stop and complete <a href="#">Project Planning: Project Scope and Stakeholder Requirements Definition (PROC2010)</a>.</i></b></li> <li>8. Determine if PDT/PgDT/Review Team(s) are established. <b><i>If team is already established, go to #10. Otherwise, stop and complete <a href="#">Project Planning: Team Establishment (PROC2020)</a>.</i></b></li> <li>9. Conduct Kickoff Meeting, Safety and Occupational Health (SOH) review, and site visit, if needed, to better understand stakeholder scope/requirements.</li> </ol>
<b>Project Delivery Team/Program Delivery Team (PDT/PgDT)</b>	<ol style="list-style-type: none"> <li>10. Review Lessons Learned database/PgMP. Focus review on project-specific issues, including PMP development, technical issues, stakeholder interface, etc.</li> <li>11. Review the scope for technical completeness, and sound execution and acquisition planning.</li> <li>12. Refine the scope and revise scope section of PMP/PgMP.</li> <li>13. Develop/edit required management plans. Refer to <a href="#">Reference Documents: Project Management Plan Content (REF8005G)</a>. Refer to <a href="#">Reference Documents: Program Management Plan Content (REF8028G)</a>.</li> <li>14. Confirm activities reflect current project conditions. Original activities may exist through templates in PROMIS. It is important to add to these templates any additional items required to effectively manage the project/program. This may include the use of earned value</li> </ol>

Responsible POC	Actions
	<p>management principles, refer to <a href="#">Reference Documents: Earned Value Management (REF8018G)</a>.</p> <p>This can be done either by navigating through the project in PROMIS or executing a report in PROMIS.</p> <p><b><i>If activities reflect current project conditions, go to #15. Otherwise, Stop and complete <a href="#">Project Planning: Activity, Schedule Development, and Maintenance (PROC2030)</a>.</i></b></p> <p>15. Confirm disciplines/specialties that may need to be added or changed to execute the project.</p> <p><b><i>If PDT/PgDT/Review team members to be added/changed, stop and complete <a href="#">Project Planning: Team Establishment (PROC2020)</a>. Otherwise, go to #16.</i></b></p>
PM/PgM	<p>16. Review and confirm the project scope has not changed based on the results of additional team establishment or activity development, or as a result of changes during execution.</p> <p>Refer to <a href="#">Project Execution, Monitor and Control: Change Management (PROC3010)</a>.</p> <p><b><i>If project/program scope changed, stop and complete <a href="#">Project Planning: Project Scope and Stakeholder Requirements Definition (PROC2010)</a>. Otherwise, go to #17.</i></b></p> <p>17. Work with PDT/PgDT and Resource Providers to ensure resource estimates reflect current project conditions.</p> <p>This can be done either by navigating through the project in PROMIS or executing a report in PROMIS.</p> <p><b><i>If resource estimates reflect current project/program conditions, go to #18. Otherwise, stop and complete <a href="#">Project Planning: Resource Estimate Development (PROC2040)</a>.</i></b></p> <p>Draw upon experience and available historical knowledge to develop these estimates.</p> <p>Constraints on PDT/PgDT members' time and other commitments should be considered during development of the PMP/PgMP.</p> <p>An accurate estimate is needed for Purchase Request and Commitment (PR&amp;C) creation.</p>
PDT/PgDT	<p>18. Notify the PM/PgM that the resource estimates are complete for development of PMP/PgMP.</p>
PM/PgM	<p>19. Schedule additional team meetings.</p> <p>The PM/PgM schedules additional team meetings as needed to receive and incorporate the PDT's/PgDT's draft estimates and RP's comments. RP may attend team meetings as needed. There should also be subsequent PDT/PgDT meetings to develop, review, and finalize the scope and stakeholder expectations.</p>
PDT/PgDT	<p>20. Review/Refine the PMP/PgMP.</p> <p>As part of the process, the PDT/PgDT identifies dependencies so that it is clear when PDT members will receive from and deliver products to others, refer to <a href="#">Reference Documents: Project Management Plan Content (REF8005G)</a> or <a href="#">Reference Documents: Program Management Plan Content (REF8028G)</a> for necessary contents for completion of the PMP/PgMP document.</p>

Responsible POC	Actions
	<p><b><i>If PDT/PgDT agrees with the PMP/PgMP, go to #21. Otherwise, go to #7.</i></b></p> <p>21. Update the scope of work, schedule, resource estimate, budget and attached documents in the PMP/PgMP,  Refer to <a href="#">Reference Documents: Project Management Plan Content</a> (REF8005G).  Refer to <a href="#">Reference Documents: Program Management Plan Content</a> (REF8028G).  Updated constraints to the schedule, resource estimates, and attached documents should be added in this step.</p> <p>22. Evaluate project planning information for Lessons Learned.  Lessons Learned includes not only solutions to problems, but also process and product improvements that should be shared.</p> <p><b><i>If Lessons Learned found, stop and complete <a href="#">Project Execution, Monitor and Control: After Action Review and Lessons Learned (PROC3020)</a>. Otherwise, go to #23.</i></b></p>
Resource Provider(s)	<p>23. Determine and confirm resource availability.</p> <p><b><i>Stop and complete <a href="#">Project Initiation: Workload Analysis and Resource Leveling (PROC1020)</a>.</i></b></p>
PM/PgM	<p>24. Determine if any recommended changes.</p> <p><b><i>If there is a recommended change, go to #21. Otherwise, go to #25.</i></b></p> <p>25. Determine if the process that brought you here was Change Management.</p> <p><b><i>If this is a change to an approved PMP/PgM, go to #26. Otherwise, end of activity; go to <a href="#">Project Planning: Project Management Plan/Program Management Plan Development Approval (PROC2070)</a>.</i></b></p> <p>26. Initiate a Change Request Form according to Change Management Plan and submit for approval.  The Change Request Form serves as the justification and approval document for the proposed change and the revisions to the PMP/PgMP.  The Change Request Form should be attached to the project in PROMIS as a reference document. Local processes may require the Approved Change Request to also be posted in a 2nd location (project files, PMP attachment, etc.), refer to <a href="#">Operating Processes: Program and Project Records Management (PROC6004)</a>.  For more information on the use of Change Request Form, refer to <a href="#">Reference Documents: Change Management Plan (REF8009G)</a>.</p> <p><b><i>End of activity.</i></b></p> <p><b><i>Go to <a href="#">Project Planning: Project Management Plan/Program Management Plan Development Approval (PROC2070)</a>.</i></b></p>

## 7-6. Process Flowchart

Figure 7-1, Figure 7-2, and Figure 7-3 show the flowchart for this process.

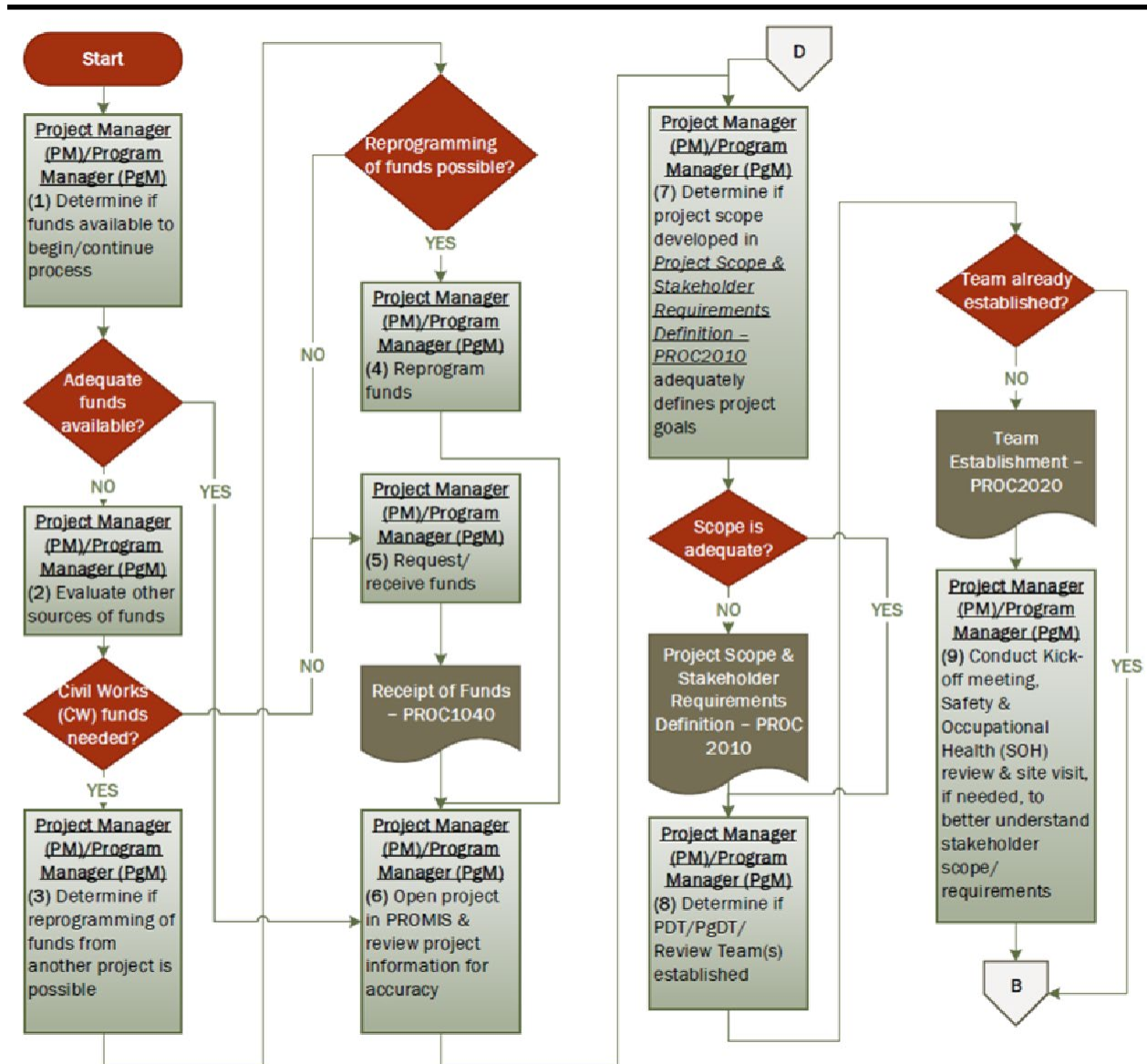


Figure 7-1. PMP/PgMP Development (PROC2000) (Part a)



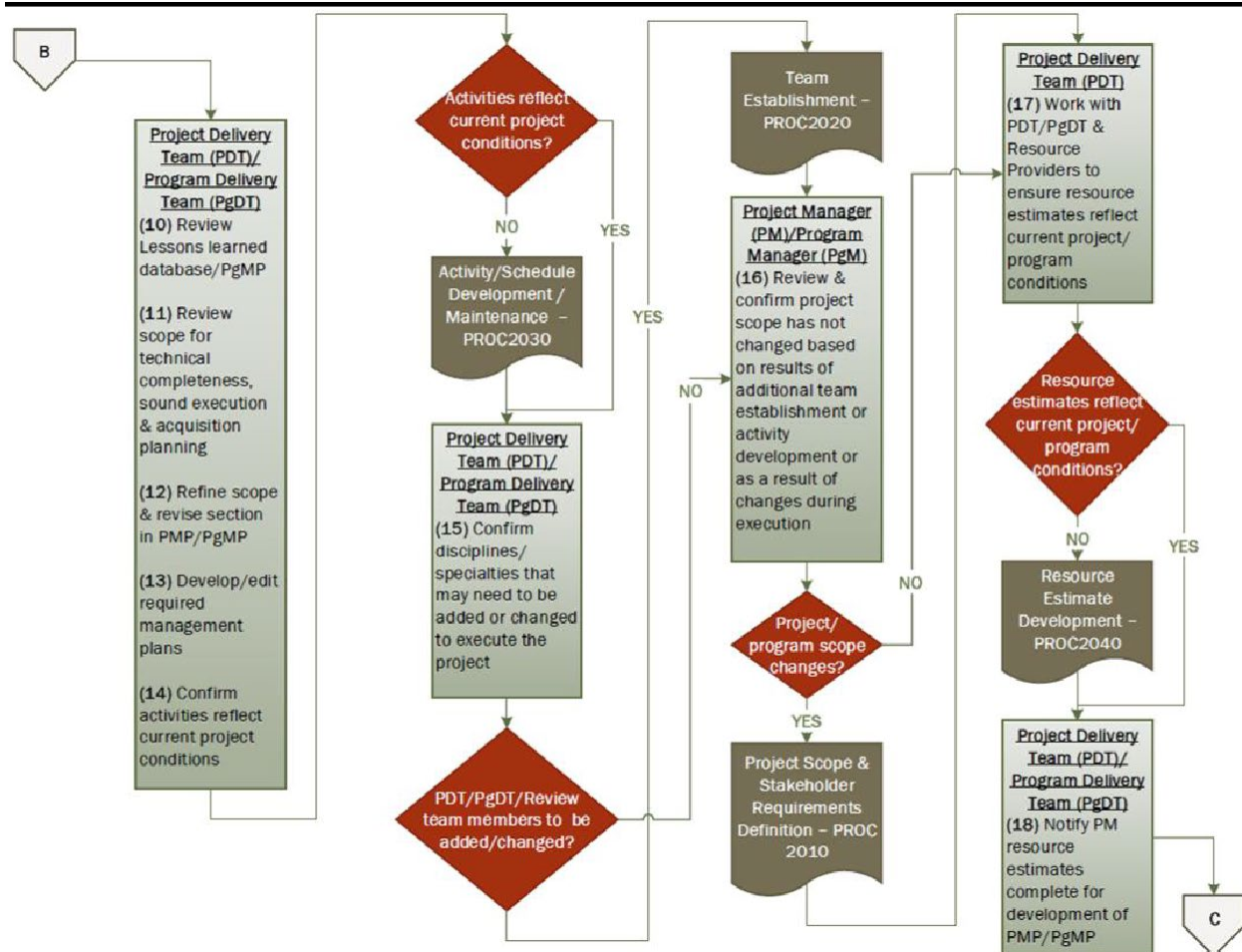


Figure 7–2. PMP/PgMP Development (PROC2000) (Part b)



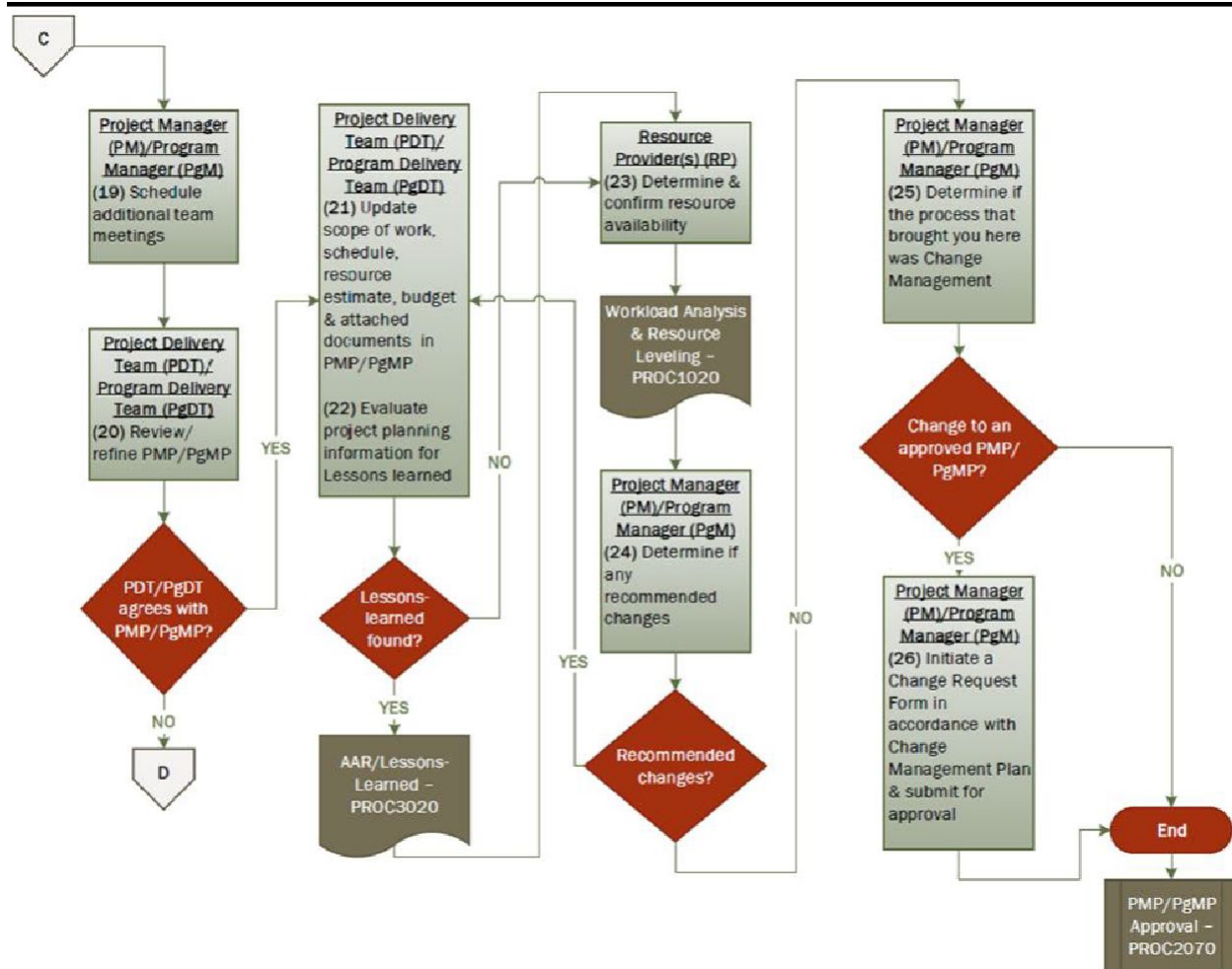


Figure 7-3. PMP/PgMP Development (PROC2000) (Part c)

## 7-7. Policy References (See Appendix A)

- a. AR 420-1 Army Facilities Management.
- b. DA PAM 420-1-2 Army Military Construction and Non-Appropriated Funded Construction Program Development and Execution.
- c. DoD Financial Management Regulation (FMR) Volume 3, Chapter 7.
- d. DoD FMR Volume 3, Chapter 7: Reprogramming of MILCON and Family Housing Project.
- e. DoD FMR Volume 3, Chapter 17.
- f. DoD FMR Volume 3, Chapter 17: Accounting Requirements for MILCON Projects.
- g. DoDI 4000.19, Support Agreements.
- h. ER 5-1-10, Corps-Wide Areas of Work Responsibility.

## 7-8. Related Topics

- a. Activity/Schedule Development/Maintenance (PROC2030).
- b. Change Management (PROC3010).
- c. Earned Value Management (REF8018G).

- d. Initiating a Project in PROMIS (PROC1030).
- e. After Action Review/Lessons Learned (PROC3020).
- f. PMP/PgMP Approval (PROC2070).
- g. PMP Content (REF8005G).
- h. PgMP Content (REF8028G).
- i. Acquisitions Planning (PROC2050).
- j. Project Scope and Stakeholder Requirements Definition (PROC2010).
- k. Quality Management Plan (REF8008G).
- l. Receipt of Funds (PROC1040).
- m. Resource Estimate Development (PROC2040).
- n. Work Acceptance (PROC1000).
- o. Communications Plan (REF8006G).
- p. Risk Management Plan (REF8007G).
- q. Safety and Occupational Health Plan (REF8016G).
- r. Value Management Plan (REF8023G).
- s. Workload Analysis and Resource Leveling (PROC1020).
- t. Sustainment, Restoration, and Modernization (SRM) Program-Specific Information (REF8030G).
- u. Program and Project Records Management (PROC6004).
- v. Work Management – Financial Management Interface (REF8014G).

## **7–9. Distribution**

- a. Project Delivery Team.
- b. Program Delivery Team.
- c. Project Manager.
- d. Program Manager.
- e. Program Leadership Team.
- f. Resource Provider(s).

## **Chapter 8**

### **Project Planning: Project Scope and Stakeholder Requirements Definition (PROC2010)**

#### **8–1. Scope**

This process defines how the Project Manager, in conjunction with the Project Delivery Team (PDT), develops the project scope and stakeholder(s) requirements based on discussions and project/program specific authorization documents. There may be numerous stakeholders; however, some stakeholders may have more authority than others.

#### **8–2. Process Overview**

This process is performed after a new project is identified. A preliminary or conceptual scope may be performed initially when the PDT consists only of the PM and the stakeholder(s), prior to the development of the PDT, refer to [Project Initiation: Work](#)

[Acceptance \(PROC1000\)](#). Once all resources are identified and the full PDT is developed, then the PDT will prepare the project scope.

a. The project scope and stakeholder(s) requirements should outline project objectives, key deliverables, decision points, and constraints related to the project. Assumptions made during the development of the scope should also be documented. During this process, the PDT must take a holistic approach to the definition of the project scope, accounting for issues such as risk management, change management, identification of guiding criteria, and other considerations that may impact the project and the PDT's ability to meet stakeholder(s) requirements.

b. Defining the project scope and stakeholder(s) requirements entails collecting all project scope documents and approvals, site information, and discussions with stakeholder(s), gaining a thorough understanding of operational needs and project limitations.

c. This process may also be conducted iteratively as a part of the PMP approval and development process, including during change management or at the start of new phases of work. The charrette process is a proven method to effectively define stakeholder(s) criteria. The charrette process is a tool used in planning and it is not required but is used as applicable.

d. Based on funding restrictions, minimal PDT members may be able to participate in the scoping process. As applicable, some programs allow for use of overhead and project orders prior to all project funds being received. Projected budget should be based on known requirements with the input of the initial PDT members. See local Resource Management for specific guidance.

e. If the PDT is already established, the PM acts in conjunction with the rest of the PDT. If the PDT has not been established, this process may include coordination with subject matter experts (SMEs) as required.

### **8–3. End Result**

Upon completion of this process, you will have the defined scope and stakeholder(s) requirements documented in the (finalized) PMP that includes but is not limited to the cost and schedule constraints, quality objectives, special technical requirements and unique criteria, and the decision-making/change approval process for the project that has been developed with the stakeholder(s) and other members of the PDT (if established).

### **8–4. Responsibilities**

- a. The Project Manager is responsible for:
- (1) Serving as the primary project point of contact (POC) with the stakeholder(s).
  - (2) Understanding who the Primary Stakeholder(s), stakeholder(s), and user are, refer to Acronyms and Glossary for definitions.
  - (3) Leading the PDT in developing the project scope and a set of mutually acceptable project requirements that meet the stakeholder requirements, according to project scope and approval document(s), while taking into account the needs, constraints, and requirements of other stakeholder(s).
  - (4) Gathering approval/authorization documents and distributing to the PDT.

- (5) Facilitating development of the stakeholder portion of the Communications Plan.
- (6) Updating the PMP as additional stakeholder(s) are included in the project.
- (7) Communicating with stakeholder(s) to determine their needs and constraints and documenting them as project deliverables.
- (8) Leading the PDT through the decision-making process, documenting the PMP scope and stakeholder requirements, and providing labor funding for PDT members to participate in scope development.
- (9) Coordinating with applicable PDT member (PgM, Resource Management (RM)) to confirm type(s) of funding planned for the project and appropriateness for scope.
- (10) Set up initial scoping meeting(s) and site visit(s).
  - b. The PDT Stakeholder member is responsible for:
    - (1) Obtaining and sharing project scope and approval document(s).
    - (2) Providing all or some projects funds and certain products/services on some projects.
    - (3) Sharing decision-making authority if Stakeholder has the authority.
  - c. The PDT is responsible for:
    - (1) Developing the project scope, while adhering to project scope and approval document(s), and to statutory, regulatory, and policy guidance.
    - (2) Reviewing scoping and authorization documents for the project.
    - (3) Scoping, their portions of the project accurately and alerting the PM if they do not have the skill set needed for a particular deliverable.
    - (4) Discussing and committing to the quality and delivery expected for their respective products and services.
    - (5) Discussing and committing to the key decision points and identifying decision-makers for these decision points included in the PMP.
    - (6) Discussing and committing to a systematic approach to measure the progress, status, d quality of their respective products and services.
  - d. The Mid-Level/Senior/HQ Leaders are responsible for reviewing the scope and providing alternatives to the PDT.

## 8–5. Process Steps

[Table 8–1](#) details the process steps in PROC2010.

**Table 8–1**

**Project Scope and Stakeholder Requirements Definition (PROC2010) Process Steps**

Responsible POC	Actions
<b>Project Delivery Team (PDT)</b>	<ol style="list-style-type: none"> <li>1. Facilitate defining the stakeholder(s) needs and requirements for the project.                The Stakeholder(s) will provide applicable scoping documents, which will be reviewed by the PM and PDT prior to the scoping meeting. The PDT will ensure the requirements outlined in the scoping documents are included accordingly.                Initial contact will include general discussions on scope, stakeholder objectives and requirements, key deliverables, related goals, criteria, available resources, schedule requirements, quality expectations, risk</li> </ol>

Responsible POC	Actions
	<p>analysis, preferred acquisition method, refer to <a href="#">Project Planning: Acquisition Planning (PROC2050)</a>, procedures to change the project, refer to <a href="#">Project Execution, Monitor and Control: Change Management (PROC3010)</a>, and other stakeholder conditions and preferences that may impact the way in which the project is executed. This starts with a thorough review of the project scope and approval document(s).</p> <p>Manage stakeholder requirements by ensuring stakeholder(s) understanding of essential professional standards, laws, and codes in the project, as well as project-specific guidance or requirements from higher authority.</p> <ol style="list-style-type: none"> <li>Identify Primary stakeholder(s) and stakeholder(s) issues.</li> <li>Define how the Primary stakeholder(s) and stakeholder(s) will be involved throughout the project.</li> <li>Work with the stakeholder(s) to determine their role in the decision-making process and how funds/services will be provided. Coordinate with RM PDT member on funds provisions.</li> <li>Determine who will endorse/approve the PMP for stakeholder and approve changes to it. Refer to <a href="#">Project Planning: Project Management Plan/Program Management Plan</a> Development Approval (PROC2070).</li> <li>Facilitate development of stakeholder portion of communications plan. Refer to <a href="#">Reference Documents: Communications Plan (REF8006G)</a>.</li> <li>Discuss potential risks with the stakeholder(s), as well as other PDT members, if PDT established. Refer to <a href="#">Reference Documents: Risk Management Plan (REF8007G)</a> and <a href="#">Reference Documents: Safety and Occupational Health Plan (REF8016G)</a>.</li> <li>Determine if there is PDT consensus on project scope. <b><i>If there is consensus, go to #25. Otherwise, go to #9.</i></b></li> <li>Provide project scope to Resource Providers (RPs).</li> </ol>
Resource Provider(s)	<ol style="list-style-type: none"> <li>Review project scope and recommend alternatives to PDT.</li> </ol>
PDT	<ol style="list-style-type: none"> <li>Evaluate alternatives and develop revised project scope.</li> <li>Determine if there is PDT consensus on project scope. <b><i>If there is consensus, go to #25. Otherwise, go to #13.</i></b></li> </ol>
Project Manager (PM)	<ol style="list-style-type: none"> <li>Determine if there is a local procedure for consensus. <b><i>If there is a local procedure, go to step #14, Otherwise, go to #15.</i></b></li> <li>Follow local procedure for consensus. <b><i>Go to step #25.</i></b></li> </ol>
PDT	<ol style="list-style-type: none"> <li>Provide project scope to Mid-level Leaders.</li> </ol>
Mid-Level Leaders	<ol style="list-style-type: none"> <li>Review project scope and recommend alternatives to PDT.</li> </ol>
PDT	<ol style="list-style-type: none"> <li>Evaluate alternatives and develop revised project scope.</li> <li>Determine if there is PDT consensus on project scope. <b><i>If there is consensus, go to #25. Otherwise, go to #19.</i></b></li> <li>Provide project scope to Senior Leaders.</li> </ol>

Responsible POC	Actions
Senior Leaders	20. Review project scope and recommend alternatives to PDT.
PDT	<p>21. Evaluate alternatives and develop revised project scope.</p> <p>22. Determine if there is PDT consensus on project scope.</p> <p><b><i>If there is consensus, go to #25. Otherwise, go to #23.</i></b></p> <p>23. Provide project scope and alternatives to MSC/HQ Leaders.</p>
MSC/HQ Leaders	24. Review project scope and alternatives and provide solution to PDT.
PDT	<p>25. Finalize draft project scope.</p> <p>Include consideration of the stakeholder requirements, cost and schedule constraints, quality objectives, special technical requirements and unique criteria, and the decision-making/change approval process for the project. Work closely with other members of the PDT (if established) to ensure all necessary items are addressed and issues resolved.</p> <p>Ensure stakeholder(s) understanding of essential professional standards, laws, and codes in the project, as well as project-specific guidance or requirements from higher authority.</p> <p>26. Insert Scope and Stakeholder Requirements into the appropriate sections of the PMP.</p> <p>Include key meeting notes, emails, etc. as support documentation identifying who provided stakeholder decisions and direction. An alternative would be to put these documents in the Design Analysis or similar document. Scoping discussion meeting minutes, emails, and other pertinent files related to scope development should be included in the project files for reference, refer to <a href="#">Operating Processes: Program and Project Records Management (PROC6004)</a>.</p> <p><b><i>End of Activity.</i></b></p>



## 8-6. Process Flowchart

Figure 8-1 and Figure 8-2 show the flowchart for this process.

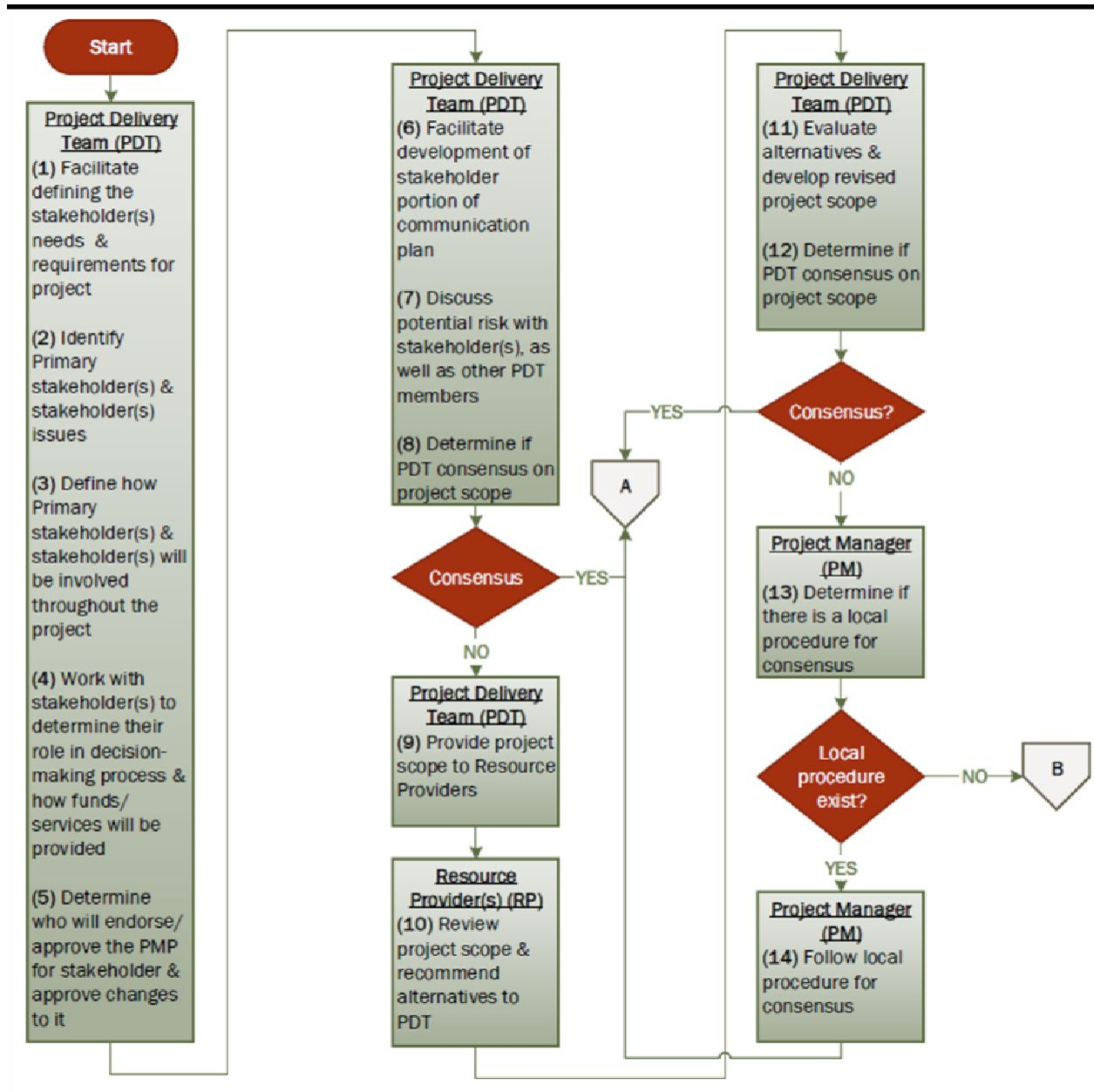


Figure 8-1. Project Scope and Stakeholder Requirements Definition (PROC2010) (Part a)



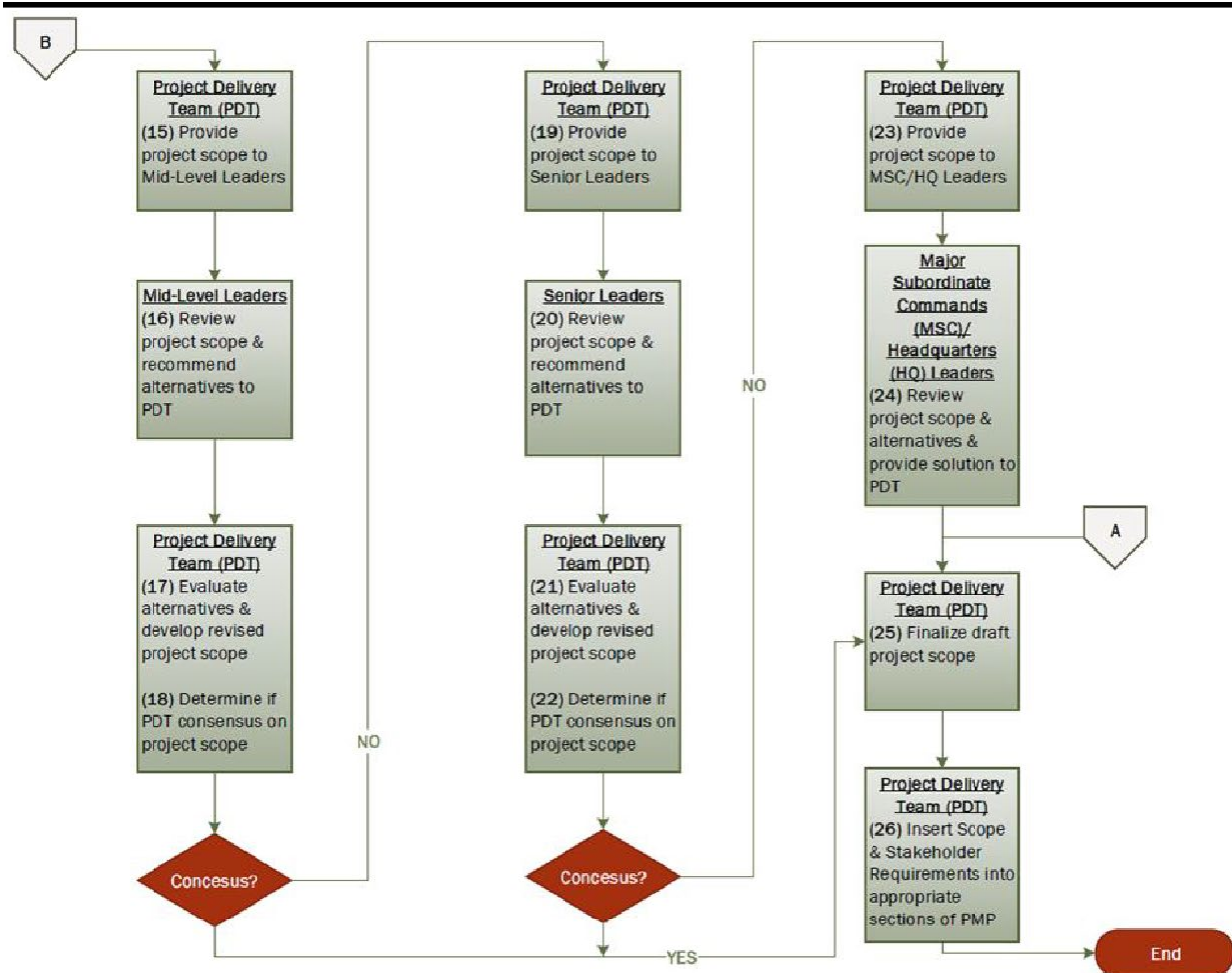


Figure 8–2. Project Scope and Stakeholder Requirements Definition (PROC2010) (Part b)

## 8–7. Policy References (See Appendix A)

ER 5–1–11, U.S. Army Corps of Engineers Business Process.

## 8–8. Related Topics

- a. Change Management (PROC3010).
- b. Change Management Plan (REF8009G).
- c. Communications Plan (REF8006G).
- d. Acquisition Planning (PROC2050).
- e. PMP/PgMP Approval (PROC2070).
- f. PMP/PgMP Development (PROC2000).
- g. Risk Management Plan (REF8007G).
- h. Earned Value Management (REF8018G).
- i. PMP Content (REF8005G).
- j. PgMP Content (REF8028G).
- k. Quality Management Plan (REF8008G).
- l. Value Management Plan (REF8023G).

- m.* Work Acceptance (PROC1000).
- n.* Safety and Occupational Health Plan (REF8016G).
- o.* Sustainment, Restoration, and Modernization (SRM) Program-Specific Information (REF8030G).
- p.* Program and Project Records Management (PROC6004).

## **8–9. Distribution**

- a.* Commander.
- b.* Senior Leaders.
- c.* Mid-Level Leaders.
- d.* MSC Leaders.
- e.* Headquarters Leaders.
- f.* Project Delivery Team.
- g.* Resource Provider(s).

## **Chapter 9**

### **Project Planning: Team Establishment (PROC2020)**

#### **9–1. Scope**

This process defines steps necessary to establish the Project Delivery Team (PDT), which includes the stakeholder. This same process will be used to establish necessary Review teams. Review teams have different names in different programs but are used to review the project per quality assurance/control (QA/QC) guidance. These Review teams are outside of the PDT.

#### **9–2. Process Overview**

This process is performed during [Project Planning: Project Management Plan/Program Management](#) Plan Development (PROC2000), once the stakeholder and project scope have been identified, and when a member of the PDT is added or replaced. Technical and Biddability, Constructability, Operability, Environmental, and Sustainability (BCOES) Review team members should also be defined in the PMP. Resources are, in the context of this process, defined as representatives from HQUSACE/MS/Center/District or other agencies.

- a.* All resources, including technical and support services, must be reconsidered once the scope is defined. Resources may be established over iterations during the process. Resources obtained via contract are addressed in [Project Planning: Acquisition Planning \(PROC2050\)](#). If work is a support services program, team establishment is accomplished once the manpower manning document is approved, refer to [Operating Processes: Manpower Requirements \(PROC6000\)](#), and the operating budget is approved, refer to [Operating Processes: Operating Budget \(PROC6001\)](#), in lieu of this process.

- b.* The Project Manager may request a specific individual from a Resource Provider (RP) based on that individual's unique talents or experience on a project. The RP will take the PM's request into consideration when making an assignment to a project. In making assignments, the RP will perform [Project Initiation: Workload Analysis and Resource Leveling \(PROC1020\)](#) to verify availability of resources.

c. If the PM and the RP are unable to find, or agree on, the appropriate resource for a project, the issue will be raised through the chain of command. If the resource is unavailable, a resource will be sought from within USACE and other agencies. Consideration of resources will include evaluation of Centers of Expertise (CX, some of which are mandatory), refer to ER 1110–1–8158, Corps-Wide Centers of Expertise Program.

d. Once a resource is committed to a project, the RP cannot change that commitment without consulting with the PM. The RP will help resolve resource conflicts as the result of any changed commitments. The RP retains all supervisory control over their employees. If directed to this process from [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#), then changing a resource commitment during project execution may be a threshold that causes [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#) to be executed.

e. There are various PDT members that are involved in a project and PDT membership will vary by project, program and by scope. Not all team members are involved on a routine basis but are still a PDT member and provide their role at the corresponding milestone or feature of work. Typical PDTs include, but are not limited to, representatives from the following functional areas. (See the Acronyms and Glossary section for clarity on positions).

- (1) Engineering (to include Technical Lead, Cost Engineering, Value Engineering).
- (2) Project and Program Management.
- (3) Planning.
- (4) Construction (to include Contracting Officer Representative (COR)/Administrative Contracting Officer (ACO)).
- (5) Contracting.
- (6) Real Estate.
- (7) Office of Counsel.
- (8) Stakeholder.

f. The PM will ensure that the team member names, roles, and contact information are entered into the PMP, returning to [Project Planning: Project Management Plan/Program Management](#) Plan Development (PROC2000).

### **9–3. End Result**

Upon completion of this process, the PDT will be assigned.

### **9–4. Responsibilities**

- a. The Project Manager is responsible for:
- (1) Initiating and leading the PDT, which includes the stakeholder.
  - (2) Identifying and coordinating with the Technical Lead, or Engineering Manager, as applicable during Team Establishment and throughout the project.
  - (3) Ensuring that necessary review teams review project submittals and that review conferences as needed are conducted.
  - (4) Identifying, during the planning stage, all areas of expertise needed for both the PDT and the necessary Review teams and involving them throughout the life cycle of the project; this will be accomplished in coordination with RPs.

(5) Looking not only at individuals from the various functional organizations, but also at the capabilities of the individuals themselves. By considering individuals who have multi-functional capability, the team is kept to a manageable size, which is cost-effective.

(6) Providing RPs with the specific skills/capabilities that will be required to fulfill the project scope.

(7) Coordinating with the Technical Lead for determining any technical requirements (regulatory or code requirements).

b. The RP(s) is responsible for:

(1) Supporting the project and assisting the PM by identifying expertise needed and assigning team members (in-house, contract support, other USACE Activities, other agencies) to both the PDT and Review teams.

(2) Ensuring that assigned staff and contractors support the PM and the PDT.

(3) Providing technical information, consultation, and advice to the project team over the life of the project.

(4) Providing supervision and oversight of technical products produced by the PDT and Review team members.

(5) Mentoring and supporting their assigned team members and maintaining the integrity of the original PDT to the greatest extent possible.

(6) Providing the PDT with skilled and trained members.

c. The PDT is responsible for accomplishing commitments made in the PMP.

d. The Review Team is responsible for accomplishing commitments made in the PMP.

## 9-5. Process Steps

[Table 9-1](#) details the process steps in PROC2020.

**Table 9-1**  
**Team Establishment (PROC2020) Process Steps**

Responsible POC	Actions
<b>Project Manager (PM)</b>	<ol style="list-style-type: none"> <li>1. Informing PDT, to include stakeholder team is being established or modified.</li> <li>2. Provide information from <a href="#">Project Planning: Project Scope and Stakeholder Requirements Definition (PROC2010)</a> and any special skills/capabilities required to complete the project to RPs.  Obtaining preliminary information from projects of similar scope and complexity, and specifically by reviewing Lessons Learned, refer to <a href="#">Project Execution, Monitor and Control: After Action Review and Lessons Learned (PROC3020)</a>.</li> </ol>
<b>Resource Provider(s), PM</b>	<ol style="list-style-type: none"> <li>3. Jointly evaluate deliverable defined in the scope of the project to determine what expertise and time commitments are required on the project team.  <i>Note:</i> The RPs should have some autonomy to do their workload analysis and resource leveling within their functional area as well, refer to <a href="#">Project Initiation: Workload Analysis and Resource Leveling (PROC1020)</a>. PMs may request specific team members that they believe would add unique</li> </ol>

Responsible POC	Actions
	<p>value to a specific project (include Centers of Expertise and other Centers in the evaluation).</p> <p>PM and RPs should consider team dynamics in balancing strengths and limitations of the requested PDT and Review team members.</p> <p>If specific members are requested by name, or a PM or RP request a PDT or Review team member be replaced, then the RP(s) or PM should try to accommodate the request but must balance workload and prior commitments to avoid over-committing individual team members.</p> <p>Consult with any required support organizations for regulatory requirements/items affecting project execution.</p> <p><b><u>Stop and complete <a href="#">Project Initiation: Workload Analysis and Resource Leveling (PROC1020)</a>.</u></b></p> <p>4. Establish recommended PDT membership.</p> <p><b><i>If both PM and RP(s) agree on available resources, go to #7. Otherwise, go to #5.</i></b></p> <p>5. Elevate issue as appropriate.</p> <p><b><i>If team member issue resolved, go to #7. Otherwise, go to #6.</i></b></p> <p>6. Search for appropriate resources.</p> <p>If there are insufficient resources available within the District with the requisite capabilities, then the District PgM will work with the MSC PgM to determine if resources are available regionally. If resources are not available regionally, the MSC will look throughout USACE and other agencies. If not available throughout USACE/other agencies, then pursue contract resources.</p>
PM	<p>7. Document PDT/Review team members in the PMP.</p> <p>Send notification to the team members. As members of the PDT are established and updated in the PMP, the kickoff meeting is to be held with the PDT. During the meeting, set and evaluate goals, build communications, and initiate team building.</p> <p>Team member assignments (especially the PM) remain constant throughout the life of the project, if possible. Also, USACE Activities will make every effort to maintain original team members through the life cycle of the project, making substitutions only when necessary or required to maintain a competent and qualified workforce.</p> <p><i>Note:</i> a change in one or more team members may be a threshold in <a href="#">Project Execution, Monitor and Control: Change Management (PROC3010)</a> for returning to <a href="#">Project Planning: Project Management Plan/Program Management Plan Development (PROC2000)</a>. The new PDT members need to be updated in the PMP.</p> <p><b><i>End of activity.</i></b></p>

## 9-6. Process Flowchart

Figure 9-1 shows the flowchart for this process.

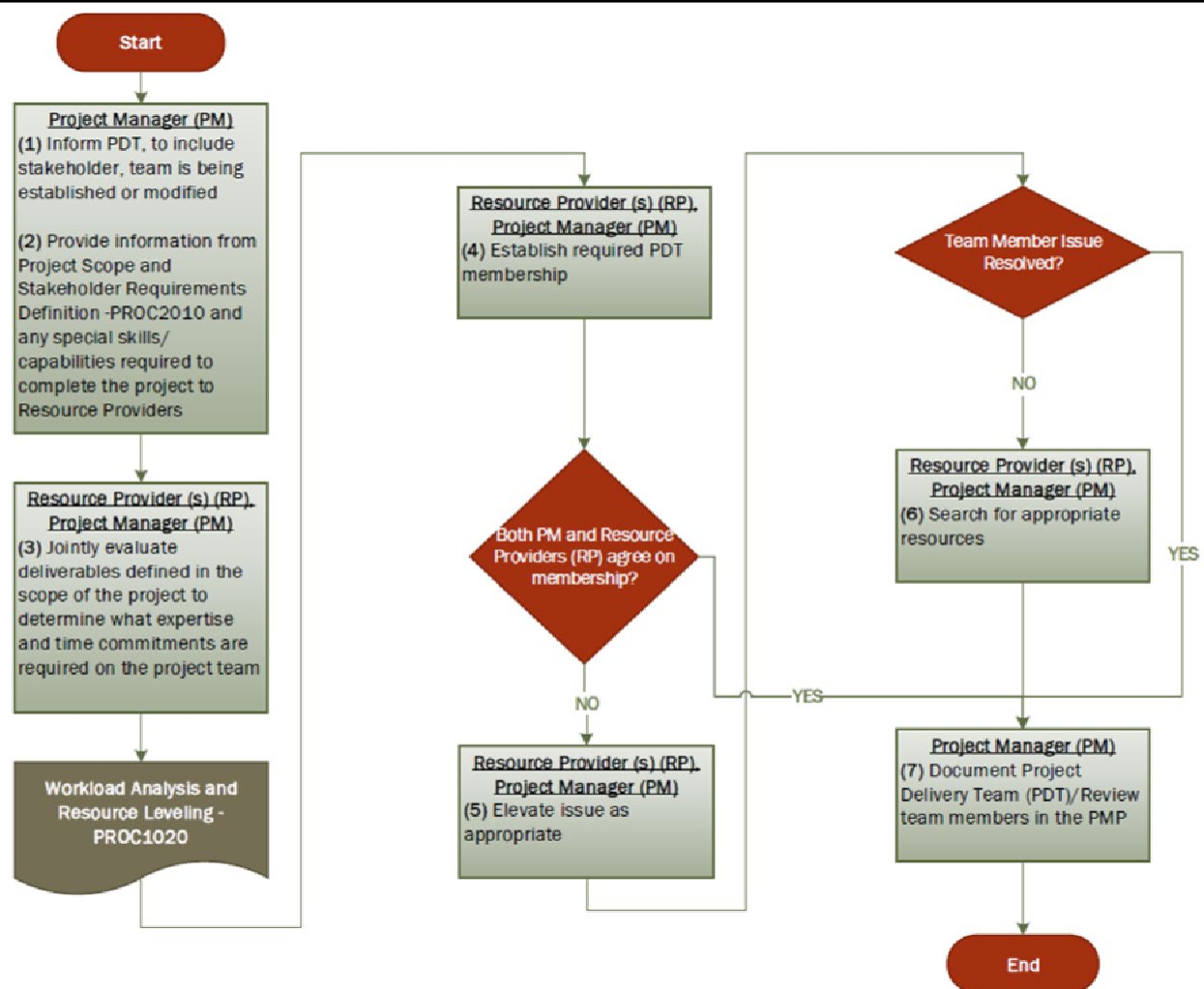


Figure 9-1. Team Establishment (PROC2020)

## 9-7. Policy References (See Appendix A)

ER 5-1-11, U.S. Army Corps of Engineers Business Process.

## 9-8. Related Topics

- a. CX Website.
- b. Earned Value Management (REF8018G).
- c. Change Management (PROC3010).
- d. Project Scope and Stakeholder Requirements Definition (PROC2010).
- e. Workload Analysis and Resource Leveling (PROC1020).
- f. PMP Content (REF8005G).
- g. PgMP Content (REF8028G).
- h. PMP/PgMP Development (PROC2000).



- i. Acquisition Planning (PROC2050).
- j. Manpower Requirements (PROC6000).
- k. Operating Budget (PROC6001).

## **9–9. Distribution**

- a. Review Teams.
- b. Project Delivery Team.
- c. Project Manager.
- d. Resource Provider(s).

## **Chapter 10**

### **Project Planning: Activity, Schedule Development, and Maintenance (PROC2030)**

#### **10–1. Scope**

This process outlines the creation of project activities, and schedule development, in PROMIS following the review and validation of the Work Breakdown Structure (WBS). This process interrelates with initiation, planning, execution and control and closeout processes. The development and validation of activities allows the project's critical path to be identified by the team. This process covers development of the initial schedule and schedule statuses, updates consistent with the approved schedule baseline and any approved changes to the schedule. Activities are the fundamental work elements of a project. They are the lowest level of a WBS that facilitates effective project execution and, as such, are the smallest subdivision of a project that directly concerns the Project Delivery Team (PDT).

#### **10–2. Process Overview**

This process is performed after work is accepted, refer to [Project Initiation: Work Acceptance \(PROC1000\)](#), the project scope has been determined, refer to [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#), and a team has been established, refer to [Project Planning: Team Establishment \(PROC2020\)](#). It can also be used to plan for future work, refer to [Reference Documents: Project Management Plan Content \(REF8005G\)](#) or [Reference Documents: Program Management Plan Content \(REF8028G\)](#).

- a. Development of the project activities is the framework for work management in PROMIS. The activities comprise the total work that needs to be performed to complete a project or phase of a project, taking into consideration PDT guidance and HQ requirements, including milestones or program-specific needs; refer to [Reference Documents: Civil Works Program-Specific Information \(REF8010G\)](#), [Reference Documents: Environmental Program-Specific Information \(REF8012G\)](#), [Reference Documents: Interagency and International Services Program-Specific Information \(REF8017G\)](#), or [Reference Documents: Military Program-Specific Information \(REF8011G\)](#).



b. Milestones are used to manage a project, as well as for upward reporting to MSC/Divisions, HQs, and External Agency Stakeholders. Each PROMIS schedule activity will consist of a calendar type, activity types, relationship type (Finish to Start (FS), Start to Start (SS), Finish to Finish (FF), or Start to Finish (SF)) activity codes, durations, predecessor and successor relationships, and possible constraints/thresholds.

c. During this process, the team would concurrently consider resource estimates, refer to [Project Planning: Resource Estimate Development \(PROC2040\)](#), and acquisition planning, refer to [Project Planning: Acquisition Planning \(PROC2050\)](#), to ensure all necessary activities are accounted for to further the continuation of [Project Planning: Project Management Plan/Program Management Plan Development \(PROC2000\)](#).

d. The Project Manager is responsible for ensuring that the schedule is established in the way they want to manage and report on their project, including the one-to-one and one-to-many relationships that will exist between PROMIS and CEFMS II. PROMIS will generate the resource structure to interface with CEFMS II to allow for creation of Purchase Request and Commitment (PR&Cs), as needed. The PM is responsible for ensuring that the activities are established such that the PROMIS/CEFMS II relationships will allow accurate reporting of financial data and effective use of earned value management principles, refer to [Reference Documents: Work Management – Financial Management Interface \(REF8014G\)](#) and [Reference Documents: Earned Value Management \(REF8018G\)](#).

e. If the project involves USACE government owned assets estimated to cost \$25,000 or greater, the Resource Management PDT member needs to be involved in developing the WBS to ensure CEFMS II work items are created to record the cost of the asset according to ER 37–1–30.

(1) Typically, projects include specific activities or work processes and procedures that are mission/program specific and require the addition of unique activities in the project schedule. If applicable, real property requirements must be addressed during this phase to ensure proper scheduling, execution, and closeout. In some instances, critical milestones that are program specific must be inserted in the project schedule. If available, utilize established templates or a standard template from a similar project type. See program specific needs (refer to paragraph 10–2.a).

(2) Once the project schedule has been developed, the project schedule must be approved. The approved project schedule is known as the Initial Baseline Schedule. The baselining of the project schedule, scope, budget, resources, creates an established reference point for measuring project performance and tracking; known as the Performance Measurement Baseline (PMB), refer to [Project Execution, Monitor and Control: Project Execution and Control \(PROC3000\)](#), [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#), and [Reference Documents: Earned Value Management \(REF8018G\)](#).

(3) Project schedule maintenance should occur based on established guidance. As a best practice, schedules should be updated once a month at a minimum. This task should be performed by the Scheduler with input from the PM and PDT to ensure the schedule is an accurate reflection of the status of the workflow.

### 10–3. End Result

Upon completion of this process, a completed project schedule with critical path identified in the schedule will exist.

### 10–4. Responsibilities

a. The Project Manager is responsible for:

- (1) Developing the initial schedule and ensuring subsequent schedule maintenance with input from the PDT.
- (2) Ensuring that the list of activities clearly defines the scope of effort, permits the identification of types of expertise required, and facilitates estimates of manpower and funding required to accomplish the project.
- (3) Considering outside influences that may impact schedule development in order to develop a realistic and feasible execution schedule.
- (4) Identify project risks, develops the risk register and manages risks (some Districts may assign risk management to a separate individual known as a Risk Manager.)

b. The PDT is responsible for:

- (1) Ensuring that activity information is provided in sufficient detail to support effective project execution and facilitate workload analysis and resource leveling.
- (2) Providing activity and schedule input, as well as review and concurrence of the project schedule, in conjunction with the PM.
- (3) Analyze the resourcing plan and provide quarterly reports to aid in analyzing the burn rate to assist with reallocating resources to the current schedule needs (this might be conducted by the Program Analysts (PA), Scheduler, or PM and varies by District who performs this function).

c. The Project Scheduler PDT Member (Scheduler) is responsible for:

- (1) Developing project schedule in PROMIS with direction from PM/PDT.
- (2) Ensuring activities and activity attributes are properly entered into PROMIS based on PM/PDT input.
- (3) Collecting project execution data, routinely, from the PM/PDT and entering into PROMIS.
- (4) Providing reports from PROMIS on project scope, schedule and budget to PM as required.
- (5) QA/QC the schedule to ensure conformance with HQ/MSD/District Guidance.
- (6) *Note:* The above duties cover the roles and responsibilities for the Scheduler who is a PDT member (or the PM (or designee) when fulfilling the Scheduler role).

d. The Mid-Level/Senior/HQ/MSD Leaders is responsible for reviewing activities/schedule and providing alternatives to the PDT.

## 10–5. Process Steps

[Table 10–1](#) details the process steps in PROC2030.

**Table 10–1**  
**Activity/Schedule Development/Maintenance (PROC2030) Process Steps**

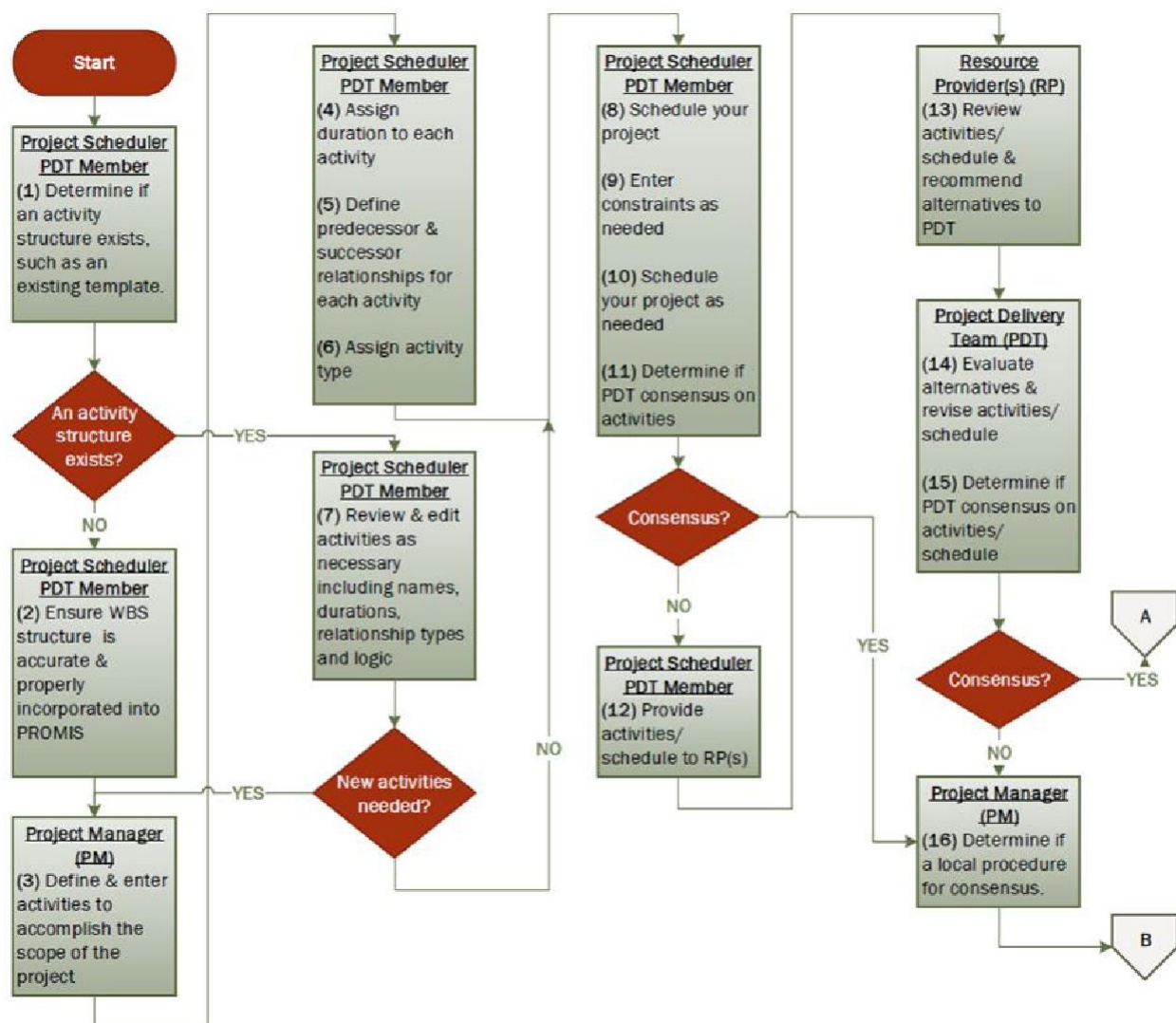
Responsible POC	Actions
<b>Project Scheduler PDT Member</b>	<ol style="list-style-type: none"> <li>1. Determine if an activity structure exists, such as an existing template. Follow local procedures if templates are available and required. This step can be performed by the Scheduler or the PM (or designee) when filling the role as Scheduler. <b><i>If an activity structure exists, go to #7. Otherwise, go to #2.</i></b></li> <li>2. Ensure WBS structure is accurate and properly incorporated into PROMIS. If a template is being used, a base WBS will be available and can be modified to fit project needs.</li> </ol>
<b>Project Manager (PM)</b>	<ol style="list-style-type: none"> <li>3. Define and enter activities to accomplish the scope of the project. This step can be performed by PM (or designee) (with assistance from the Scheduler). Determine appropriate WBS level the activity will reside under prior to entering the activity. Select the level and enter the new activity. Consult with responsible support organizations and experts for regulatory requirements/items affecting project execution, refer to <a href="#">Project Planning: Team Establishment (PROC2020)</a> and <a href="#">Project Planning: Project Scope and Stakeholder Requirements Definition (PROC2010)</a>.</li> </ol>
<b>Project Scheduler PDT Member</b>	<ol style="list-style-type: none"> <li>4. Assign a duration to each activity. This will assign the number of days needed to accomplish the defined activity. Ensure the appropriate calendar is assigned. Some activities specifically contract activities are based on a 5-day work week (or 7-day work week), so it is necessary to ensure the correct calendar is assigned based on the activity type, and project location. This step can be performed by the Scheduler or the PM (or designee) when filling the role as project Scheduler.</li> <li>5. Define predecessor and successor relationships for each activity. Once this has been achieved, the Network Analysis capability of PROMIS will contain the logic necessary to assist the PDT in determining the critical path of the project.</li> <li>6. Assign the activity type. Consider all milestones and other activity codes that may need to be included. Activity codes are values assigned to a project to organize them into management groups for updating, analyzing, reporting, and summarizing. Refer to <a href="#">Reference Documents: Civil Works Program-Specific Information (REF8010G)</a>, <a href="#">Reference Documents: Environmental Program-Specific Information (REF8012G)</a>, <a href="#">Reference Documents: Interagency and International Services Program-Specific Information (REF8017G)</a>, and <a href="#">Reference Documents: Military Program-Specific Information (REF8011G)</a>, as appropriate.</li> </ol> <p><b>Go to task #8.</b></p>

Responsible POC	Actions
	<p>7. Review and edit activities as necessary including activity names, durations, relationship types, and logic. This step can be performed by the Scheduler or the PM (or designee) when filling the role as Project Scheduler.</p> <p><b><i>If new activities needed, go to #3. Otherwise, go to #8.</i></b></p> <p>8. Schedule your project. This step performs an analysis of all data previously entered, providing an outcome that lays out the schedule logic from beginning to end, to assist the PDT in continuation of the work management process. In coordination with the PM, the Scheduler reviews and adjusts the schedule to meet the project's needs. <i>Note:</i> The PM is responsible for review and approval of proposed activity schedules. <i>Note:</i> The PDT is responsible to assist the Scheduler with updates to the schedule.</p> <p>9. Enter constraints as needed. A constraint is a restriction forced on the activity start or finish. Use constraints to reflect project requirements. <i>Note:</i> Hard constraints should be avoided unless absolutely necessary, as a constraint will ignore the logic on an activity and can hide potential issues in your schedule.</p> <p>10. Schedule your project as needed.</p> <p>11. Determine if there is PDT consensus on activities/schedule. <b><i>If there is consensus, go to #16. Otherwise, go to #12.</i></b></p> <p>12. Provide activities/schedule to the RPs.</p>
Resource Provider(s)	13. Review activities/schedule and recommend alternatives to PDT.
Project Delivery Team (PDT)	<p>14. Evaluate alternatives and revise activities/schedule.</p> <p>15. Determine if there is PDT consensus on activities/schedule. <b><i>If there is consensus, go to #28. Otherwise, go to #16.</i></b></p>
PM	<p>16. Determine if there is a local procedure for consensus. <b><i>If there is a local procedure, go to step #17. Otherwise, go to #18.</i></b></p> <p>17. Follow local procedure for consensus. <b><i>Go to step #28.</i></b></p>
PDT	18. Provide activities/schedule to the Mid-Level Leaders.
Mid-Level Leaders	19. Review activities/schedule and recommend alternatives to PDT.
PDT	<p>20. Evaluate alternatives and revise activities/schedule.</p> <p>21. Determine if there is PDT consensus on activities/schedule. <b><i>If there is consensus, go to #28. Otherwise, go to #22.</i></b></p> <p>22. Provide activities/schedule to the Senior Leaders.</p>
Senior Leaders	23. Review activities/schedule and recommend alternatives to PDT.
PDT	<p>24. Evaluate alternatives and revise activities/schedule.</p> <p>25. Determine if there is PDT consensus on activities/schedule.</p>

Responsible POC	Actions
	<i>If there is consensus, go to #28. Otherwise, go to #26.</i> 26. Provide activities/schedule and alternatives to the MSC/HQ Leaders.
MSC/HQ Leaders	27. Review activities/schedule and alternatives and provide solution to PDT.
Project Scheduler PDT Member	28. Revise activities/schedule as necessary. <i>End of activity.</i>

## 10–6. Process Flowchart

[Figure 10–1](#) and [Figure 10–2](#) show the flowchart for this process.



**Figure 10–1. Activity/Schedule Development/Maintenance (PROC2030) (Part a)**

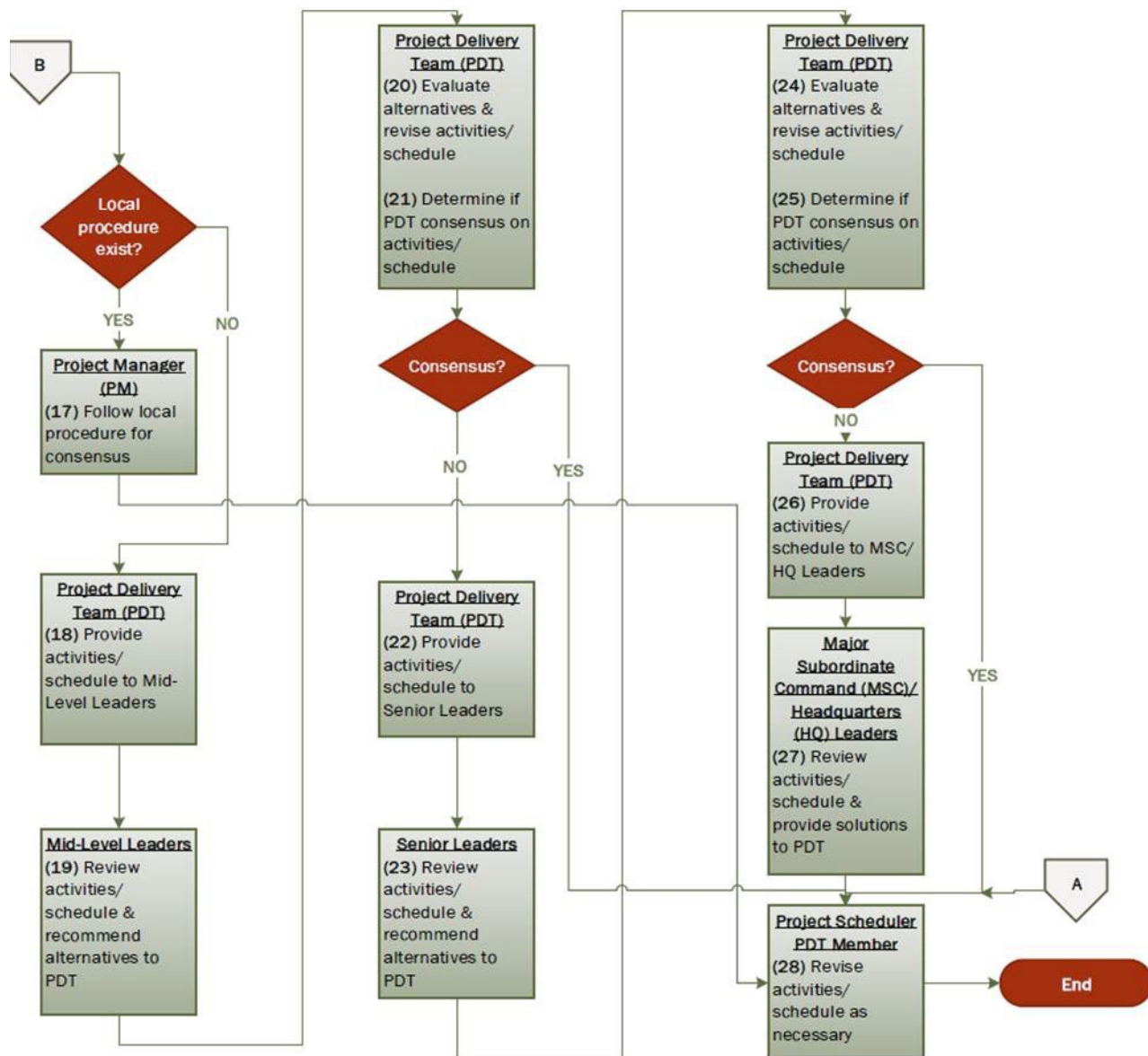


Figure 10–2. Activity, Schedule Development, and Maintenance (PROC2030) (Part b)

### 10–7. Policy References (See Appendix A)

- a. ER 5–1–11, U.S. Army Corps of Engineers Business Process.
- b. ER 37–1–30 Financial Administration Accounting and Reporting.

### 10–8. Related Topics

- a. PROMIS User Guide.
- b. Civil Works Program-Specific Information (REF8010G).
- c. Earned Value Management (REF8018G).
- d. Environmental Program-Specific Information (REF8012G).
- e. Interagency and International Services (IIS) Program-Specific Information (REF8017G).

- f.* Military Program-Specific Information (REF8011G).
- g.* PMP Content (REF8005G).
- h.* PgMP Content (REF8028G).
- i.* PMP/PgMP Development (PROC2000).
- j.* Project Scope and Stakeholder Requirements Definition (PROC2010).
- k.* Resource Estimate Development (PROC2040).
- l.* Team Establishment (PROC2020).
- m.* Project Execution and Control (PROC3000).
- n.* Work Acceptance (PROC1000).
- o.* Work Management – Financial Management Interface (REF8014G).
- p.* Change Management (PROC3010).
- q.* Acquisition Planning (PROC2050).
- r.* Sustainment, Restoration, and Modernization (SRM) Program-Specific Information (REF8030G).

## **10–9. Distribution**

- a.* Project Manager.
- b.* Senior Leaders.
- c.* Mid-Level Leaders.
- d.* Headquarters Leaders.
- e.* MSC Leaders.
- f.* Project Delivery Team.
- g.* Project Scheduler PDT Member.
- h.* Resource Provider(s).

## **Chapter 11**

### **Project Planning: Resource Estimate Development (PROC2040)**

#### **11–1. Scope**

This process defines how resource estimates are to be developed by the Project Delivery Team (PDT) for input into PROMIS to develop the total project cost estimate for the entire project for the purposes of including in the PMP.

*a.* Accurate resource estimates must be developed for all project activities to establish the project budget. Development of resource estimates should align with local policies and account for project risks and uncertainties. Program and Project Managers rely on these estimates to prepare justifiable funding requests. Resource Providers (RPs) use rollups of project resource estimates to assist in determining staffing requirements and balancing workload. At a minimum, every work activity that requires an expenditure or resources must be included to the lowest level product of the project's PROMIS schedule WBS.

*b.* There may be further requirements included in program specific guidance. The rolling wave planning technique may be implemented in which the resource in the near term is planned in detail while resource in the future is planned at a higher level.



## 11–2. Process Overview

This process is performed during the development of the PMP, modification, or when there is a change to the scope or schedule, [Reference Documents: Change Management Plan \(REF8009G\)](#). The team will develop accurate resource estimates for each organizational level of the PDT for the entire project duration or approved project phase, refer to [Project Initiation: Workload Analysis and Resource Leveling \(PROC1020\)](#) and [Reference Documents: Civil Works Program-Specific Information \(REF8010G\)](#). Resource estimate risks and uncertainties will be analyzed, communicated to stakeholders, and documented in the Risk Management section of the PMP, refer to [Reference Documents: Risk Management Plan \(REF8007G\)](#).

a. The development of the resource estimate is one of the most critical activities undertaken by the PDT. In developing the resource estimate, the PDT will be aligning the project budget with their PROMIS schedule activities. PROMIS interfaces with the CEFMS II and the PROMIS project budget serves as the basis for preparation of Purchase Request and Commitments (PR&Cs) in CEFMS II, refer to [Reference Documents: Work Management – Financial Management Interface \(REF8014G\)](#). PROMIS will generate budget information for CEFMS II, and the level of detail contained in the resource estimate. The PDT will carefully develop resource estimates for a phase or project, providing them the ability to manage the project using the earned value method, refer to [Reference Documents: Earned Value Management \(REF8018G\)](#), if appropriate.

b. The sum of resource estimates entered into PROMIS is equal to the project cost estimate, since total resource estimates include all project activities that will be directly or indirectly charged against the project.

(1) During the development of the initial PMP, the resource estimates must be entered by activity and identified by resource type (such as labor, non-labor, contracts, other contractual services, etc.) and unit of measure (hours, job, etc.) resourcing the total on one activity.

(2) During project execution, the resource estimates will be updated as additional project information becomes available and changes are approved and implemented to include the development of an Independent Government Estimate (IGE) for each contract. The resource estimate will be updated after the IGE is approved.

(3) This process is critical since the resource estimate may become the project baseline for performance measurement. This baseline may be revised as required during the project's life cycle, refer to [Reference Documents: Change Management Plan \(REF8009G\)](#).

c. While developing the resource estimate, it is important to include all future fiscal year requirements. This will improve RP's capability to develop future staffing and contract needs and initiate appropriate action to meet these needs, according to [Project Initiation: Workload Analysis and Resource Leveling \(PROC1020\)](#) and Operating Processes: Regional Business Center Workload Analysis and Resource Leveling (PROC6003).

## 11–3. End Result

Upon completion of this process, there will be a completed resource estimate that aligns with the Total Project Cost or Program Amount (DD Form 1391), as appropriate.

#### 11–4. Responsibilities

- a. The Project Manager is responsible for:
  - (1) Ensuring PDT members fully understand the project schedule to ensure they have the information needed to provide an accurate estimate.
  - (2) Ensuring the further development of the project scope, initial schedule, and resource estimates necessary to accomplish assigned activities, organized according to the WBS.
  - (3) Developing a contingency for labor, non-labor (travel and equipment), and contractual costs based on risk register, as appropriate.
  - (4) Coordinating a final review of the project's resource estimate review by RPs.
- b. The PDT is responsible for:
  - (1) Developing time and cost estimates necessary to perform the work defined by the WBS with assistance from the RP if needed.
  - (2) Identifying conflicts with commitments to other projects via the workload distributions for their organizations.
- c. The RP(s) is responsible for:
  - (1) Reviewing and approving their PDT member's estimates.
  - (2) Identifying and resolving conflicts with commitments to other projects via the workload distributions for their organizations.
  - (3) Coordinating with the PM and participating in [Project Initiation: Workload Analysis and Resource Leveling \(PROC1020\)](#) activities.
- d. The Project Scheduler PDT Member is responsible for:
  - (1) Providing scheduling and budgeting support to the PM and PDT to ensure that resource estimates are incorporated into the project schedule according to USACE, regional, and local requirements.
  - (2) Review reports to verify the resource estimates are populated and reporting accurately.
  - (3) *Note:* The above duties cover the roles and responsibilities for the Scheduler who is a PDT member (or the PM (or designee) when fulfilling the Scheduler role).
- e. The Mid-Level/Senior/HQ/MSL Leaders is responsible for reviewing resource estimates and providing alternatives to the PDT.

#### 11–5. Process Steps

[Table 11–1](#) details the process steps in PROC2040.

**Table 11–1**  
**Resource Estimate Development (PROC2040) Process Steps**

Responsible POC	Actions
<b>Project Scheduler PDT Member</b>	1. Open the Project in PROMIS. This step can be performed by the Scheduler or the PM (or designee) when fulfilling the role as project Scheduler.
<b>Project Delivery Team (PDT)</b>	2. Create or revise resource estimate at the lowest organizational level. Every activity in the project that requires an expenditure or resource must be included to the lowest level of the WBS for the entire project duration, the approved project phase, or directive. The rolling wave planning

Responsible POC	Actions
	<p>technique may be implemented in which the resource in the near term is planned in detail while resource in the future is planned at a higher level. Ensure estimates are included to cover direct charges of administrative support and supervision.</p> <p>All resourcing must be done at least to the lowest organizational level, with concurrence of the RP.</p> <p>Refer to <a href="#">Reference Documents: Project Management Plan Content (REF8005G)</a>, as well as <a href="#">Project Initiation: Workload Analysis and Resource Leveling (PROC1020)</a>, <a href="#">Reference Documents: Civil Works Program-Specific Information (REF8010G)</a>, <a href="#">Reference Documents: Environmental Program-Specific Information (REF8012G)</a>, <a href="#">Reference Documents: Interagency and International Services Program-Specific Information (REF8017G)</a>, or <a href="#">Reference Documents: Military Program-Specific Information (REF8011G)</a> as appropriate.</p> <p>3. Evaluate project activities and resources to determine those that will be considered for contract or execution by other government and non-government entities.</p> <p>The decision to outsource work involves who, why, how, when, what, and how much to procure. Other considerations are stakeholder requirements; Quality Management Plans, refer to <a href="#">Reference Documents: Quality Management Plan (REF8008G)</a>, and identified risk.</p> <p>The PDT works in conjunction with RPs/Mid-Level Leaders to accomplish this step.</p> <p><b><i>If resource estimate includes contract, stop and complete <a href="#">Project Planning: Acquisition Planning (PROC2050)</a>. Otherwise, go to #4.</i></b></p>
<b>Project Scheduler PDT Member</b>	<p>4. Revise resource estimate as necessary.</p> <p>5. Determine if there is PDT consensus on resource estimate.</p> <p><b><i>If there is consensus, go to #22. Otherwise, go to #6.</i></b></p> <p>6. Provide resource estimate to RPs.</p>
<b>Resource Provider(s)</b>	<p>7. Review resource estimate and recommend alternatives to PDT.</p>
<b>PDT</b>	<p>8. Evaluate alternatives and develop revised resource estimate.</p> <p>9. Determine if there is PDT consensus on resource estimate.</p> <p><b><i>If there is consensus, go to #22. Otherwise, go to #10.</i></b></p>
<b>PM</b>	<p>10. Determine if there is a local procedure for consensus.</p> <p><b><i>If there is a local procedure, go to step #11. Otherwise, go to #12.</i></b></p> <p>11. Follow local procedure for consensus.</p> <p><b><i>Go to step #22.</i></b></p>
<b>PDT</b>	<p>12. Provide resource estimate to Mid-Level Leaders.</p>
<b>Mid-Level Leaders</b>	<p>13. Review resource estimate and recommend alternatives to PDT.</p>
<b>PDT</b>	<p>14. Evaluate alternatives and develop revised resource estimate.</p> <p>15. Determine if there is PDT consensus on resource estimate.</p> <p><b><i>If there is consensus, go to #22. Otherwise, go to #16.</i></b></p> <p>16. Provide resource estimate to Senior Leaders.</p>
<b>Senior Leaders</b>	<p>17. Review resource estimate and recommend alternatives to PDT.</p>

Responsible POC	Actions
PDT	18. Evaluate alternatives and develop revised resource estimate. 19. Determine if there is PDT consensus on resource estimate. <i><b>If there is consensus, go to #22. Otherwise, go to #20.</b></i> 20. Provide resource estimate and alternatives to HQ/MSC Leaders.
HQ/MSC Leaders	21. Review resource estimate and alternatives and provide solution to PDT.
PM	22. Coordinate a final review of the project's resource estimate by RPs.
Project Scheduler PDT Member	23. Finalize resource estimate. This step can be performed by the Scheduler or the PM (or designee) when fulfilling the role as project Scheduler. <i><b>End of activity.</b></i>

## 11-6. Process Flowchart

Figure 11-1 and Figure 11-2 show the flowchart for this process.

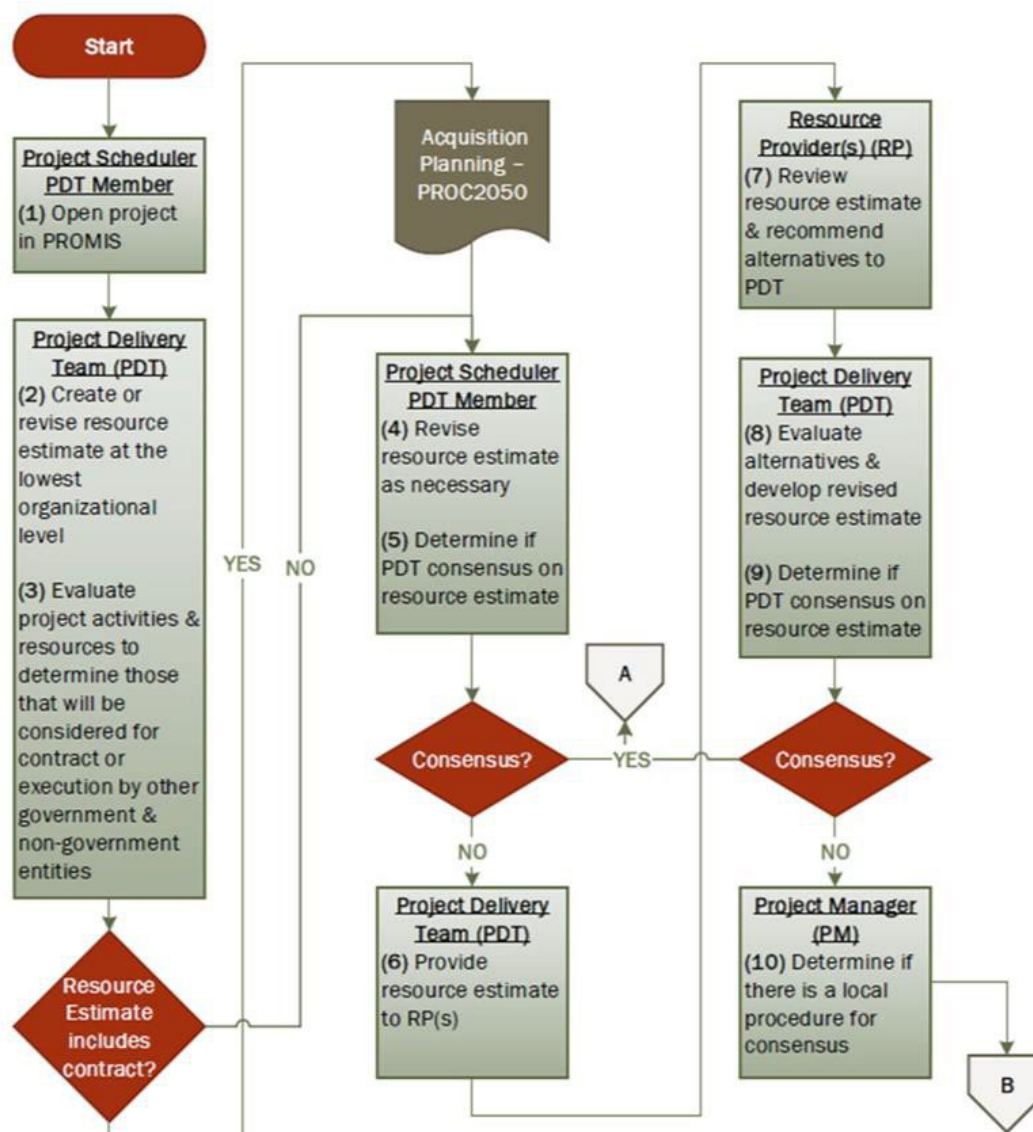


Figure 11-1. Resource Estimate Development (PROC2040) (Part a)

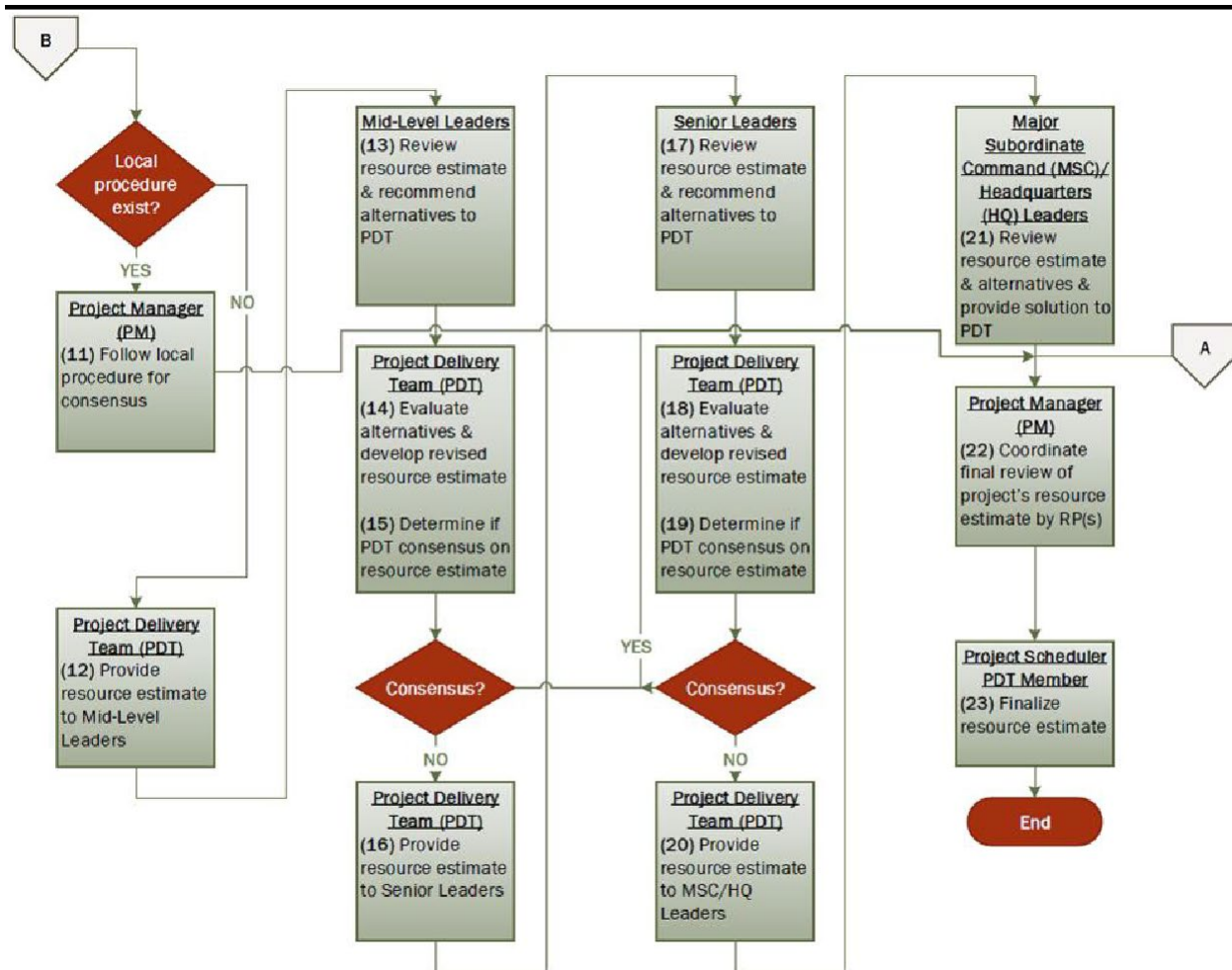


Figure 11–2. Resource Estimate Development (PROC2040) (Part b)

## 11–7. Policy References (See Appendix A)

ER 5–1–11, U.S. Army Corps of Engineers Business Process.

## 11–8. Related Topics

- a. CEFMS II Users Manuals.
- b. Change Management (PROC3010).
- c. Change Management Plan (REF8009G).
- d. Civil Works Program-Specific Information (REF8010G).
- e. Environmental Program-Specific Information (REF8012G).
- f. Interagency and International Services (IIS) Program-Specific Information (REF8017G).
- g. Military Program-Specific Information (REF8011G).
- h. PMP Content (REF8005G).
- i. PgMP Content (REF8028G).
- j. PMP/PgMP Development (PROC2000).
- k. Acquisition Planning (PROC2050).



- l.* Regional Business Center Workload Analysis and Resource Leveling (PROC6003).
- m.* PROMIS User Guide.
- n.* Work Acceptance (PROC1000).
- o.* Workload Analysis and Resource Leveling (PROC1020).
- p.* Quality Management Plan (REF8008G).

#### **11–9. Distribution**

- a.* Project Delivery Team.
- b.* Project Scheduler PDT Member.
- c.* Project Manager.
- d.* Resource Provider(s).
- e.* Senior Leaders.
- f.* Mid-Level Leaders.
- g.* Headquarters Leaders.
- h.* MSC Leaders.

### **Chapter 12**

#### **Project Planning: Acquisition Planning (PROC2050)**

##### **12–1. Scope**

This process defines the steps necessary to determine the method of contracting for a resource/product for a project. Acquisition planning requires consideration of not only project-level specific requirements and priorities, but broader District/Center, and in many cases regional acquisition strategies and requirements.

##### **12–2. Process Overview**

*a.* This process is performed whenever the Project Delivery Team (PDT) determines a procurement is required; for example, an Architect-Engineer (A-E) contract based on resource estimate constraints, refer to [Project Planning: Resource Estimate Development \(PROC2040\)](#), or a construction contract is required. The level of detail of the planning documentation will be commensurate with the value and complexity of the proposed acquisition.

*b.* Initial acquisition planning informed by market research should occur as soon as possible in the development of the project. Additional acquisition planning may be required throughout the life of the project as other required activities are identified. Acquisition-related topics such as Design Build, Design Bid-Build, use of A-E Contracts, Small Business considerations, and geographical area considerations need to be discussed and included in acquisition planning. Information on potential contract types such as “C-Contracts” and Multiple Award Task Order Contract (MATOC) and Single Award Task Order Contract (SATOC) task orders can be found in Federal Acquisition Regulation (FAR) Part 16 and Supplements.

(1) The acquisition approaches developed in this process will be incorporated into the PMP. The acquisition strategy section of the PMP, prepared according to ER 5–1–11, USACE Business Process, as an alternate format for an informal written acquisition plan, may serve as the informal acquisition plan for projects below the thresholds stated

in the Defense Federal Acquisition Regulation Supplement (DFARS) 207.103(d)(i)(B). Acquisition plan requirements are addressed at FAR 7, DFARS Procedures, Guidance, and Information (PGI) 207, Army Federal Acquisition Regulation Supplement (AFARS) 5107, and the USACE Acquisition Instruction (UAI) 5107. There are dozens of elements required in acquisition plans. Informal acquisition plans must also include these elements. Generally, these elements fall under the following headings:

- (a) Acquisition Background and Objectives.

- (b) Plan of Action.

- (2) During [Project Execution, Monitor and Control: Project Execution and Control \(PROC3000\)](#), the execution of the acquisition plan will be conducted. Checklists for development of acquisition packages based on contract type are available from the District/Center Contracting office.

- (3) District/Center level acquisition planning is done to ensure that acquisition tools are available to execute necessary contracting actions in support of PDTs and to provide coordination and decision-making to meet acquisition goals. Overall acquisition planning is the process by which procurement decisions are coordinated and integrated, considering overall trends and needs for both current and future fiscal years. The acquisition tools developed, and the decisions made through the District/Center level planning process will provide the framework for project specific acquisition planning. The planned use of existing tools and contracts should be coordinated with SMEs.

- (4) For some programs and for projects requiring a regional approach to contract acquisition, procurement decisions may need to be coordinated and integrated across the entire MSC. Regional acquisition planning will be accomplished by the Regional Acquisition Board (RAB) following regional governance processes in ER 5-1-13. Acquisition planning at the MSC level focuses on enhancing customer support efforts and standardizing processes through approaches like developing regional contracting capabilities, facilitating sharing of existing contracts where allowed, and promoting Small Business opportunities. MSCs might have specific local processes and procedures.

### **12-3. End Result**

Upon completion of this process, the project level acquisition approach will have been addressed, including incorporation of any applicable District/Center and Regional acquisition planning requirements. In addition to the acquisition planning performed as part of this process, official approval of a formal acquisition plan may be required for projects meeting DFARS 207.103 thresholds. Note that acquisition plans are living documents which may require revisions or updates throughout the life of the project.

### **12-4. Responsibilities**

- a. The Project Manager is responsible for:

- (1) Maintaining an awareness of overall District/Center/Regional acquisition planning processes and goals to help ensure that project specific acquisition planning efforts comply with broader acquisition policies and intent.

(2) Coordinating with the responsible Contracting Officer (KO) early and often to obtain guidance for the PDT regarding potential acquisition tools, Small Business goals, and other considerations which may impact the project level acquisition planning process.

(3) Coordinating the overall project in connection with the approved acquisition approach.

(4) Ensuring acquisition plan is approved meeting District/local acquisition strategy requirements.

(5) Ensuring PDT includes Office of Counsel and Deputy for Small Business representation in addition to technical, contracting, and stakeholder representatives, refer to [Project Planning: Team Establishment \(PROC2020\)](#).

b. The PDT is responsible for:

(1) Collaborating on formal or informal acquisition planning as applicable and ensuring project requirements are incorporated.

(2) Defining the scope for each contract action required for project execution.

(3) Conducting market research.

(4) Ensuring legal sufficiency reviews and comments incorporated of applicable contract instruments are completed.

(5) Providing options to achieve the various small business goals in coordination with the Deputy for Small Business PDT member.

c. The Resource Provider(s) (RP) is responsible for evaluating their team's capabilities and available capacity as input to the determination of contracting requirements (inhouse vs. contract execution).

d. The KO is responsible for:

(1) Engaging early and actively participating in the PDT.

(2) Ensuring project level acquisition planning is completed in compliance with District/Center/Regional processes and goals as applicable.

(3) Coordinating the review and approval of formal acquisition plans, when required, at the level appropriate for the acquisition per DFARS and UAI criteria.

## 12-5. Process Steps

[Table 12-1](#) details the process steps in PROC2050.

**Table 12-1**

**Acquisition Planning (PROC2050) Process Steps**

Responsible POC	Actions
<b>Project Manager (PM)</b>	<ol style="list-style-type: none"><li>1. Seek guidance from designated District Leadership regarding District/Center/Regional acquisition planning considerations.</li><li>2. Provide PDT information regarding applicable overall acquisition planning efforts providing context for project specific acquisition planning.</li></ol>
<b>Contracting Officer (KO)</b>	<ol style="list-style-type: none"><li>3. Advise the PDT on acquisition planning matters according to acquisition planning requirements in the FAR, FAR supplements, and UAI.</li><li>4. Provide PDT with identified acquisition options for activities evaluated as part of acquisition planning.</li></ol>

Responsible POC	Actions
Resource Provider(s)	<p>5. Provide PDT with information and recommendations.</p> <p>Resource Providers support the acquisition planning process by informing the PDT of existing capabilities and helping to identify technical requirements and issues which might impact acquisition decisions.</p>
Project Delivery Team (PDT), KO	<p>6. Conduct Market Research.</p> <p>7. Evaluate all options (initial and those provided by RPs and KO). Timely coordination by the PDT with the Deputy for Small Business must occur to avoid possible project delays. Small business requirements may not be applicable for certain acquisitions, such as for procurements outside the continental United States (OCONUS).</p> <p>8. Develop procurement approaches for identified activities.</p> <p>9. Conduct a legal review of the initial acquisition planning documents and provide legal considerations to the PDT.</p> <p>10. Obtain concurrence from designated District Leadership. The proposed acquisition approach for the project, should include vetting by local/regional acquisition boards where applicable.</p> <p><b><i>If District Leadership concurs on acquisition planning, go to #11. Otherwise, go to #1.</i></b></p>
PDT	<p>11. Coordinate contract type for each identified activity with the Contracting PDT member and enter in PROMIS. The contract type is one of the numerous activity codes described in <a href="#">Project Planning: Activity, Schedule Development, and Maintenance (PROC2030)</a>.</p>
PDT, KO	<p>12. Prepare the acquisition plan portion of the PMP and if applicable, provide input to the formal acquisition plan. If the project falls below the DFARS 207.103 threshold requiring a formal acquisition plan, ensure that all information required by the DFARS 207 (refer to Para 3.6.2.1 above) is incorporated to allow the PMP acquisition approach to serve as the project's informal acquisition plan. Based on the complexity and value of the procurement, additional reviews of formal acquisition plans, up to the level of the Senior Contracting Official (SCO), may be required.</p> <p><b><i>End of activity.</i></b></p>

## 12-6. Process Flowchart

Figure 12-1 shows the flowchart for this process.

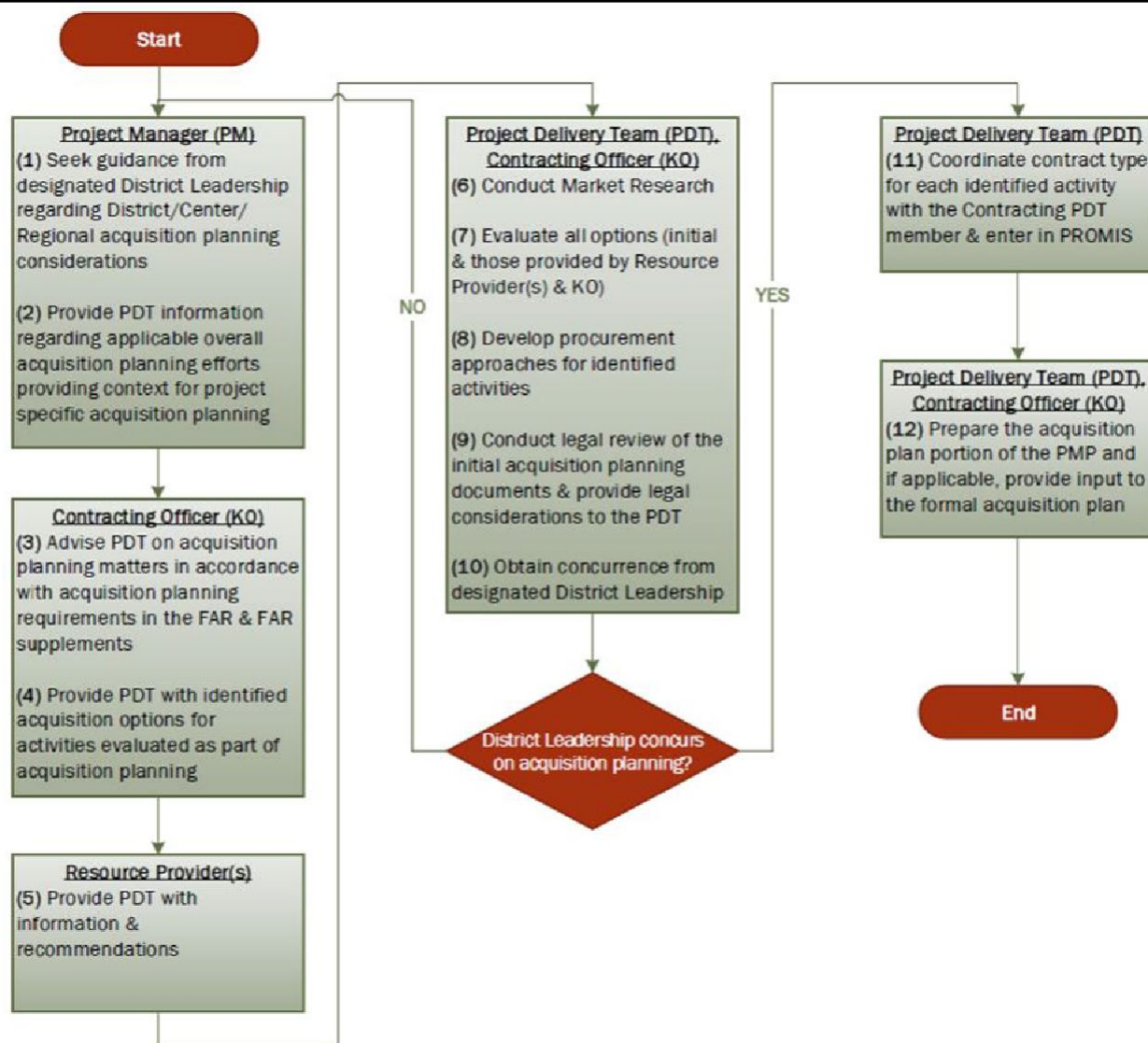


Figure 12-1. Acquisition Planning (PROC2050)

## 12-7. Policy References (See Appendix A)

- a. AFARS (Army Federal Acquisition Regulation Supplement).
- b. DFARS (Defense FAR Supplement).
- c. DFARS PGI.
- d. DoD 7000.14-R, Department of Defense Financial Management Regulation.
- e. ER 5-1-11, U.S. Army Corps of Engineers Business Process.
- f. ER 5-1-13, U.S. Army Corps of Engineers Policy on Regional Business Centers (RBC).
- g. ER 37-2-10, Accounting and Reporting – Civil Works Activities.
- h. ER 37-345-10, Accounting and Reporting – Military Activities.

- i. FAR (Federal Acquisition Regulation).
- j. UAI (USACE Acquisition Instruction).

## **12–8. Related Topics**

- a. Activity/Schedule Development/Maintenance (PROC2030).
- b. PMP/PgMP Development (PROC2000).
- c. Resource Estimate Development (PROC2040).
- d. CEFMS II Users Manuals Online.
- e. Work Management – Financial Management Interface (REF8014G).
- f. Workload Analysis and Resource Leveling (PROC1020).

## **12–9. Distribution**

- a. Contracting Project Delivery Team Member.
- b. Contracting Officer.
- c. Deputy for Small Business.
- d. Project Delivery Team.
- e. Project Manager.
- f. Resource Provider(s).

## **Chapter 13**

### **Project Planning: Overall Acquisition Strategy (PROC2060) (Retired)**

As a “retired” process, this chapter is no longer relevant or its content was absorbed into another process or reference chapters within this manual.

## **Chapter 14**

### **Project Planning: Project Management Plan/Program Management Plan Development Approval (PROC2070)**

#### **14–1. Scope**

This process covers how to obtain approval on the Project Management Plan/Program Management Plan.

#### **14–2. Process Overview**

This process is performed whenever a draft PMP/PgMP has been developed in [Project Planning: Project Management Plan/Program Management Plan Development](#) (PROC2000). As the PMP/PgMP is a living document, this process will also be used when a change request is generated from [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#). Approval of a change request will be by the same authority as the original PMP/PgMP, unless specifically outlined by local processes. The frequency and triggers for PMP/PgMP approval/endorsement should be laid out in the PMP/PgMP, considering any MSC/District guidance as well as project-specific factors.



- a. The first step in the PMP/PgMP approval process is getting the endorsement of the Project Delivery Team (PDT)/Program Leadership Team (PLT). Endorsement includes receiving verbal, or written concurrence from the PDT/PLT on the PMP/PgMP, unless local processes outline the process in more detail. If verbal concurrence is received, the PM or PgM should document the date and time received on PMP. It is strongly encouraged to receive written approvals. Should the PDT/PLT not endorse the PMP/PgMP, [Project Planning: Project Management Plan/Program Management Plan Development \(PROC2000\)](#) will be executed to develop and incorporate changes.
- b. After PDT/PLT endorsement, the PMP/PgMP will be submitted for approval based on local/program processes. If local processes do not require formal approval, the endorsement by the PDT/PLT suffices as the PMP/PgMP approval.
- c. The stakeholder is a member of the PDT and should be involved with the PMP/PgMP approval process. The stakeholder is sent the PMP/PgMP for review and approval; however, the stakeholder is not required to sign the PMP/PgMP and may not have the availability to sign. A read receipt should, if available, be included on the email as documentation that the PMP/PgMP was sent to the stakeholder. Local processes/requirements should be followed to gain endorsement/approval.
- d. Should the appropriate approval authority not approve the PMP/PgMP, [Project Planning: Project Management Plan/Program Management Plan Development \(PROC2000\)](#) will be executed to develop and incorporate changes.
- e. Once PMP/PgMP approval is obtained, the PM/PgM will store the PMP/PgMP electronically per local processes and will be available to the PDT/PLT for reference, refer to [Reference Documents: Communications Plan \(REF8006G\)](#) and [Operating Processes: Program and Project Records Management \(PROC6004\)](#).

### 14–3. End Result

A PMP will be approved.

### 14–4. Responsibilities

- a. The Project Manager/Program Manager is responsible for obtaining approval of the PMP/PgMP according to local processes and ensuring the PMP/PgMP is electronically available to the PDT/PLT.
- b. The PDT/PLT is responsible for reviewing and endorsing the commitments made in the PMP/PgMP.

### 14–5. Process Steps

[Table 14–1](#) details the process steps in PROC2070.

**Table 14–1**  
**PMP/PgMP Approval (PROC2070) Process Steps**

Responsible POC	Actions
<b>Project Manager/ Program Manager (PM/PgM)</b>	1. Provide the PMP/PgMP to the PDT/PLT. Use electronic distribution, such as email, where possible.

Responsible POC	Actions
<b>Project Delivery Team/Program Leadership Team (PDT/PLT)</b>	<p>2. Review and endorse the PMP/PgMP to document the PDT's/PLT's commitment to proceed per this plan.</p>
<b>PM/PgM</b>	<p>3. Determine if the PDT/PLT endorses the PMP/PgMP.  <b><i>If the PDT/PLT endorses the PMP/PgMP, go to #4. Otherwise end of activity; go to <a href="#">Project Planning: Project Management Plan/Program Management Plan Development (PROC2000)</a>.</i></b></p> <p>4. Submit the PMP/PgMP for approval, if required by local processes.  <b><i>If PMP/PgMP approval required, go to step #5. Otherwise, end of activity.</i></b></p> <p>5. Determine if the PMP/PgMP was approved.          If work is a support services program, the PgMP is approved upon approval of the Operating Budget, refer to <a href="#">Operating Processes: Operating Budget (PROC6001)</a>.</p> <p>6. Review PMP/PgMP for Approval.  <b><i>If the PMP/PgMP is approved, go to #7. Otherwise, end of activity; go to <a href="#">Project Planning: Project Management Plan/Program Management Plan Development (PROC2000)</a>.</i></b></p> <p>7. Coordinate with PDT/PLT to ensure PMP/PgMP milestone is recorded in PROMIS.</p> <p>8. Ensure final, approved PMP/PgMP is electronically available to the PDT/PLT.  <b><i>End of activity.</i></b>  <b><i>Go to <a href="#">Project Execution, Monitor and Control: Project Execution and Control (PROC3000)</a>.</i></b></p>

## 14-6. Process Flowchart

Figure 14-1 shows the flowchart for this process.

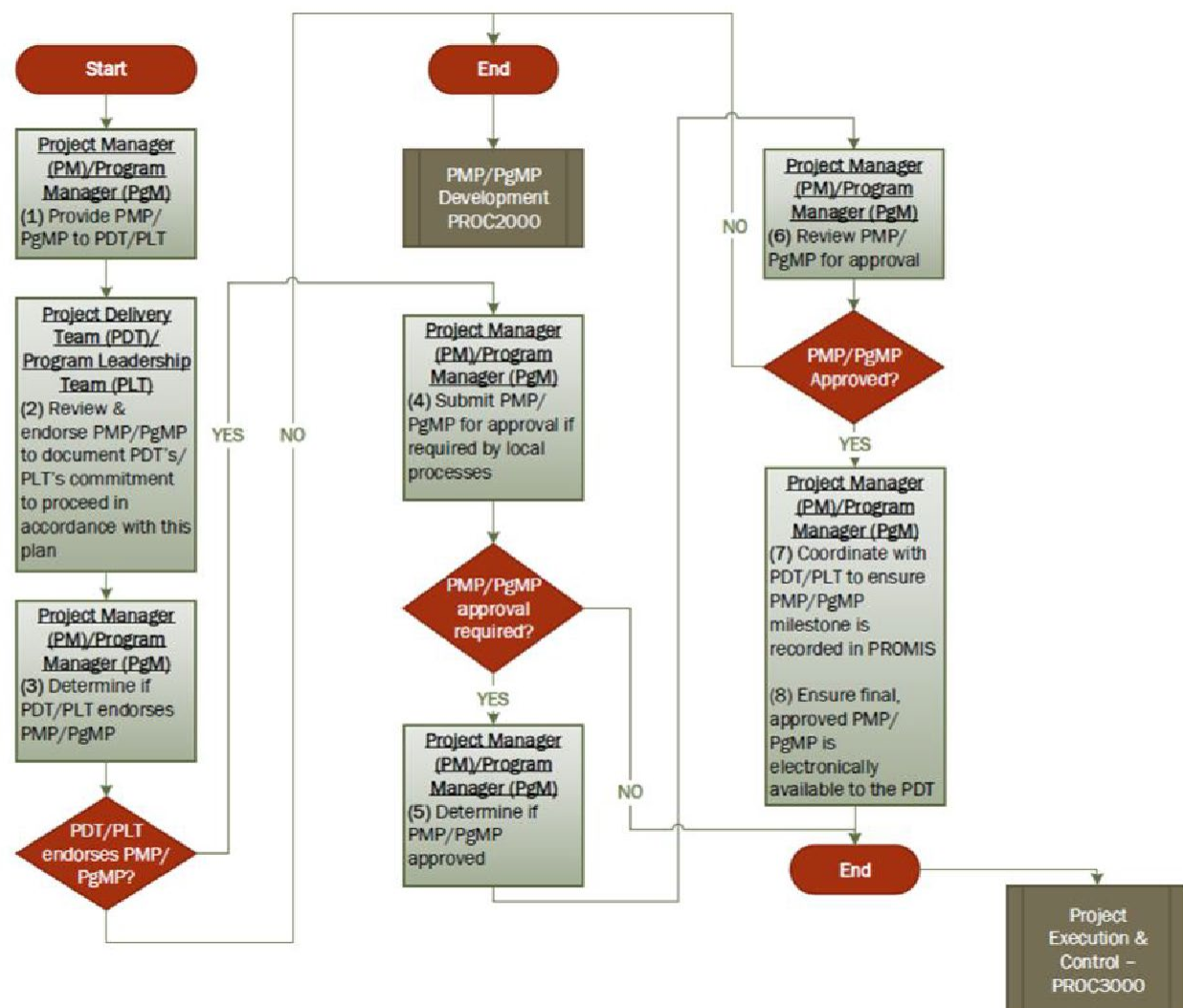


Figure 14-1. PMP/PgMP Approval (PROC2070)

## 14-7. Policy References (See Appendix A)

ER 5-1-11, U.S. Army Corps of Engineers Business Process.

## 14-8. Related Topics

- Change Management (PROC3010).
- PMP/PgMP Development (PROC2000).
- Project Execution and Control (PROC3000).
- PMP Content (REF8005G).
- PgMP Content (REF8028G).

- f. Sustainment, Restoration, and Modernization (SRM) Program-Specific Information (REF8030G).
- g. Program and Project Records Management (PROC6004).

#### **14–9. Distribution**

- a. Project Delivery Team.
- b. Project Manager.
- c. Program Leadership Team.
- d. Program Manager.

### **Chapter 15**

## **Project Execution, Monitor and Control: Project Execution and Control (PROC3000)**

#### **15–1. Scope**

This process describes how projects are executed and monitored per the approved PMP. Quality includes the “Plan-Do-Check-Act” cycle.

#### **15–2. Process Overview**

In an ideal situation, this process is performed after [Project Planning: Project Management Plan/Program Management Plan](#) Development Approval (PROC2070). The PMP ensures mutual understanding of the project by resource providers. If unacceptable delays would occur by waiting for an approved PMP ensure that all resource providers understand what, why and how it impacts them. Per the PMP, project execution will provide the quality measurement as outlined in project goals and expectations, refer to [Reference Documents: Quality Management Plan \(REF8008G\)](#).

- a. Project execution can be managed using earned value principles, refer to [Reference Documents: Earned Value Management \(REF8018G\)](#).
- b. This process describes the steps involved with the execution and control of a project. This addresses, but is not limited to, the receipt of funds, formation of the Project Delivery Team (PDT), change management, After Action Review (AAR)/Lessons Learned and project delivery, refer to [Project Execution, Monitor and Control: After Action Review and Lessons Learned \(PROC3020\)](#).
- c. At the completion of any phase in PROMIS, execute [Closeout: Phase, Project, and Program Closeout \(PROC4000\)](#).
- d. Repeat all the steps in the process until ALL activities are complete.

#### **15–3. End Result**

Upon completion of this process, a project will be completed per the stakeholder requirements as defined in the PMP as well as law and regulation.

#### **15–4. Responsibilities**

- a. The Project Manager is responsible for:
  - (1) Ensuring that current project status is maintained in PROMIS.
  - (2) Managing project funds.

- (3) Ensuring that the corporate AAR/Lessons Learned/best practices databases are reviewed.
- (4) Leading and facilitating the PDT towards effective project execution per the PMP.
  - b. The PDT is responsible for:
    - (1) Delivering quality products and services per the PMP.
    - (2) Updating and reporting status of the activities for which they are responsible for per the PMP.
  - c. The Resource Provider(s) (RP) is responsible for:
    - (1) Ensuring that assigned staff and contractors support the PM and the PDT.
    - (2) Providing technical information, consultation, and advice to the PDT.
    - (3) Providing supervision and oversight of technical products produced by the PDT.
    - (4) Ensuring the quality of the products and services delivered by the PDT.
    - (5) Maintaining the integrity of the PDT.
    - (6) Ensuring execution follows all laws, regulations and USACE policy.
  - d. The Project Scheduler PDT Member (Scheduler) is responsible for:
    - (1) Providing scheduling and budgeting support to the PM and PDT to ensure that updates are incorporated into the project schedule per USACE, regional, and local requirements.
    - (2) Review reports to verify the updates are populated and reporting accurately.
    - (3) *Note:* The above duties cover the roles and responsibilities for the Scheduler who is a PDT member (or the PM (or designee) when fulfilling the Scheduler role).

## 15–5. Process Steps

[Table 15–1](#) details the process steps in PROC3000.

Table 15–1 Project Execution and Control (PROC3000) Process Steps	
Responsible POC	Actions
Project Manager (PM)	<ol style="list-style-type: none"> <li>1. Verify that adequate funds are available to begin/continue execution, and progress project. <b><i>If adequate funds are available, go to #3. Otherwise, go to #2</i></b></li> <li>2. Request funds.</li> <li>3. Determine if additional funds have been received. Even if adequate funds are available for immediate needs, additional funds may still be provided to proceed without being formally requested. Applicable cost share records for Civil Works projects must be maintained in CEFMS II. <b><i>If additional funds have been received, stop and complete <a href="#">Project Initiation: Receipt of Funds (PROC1040)</a>. Otherwise, go to #4.</i></b></li> </ol>
Project Delivery Team (PDT)	<ol style="list-style-type: none"> <li>4. Execute the project per the PMP. The PDT should review the acquisition plan developed in <a href="#">Project Planning: Acquisition Planning (PROC2050)</a>, when executing the project. Checklists for development of acquisition packages based on contract type are available from the District/Center contracting office.</li> </ol>

Responsible POC	Actions
PM	5. Request the PDT provide status of progress of scheduled activities.
PDT	<p>6. Review project activities and funding requirements per the PMP and provide status to the PM.</p> <p>Performance against the project baseline must be continuously monitored so that corrective actions can be taken based on actual performance against the project plan, using earned value principles, refer to <a href="#">Reference Documents: Earned Value Management (REF8018G)</a>.</p> <p>Review PMP, including Change Management, Safety, Communications, Quality, Risk, Acquisition, and Closeout, refer to <a href="#">Operating Processes: Program and Project Records Management (PROC6004)</a>. The PMP will be the continuing vehicle for measuring the quality of a project. Evaluation of quality objectives within the PMP is a continuous activity during project execution, refer to <a href="#">Reference Documents: Quality Management Plan (REF8008G)</a>.</p> <p><b><i>If updating and progressing is required, go to #7. Otherwise, go to #8.</i></b></p>
Project Scheduler PDT Member	7. Update project information and activities, including any known issues in PROMIS.
PDT	8. Notify PM per <a href="#">Reference Documents: Communications Plan (REF8006G)</a> that funding and activities have been reviewed.
PM	<p>9. Generate reports as needed.</p> <p>Activity Issues Log, Earned Value report, Line Item review report, Command Management Review (CMR), etc.</p> <p>10. Analyze project performance against current PMP and communicate results.</p> <p>11. Determine if changes need to be made.</p> <p><b><i>If changes need to be made, stop and complete <a href="#">Project Execution, Monitor and Control: Change Management (PROC3010)</a>. Otherwise, go to #12.</i></b></p>
PDT	<p>12. Continue to execute per the PMP.</p> <p><b><i>If any phase complete, End of activity; go to <a href="#">Closeout: Phase, Project, and Program Closeout (PROC4000)</a>. Otherwise, go to task #1.</i></b></p> <p><b><i>End of activity.</i></b></p>



## 15-6. Process Flowchart

Figure 15-1 and Figure 15-2 show the flowchart for this process.

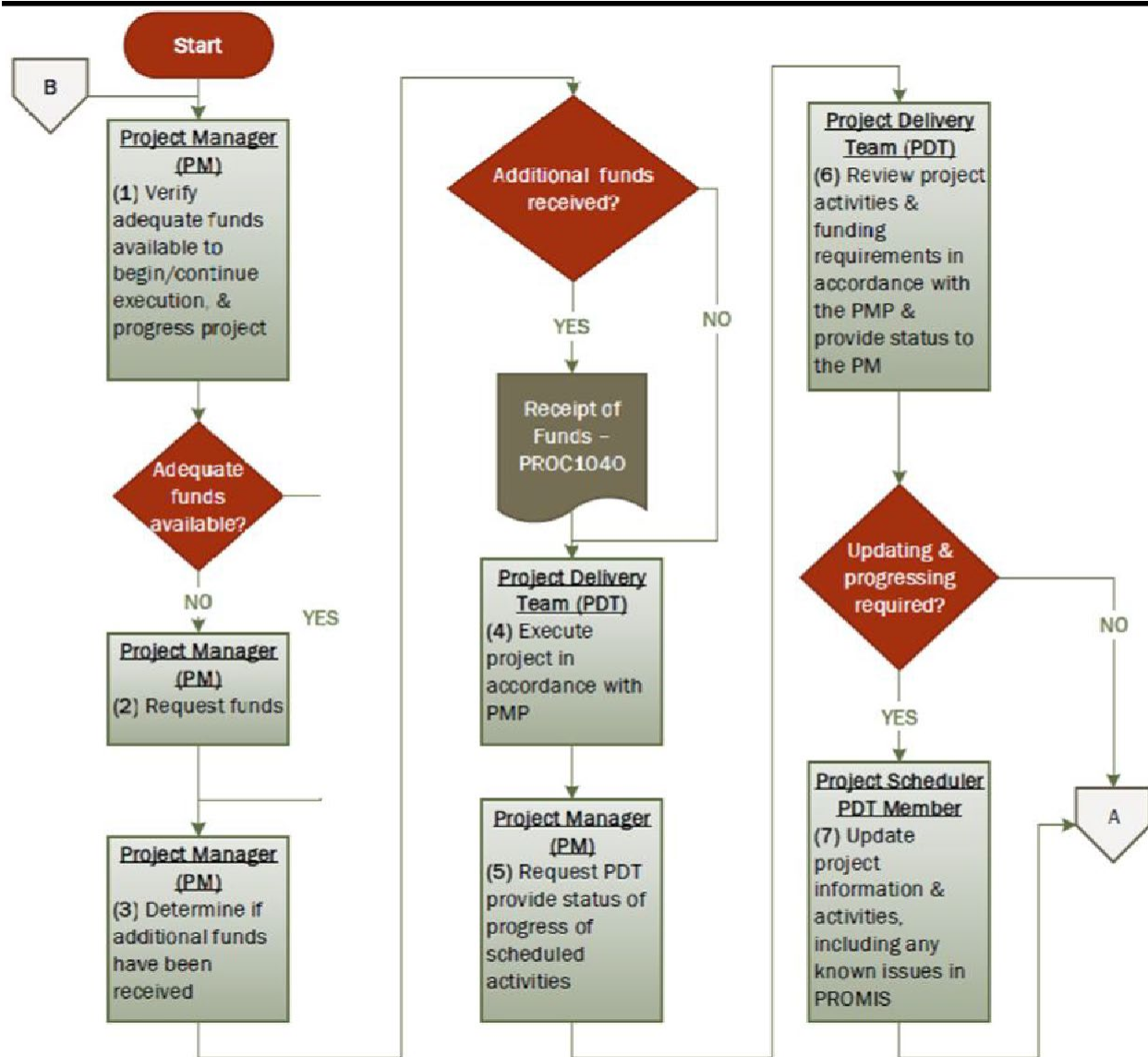


Figure 15-1. Project Execution and Control (PROC3000) (Part a)

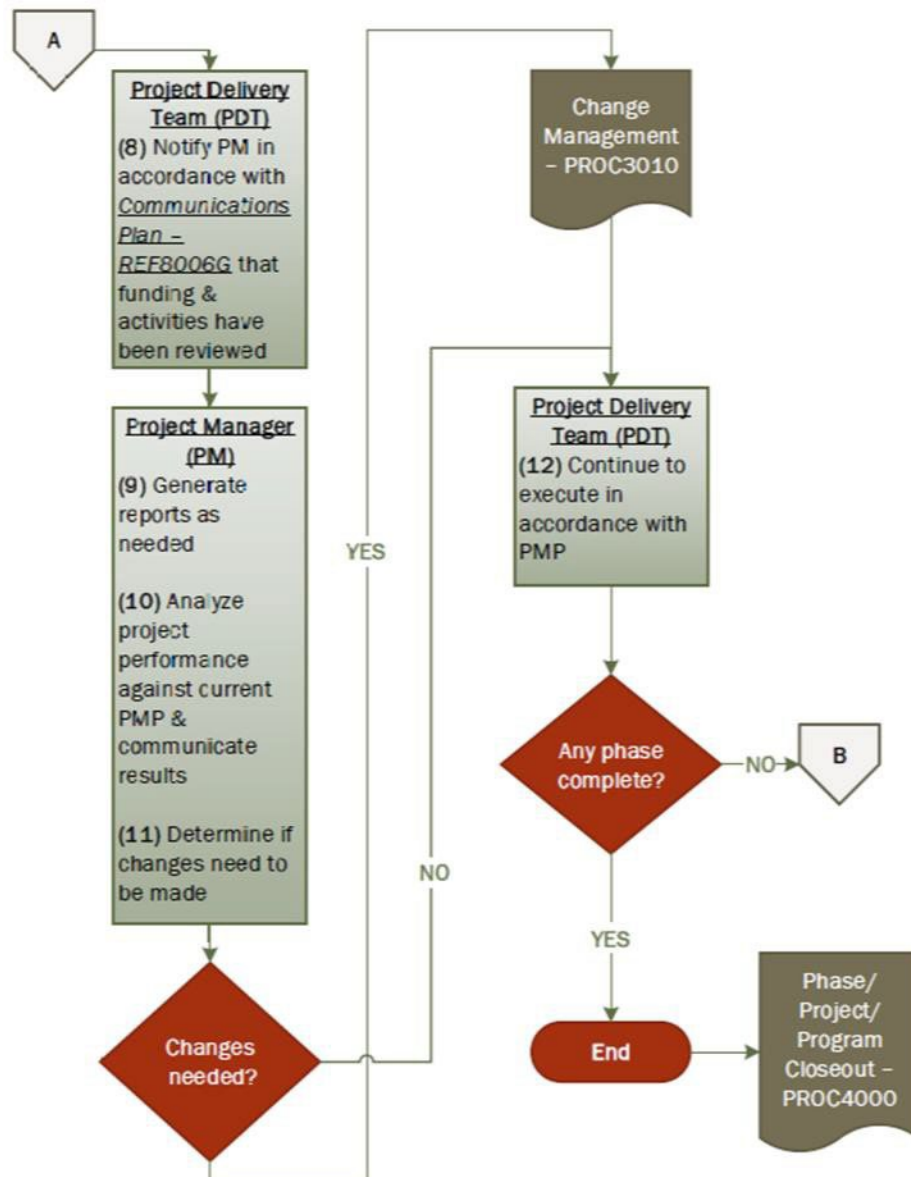


Figure 15–2. Project Execution and Control (PROC3000) (Part b)

#### 15–7. Policy References (See Appendix A)

- a. ER 5–1–11, U.S. Army Corps of Engineers Business Process.
- b. ER 37–2–10, Accounting and Reporting – Civil Works Activities.
- c. ER 37–345–10, Accounting and Reporting – Military Activities.

#### 15–8. Related Topics

- a. Phase, Project, and Program Closeout (PROC4000).
- b. CEFMS II Users Manuals.
- c. Change Management (PROC3010).
- d. Communications Plan (REF8006G).
- e. USACE Command Guidance.

- f. Earned Value Management (REF8018G).
- g. PMP/PgMP Approval (PROC2070).
- h. PMP Content (REF8005G).
- i. PgMP Content (REF8028G).
- j. PMP/PgMP Development (PROC2000).
- k. Quality Management Plan (REF8008G).
- l. Receipt of Funds (PROC1040).
- m. Acquisition Planning (PROC2050).
- n. Resident Management System.
- o. Safety and Occupational Health Plan (REF8016G).
- p. Change Management Plan (REF8009G).
- q. Value Management Plan (REF8023G).
- r. Work Management – Financial Management Interface (REF8014G).
- s. Program and Project Records Management (PROC6004).

#### **15–9. Distribution**

- a. Project Manager.
- b. Project Delivery Team.
- c. Resource Provider.
- d. Project Scheduler PDT Member.

### **Chapter 16**

#### **Project Execution, Monitor and Control: Change Management (PROC3010)**

##### **16–1. Scope**

This process covers how to manage changes to the project's PMP, refer to [Reference Documents: Project Management Plan Content](#) (REF8005G) or [Reference Documents: Program Management Plan Content](#) (REF8028G), within the allowable thresholds established by the project-specific Change Management Plan, refer to [Reference Documents: Change Management Plan \(REF8009G\)](#).

##### **16–2. Process Overview**

This process is performed whenever changes occur to the project. Changes that exceed the established thresholds, as documented in the [Reference Documents: Change Management Plan \(REF8009G\)](#), will also prompt update and re-approval of the PMP, refer to [Project Planning: Project Management Plan/Program Management Plan Development \(PROC2000\)](#) and [Project Planning: Project Management Plan/Program Management Plan Development Approval \(PROC2070\)](#) and any affected constituent plans. The Change Management Plan, included in all PMPs per [Reference Documents: Project Management Plan Content](#) (REF8005G) or [Reference Documents: Program Management Plan Content](#) (REF8028G), will identify the thresholds requiring controlled modification to governing PMPs.

a. Change Management is one of the most important activities undertaken by the Project Delivery Team (PDT). It is the process by which proposed changes in a project are evaluated, agreed upon, documented, and implemented. Approved changes become the basis for adjusting baseline performance measures, and thus impact the previously agreed upon performance metrics and quality objectives established for project success. The PDT must reach agreement on all proposed changes or resolve conflicts per local SOPs.

b. Changes are defined as any update to scope, schedule, budget, or any aspect of the planned execution of a project. As an option, Districts may establish a standard Change Management Plan for all small projects setting thresholds, based on project size and complexity. The thresholds could be different for every project.

### 16–3. End Result

Upon completion of this process, continuous management, and control of approved changes to project scope, schedule and cost will ensure that the PMP remains current throughout the project life cycle.

### 16–4. Responsibilities

a. The Project Manager is responsible for:

(1) Overall project change control, as addressed in the Change Management Plan included in the PMP.

(2) Informing stakeholders when their requests will cause significant scope, schedule, or cost impacts.

(3) Coordinating any changes to the project with the stakeholder and the rest of the PDT, updating the PMP as appropriate.

b. The PDT is responsible for notifying the PM as soon as they become aware of any potential need for modifying or updating the PMP or any of its constituent plans.

c. The Project Scheduler PDT Member (Scheduler) is responsible for:

(1) Providing scheduling and budgeting support to the PM and PDT to ensure that updates are incorporated into the project schedule per USACE, regional, and local requirements.

(2) Reviewing reports to verify the updates are populated and reported accurately.

(3) Integrating every project into a master District overall projects schedule to ensure ability to properly prioritize required work.

(4) *Note:* The above duties cover the roles and responsibilities for the Scheduler who is a PDT member (or the PM (or designee) when fulfilling the Scheduler role).

### 16–5. Process Steps

[Table 16–1](#) details the process steps in PROC3010.

**Table 16–1**  
**Change Management (PROC3010) Process Steps**

Responsible POC	Actions
Project Delivery Team (PDT)	1. Determine if the identified changes have impacted or could potentially impact the project's Baseline PMP.

Responsible POC	Actions
	<p>Change requirements may be generated by stakeholder or contractor requests, identification of regulatory changes, the routine deliberations of the PDT, Resource Provider, or other management request, Lessons Learned actions, corrective/preventive actions taken in the resolution of non-conformances or other sources.</p> <p>2. Determine if the proposed change exceeds the project's existing PMP thresholds.</p> <p>For a definition of threshold, refer to the Acronyms and Glossary section and <a href="#">Reference Documents: Change Management Plan (REF8009G)</a>.</p> <p><b><i>If proposed change exceeds the project's PMP thresholds, go to #7. Otherwise, go to #3.</i></b></p>
<b>Project Scheduler PDT Member</b>	<p>3. Record all changes in PROMIS.</p>
<b>PDT</b>	<p>4. Update project PMP, as applicable.</p> <p>5. Determine if significance of change is applicable for documenting in Lessons Learned.</p> <p>Refer to <a href="#">Project Execution, Monitor and Control: After Action Review and Lessons Learned (PROC3020)</a>.</p> <p><b><i>If documentation needed, stop and complete <a href="#">Project Execution, Monitor and Control: After Action Review and Lessons Learned (PROC3020)</a>. Otherwise, go to #6.</i></b></p> <p>6. Return to <a href="#">Project Execution, Monitor and Control: Project Execution and Control (PROC3000)</a>.</p> <p><b><i>End of activity.</i></b></p>
<b>Project Scheduler PDT Member</b>	<p>7. Create or modify "what if" version of the project in PROMIS.</p> <p>This scenario will reflect the anticipated changes in the proposed revised PMP.</p>
<b>Project Manager (PM)</b>	<p><b><i>Stop and complete <a href="#">Project Planning: Project Management Plan/Program Management Plan Development (PROC2000)</a>.</i></b></p> <p>8. Initiate a Change Request Form and submit for approval per the Change Management Plan.</p> <p>Refer to <a href="#">Reference Documents: Change Management Plan (REF8009G)</a>.</p> <p><b><i>Stop and complete <a href="#">Project Planning: Project Management Plan/Program Management Plan Development Approval (PROC2070)</a>.</i></b></p> <p>Completion of the PMP/PgMP approval process will result in an update of the project data, and an adjustment of Current Approved baseline and project metrics for performance measurement.</p> <p><b><i>If change approved go to #3. Otherwise go to #7.</i></b></p> <p><b><i>End of activity.</i></b></p>

## 16–6. Process Flowchart

[Figure 16–1](#) shows the flowchart for this process.

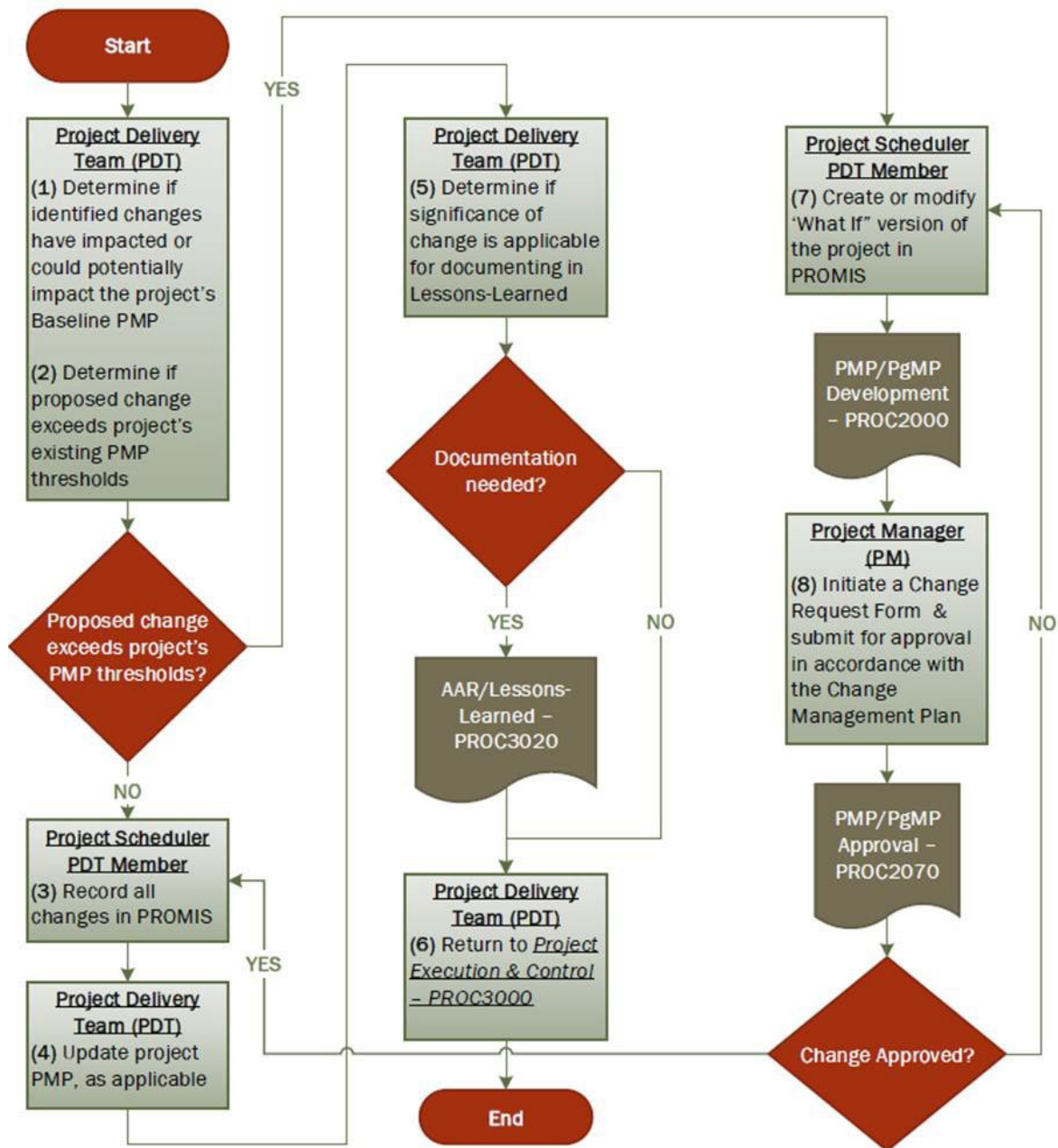


Figure 16–1. Change Management (PROC3010)

### 16–7. Policy References (See Appendix A)

ER 5–1–11, U.S. Army Corps of Engineers Business Process.

### 16–8. Related Topics

- a. Activity/Schedule Development/Maintenance (PROC2030).
- b. Change Management Plan (REF8009G).
- c. Project Scope and Stakeholder Requirements Definition (PROC2010).
- d. Workload Analysis and Resource Leveling (PROC1020).
- e. Earned Value Management (REF8018G).



- f. After Action Review/Lessons Learned (PROC3020).
- g. PMP/PgMP Approval (PROC2070).
- h. PMP Content (REF8005G).
- i. PgMP Content (REF8028G).
- j. PMP/PgMP Development (PROC2000).
- k. Acquisition Planning (PROC2050).
- l. Project Execution and Control (PROC3000).
- m. Resource Estimate Development (PROC2040).
- n. Team Establishment (PROC2020).
- o. Sustainment, Restoration, and Modernization (SRM) Program – Program Specific (REF8030G).

## **16–9. Distribution**

- a. Project Delivery Team.
- b. Project Manager.
- c. Project Scheduler PDT Member.

## **Chapter 17**

### **Project Execution, Monitor and Control: After Action Review and Lessons Learned (PROC3020)**

#### **17–1. Scope**

This process describes the process of conducting an After Action Review (AAR)/Lessons Learned, capturing, documenting, and sharing significant results as AAR/Lessons Learned. Project Delivery Teams (PDTs) should review Lessons Learned at important project milestones before, during, and after execution, refer to [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#).

#### **17–2. Process Overview**

The AAR/Lessons Learned is a quality management process that documents overall performance or level of success achieved on a project or activity throughout its life cycle.

- a. Feedback generated during the AAR/Lessons Learned will determine if quality objectives have been met, identify the root cause(s) of them not being met, and enable development of a strategy to improve performance during ongoing execution of the project. Information gained from AAR/Lessons Learned may be used to raise the level of quality for future projects and activities of a similar nature.
- b. Even though AAR/Lessons Learned are grouped together in this process, it is important to understand not all AARs become official Lessons Learned. AAR/Lessons Learned provide critical feedback to PDT members, Resource Providers, senior leaders, and stakeholders. AAR/Lessons Learned are generally held at the end of each critical phase of a project.

#### **17–3. End Result**

Upon completion of this process, there will be a collection of AAR/Lessons Learned stored in a local central location suitable for sharing across the organization which may

help to improve future project execution and performance, refer to [Operating Processes: Program and Project Records Management \(PROC6004\)](#).

#### 17–4. Responsibilities

a. The Project Manager is responsible for ensuring that all appropriate information is documented, such as:

- (1) Project Phase.
- (2) Project Name.
- (3) Project Description.
- (4) Description of main Issue.
- (5) Date of AAR.
- (6) Participants.
- (7) Additional background.
- (8) Successes.
- (9) Problems/Issues.
- (10) Additional Facts.
- (11) Assumptions.
- (12) Additional Discussion.
- (13) Conclusion and Corrective Action Assignments.
- (14) Following up on After Action items to make sure they are translated into processes, references, etc. for future project development.

b. The PDT is responsible for:

- (1) Comparing planned execution to actual outcomes.
- (2) Determining the reason for change that exceeds thresholds.
- (3) Ensuring that all project participants are encouraged to provide technical recommendations and process improvement feedback relevant to their roles.

#### 17–5. Process Steps

[Table 17–1](#) details the process steps in PROC3020.

**Table 17–1**  
**After Action Review/Lessons Learned (PROC3020) Process Steps**

Responsible POC	Actions
<b>Project Delivery Team (PDT)</b>	<ol style="list-style-type: none"> <li>1. Review Lessons Learned that are relevant to the project prior to initiation of PMP/PgMP development. Refer to <a href="#">Project Planning: Project Management Plan/Program Management Plan Development (PROC2000)</a>.</li> <li>2. Compare actual outcomes to planned execution in the baseline PMP against defined thresholds.</li> <li>3. Determine what went right or wrong during project execution.</li> <li>4. Develop recommendations to improve performance on future projects.</li> </ol> <p>AAR/Lessons Learned can be categorized as either formal or informal. A formal AAR/Lessons Learned is scheduled and resourced in the PMP and facilitated by the PM (or designee). An informal AAR/Lessons Learned requires very little time to prepare and plan. It can be conducted by anyone, for any event, anywhere, anytime.</p>

Responsible POC	Actions
	<p>For an example of AAR/Lessons Learned guidance see Army Training Circular (TC 25–20) at <a href="https://www.acq.osd.mil/dpap/ccap/cc/jcchb/Files/Topical/After_Action_Report/resources/tc25-20.pdf">https://www.acq.osd.mil/dpap/ccap/cc/jcchb/Files/Topical/After_Action_Report/resources/tc25-20.pdf</a>.</p> <p>5. Document the results according to your local Quality Management Plan, refer to <a href="#">Reference Documents: Quality Management Plan (REF8008G)</a>. The documentation should be completed in a timely manner to be shared with other PDTs.</p>
Project Manager (PM)	<p>6. Document Lessons Learned in the required format. Detailed requirements for the Corporate Lessons Learned system(s) (Dr. Checks, etc.) should be documented in the District or MSC. USACE best practice is to follow the four-step approach of: capture, gatekeeping, use, and sun setting. Currently, all functions are required to have some manner of capturing Lessons Learned in a timely fashion, and forwarding them to a gatekeeper, for evaluation and, ultimately, corrective incorporation within policy, Engineer Manuals, etc.</p> <p><b><i>End of activity.</i></b></p>

## 17-6. Process Flowchart

Figure 17-1 shows the flowchart for this process.

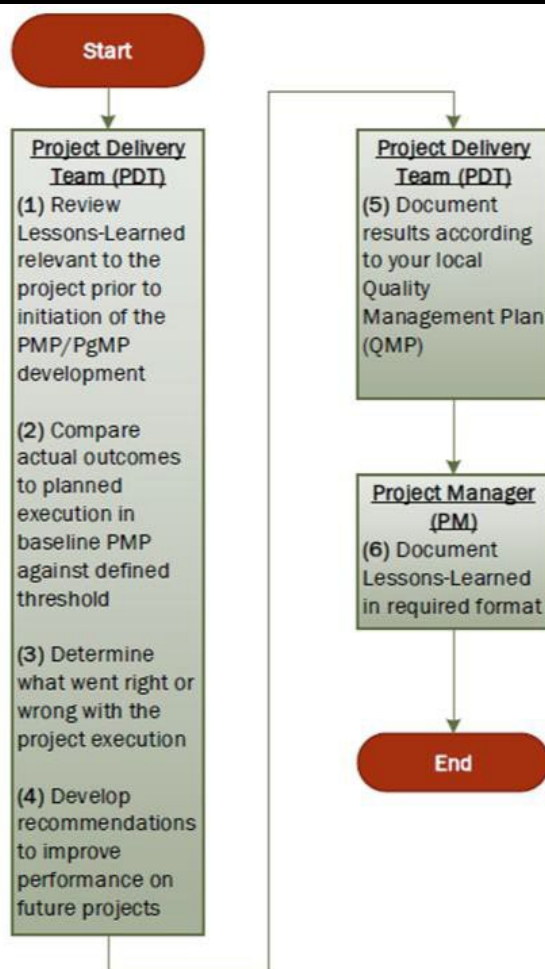


Figure 17-1. After Action Review/Lessons Learned (PROC3020)

## 17-7. Policy References (See Appendix A)

- a. ER 5-1-11, U.S. Army Corps of Engineers Business Process.
- b. ER 1110-1-8159, DR Checks.

## 17-8. Related Topics

- a. Program and Project Records Management (PROC6004).
- b. PMP/PgMP Development (PROC2000).
- c. Project Execution and Control (PROC3000).
- d. Change Management (PROC3010).
- e. Change Management Plan (REF8009G).
- f. Quality Management Plan (REF8008G).

## **17–9. Distribution**

- a. Project Delivery Team.
- b. Project Manager.

## **Chapter 18**

### **Closeout: Phase, Project, and Program Closeout (PROC4000)**

#### **18–1. Scope**

This process covers closeout of phases/products and full project/program completion.

#### **18–2. Process Overview**

This process is performed whenever projects/programs/phases of projects or products are completed or terminated. This includes physical and fiscal completion, asset transfer, final pay request and release of claims, contractor evaluations, transfer of O&M manuals, as-built drawings, and automated information system (AIS) updates (including the financial, contracting, construction, and scheduling systems). This includes partial transfers and incremental project acceptance. This process will help facilitate the on-going closeout of financial accounts and documents during the life of the project/program. The Closeout Checklist series (see [Appendix E](#)) provides a detailed list of all activities required for various administrative and financial processes for phases of the project for all USACE functions. It is critical to ensure sufficient funds remain at the end of the phase or project/program to satisfactorily close it.

#### **18–3. End Result**

At the end of this process, completed phases/project(s) are fiscally and physically closed out, including applicable cost share records for Civil Works projects in CEFMS II.

#### **18–4. Responsibilities**

- a. The Project Manager/Program Manager is responsible for ensuring that all project closeout actions are completed in coordination with the full Project Delivery Team (PDT)/Program Delivery Team (PgDT), while maintaining close coordination with the stakeholder.
- b. The PDT, PgDT is responsible for:
  - (1) Assisting the PM/PgM in project closeout, which includes, but is not limited to, the transfer of property to stakeholder, transfer of property to Placed-in Service, and closeout of project financial cost accounts and completing the Closeout Checklist.
  - (2) Ensuring that necessary closeout documentation (for example, O&M Manual, As-Builts) has been completed and approved.
- c. The Project Scheduler PDT Member (Scheduler) is responsible for updating the PROMIS schedule to reflect completion of activities, including coordination with Construction Office with regards to the Resident Management System (RMS)/Construction Contract activities. *Note:* The above duties cover the roles and responsibilities for the Scheduler who is a PDT member (or the PM (or designee) when fulfilling the Scheduler role).

d. The Program or Budget Analyst (PA/BA) is responsible for financial management of the project, including coordinating Financial Closeout steps with Resource Management Office and Scheduler.

## 18–5. Process Steps

[Table 18–1](#) details the process steps in PROC4000.

Table 18–1

### Phase, Project, and Program Closeout (PROC4000) Process Steps

Responsible POC	Actions
Project Manager/ Program Manager (PM/PgM)	<ol style="list-style-type: none"> <li>1. Determine whether activities represent completion of a product or project phase.</li> </ol> <p><b>Stop and complete <a href="#">Project Execution, Monitor and Control: After Action Review and Lessons Learned (PROC3020)</a>.</b></p> <p><b><i>If Activities represent completion of a product or project phase, go to #2. Otherwise, End of Activity; go to <a href="#">Project Execution, Monitor and Control: Project Execution and Control (PROC3000)</a>.</i></b></p>
Project Delivery Team (PDT), Program Delivery Team (PgDT), Project Scheduler PDT Member	<ol style="list-style-type: none"> <li>2. Complete Administrative Procedure, Real Estate, and PROMIS Steps from the applicable Closeout Checklist tab.</li> </ol> <p>In addition, make sure to complete any local or internal procedures, as applicable.</p>
Program/Budget Analyst	<ol style="list-style-type: none"> <li>3. Complete Financial Procedure steps and CEFMS II steps from the applicable Closeout Checklist tab.</li> </ol> <p>In addition, make sure to complete any local or internal procedures, as applicable.</p> <p><b><i>If activity has an asset work item, go to #4. Otherwise, go to #6.</i></b></p> <ol style="list-style-type: none"> <li>4. Process cost transfer or Placed in Service, per applicable regulations, policies, and local SOPs.</li> <li>5. Complete Cost Share steps from the applicable Closeout checklist tab.</li> </ol>
PM/PgM	<ol style="list-style-type: none"> <li>6. Confirm appropriate checklist(s) is complete.</li> </ol> <p><b><i>If project is complete, go to #7 Otherwise, End of Activity; go to <a href="#">Project Execution, Monitor and Control: Project Execution and Control (PROC3000)</a>.</i></b></p> <ol style="list-style-type: none"> <li>7. Organize records and store/archive properly.</li> </ol> <p>Ensure records are electronically stored per local/program specific processes and legal requirements. These records include such things as project files, technical documents, reports, plans and specifications, financial documents, etc., refer to <a href="#">Operating Processes: Program and Project Records Management (PROC6004)</a>.</p> <ol style="list-style-type: none"> <li>8. Notify the Project Scheduler PDT Member the project is ready to be Closed.</li> </ol> <p><b><i>If the project is no longer going to be used, go to #9. Otherwise, End of Activity; go to <a href="#">Project Execution, Monitor and Control: Project Execution and Control (PROC3000)</a>.</i></b></p>
Project Scheduler PDT Member	<ol style="list-style-type: none"> <li>9. Ensure the project is set to “Approved” status.</li> </ol>



Responsible POC	Actions
	<p>Any project that has been terminated, completed, converted or deauthorized would no longer be used.</p> <ol style="list-style-type: none"> <li>10. Run the Update Actuals process; verify there are no errors in the log. Ensure actuals are reconciled between CEFMS II and PROMIS.</li> <li>11. Verify all WBSs in the project is marked as "Active."</li> <li>12. Mark all activities as "Finished."</li> <li>13. Ensure the "Fiscally Complete" milestone Finish date coincides with the actual finish of the last resourced activity.</li> <li>14. Move the data date in PROMIS to coincide with the Fiscally Complete milestone Finish Date.</li> <li>15. Run the Budget Workflow and Work Item (WI)/Budget Interface; verify there are no errors in the log.</li> <li>16. Check the CEFMS II Budget Inquiry Report and ensure all WIs have an "A" on the finish date.</li> <li>17. Mark all WBS levels as "Inactive."</li> <li>18. Set the project status to the appropriate selection. If the project is terminating, select "Terminated." If the project has been deauthorized, select "Deauthorized." Otherwise, select "Pending Close."</li> <li>19. Run the Project Closeout Report. Check for open CEFMS II WIs and funding accounts. The HQUSACE weekend project closeout process will update the CEFMS II project level WI as completed. If the project status was "Pending Close," this process will set the project workflow status to "Closed."</li> </ol> <p><b><i>End of activity.</i></b></p>

## 18-6. Process Flowchart

Figure 18-1 and Figure 18-2 show the flowchart for this process.

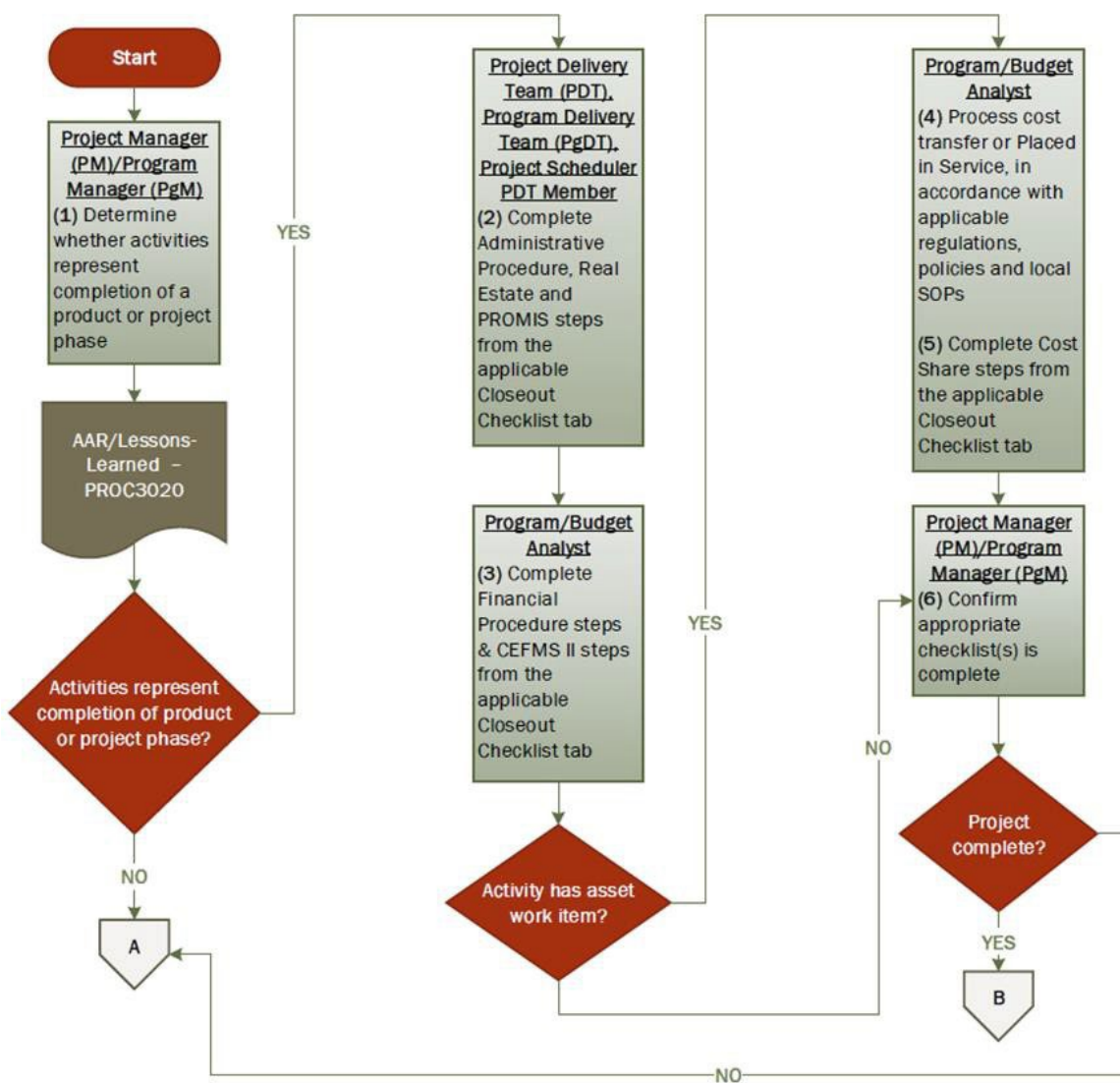
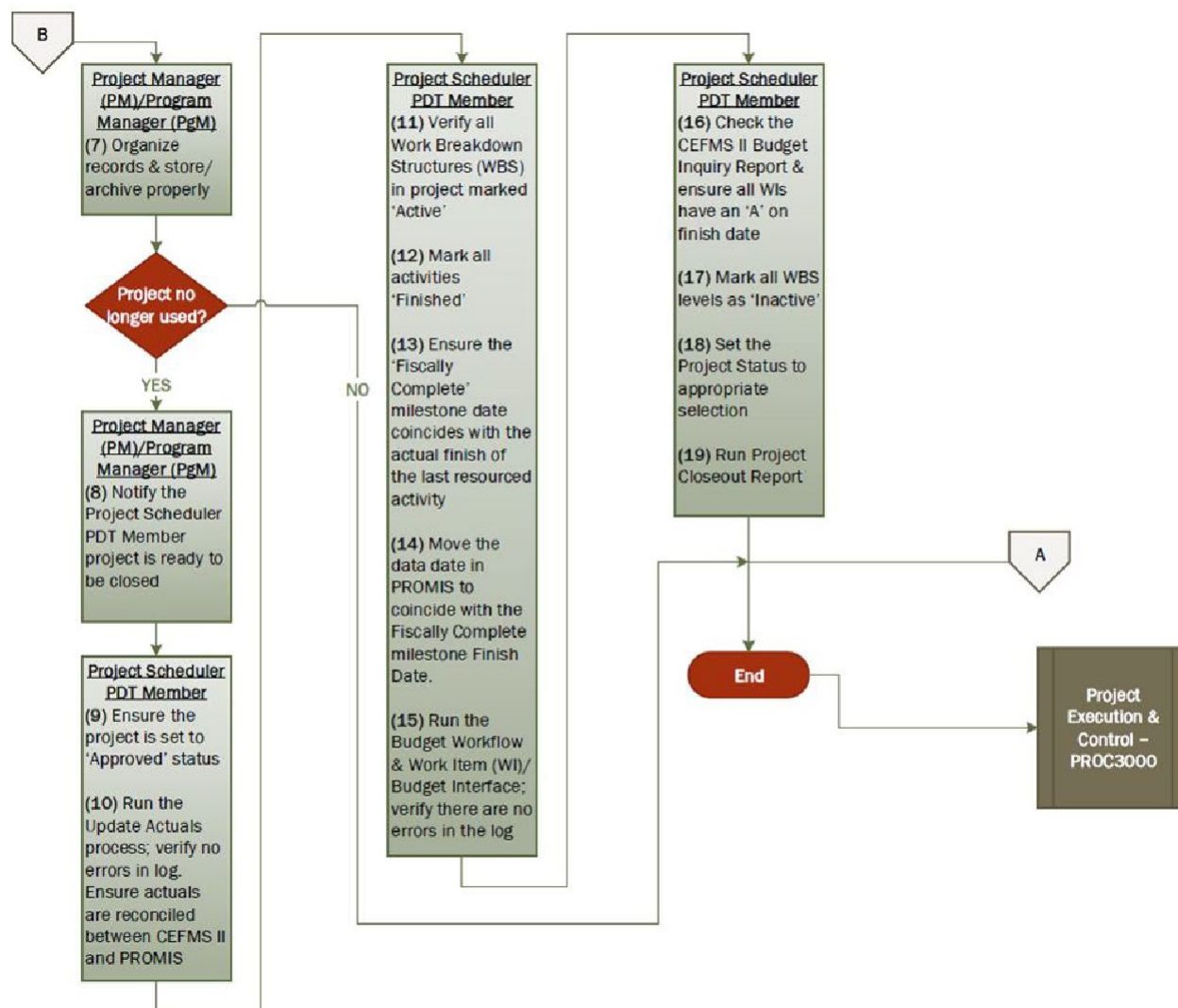


Figure 18-1. Phase, Project, and Program Closeout (PROC4000) (Part a)



**Figure 18–2. Phase, Project, and Program Closeout (PROC4000) (Part b)**

## 18–7. Appendixes

APPENDIX E: Checklist for Phase, Project, and Program Closeout.

## 18–8. Policy References (See Appendix A)

- a. DoD 7000.14–R, Department of Defense Financial Management Regulation, Volume 3, Chapter 8.
- b. DoD 7000.14–R, Department of Defense Financial Management Regulation, Volume 3, Chapter 17.
- c. ER 5–1–11, U.S. Army Corps of Engineers Business Process.
- d. ER 37–1–26, Issuance and Acceptance of Project Orders.
- e. ER 37–1–30, Accounting and Reporting.
- f. ER 415–345–13, Financial Closeout.
- g. ER 415–345–38, Transfers and Warranties.

- h.* ER 1165–2–131, Local Cooperation Agreements for New Start Construction Projects.
- i.* FAR 4.804, Federal Acquisition Regulation, Closeout of Contract Files.

#### **18–9. Related Topics**

- a.* CEFMS II Users Manuals.
- b.* Earned Value Management (REF8018G).
- c.* After Action Review/Lessons Learned (PROC3020).
- d.* Project Execution and Control (PROC3000).
- e.* PMP Content (REF8005G).
- f.* PgMP Content (REF8028G).
- g.* Safety and Occupational Health Plan (REF8016G).
- h.* Work Management – Financial Management Interface (REF8014G).
- i.* Civil Works Program-Specific Information (REF8010G).
- j.* Military Program-Specific Information (REF8011G).
- k.* Resource Estimate Development (PROC2040).
- l.* Program and Project Records Management (PROC6004).
- m.* DD Form 1354 Process.
- n.* Project Closeout Report.

#### **18–10. Distribution**

- a.* Project Delivery Team.
- b.* Program Delivery Team.
- c.* Project Manager.
- d.* Project Manager.
- e.* Project Scheduler PDT Member.
- f.* Resource Management Office.

### **Chapter 19**

#### **Operating Processes: Manpower Requirements (PROC6000)**

##### **19–1. Scope**

This process defines the task for developing manpower requirements data for the determination of Full Time Equivalent (FTE) allocations for the Budget Year (BY) Current Fiscal Year (CFY+1) through the BY plus four (CFY+5).

##### **19–2. Process Overview**

This process is performed annually during the manpower requirements cycle and is initiated upon receipt of the Manpower Requirements guidance.

##### **19–3. End Result**

Upon completion of this process, a defined number of FTEs will be established.

#### **19–4. Responsibilities**

- a. The HQUSACE Resource Management is responsible for:
  - (1) Issuing resource policy and guidance via the USACE Command Guidance (UCG).
  - (2) Providing Manpower Requirements guidance to HQUSACE, MSCs, Centers, and Districts.
  - (3) Providing FTE allocations based on all work requirements, constrained to meet Office of Management and Budget (OMB) and Department of the Army (DA) FTE authorizations.
- b. The Manpower Office is responsible for:
  - (1) Preparing workload reports for review and validation by Program Budget Advisory Committee (PBAC)/Regional Management Board (RMB).
  - (2) Taking appropriate action to modify workload in Oracle Hyperion Planning Plus, Corps of Engineers Manpower Requirements System (OHPP CEMRS), as directed by leadership.
  - (3) Notifying HQUSACE Resource Management of validated workload.
  - (4) Analyzing, consolidating, and providing comments and issues to HQ related to initial allocation.
- c. The PBAC/RMB is responsible for:
  - (1) Validating workload for CFY+1 and beyond.
  - (2) Prioritizing workload to meet organizational goals and manpower requirements guidance.
- d. The Program and Project Managers (PgMs/PMs)\* are responsible for:
  - (1) Ensuring all current and programmed assigned projects are updated in PROMIS with most probable program.
  - (2) Ensuring the manpower and budget estimates are realistic, conservative, and defensible on assigned projects.
- e. The Program, Budget, or Manpower Analysts\* or Schedulers\*\* are responsible for:
  - (1) Identifying and correcting “Rogue” projects on the rogue reports.
  - (2) Ensuring the 7-Digit Organization Codes have been processed and are mapped correctly within PROMIS.
  - (3) Monitor project schedules and analyze OHPP CEMRS data.
  - (4) Work with PMs/PgMs to ensure project schedules are accurate and realistic.
- f. *Note:* The above duties identified with the \* can be done by a District/Lab or Center. The above duties identified with \*\* covers the roles and responsibilities for the Scheduler who is a PDT member (or the PM (or designee) when fulfilling the Scheduler role).

#### **19–5. Process Steps**

[Table 19–1](#) details the process steps in PROC6000.

**Table 19–1**  
**Manpower Requirements (PROC6000) Process Steps**

<b>Responsible POC</b>	<b>Actions</b>
<b>HQUSACE Resource Management</b>	<ol style="list-style-type: none"> <li>1. Release Manpower Requirements Guidance, Fiscal Year 20XX.</li> <li>2. Build multi-dimensional manpower database in OHPP CEMRS.</li> </ol>
<b>Program/Project Manager (PgM/PM)</b>	<ol style="list-style-type: none"> <li>3. Ensure all current and programmed assigned projects are updated in PROMIS with most probable program. Ensure manpower and budget estimates are realistic, conservative, and defensible on assigned projects.</li> </ol>
<b>Program/Budget/Manpower Analysts/Schedulers</b>	<ol style="list-style-type: none"> <li>4. Generate a “Rogue” project report to assist with identifying and correcting “Rogue” projects. A project is identified as “Rogue” when the PROMIS project schedule details fall outside the “norms,” which means that it potentially does not accurately reflect workload requirements.</li> <li>5. Ensure 7-Digit Organization Codes have been processed and are mapped correctly within PROMIS. This is done per Enterprise Standard 11008, USACE Reorganizations Business Process.</li> <li>6. Monitor project schedules, analyze OHPP CEMRS data, and work with PMs/PgMs to ensure project schedules are accurate and realistic.</li> </ol>
<b>HQUSACE, MSC, Center, Lab, District Manpower Officer</b>	<ol style="list-style-type: none"> <li>7. View manpower data from PROMIS in OHPP CEMRS. At a designated time, this data will be pulled into the Adjustment Cubes for further evaluation. This includes reviewing/validating/submitting changes to the mapping tables.</li> <li>8. Prepare manpower reports for validation by leadership.</li> </ol>
<b>Program Budget Advisory Committee (PBAC), Regional Management Board (RMB)</b>	<ol style="list-style-type: none"> <li>9. Review and validate workload information to conform to organizational goals. <b><i>If validated, go to #12. Otherwise, go to #10.</i></b></li> <li>10. Prioritize workload to meet organizational goals and manpower guidance.</li> </ol>
<b>HQUSACE, MSC, Center, District Manpower Officer</b>	<ol style="list-style-type: none"> <li>11. Take appropriate action to modify workload in OHPP CEMRS, as directed by leadership. This will include the rounding and smoothing of the data in the Adjustment Cubes.</li> <li>12. Notify HQUSACE Resource Management of validated workload. <b><i>If Manpower Officer at MSC or HQUSACE, go to #13. Otherwise, go to #7.</i></b></li> </ol>
<b>HQUSACE Resource Management</b>	<ol style="list-style-type: none"> <li>13. Review validated workload in OHPP CEMRS.</li> <li>14. Compare CFY+1 FTE requirements with OMB and DA authorizations. <b><i>If FTE requirements are within authorizations, go to #17. Otherwise, go to #15.</i></b></li> <li>15. Create USACE-wide averages for use with manpower model.</li> </ol>



Responsible POC	Actions
	<p>16. Constrain CFY+1 workload data using manpower modeling tool to bring CFY+1 FTE requirements within authorizations.</p> <p>17. Notify HQUSACE, MSC, Districts, Centers of CFY+1 Initial Allocations via USACE Command Guidance (UCG).</p>
<b>HQUSACE, MSC, Center, Lab, District Manpower Officer</b>	<p>18. Review CFY+1 Initial allocation and provide reclama, if required.</p>
<b>HQUSACE Resource Management</b>	<p>19. Make adjustments to CFY+1 allocations where required.</p> <p>20. Send CFY+1 final allocation to Commanders of HQUSACE, MSCs, Centers, Districts via the UCG.</p> <p>21. Defend manpower requirements to OMB/DA.</p> <p>For the purpose of addressing manpower requirements beyond the CFY+1, HQ prepares CFY+2 thru CFY+5 Civil Works data for submission to OMB and CFY+3 thru CFY+5 military data for submission in the Program Objective Memorandum (POM) process.</p> <p><b><i>Stop and complete <a href="#">Project Execution, Monitor and Control: After Action Review and Lessons Learned (PROC3020)</a>.</i></b></p> <p><b><i>End of activity.</i></b></p>

## 19-6. Process Flowchart

Figure 19-1 and Figure 19-2 show the flowchart for this process.

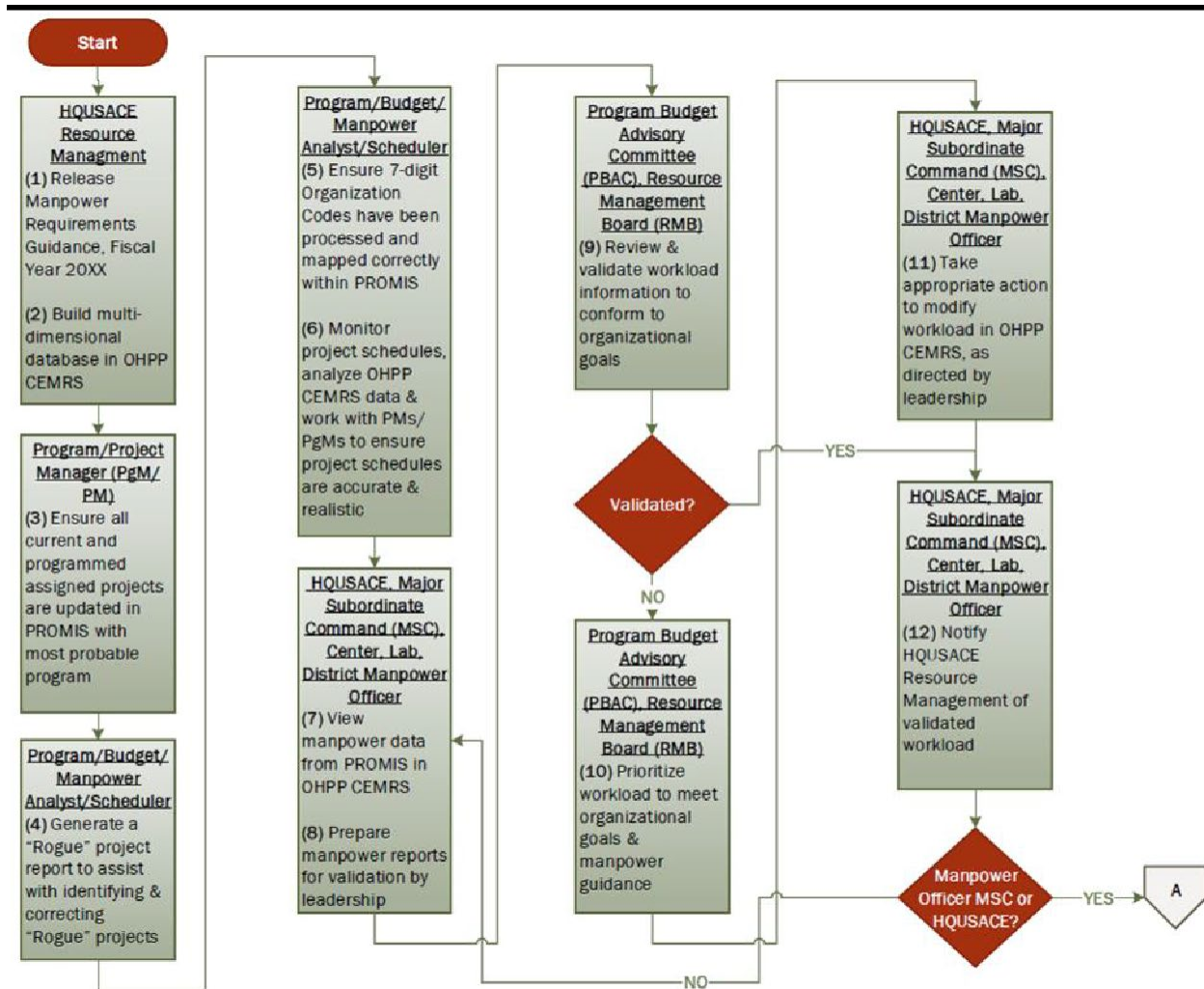


Figure 19-1. Manpower Requirements (PROC6000) (Part a)

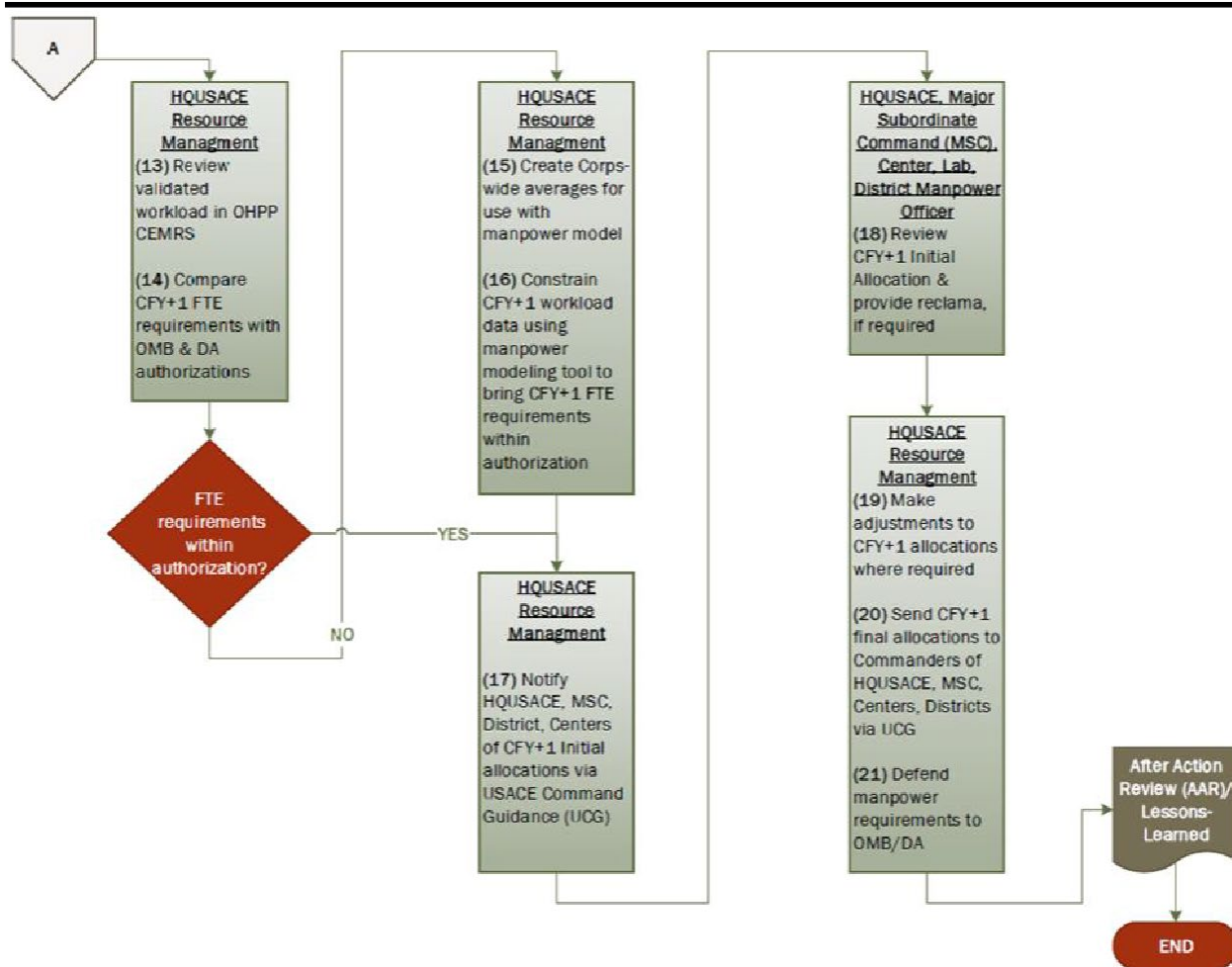


Figure 19–2. Manpower Requirements (PROC6000) (Part b)

### 19–7. Policy References (See Appendix A)

- a. ER 5–1–11, U.S. Army Corps of Engineers Business Process.
- b. EP 37–1–5 Budget and Manpower Resource Management Cycle.
- c. USACE Command Guidance.

### 19–8. Related Topics

Civil Works Program and Budget Cycle (PROC7000).

### 19–9. Distribution

- a. HQUSACE Resource Management.
- b. HQUSACE, MSC, Center, District Manpower Officer.
- c. Program Budget Advisory Committee.
- d. Resource Management Board.
- e. Project Manager.
- f. Program Manager.
- g. Program Analyst.

- h.* Budget Analyst.
- i.* Project Scheduler PDT Member.

## **Chapter 20**

### **Operating Processes: Operating Budget (PROC6001)**

#### **20–1. Scope**

This process covers the development, preparation, and execution of operating budgets.

*a.* The Operating Budget is a formal, written plan that aligns the operating/mission requirements with the funding sources of an organization. Operating Budget Guidance includes Mission statement, Commander's objectives and priorities, information on proposed organizational changes, information on all pertinent USACE Command Guidance (UCG) targets, limitations and controls, and Regional Management Board (RMB) Guidance. It also provides instructions on formulating in-house labor base, published CEFMS II systems changes, projected effective, departmental overhead and General and Administrative (G&A) rates, projected facility account distributions and other financial guidance needed to formulate an operating budget.

*b.* An operating budget serves as a tool for organizations (for example, support services, departmental overhead) to manage obligations and expenditures and the ability to direct and control and plan, organize and staff their organization against approved funding levels to accomplish their mission. The Operating Budget will reflect three fiscal years.

#### **20–2. Process Overview**

This process is performed as required; the initial phase usually begins in the 3rd quarter of the Current Fiscal Year (CFY) for the subsequent fiscal year.

*a.* Resource Management Office (RMO) will publish required documentation. PMs/PgMs ensure that projected work and resource estimates, at an appropriate level of detail, are entered into PROMIS. This will include future year information (detailed in [Reference Documents: Project Management Plan Content](#) (REF8005G)). Resource Providers review the projected workload and income as represented by direct, indirect labor, and overhead burden as applicable to their respective organizational elements and balancing staffing to meet requirements, refer to [Project Initiation: Workload Analysis and Resource Leveling \(PROC1020\)](#). The Operating Budget is compared to the income projection.

*b.* For more information on the phases of the three-year Operating Budget cycle, see the Operating Budget Three-Year Process information in [Reference Documents: Resource Forecast Analysis Annual Schedule](#) (REF8002G).

#### **20–3. End Result**

Upon completion of this process, a three-year Operating Budget will be approved.

#### **20–4. Responsibilities**

*a.* The Commander is responsible for issuing guidance and approving or disapproving the Operating Budget.

*b.* The RMO is responsible for:

- (1) Developing and overseeing the Operating Budget.
- (2) Working with the DPM, or equivalent to verify income projections.
- (3) Publishing Operating Budget data call.
- c. The Office Representative is responsible for working with the RMO to develop rates, monitor budgets, advise of workload changes, and ensure income forecasts are reasonable and dependable.
- d. The Program Budget Advisory Committee (PBAC) is responsible for reviewing and obtaining approval of the recommended budget.
- e. The Program Delivery Team (PgDT) is responsible for:
  - (1) Executing the budget
  - (2) Monitoring the performance and management of their organization's budget; these PgDT members will normally be individuals often referred to as a Director, Office Chief, Resource Provider, or Program Manager.

## 20–5. Process Steps

[Table 20–1](#) details the process steps in PROC6001.

<b>Table 20–1 Operating Budget (PROC6001) Process Steps</b>	
<b>Responsible POC</b>	<b>Actions</b>
<b>Commander</b>	1. Issue command guidance. The Commanders identify targets and limitations. Some targets are within the Commander's purview; others may be dictated by USACE, the MSC Commander, or the RMB.
<b>Resource Management Office (RMO)</b>	2. Publish the budget call letter and distribute to all office chiefs and PBAC members.
<b>Office Representative</b>	3. Formulate the budget. This is the initial phase of the Operating Budget process and usually begins in the 3rd quarter of the CFY for the subsequent FY. The formulation process will begin with establishing initial planning rates and determining effective rates for both the CFY+1 and CFY+2 years, according to the Command Operating Budget (COB) Guidance and the USACE Command Guidance (UCG). Operating Budgets will be developed to achieve the Total Labor Multiplier (TLM) and G&A rates as outlined in the UCG. Command workload (contract and in-house) projections are derived from program and project data and entered in PROMIS.
<b>RMO</b>	4. Review and analyze the budget. Check for reasonableness, accuracy, valid assumptions, and past performance. Meet with offices to review the initial budget requests and coordinate with them any changes to this input, as required to meet mission and UCG goals. Validate rates for departmental overhead, G&A, facility accounts and plant accounts to gauge their appropriateness and reasonableness.

Responsible POC	Actions
	<p>Compile a proposed budget, identify the impact of alternatives to the proposed budget, make recommendations, and present the proposed budget to the PBAC.</p> <p><b><i>If budget is less than or equal to projected revenue/income, go to #5. Otherwise, go to #3.</i></b></p>
<b>Program Budget Advisory Committee (PBAC)</b>	<p>5. Review and obtain approval of recommended budget.</p> <p>The PBAC will review the proposed budget and alternatives and will obtain approval of a recommended budget. The PBAC may identify unfinanced requirements, to include by-item cost estimates and justifications. The PBAC reviews and recommends significant changes to the Commander for approval.</p> <p><b><i>If budget is recommended, go to #6. Otherwise, go to #3.</i></b></p>
<b>Commander</b>	<p>6. Approve or disapprove Operating Budget prior to beginning of the CFY+1.</p> <p>The RMO presents the PBAC recommended budget for the entire organization and alternatives for final Command approval. The approved Operating Budget is made available for execution in CEFMS II, refer to Operating Budget section of the CEFMS II User's Manuals for more information. Commander's approval of organizational budgets will trigger release of funding to support service organizations.</p> <p>District operating budgets are sent to their RMB for review and recommendation for approval from the MSC Commander, as required by local SOPs. Centers, MSC, and HQ are reviewed by PBAC.</p> <p>In the event regional efforts have not developed an income proposal that is sufficient to meet baseline resource requirements, the Commander must develop an action plan and provide it to the next-higher commander.</p> <p><b><i>If budget approved, go to #7. Otherwise, go to #3.</i></b></p>
<b>RMO</b>	7. Release funding to support elements through CEFMS II.
<b>Program Delivery Team (PgDT)</b>	8. Execute the budget. PgDTs execute per the approved operating budget.
<b>RMO, Office Representative</b>	9. Monitor the budget/mid-year review via reports from CEFMS II. CEFMS II reports will be used to monitor execution of Operating Budgets. The RMO provides monthly execution reports and analysis to All Offices. As a minimum, a mid-year review will be completed.
<b>RMO, Office Representative, PBAC</b>	<p>10. Adjust the budget.</p> <p>Significant operating budget changes identified during the monitoring stage will be summarized and presented to the PBAC for review and the Commander for approval. Changes to program and project schedules entered in the PROMIS/CEFMS II will be adjusted in the operating budget as they occur, refer to Operating Budget section of the CEFMS II User's Manuals for more information.</p> <p><b><i>If end of Fiscal year, go to #11. Otherwise, go to #8.</i></b></p>
<b>RMO</b>	<p>11. Close out the current fiscal year operating budget per the COB guidance.</p> <p><b><i>End of activity.</i></b></p>



## 20-6. Process Flowchart

Figure 20-1 shows the flowchart for this process.

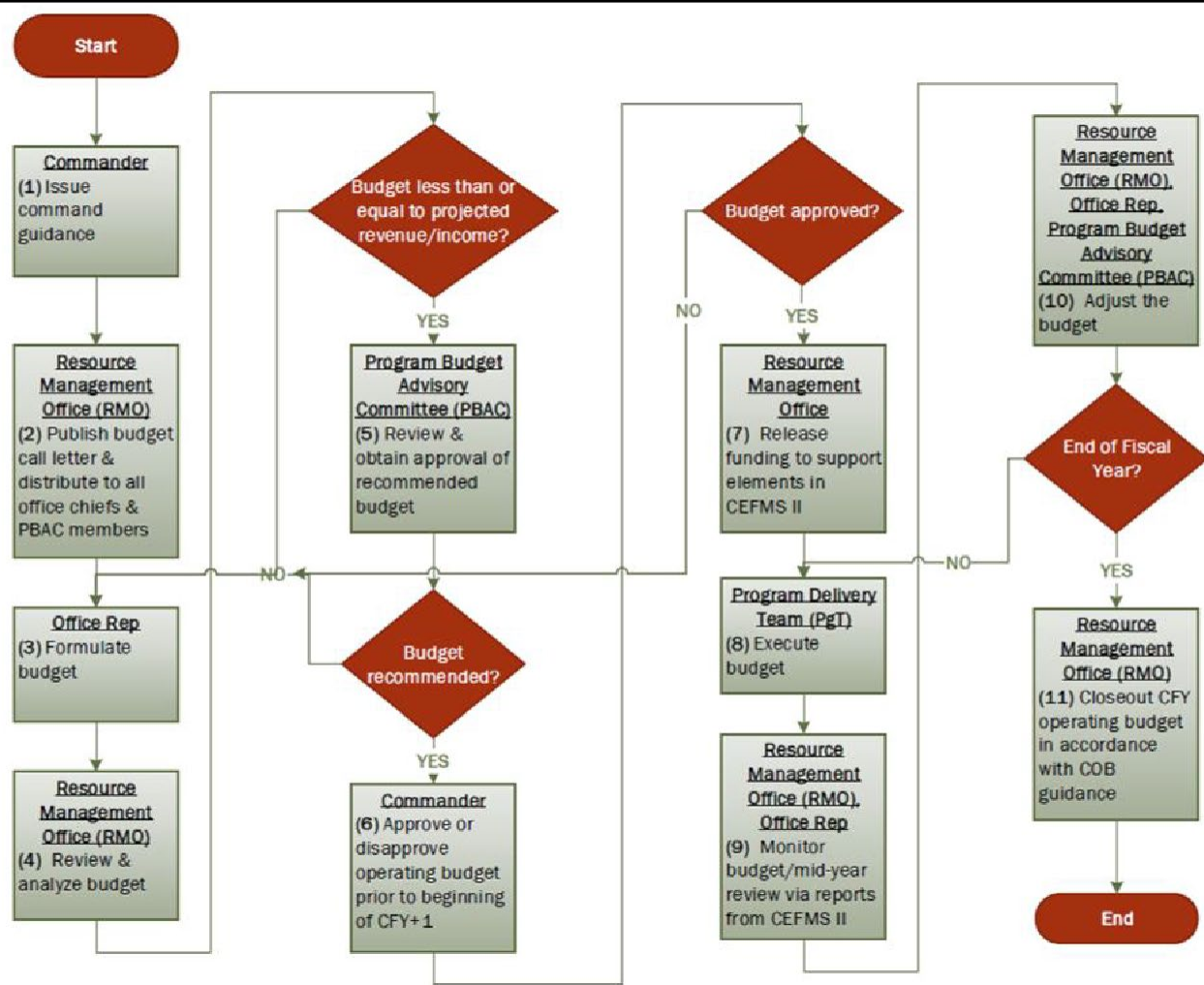


Figure 20-1. Operating Budget (PROC6001)

## 20-7. Policy References (See Appendix A)

- ER 5-1-11, U.S. Army Corps of Engineers Business Process.
- EP 37-1-3, Budget Officer's Handbook.
- ER 37-1-24, Operating Budgets.
- USACE Command Guidance.

## 20-8. Related Topics

- Workload Analysis and Resource Leveling (PROC1020).
- PMP Content (REF8005G).
- Resource Forecast Analysis Annual Schedule (REF8002G).
- CEFMS II Users Manuals.

## **20–9. Distribution**

- a. Commander.
- b. Deputy for Programs and Project Management.
- c. Office Representative.
- d. Program Budget Advisory Committee.
- e. Program Delivery Team.
- f. Project Manager.
- g. Program Manager.
- h. Resource Management Office.

## **Chapter 21**

### **Operating Processes: Regional Overall Acquisition Strategy (PROC6002) (Retired)**

As a “retired” process, this chapter is no longer relevant, or its content was absorbed into another process or reference chapters within this manual.

## **Chapter 22**

### **Operating Processes: Regional Business Center Workload Analysis and Resource Leveling (PROC6003)**

#### **22–1. Scope**

- a. This process covers the general method by which the Regional Management Board (RMB) and Business Management Division (BMD), in conjunction with the Resource Management Office (RMO), accomplish workload analysis and resource leveling.
- b. This process does not cover workload analysis and resource leveling at the project level. For that information, refer to [Project Initiation: Workload Analysis and Resource Leveling \(PROC1020\)](#).

#### **22–2. Process Overview**

- a. This process is performed on a quarterly basis, at the regional level, to address management and information requirements, as described in the [Reference Documents: Resource Forecast Analysis Annual Schedule \(REF8002G\)](#).
- b. Quarterly triggers for action on out-of-balance resourcing are shown in the Quarterly Trigger Values Chart contained in [Reference Documents: Standard Computations for Workload Analysis and Resource Leveling \(REF8001G\)](#). Information in the reports utilized by the BMD and RMB will come from data contained in PROMIS. A truly accurate portrayal of the workload will only be available when all resource estimates for the organization are entered into PROMIS.

#### **22–3. End Result**

Upon completion of this process, an evaluation of workload analysis and resource leveling will be performed at the regional level.

#### **22–4. Responsibilities**

a. The BMD is responsible for executing the PROMIS Resource Forecasting Analysis and advising the RMB on workload-related problems in the Regional Business Center (RBC), in conjunction with the RMO and other functional areas.

b. The RMO is responsible for advising the RMB on workload-related problems in the RBC, in conjunction with the BMD and other functional areas.

c. The RMB is responsible for:

(1) Evaluating MSC functional workload information from PROMIS.

(2) Developing workload management and capable workforce requirements for the region, based on District resource data as required to support operational and strategic planning.

(3) Running the default PROMIS report will be based on forecasted workload and resource conflicts outside of the Quarterly Trigger Values Chart limits contained in [Reference Documents: Standard Computations for Workload Analysis and Resource Leveling \(REF8001G\)](#).

(4) Focusing on future year forecasts for executing the PROMIS Resource Forecasting Analysis Report.

(5) Advising the Commander on workload-related problems.

#### **22–5. Process Steps**

[Table 22–1](#) details the process steps in PROC6003.

**Table 22–1**  
**Regional Business Center Workload Analysis and Resource Leveling (PROC6003) Process Steps**

Responsible POC	Actions
<b>Business Management Division (BMD)</b>	<ol style="list-style-type: none"> <li>1. Execute PROMIS Resource Forecasting Analysis Report.</li> <li>2. Evaluate results in conjunction with Resource Management and other functional areas as needed.</li> <li>3. Advise RMB.</li> <li>4. Develop and maintain Regional Plan that addresses long-term command strategies.  Detailed analysis is only conducted for Current Fiscal Year (CFY), CFY+1, and CFY+2. Long-term estimates of future workload for CFY+3 through CFY+5 will be evaluated using PROMIS analysis tools. Other considerations include history of Congressional Adds, the overall USACE Strategic Vision, and policy initiatives.</li> </ol>
<b>Regional Management Board (RMB)</b>	<ol style="list-style-type: none"> <li>5. Determine impacts on future years work execution using latest performance data. Refer to Quarterly Trigger Values Chart contained in <a href="#">Reference Documents: Standard Computations for Workload Analysis and Resource Leveling (REF8001G)</a>.  <b><i>If actions are necessary to resolve problems, go to #6. Otherwise, end of activity.</i></b></li> <li>6. Develop, evaluate, and recommend options to MSC commander such as staff adjustments, changing responsibilities, creation of centers of expertise, workload sharing, etc. Regional decisions may include RMB-to-RMB discussions.  <b><i>End of activity.</i></b></li> </ol>

## 22-6. Process Flowchart

Figure 22-1 shows the flowchart for this process.

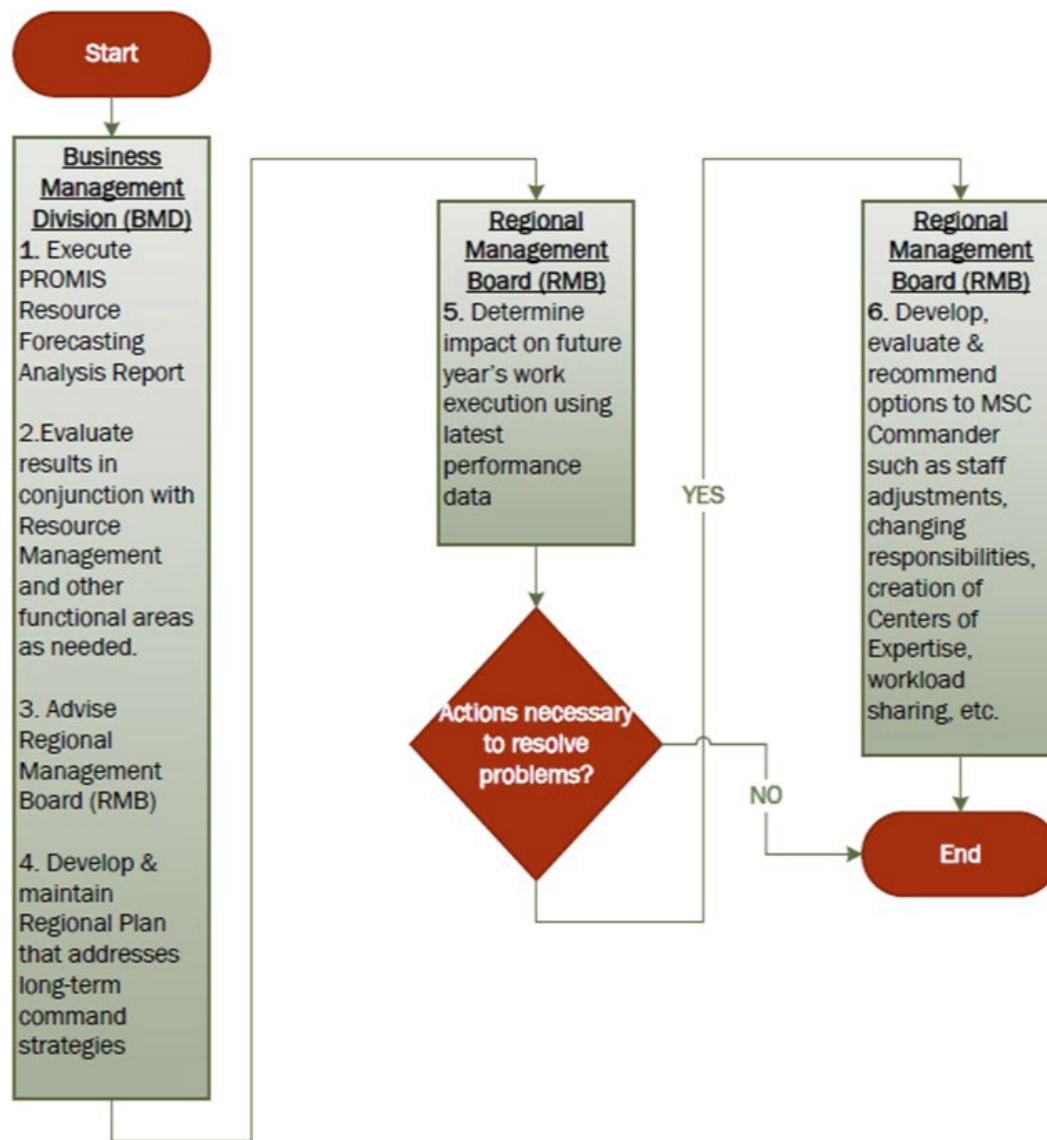


Figure 22-1. Regional Business Center Workload Analysis and Resource Leveling (PROC6003)

## 22-7. Policy References (See Appendix A)

- a. ER 5-1-11, U.S. Army Corps of Engineers Business Process.
- b. USACE Command Guidance.

## 22-8. Related Topics

- a. Resource Forecast Analysis Annual Schedule (REF8002G).
- b. Standard Computations for Workload Analysis and Resource Leveling (REF8001G).
- c. Workload Analysis and Resource Leveling (PROC1020).

## **22–9. Distribution**

- a. Business Management Division.
- b. Regional Management Board.
- c. Resource Management Office.
- d. Regional Business Center.

## **Chapter 23**

### **Operating Processes: Program and Project Records Management (PROC6004)**

#### **23–1. Scope**

This process sets forth the responsibilities, procedures and guidance governing the implementation of the life-cycle management of Program and Project official records. Each Program or Project Manager must develop and maintain a documented plan to define the controls required for the identification, storage, retrieval, retention (how long to keep it), and disposition (when to give it away) of Program and Project records. Records must remain legible, readily identifiable, and retrievable until the time of disposition.

#### **23–2. Process Overview**

This process is performed to properly manage Program and Project records from its creation through final disposition per Army Regulation (AR) 25–400–2 [https://armypubs.army.mil/epubs/DR\\_pubs/DR\\_a/pdf/web/ARN22388\\_R25\\_400\\_2\\_Admin\\_FINAL.pdf](https://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/ARN22388_R25_400_2_Admin_FINAL.pdf) (current edition). Per AR, if permanent and temporary records are in paper, they should be migrated to electronic records. OMB Memo 19–21 states the National Archives and Records Administration’s (NARA) acceptance of paper records will no longer be accepted after 31 December 2022.

- a. The records management plan should be focused on the management of short-term, long-term, and permanent records, and can be categorized in the following way:
  - (1) Short term:
    - (a) Working documents – these are still records just considered temporary and being accessed on a regular basis until no longer of use.
    - (b) Draft documents – those versions which will become finalized by signature or approval memo.
    - (c) Working documents versus published documents.
  - (2) Long term (while project is active, including O&M):
    - (a) Signed project documents, significant emails, signed memos and agreements.
    - (b) Retained draft documents where substantive changes occurred (reviews) especially for historians (different record/retention numbers).
    - (c) Latest Reference materials and books in formally organized and officially designated libraries (electronic or physical).
    - (d) Physical or electronic signature.
    - (e) Final approved document (with approval designated by ...) will be those on which the project is based (for example, reports, designs, contracts, work orders, statements of work, drafting blueprints).



(3) Permanent (project finalized, all actions closed, long-term monitoring is closed, is inactive and not coming back). Move to Army Records Information Management System (ARIMS) <https://www.arims.army.mil/arims/default.aspx> per AR 25-400-2.

b. *Note:* The local Records Coordinator must assist in identifying the records to upload into ARIMS.

### **23-3. End Result**

Upon completion of this process:

a. The location of the official Program or Project file(s) for each category (Short Term, Long Term, Permanent) is defined in the PMP or PgMP and communicated to all Project Delivery Team (PDT) members.

b. Retention and disposition dates are determined according to AR 25-400-2 and applied to all electronic records via Record Management metadata fields in any automated information system (AIS) used to conduct the business mission.

c. Identification of the Program or Project records required to be maintained has occurred, and those documents are maintained according to AR 25-400-2.

### **23-4. Responsibilities**

a. The PDT member is responsible for:

(1) Identifying official records and storing the records in the official Program/Project file storage, including ARIMS.

(2) Reaching out to your local Records and Information management Specialist (RIMS) or your office Records Coordinator (RC) for assistance as needed, including request for sample Office Records List (ORL) list by document type.

(3) Assisting the PM/PgM in identifying official records required to be maintained.

(4) Notifying the appropriate PM/PgM when records are stored in the file, especially when moving files from network drives to AIS/Enterprise Information System.

(5) *Note:* Records should be saved on network drives not hard drives before transfers to ARIMS/Army Electronic Archive (AEA) to prevent loss of data.

b. The Program/Project Manager, or designated representative, is responsible for:

(1) Creating and designating the official Program/Project file location(s).

(2) Including the plan for records management in the PMP/PgMP.

(3) Working with the PDT to identify records to be maintained.

(4) Updating retained files/documents to current file types.

(5) Assigning retention and disposition dates to the documents in the official project file according to AR 25-400-2.

(6) Disposing of records per AR 25-400-2.

(7) Communicating the records requirements to the PDT.

c. The Records and Information Management Specialist (RIMS)/Records Coordinators (RC) is/are responsible for:

(1) Assisting the PDT in determining the retention and disposition dates of each document in the official project file according to AR 25-400-2.

(2) Assigning document numbers.

(3) Serving as a member of the PDT.



- (4) Creating an ORL in ARIMS per Department of the Army Pamphlet (DA PAM) 25–403.
- (5) Transferring analog records to Federal Records Centers (FRC).
- (6) Uploading e-records to ARIMS/AEA.

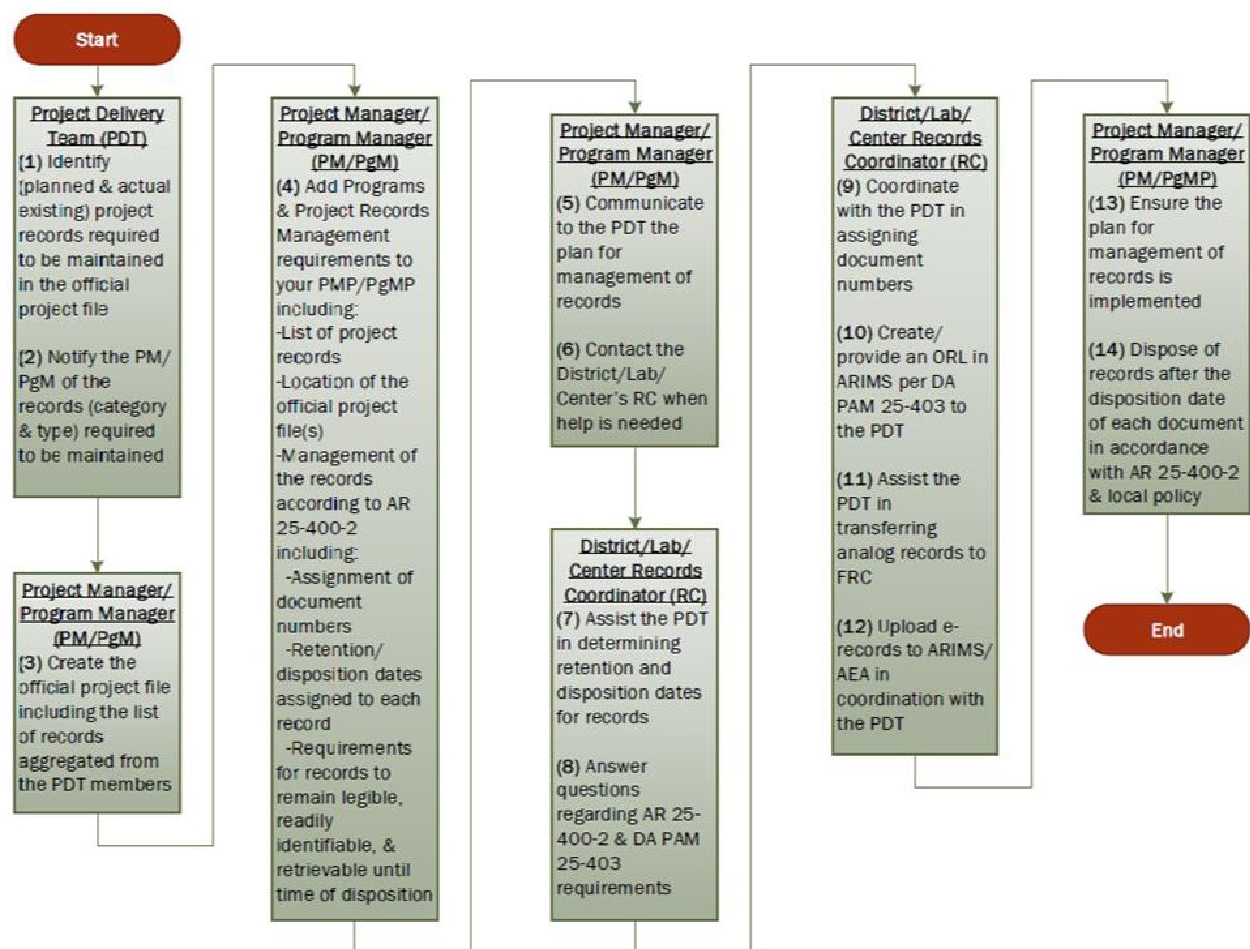
## 23–5. Process Steps

[Table 23–1](#) details the process steps in PROC6004.

<b>Table 23–1 Program and Project Records Management (PROC6004) Process Steps</b>	
<b>Responsible POC</b>	<b>Actions</b>
<b>Project Delivery Team (PDT)</b>	<ol style="list-style-type: none"> <li>1. Identify (planned and actual existing) project records required to be maintained in the official project file.</li> <li>2. Notify the PM/PgM of the records (category and type) that are required to be maintained. If known, provide the retention and disposition dates of each document.</li> </ol>
<b>Project Manager/ Program Manager (PM/PgM)</b>	<ol style="list-style-type: none"> <li>3. Create the official project file including the list of records aggregated from PDT members.</li> <li>4. Add Program and Project Records Management requirements to the PMP/PgMP, including:               <ol style="list-style-type: none"> <li>a. List of project records.</li> <li>b. Location of the official project file(s).</li> <li>c. Management of the records according to AR 25–400–2, including:                   <ol style="list-style-type: none"> <li>1) Assignment of document numbers.</li> <li>2) Retention/dispositions dates assigned to each record.</li> <li>3) Requirement for records to remain legible, readily identifiable, and retrievable until the time of disposition.</li> </ol> </li> </ol> </li> <li>5. Communicate to the PDT the plan for management of records.</li> <li>6. Contact the District/Lab/Center's RC when help is needed.</li> </ol>
<b>District/Lab/Center Records Coordinator (RC)</b>	<ol style="list-style-type: none"> <li>7. Assist the PDT in determining retention and disposition dates for records.</li> <li>8. Answer questions regarding AR 25–400–2 and DA PAM 25–403 requirements.</li> <li>9. Coordinate with the PDT in assigning document numbers.</li> <li>10. Create/provide an ORL in ARIMS per DA PAM 25–403 to the PDT.</li> <li>11. Assist the PDT in transferring analog records to FRC</li> <li>12. Upload e-records to ARIMS/AEA in coordination with the PDT.</li> </ol>
<b>PM/PgM</b>	<ol style="list-style-type: none"> <li>13. Ensure the plan for management of records is implemented.</li> <li>14. Dispose of records after the disposition date of each document per AR 25–400–2 and local policy.</li> </ol> <p><b>End of activity.</b></p>

## 23–6. Process Flowchart

[Figure 23–1](#) shows the flowchart for this process.



**Figure 23–1. Program and Project Records Management (PROC6004)**

### 23–7. Policy References (See Appendix A)

- a. 36 CFR, Chapter XII, Parts 1200–1299 National Archives and Records Administration.
- b. 44 USC 3301–3314 Disposal of Records.
- c. AR 25–400–2 – The Army Records Information Management System (ARIMS).
- d. ARIMS – Army Records Information Management System.
- e. DA PAM 25–403 Guide to Recordkeeping in the Army.
- f. ER 25–60–1 – Records and Information Management Program.
- g. OMB Memo 19–21, supersedes OMB Memo 12–18.

### 23–8. Related Topics

- a. PMP Content (REF8005G).
- b. PgMP Content (REF8028G).

### 23–9. Distribution

- a. Commander.
- b. Deputy for Programs and Project Management.

- c. Program Manager.
- d. Project Manager.
- e. PDT Member (including Records Information Managers and Records Coordinators).

## Chapter 24

### Program-Specific Processes: Civil Works Program and Budget Cycle (PROC7000)

#### 24–1. Scope

This process provides the overall sequence of major activities required for development, submission, defense, allotment, execution, and reporting of the budget for the USACE CW program.

#### 24–2. Process Overview

The CW budget cycle ([Figure 24–1](#)) involves a series of overlapping processes that extend over a 34-months period, starting with initial development of cost estimates and ending with issuance of program work allowances (funds) to the District offices for project execution. Therefore, budgetary actions among Current Fiscal Year (CFY), CFY+1, and program year overlap.

a. This process provides an overview of the monthly sequence of budget cycle activities as further described in the following subordinate processes, [Program-Specific Processes: Civil Works Program and Budget Cycle – President’s Budget and Office of Management and Budget Submission \(PROC7020\)](#), [Program-Specific Processes: Civil Works Program and Budget Cycle – Defense of President’s Budget and Workplan Development \(PROC7040\)](#), [Program-Specific Processes: Civil Works Program and Budget Cycle – Allotment and Execution \(PROC7050\)](#). This identifies the standard timeline, but the dates/durations may change as requirements are mandated.

b. [Figure 24–2](#) and [Figure 24–3](#) (which appear after the process flowchart illustrate how the processes overlap, graphically indicating how you are operating within all three subordinate processes throughout much of a Fiscal Year (FY), and where the processes overlap. Throughout the processes, we use the Budget Year (BY)/CFY terminology; [Table 24–1](#) provides the relationship between these terms.

**Table 24–1**  
**Relationship Between Budget Year and Fiscal Year References**

Budget Year	Fiscal Year	Example
BY	CFY+2	In FY21 = FY23
BY-1	CFY+1	In FY21 = FY22
BY-2	CFY	In FY21 = FY21

#### 24–3. End Result

Upon completion of this process, the budget will be executed.

## 24–4. Responsibilities

- a. The Program Manager is responsible for:
  - (1) Integrating and developing the CW annual budget request.
  - (2) Preparing budget testimony.
  - (3) Updating and maintaining the Workplan.
  - (4) Interfacing with Congressional committees.
  - (5) Issuing Program/Project Management policy and guidance.
  - (6) Monitoring program management and performance.
  - (7) Communicating with the Project Manager about required changes.
- b. The Project Manager is responsible for:
  - (1) Developing cost estimates (PB3, PB6, ... etc.).
  - (2) Developing total project schedules including out-year funding requirements.
  - (3) Developing work packages with capabilities for consideration to fund in either the annual budget or work plan.
  - (4) Coordinate for supporting documentation and Cost Share agreements.
  - (5) Recommend priority ranking to District/MSD decision-makers.
  - (6) Track project execution and program management milestones.
  - (7) Update 2101 annual schedules.
  - (8) Update PROMIS schedules to reflect execution.

## 24–5. Process Steps

[Table 24–2](#) details the process steps in PROC7000.

**Table 24–2**

### Civil Works Program and Budget Cycle (PROC7000) Process Steps

Responsible POC	Actions
<b>HQUSACE, MSD, Program Manager (PM), District Program Manager (PgM)</b>	<ol style="list-style-type: none"> <li>1. Develop and integrate the program and budget guidance. Initial Activities (Start about 22 months before the beginning of the program year). <b>Mid-December</b> – Districts develop/update cost, PB-2a, PB-3 and capability estimates and Work Packages. <b>February</b> – Assistant Secretary of the Army for Civil Works (ASA (CW)) and Chief of Engineers (Policy Statements). <b>February</b> – Director of CW (Remaining Items).</li> <li>2. Submit Initial field submission and HQUSACE review. <b>February–March</b> – Districts prioritize and rank Work Packages. <b>February–April</b> – Field preparation, review, and submission. MSD ranking of Budget packages.</li> <li>3. HQUSACE Budget Recommendation and OMB Submission. <b>April–August</b> – HQUSACE/Office of the Assistant Secretary of the Army for Civil Works (OASA (CW)) review and evaluation. <b>July</b> – HQUSACE prepares and presents overall USACE budget summary to OASA (CW). <b>August</b> – HQUSACE advises Divisions and Districts of recommendation amounts to be used for presentation to OMB.</li> </ol>

Responsible POC	Actions
	<p><b>September</b> – Final OASA (CW) review. Transmittal of recommendations to OMB and OMB hearings and review.</p> <p>4. OMB Budget Allowance (Passback).</p> <p><b>November</b> – OMB furnishes thru OASA (CW) to HQUSACE overall budget allowance for programs, studies, and projects.</p> <p><b>December</b> – Preparation of the final budget submission in support of the OMB allowances.</p> <p>5. Congressional Submission.</p> <p><b>March–December</b> – Final budget justification and other budgetary information are submitted to HQUSACE through the Division.</p> <p><b>July–December</b> – HQUSACE/MSD/Districts prepares additional supporting information on the USACE component of the President's budget.</p> <p><b>February</b> – President submits his budget to Congress no later than the first Monday in February. HQUSACE furnishes detailed justifications and supporting data to the Congressional Committees.</p> <p><b>December/January/February</b> – Districts, Divisions, and HQUSACE prepare additional information needed by the Division Commander, Director of Civil Works, Chief of Engineers, and ASA (CW) to defend the President's Budget request before Congress.</p> <p><b><u>Stop and complete <a href="#">Civil Works Program and Budget Cycle – President's Budget and OMB Submission (PROC7020)</a>.</u></b></p> <p>6. Defense before Congress.</p> <p><b>February</b> – <a href="#">Program-Specific Processes: Civil Works Program and Budget Cycle – President's Budget and Office of Management and Budget Submission (PROC7020)</a> and <a href="#">Program-Specific Processes: Civil Works Program and Budget Cycle – Defense of President's Budget and Workplan Development (PROC7040)</a> overlap.</p> <p><b>February</b> – Prepare MSD and District Commanders for Congressional visits.</p> <p><b>February–March</b> – Prepare Chief of Engineers for Testimony.</p> <p><b>March</b> – Chief of Engineers Testifies before Congress.</p> <p><b>August–September</b> – Develop/update Workplan capability and rank/prioritize.</p> <p>7. Appropriations Bill (Originates in the House).</p> <p><b>May–July</b> – Districts, Divisions, and HQUSACE may be asked to prepare Effects Statements in response to proposed legislative provisions for the Appropriations Bill.</p> <p><b>May</b> – House Subcommittee on Energy and Water Development reports its recommendations to the Appropriations Committee.</p> <p><b>June</b> – Committee makes recommendations to the full House.</p> <p><b>June</b> – House Bill passed, possibly with floor amendments, and sent to the Senate.</p> <p><b>June</b> – Senate Subcommittee on Energy and Water Development reports its recommendations to the Appropriations Committee.</p> <p><b>June/July</b> – Committee makes recommendations to the full Senate and Bill is passed, possibly with floor amendments.</p>

Responsible POC	Actions
	<p><b>July</b> – House and Senate Appropriations Committees meet jointly as the Committee of the Conference to resolve differences in their respective Bills.</p> <p><b>July/September</b> – Conference Committee version of the Bill is presented to the full House and Senate for passage (amendments beyond Conference agreement not permitted).</p> <p><b>July/September</b> – Congress sends Bill to the President for signature (President has ten days, excluding Sundays, to sign or veto ... otherwise, Bill automatically becomes law).</p> <p>USACE develop Workplan recommendations within 30 days after appropriation bill passes or 20 days before 1 October, whichever is later.</p> <p>HQ submits Workplan recommendations to OASA (CW) within 30 days after appropriation bill passes or 20 days before 1 October, whichever is later.</p> <p>OASA (CW) develops Workplan recommendations with data call support from HQ/MSCs within 45 days after appropriation bill passes.</p> <p>OMB finalizes Workplan within 60 days of appropriation bill passes.</p> <p><b><u>Stop and complete <a href="#">Program-Specific Processes: Civil Works Program and Budget Cycle – Defense of President’s Budget and Workplan Development (PROC7040)</a>.</u></b></p> <p>8. Allotments of Appropriated funds.</p> <p>OMB must apportion funds to HQUSACE 30 days after appropriation or 20 days before 1 October, whichever is later.</p> <p>HQUSACE issues initial work allowance and allotments to Districts through the Divisions by 1 October (or later if appropriations and/or apportionments are late, which may constitute a continuing resolution authority (CRA) for which addition guidance is provided).</p> <p>Once funding is determined, PROMIS schedules are updated, 2101 schedules are developed in preparation for a Soft or Hard lock at which time the PROMIS baseline will be captured.</p> <p>Throughout the fiscal year, program execution schedules and funding requirements are developed, monitored, and adjusted as needed.</p> <p>Program execution performance is briefed to the Chief of Engineers at the quarterly Directorate Management Reviews and Command Management Reviews (CMR), attended by Division Commanders.</p> <p><b><u>Stop and complete <a href="#">Program-Specific Processes: Civil Works Program and Budget Cycle – Allotment and Execution (PROC7050)</a>.</u></b></p> <p>9. Requirements that may occur throughout the FY.</p> <p>During the Fiscal Year HQ/MSC/Districts will be involved in other types of data requirements:</p> <ol style="list-style-type: none"> <li>1) Water Resources Development Act (WRDA) actions (includes implementation guidance, Legislative Drafting Services, Effects Statements, and random data calls).</li> <li>2) Change Control Boards.</li> <li>3) Supplemental Appropriation Data Calls (new appropriations).</li> <li>4) Capital Investment Strategy (HQ Business Line Manager (BLM) with input from MSC/Districts).</li> <li>5) Out of Cycle New Investment Decisions.</li> </ol>



Responsible POC	Actions
	<p data-bbox="540 239 1338 296">During the Fiscal Year Districts will be involved in other types of data requirements:</p> <ol data-bbox="589 306 1390 743" style="list-style-type: none"> <li data-bbox="589 306 862 338">1) Economic Updates.</li> <li data-bbox="589 344 911 375">2) Cost Estimate Updates.</li> <li data-bbox="589 382 883 413">3) Stakeholder Surveys.</li> <li data-bbox="589 420 899 451">4) Staff Assistance Visits.</li> <li data-bbox="589 457 1390 520">5) Real Estate Lands, Easements, Rights-of-Way, Relocations, and Disposals Area (LERRDS).</li> <li data-bbox="589 527 1016 558">6) Workload-to-Workforce Updates.</li> <li data-bbox="589 564 1089 596">7) Verify CW portion of Operating Budget.</li> <li data-bbox="589 602 1365 634">8) Refer to <a href="#">Operating Processes: Operating Budget (PROC6001)</a>.</li> <li data-bbox="589 640 862 672">9) Manpower Updates</li> <li data-bbox="589 678 1292 743">10) Refer to <a href="#">Operating Processes: Manpower Requirements (PROC6000)</a>.</li> </ol> <p data-bbox="493 751 667 783"><b><i>Go to task #1.</i></b></p> <p data-bbox="493 789 678 821"><b><i>End of activity.</i></b></p>



## 24-6. Process Flowchart

Figure 24-1 shows the flowchart for this process.

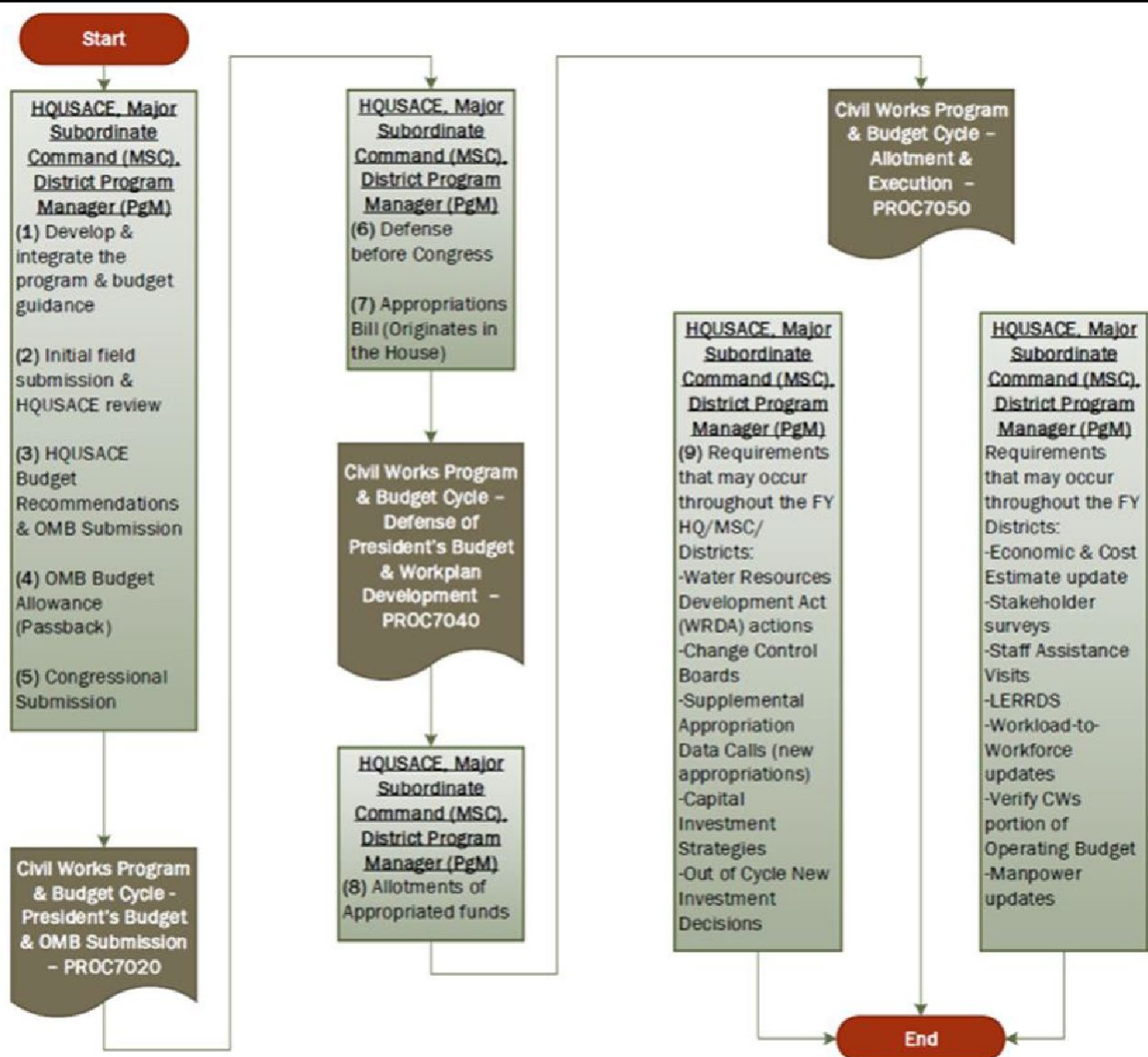
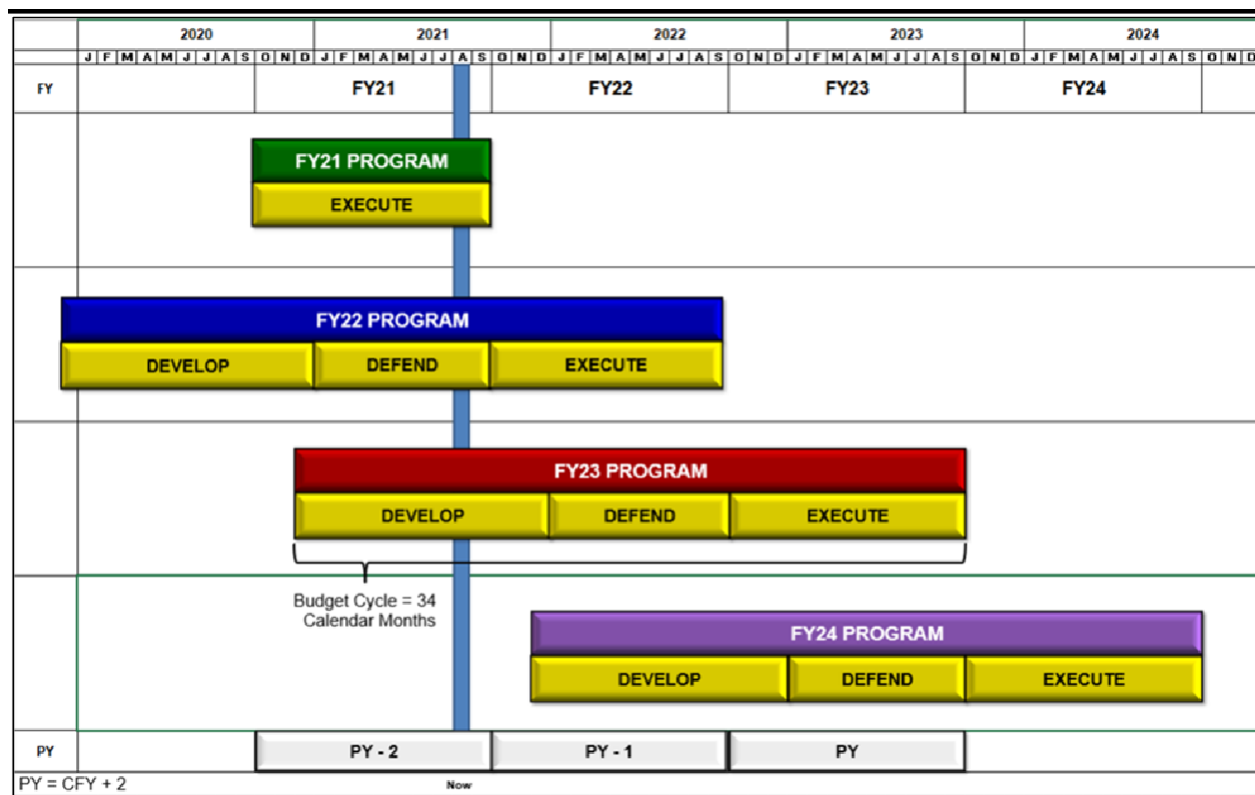
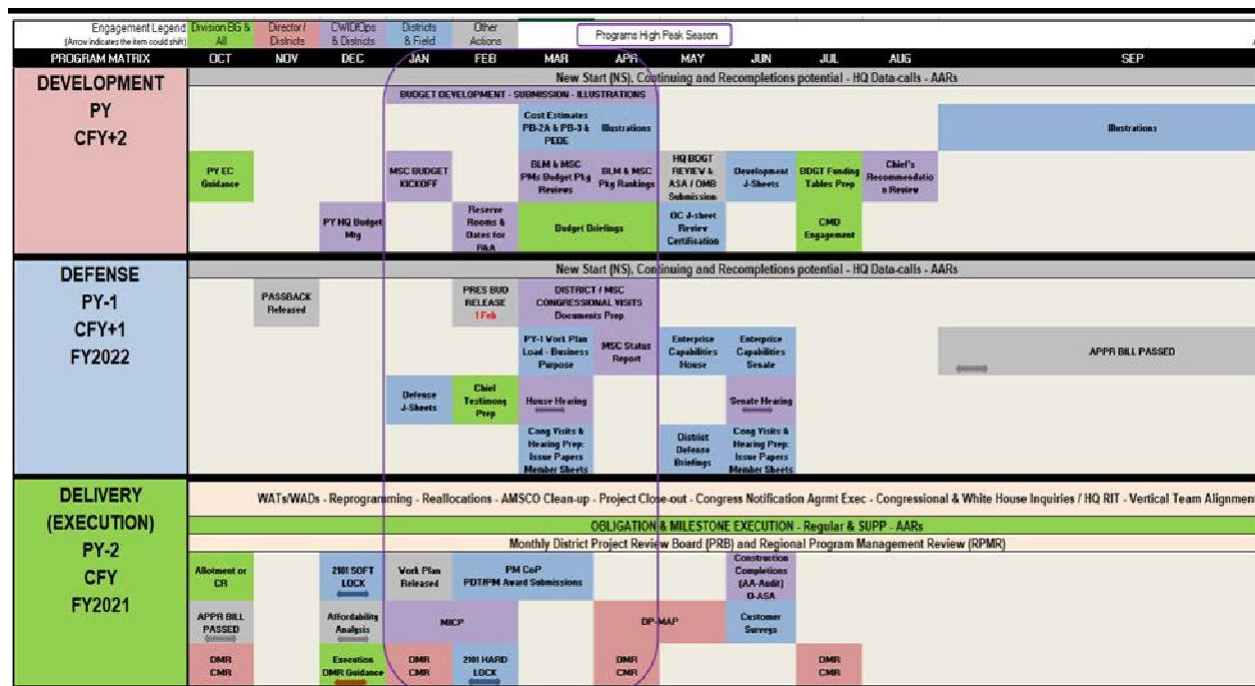


Figure 24-1. Civil Works Program and Budget Cycle (PROC7000)



### Figure 24–2. Budget Timeline



### Figure 24–3. Program Matrix

## **24–7. Policy References (See Appendix A)**

a. Engineer Circular (EC) 11–2–xxx, Civil Works Direct Program Development Policy Guidance.

(Note: The EC increases by two numbers each fiscal year. The EC includes a list of all applicable public laws, Executive orders, Army regulations, Engineer Regulations, Engineer Pamphlets, Engineer Manuals, and other policy guidance relevant to the budget year under development.)

b. EC 11–2–xxx, Civil Works Direct Program – Execution Annual Program Guidance.

(Note: The EC increases by two numbers each fiscal year. The EC includes a list of all applicable public laws, Executive orders, Army regulations, Engineer Regulations, Engineer Pamphlets, Engineer Manuals, and other policy guidance relevant to the budget year under execution.)

c. ER 5–1–11, U.S. Army Corps of Engineers Business Process.

d. ER 37–1–28, Financial Administration, Continuing Resolution Authority (CRA).

## **24–8. Related Topics**

a. Civil Works Program and Budget Cycle – Allotment and Execution (PROC7050).

b. Civil Works Program and Budget Cycle – Defense of President’s Budget and Workplan Development (PROC7040).

c. Civil Works Program and Budget Cycle – President’s Budget and OMB Submission (PROC7020).

d. Civil Works Program-Specific Information (REF8010G).

e. Operating Budget (PROC6001).

f. Manpower Requirements (PROC6000).

g. PMP Content (REF8005G).

h. PgMP Content (REF8028G).

i. Project Execution and Control (PROC3000).

j. Receipt of Funds (PROC1040).

## **24–9. Distribution**

a. District Program Manager.

b. HQUSACE Program Manager.

c. MSC Program Manager.

## **Chapter 25**

### **Program-Specific Processes: Civil Works Program and Budget Cycle – Capability Program Development (PROC7010) (Retired)**

As a “retired” process, this chapter is no longer relevant, or its content was absorbed into another process or reference chapters within this manual.

## Chapter 26

### Program-Specific Processes: Civil Works Program and Budget Cycle – President’s Budget and Office of Management and Budget Submission (PROC7020)

#### 26–1. Scope

This process provides guidance for budget development and OMB submission of the budget for the USACE CW program. This encompasses interpretation of the budget guidance, creation of a President’s Budget request and Field preparation of supporting data to justify the budget.

#### 26–2. Process Overview

This encompasses development of the USACE CW Program portion of the President’s Budget per HQUSACE-issued guidance. This process may be the first time a project is entered in PROMIS via [Project Initiation: Initiating a Project in PROMIS \(PROC1030\)](#).

a. This process runs concurrently with the Project Delivery Team (PDT) processes. The level of detail defined in [Reference Documents: Project Management Plan Content](#) (REF8005G), and [Reference Documents: Program Management Plan Content](#) (REF8028G) will provide guidance for such items as activity/resource estimate development, refer to [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#) and [Project Planning: Resource Estimate Development \(PROC2040\)](#).

b. Timelines identified in this process are ideal but may vary based on current conditions or guidance.

#### 26–3. End Result

Upon completion of this process, the President’s Budget will be submitted to Congress, including Justification materials.

#### 26–4. Responsibilities

- a. The Program Manager is responsible for:
  - (1) Integrating and developing the Civil Works annual budget request.
  - (2) Preparing Program/Project Management policy and guidance.
  - (3) Final QA Review of the budget submittal
  - (4) Defending the Chief’s Recommendation to Assistant Secretary of the Army for Civil Works (ASA (CW)) and OMB.
  - (5) Posting Justification (J)-Sheets to MAX.
- b. The Project Manager is responsible for creating, updating, and maintaining schedule/resource data consistent with guidance provided by HQUSACE.
- c. The Program Analyst/Budget Analyst (PA/BA) is responsible for preparing/updating PB-3’s and PB-2a’s information needs and District appropriation list per HQUSACE, MSC, or District guidance.
- d. The Project Review Board (PRB) is responsible for reviewing and validating District’s portion of the President’s Budget for submission to higher authorities.
- e. The Business Line Manager (BLM) is responsible for:

- (1) Providing technical support and analysis during development.
  - (2) Providing ranks.
  - (3) Updating their portion of the Program Development Manual.
  - (4) Defending the Chief's Recommendation to ASA (CW) and OMB.
- f. The PDT is responsible for maintaining the project schedule and providing justification data as needed.
- g. Senior Leaders are responsible for approving the recommendation being made for the budget and defending the Chief's Recommendation to higher levels (MSC, HQ, ASA (CW), and OMB, as appropriate).
- h. The ASA (CW) is responsible for reviewing the Chief's Recommendation and generating the Army Recommendation.
- i. The OMB is responsible for reviewing the Army Recommendation, providing the initial President's Budget Recommendation, and finalizing the President's Budget.

## 26–5. Process Steps

[Table 26–1](#) details the process steps in PROC7020.

Table 26–1 Civil Works Program and Budget Cycle – President's Budget and OMB Submission (PROC7020) Process Steps	
Responsible POC	Actions
<b>Project Delivery Team (PDT)</b>	<ol style="list-style-type: none"> <li>1. Update total project cost estimates. Certified full cost estimate is required every other year from the Civil Works Cost Engineering and Agency Technical Review Mandatory Center of Expertise (MCX). In the alternating years, at a minimum, District Cost Estimating should "price level" the current estimate. <b>Timeline:</b> Completed by mid-December.</li> </ol>
<b>HQUSACE Program Manager (PgM)</b>	<ol style="list-style-type: none"> <li>2. Release draft CW Direct Program, Program Development Policy Guidance Fiscal Year 20XX. <b>Timeline:</b> December.</li> </ol>
<b>MSC PgM</b>	<ol style="list-style-type: none"> <li>3. Forward HQ guidance with supplemental implementation guidance (if applicable) to the District PgMs.</li> </ol>
<b>District PgM</b>	<ol style="list-style-type: none"> <li>4. Provide HQ/MSC guidance to the PMs.</li> </ol>
<b>Project Manager (PM)</b>	<p><b><i>If project is verified in PROMIS, go to #5. Otherwise, Stop and Complete Project Initiation: Initiating a Project in PROMIS (PROC1030).</i></b></p> <ol style="list-style-type: none"> <li>5. Evaluate the project schedule in PROMIS to determine which activities will be requested as part of the President's Budget. Per Budget Guidance. Includes assessing which activities will be funded from funds already provided (either through Budget Year (BY)-1 President's Budget, BY-2 President's Budget, or BY-2 Appropriations (if that year's Appropriations Bill has been signed and the Workplan has been determined). Refer to <a href="#">Project Planning: Activity, Schedule Development, and Maintenance (PROC2030)</a> and <a href="#">Project Planning: Resource Estimate Development (PROC2040)</a>.</li> </ol>

Responsible POC	Actions
<b>Program Analyst (PA), Budget Analyst (BA)</b>	<p>6. Update/verify PB-3s and PB-2as (for projects requesting Preconstruction Engineering and Design (PED) or Construction (C) funding only), PB-6 (for studies only). PB-3 will be updated at least once a year. Run report for PB-3s and PB-2as. <b>Timeline:</b> Completed by mid-December, although timing may be affected by release of Table 1 of that year's Budget Engineer Circular (EC).</p> <p>7. Prepare CW budget per the policy guidance above, in coordination with PM and PgM, for District submittal. Verify project info for accuracy with previous budget guidance. Run report listing studies and projects for each appropriation. Develop Capability estimates and create work packages. <b>Timeline:</b> October–February. Populate Business Line Performance Measures. Refer to Program Development Manual (PDM) (link will change annually). <b>Timeline:</b> December–February.</p>
<b>District Business Lines Managers (BLMs), PgMs</b>	<p>8. Review and verify list of studies and projects. 9. Prioritize and rank work packages. <b>Timeline:</b> February–March.</p>
<b>District Senior Leaders</b>	<p>10. Review and verify list of studies and projects. 11. Approve work package ranks. <b>Timeline:</b> March. <b><i>If work packages are verified, go to #12. Otherwise, go to #5.</i></b></p>
<b>District PgM</b>	<p>12. Begin development of J-Sheets and Budget Figures. This includes maps for Construction. <b>Timeline:</b> March–December.</p> <p>13. Notify MSC of completion of District submission for President's Budget. <b>Timeline:</b> February–March.</p>
<b>MSC BLMs, PgM</b>	<p>14. Review District submission for completeness and accuracy; if information is missing, coordinate with District PgM to provide. 15. Prioritize and rank work packages both within Business Lines and across Business Lines. 16. Verify MSC rollup (prioritized and ranked) of program data and work packages. <b>Timeline:</b> March–April.</p>
<b>MSC Senior Leaders</b>	<p>17. Review and verify list of studies and projects. 18. Approve work package ranks. <b><i>If program and work packages are approved, go to task #19. Otherwise go to task #14.</i></b></p>
<b>MSC PgM</b>	<p>19. Submit MSCs Commander's recommendation for President's Budget to HQ. This is ensuring all MSC Ranks are in the Budget Database by the deadline.</p>

Responsible POC	Actions
	<b>Timeline:</b> 30 April.
HQUSACE BLMs, PgMs	<p>20. Request locking Program data in Civil Works Integrated Funding Databases.</p> <p>21. Prioritize and rank work packages. <b>Timeline:</b> April–July.</p> <p>22. Verify USACE-wide rollup of program data.</p>
HQUSACE Senior Leaders	<p>23. Review and verify list of studies and projects.</p> <p>24. Approve Chief's Recommendation.</p>
HQUSACE PgM	<p>25. Submit Chief's Budget Recommendation to ASA (CW). Includes all Enclosures. <b>Timeline:</b> July.</p> <p>26. Perform After Action Review/Lessons Learned. <b><u>Stop and complete <a href="#">Project Execution, Monitor and Control: After Action Review and Lessons Learned (PROC3020)</a>.</u></b></p>
MSC PgM	<p>27. Answer data calls in support of the budget. This includes ASA tables and random data calls and is in coordination with the Districts. <b>Timeline:</b> July–September.</p>
Assistant Secretary of the Army (ASA) Civil Works (CW)	<p>28. Develop and submit Army Recommendation to OMB. <b>Timeline:</b> September.</p>
HQUSACE, MSC, District PgMs	<p>29. Finalize J-Sheets to support the Army Recommendation. This step may occur at earlier or later Recommendation levels; refer to the annual guidance or direction from HQUSACE for specific direction by FY.</p>
Office of Management and Budget (OMB)	<p>30. Provide "Passback" to ASA (CW) on the President's Budget. <b>Timeline:</b> November.</p>
HQUSACE PgMs	<p>31. Support ASA (CW) in responding to OMB Passback information and reclama as appropriate (submits guidance or results to MSCs and Districts.) <b>Timeline:</b> November.</p>
OMB	<p>32. Finalize President's Budget. <b>Timeline:</b> December.</p>
HQUSACE, MSC, District PgMs	<p>33. Finalize J-Sheets to support President's Budget. <b>Timeline:</b> January.</p>
OMB	<p>34. Release President's Budget. This is the step that interrelates this process to <a href="#">Program-Specific Processes: Civil Works Program and Budget Cycle – Defense of President's Budget and Workplan Development (PROC7040)</a>. <b>Timeline:</b> February. <b><i>End of activity.</i></b></p>



## 26–6. Process Flowchart

Figure 26–1, Figure 26–2, and Figure 26–3 show the flowchart for this process.

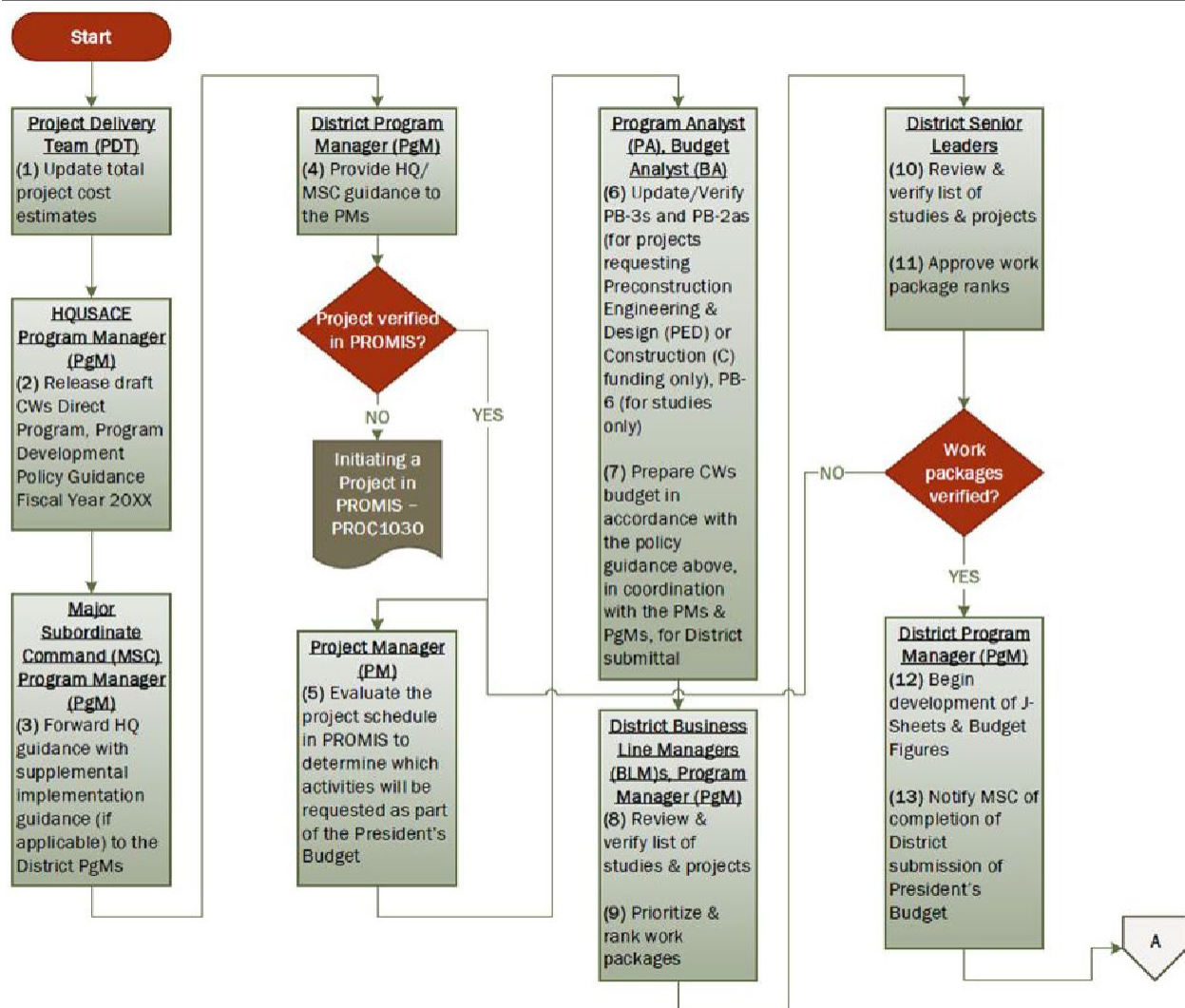
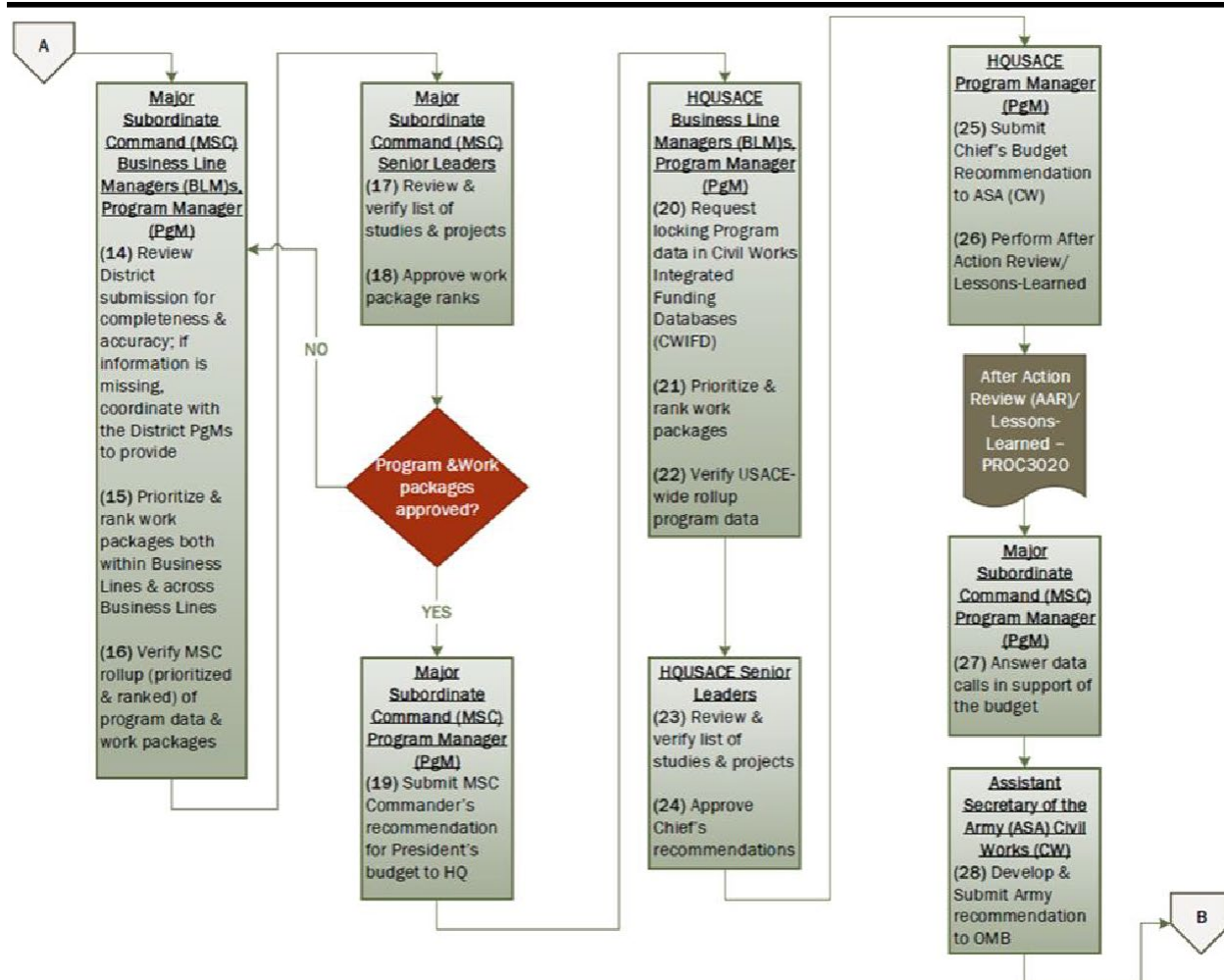


Figure 26–1. Civil Works Program and Budget Cycle President's Budget and OMB Submission (PROC7020) (Part a)



**Figure 26–2. Civil Works Program and Budget Cycle President's Budget and OMB Submission (PROC7020) (Part b)**

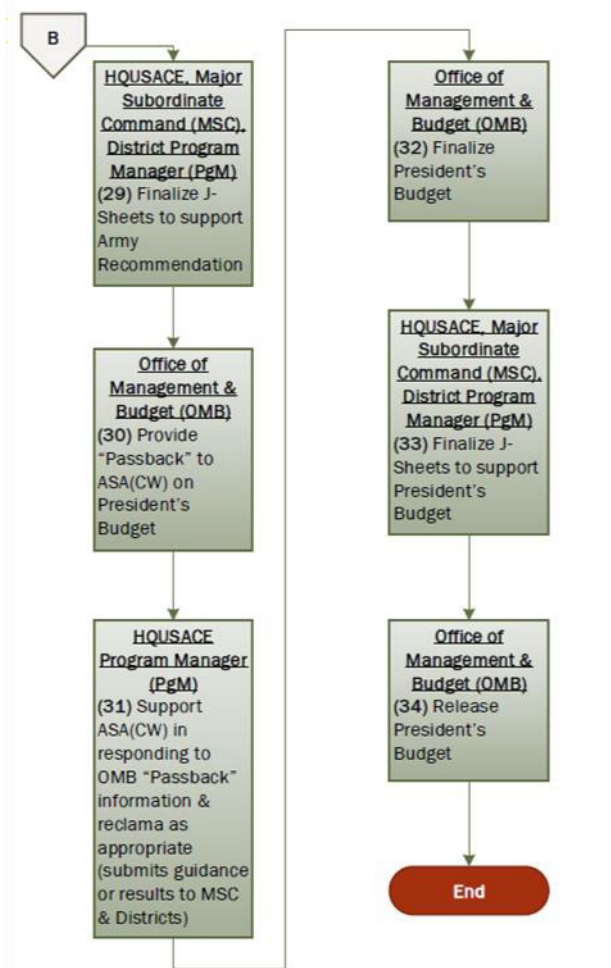


Figure 26–3. Civil Works Program and Budget Cycle President's Budget and OMB Submission (PROC7020) (Part c)

## 26–7. Policy References (See Appendix A)

- a. EC 11–2–xxx, Civil Works Direct Program Development Policy Guidance. (Note: The EC increases by one number each fiscal year. The EC includes a list of all applicable public laws, Executive orders, Army regulations, Engineer Regulations, Engineer Pamphlets, Engineer Manuals, and other policy guidance relevant to the budget year under development.)
- b. ER 5–1–11, U.S. Army Corps of Engineers Business Process.

## 26–8. Related Topics

- a. Civil Works Program and Budget Cycle – Allotment and Execution (PROC7050).
- b. Civil Works Program and Budget Cycle – Defense of President's Budget and Workplan Development (PROC7040).
- c. Civil Works Program and Budget Cycle (PROC7000).
- d. Civil Works Program-Specific Information (REF8010G).
- e. Operating Budget (PROC6001).

- f. Initiating a Project in PROMIS (PROC1030).
- g. PMP Content (REF8005G).
- h. PgMP Content (REF8028G).
- i. Resource Estimate Development (PROC2040).
- j. Activity/Schedule Development/Maintenance (PROC2030).

## **26–9. Distribution**

- a. District Program Manager.
- b. Budget Analyst.
- c. Program Analyst.
- d. HQUSACE Program Manager.
- e. HQUSACE Business Line Managers.
- f. MSC Program Manager.
- g. Project Manager.
- h. Project Review Board.
- i. Senior Leaders.

## **Chapter 27**

### **Program-Specific Processes: Civil Works Program and Budget Cycle – Submission of President’s Budget to Congress (PROC7030) (Retired)**

As a “retired” process, this chapter is no longer relevant, or its content was absorbed into another process or reference chapters within this manual.

## **Chapter 28**

### **Program-Specific Processes: Civil Works Program and Budget Cycle – Defense of President’s Budget and Workplan Development (PROC7040)**

#### **28–1. Scope**

This process provides guidance for preparation of Issue Papers and testimony before Congress of the budget for the USACE CW program and preparation, review, and approval of the Workplan.

#### **28–2. Process Overview**

This encompasses defense of the USACE CW Program portion of the President’s Budget per HQUSACE-issued guidance. This process may be the first time a project is entered in PROMIS via [Project Initiation: Initiating a Project in PROMIS \(PROC1030\)](#). This process runs concurrently with the Project Delivery Team (PDT) processes. The level of detail defined in [Reference Documents: Project Management Plan Content \(REF8005G\)](#), and [Reference Documents: Program Management Plan Content \(REF8028G\)](#) will provide guidance for such items as activity/resource estimate development, refer to [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#) and [Project Planning: Resource Estimate Development \(PROC2040\)](#). Timelines identified in this process are ideal but may vary based on current conditions or guidance.

### 28–3. End Result

Upon completion of this process, USACE will know the funding available for the Fiscal Year (FY) and will be prepared to execute.

### 28–4. Responsibilities

- a. The Program Manager is responsible for:
  - (1) Defending the CW annual budget request.
  - (2) Preparing budget testimony.
  - (3) Interfacing with Congressional Committees.
  - (4) Issuing Program/Project Management policy and guidance.
  - (5) Developing, updating, reviewing, approving, and submitting the Workplan.
- b. The Business Line Manager is responsible for:
  - (1) Providing technical support and analysis during Workplan development.
  - (2) Providing ranks for the Workplan.
  - (3) Providing input on Testimony Preparation, including developing Policy Issue Papers, as necessary.
- c. The Chief of Engineers is responsible for testifying before the House/Senate Committees on Appropriation sub-committees.
- d. The Assistant Secretary of the Army for Civil Works (ASA (CW)) is responsible for:
  - (1) Testifying before the House/Senate Committees on Appropriation sub-committees.
  - (2) Developing and submitting Workplan recommendations.
- e. The Deputy for Programs and Project Management (DPM) or designee is responsible for coordination with Congressional Representatives.
- f. The OMB is responsible for:
  - (1) Releasing the President's Budget.
  - (2) Finalizing the Workplan.
- g. Congress is responsible for passing the Appropriations Bill.

### 28–5. Process Steps

[Table 28–1](#) details the process steps in PROC7040.

**Table 28–1**  
**Civil Works Program and Budget Cycle – Defense of President's Budget and Workplan Development (PROC7040) Process Steps**

Responsible POC	Actions
<b>HQUSACE Program Manager (PgM)</b>	<ul style="list-style-type: none"><li>1. Provide updated Committee assignments for Congressional members.</li><li>2. Provide guidance to MSCs and HQUSACE personnel responsible for Program/Policy Issue Papers related to material, timeline, and coordination.</li></ul> <p>This relates to Budget Defense, including guidance memoranda, Summary Sheets, and Issue Papers.</p> <p>This will be used at the Budget Year testimony (during BY-1).</p> <p><b>Timeframe:</b> January.</p>

Responsible POC	Actions
	<b><i>If the Issue Paper is for a Program or Policy, go to #9. Otherwise, go to #3.</i></b>
District PgM	<p>3. Prepare Summary Sheets and Issue Papers, in coordination with PM. These will be project specific. Also provide any relevant correspondence.</p> <p>4. Notify MSC when Issue Papers are completed.</p>
MSC PgM	<p>5. Perform QA and approve Summary Sheets and Issue Papers.</p> <p><b><i>If approved, go to #8. Otherwise, go to #6.</i></b></p>
District PgM	<p>6. Revise Summary Sheets and Issue Papers based on MSC feedback.</p> <p>7. Notify MSC when Summary Sheet and Issue Papers are completed.</p> <p><b><i>Go to #5.</i></b></p>
MSC PgM	<p>8. Notify HQUSACE when Summary Sheets and Issue Papers are completed.</p> <p><b>Timeframe:</b> February.</p> <p><b><i>Go to #10.</i></b></p>
HQUSACE Business Line Managers (BLMs), PgM	<p>9. Prepare Policy/Program Summary Sheets and Issue Papers.</p> <p>10. Perform QA and approve Summary Sheets and Issue Papers. This includes the Regional Integration Team (RIT) to perform QA and participate in preparatory sessions with the Chief of Engineers. This is done as needed and should also be coordinated with the MSC PgM to obtain Hot Sheets if issues arise close to the Committee Hearing.</p> <p><b><i>If approved, go to #11. Otherwise, go to #6.</i></b></p>
HQUSACE, MSC PgM	<p>11. Prepare Chief of Engineers (and ASA (CW) as needed) for Testimony. This includes the Summary Sheets and Issue Papers.</p> <p><b>Timeframe:</b> February–March.</p>
MSC, District PgM	<p>12. Prepare MSC and District Commanders for Congressional visits.</p> <p><b>Timeframe:</b> February, shortly after President’s Budget release.</p>
Deputy for Programs and Project Management (DPM)/Designee	<p>13. Contact Congressional Representatives inquiring about possible questions for Testimony. Inquiries should be made with those Representatives serving on Committees. The possible questions are also considered Hot Sheets if not already addressed in an Issue Paper. These should be submitted through the MSC PgM to the HQUSACE PgM as soon as possible.</p> <p><b>Timeframe:</b> February–March.</p>
Office of Management and Budget (OMB)	<p>14. Release President’s Budget. This is the step that interrelates this process to <a href="#">Program-Specific Processes: Civil Works Program and Budget Cycle – President’s Budget and Office of Management and Budget Submission (PROC7020)</a>.</p> <p><b>Timeframe:</b> February</p>
HQUSACE, MSC, District PgM	<p>15. Update Capability estimates (Enterprise Level).</p> <p><b>Timeframe:</b> March.</p>



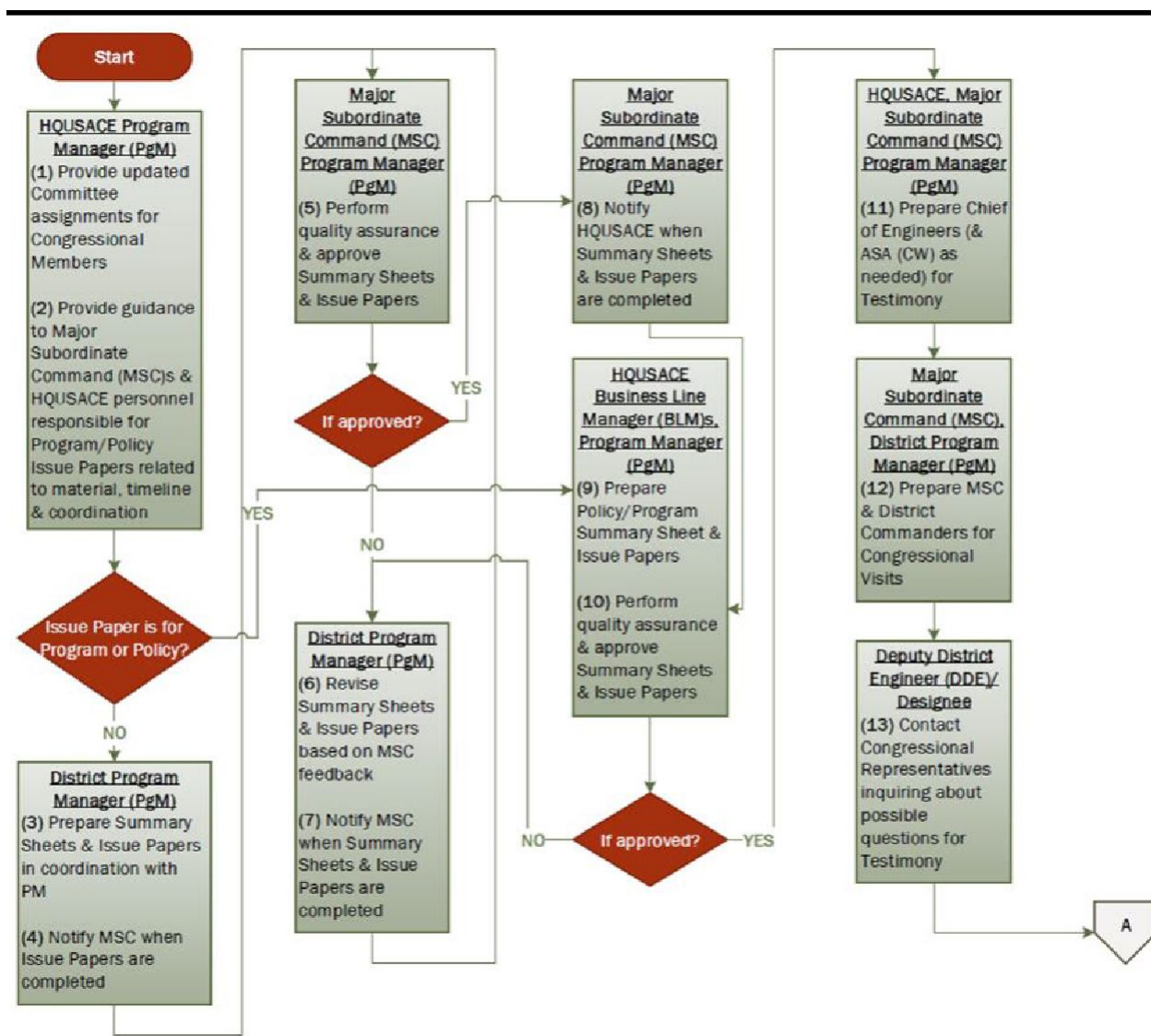
<b>Responsible POC</b>	<b>Actions</b>
<b>Chief of Engineers, Assistant Secretary of the Army (ASA) Civil Works (CW)</b>	16. Testify before House/Senate Committees on Appropriation sub-committees on President's Budget request. <b>Timeframe:</b> March.
<b>HQUSACE PgM</b>	17. Provide Congressional hearing questions and transcripts to the MSC and review and approve responses to any Questions for the Record provided by Districts and MSC.
<b>HQUSACE, MSC, District PgM</b>	18. Respond to Congressional Inquiries. This will occur as needed and at all levels of USACE. Includes Carveout language, Effects Statements, Community Project Funding, Questions for the Record, etc. Includes coordinating with Committees on any reduced capabilities from President's Budget amounts so that the final Appropriations Bill reflects true project capabilities.
<b>Congress:</b>	19. Pass Appropriation Bill. This is the step that interrelates this process to <a href="#">Program-Specific Processes: Civil Works Program and Budget Cycle – Allotment and Execution (PROC7050)</a> . <b>Timeframe:</b> September
<b>HQUSACE, MSC, District PgM, BLMs</b>	20. Develop/update Workplan capability. This includes potential reductions if President's Budget packages have previously been funded, accelerating packages in BY budget to BY-1 Workplan (if can be accomplished earlier), checking the boxes on Funding Pot, Supplemental, 1%. <b>Timeframe:</b> August–September 21. Prioritize/rank Workplan.
<b>HQUSACE BLMs, PgM</b>	22. Develop Workplan recommendation. 23. Submit Workplan recommendation to ASA (CW). Develop and submit are both done in coordination with MSCs and Districts and occur within 30 days of Appropriation Bill passing.
<b>MSC PgM</b>	24. Answer data calls in support of the Workplan. This is in coordination with HQUSACE and the Districts and occurs within 45 days of Appropriation Bill passing.
<b>ASA (CW)</b>	25. Develops Workplan recommendations. This is in coordination with HQUSACE and occurs within 45 days of Appropriation Bill passing. 26. Submit recommendations to OMB. This occurs with coordination from HQUSACE within 45 days of Appropriation Bill passing.
<b>OMB</b>	27. Finalizes Workplan. This occurs within 60 days of Appropriation Bill passing.
<b>HQUSACE PgM</b>	28. Publish Workplan.
<b>HQUSACE, MSC, PgMs</b>	29. Perform After Action Review/Lessons Learned.



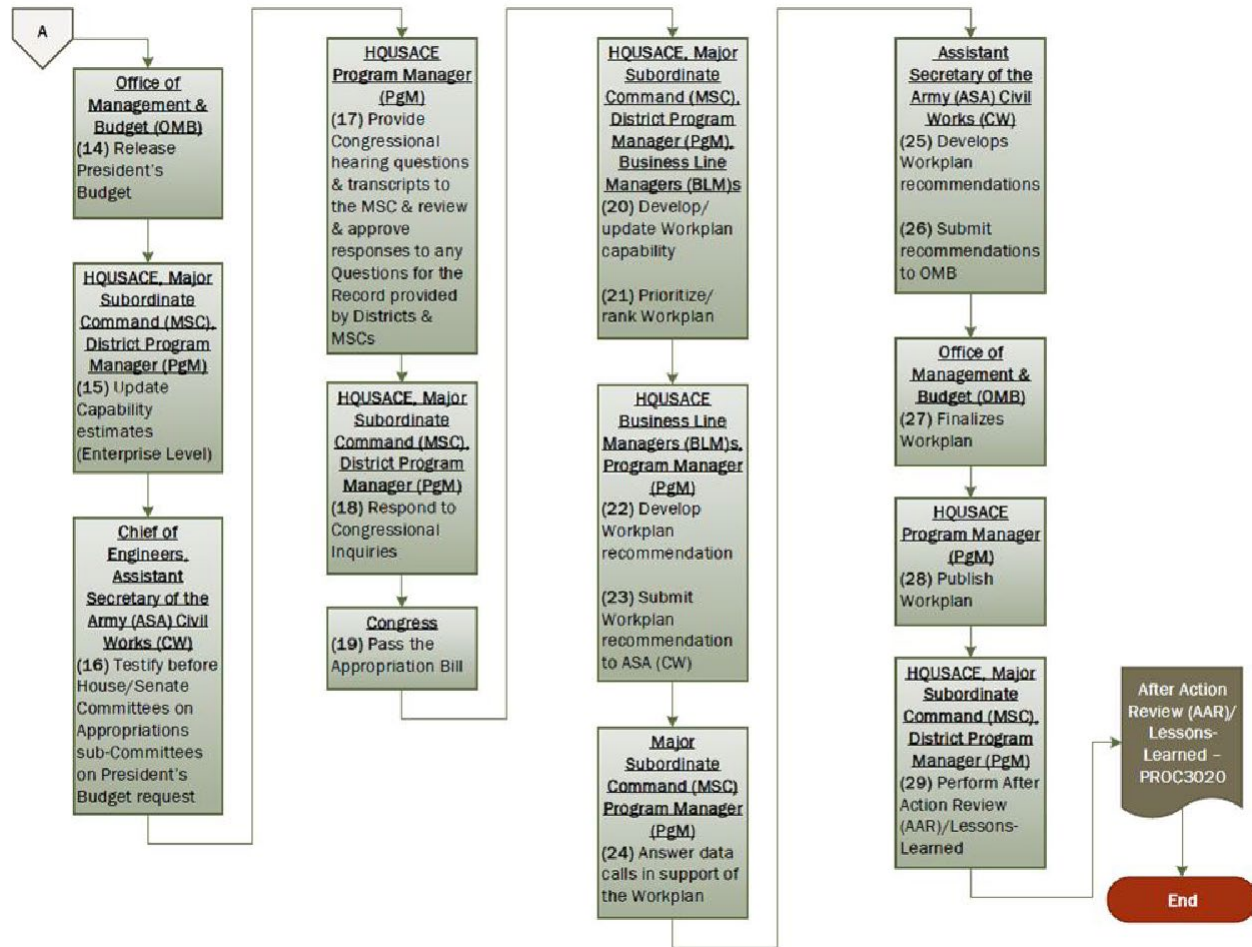
Responsible POC	Actions
	<p><b>Stop and complete <a href="#">Project Execution, Monitor and Control: After Action Review and Lessons Learned (PROC3020)</a>.</b></p> <p><b>End of activity.</b></p>

## 28–6. Process Flowchart

[Figure 28–1](#) and [Figure 28–2](#) show the flowchart for this process.



**Figure 28–1. Civil Works Program and Budget Cycle Defense of President's Budget and Workplan Development (PROC7040) (Part a)**



**Figure 28–2. Civil Works Program and Budget Cycle Defense of President's Budget and Workplan Development (PROC7040) (Part b)**

## 28–7. Policy References (See Appendix A)

- EC 11–2–xxx, Civil Works Direct Program Development Policy Guidance. (Note: The EC increases by one number each FY. The EC includes a list of all applicable public laws, Executive orders, Army regulations, Engineer Regulations, Engineer Pamphlets, Engineer Manuals, and other policy guidance relevant to the budget year under development.)
- ER 5–1–11, U.S. Army Corps of Engineers Business Process.

## 28–8. Related Topics

- Activity/Schedule Development/Maintenance (PROC2030).
- Corps of Engineers Manpower Reporting System (CEMRS) Home Page.
- Civil Works Program and Budget Cycle – Allotment and Execution (PROC7050).
- Civil Works Program and Budget Cycle – President's Budget and OMB Submission (PROC7020).
- Civil Works Program and Budget Cycle (PROC7000).

- f. Civil Works Program-Specific Information (REF8010G).
- g. Operating Budget (PROC6001).
- h. Initiating a Project in PROMIS (PROC1030).
- i. PMP Content (REF8005G).
- j. PgMP Content (REF8028G).
- k. Resource Estimate Development (PROC2040).

## **28–9. Distribution**

- a. District Program Manager.
- b. District Program Analyst.
- c. HQUSACE Program Manager.
- d. HQUSACE Business Line Manager.
- e. MSC Program Manager.
- f. Project Manager.
- g. Program Manager.
- h. Deputy for Programs and Project Management.
- i. Chief of Engineers.

## **Chapter 29**

### **Program-Specific Processes: Civil Works Program and Budget Cycle – Allotment and Execution (PROC7050)**

#### **29–1. Scope**

This process provides guidance for Continuing Resolution Authority (CRA) and allotment of funds per appropriation acts. Guidance is also provided for completing Issue Papers, and preparing, reviewing, approving, and monitoring of 2101 baseline budget type.

#### **29–2. Process Overview**

This process operates concurrently with the Project Delivery Team (PDT) processes. The level of detail defined in [Reference Documents: Project Management Plan Content](#) (REF8005G) and [Reference Documents: Program Management Plan Content](#) (REF8028G) will provide guidance for such items as activity/resource estimate development, refer to [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#), [Project Planning: Resource Estimate Development \(PROC2040\)](#), and [Project Initiation: Receipt of Funds \(PROC1040\)](#) will involve the work allowance as well as the CRA. A verification with the [Operating Processes: Operating Budget \(PROC6001\)](#) is done once funds are received. Complete the program and budget cycle by continuing with the [Project Execution, Monitor and Control: Project Execution and Control \(PROC3000\)](#) process.

#### **29–3. End Result**

Upon completion of this process, the Fiscal Year (FY) will be complete.

#### **29–4. Responsibilities**

- a. The Program Manager is responsible for:

- (1) Coordinating funding authority.
- (2) Providing Program/Project Management policy and guidance.
- (3) Generating and approving Work Allowance Documents (WADs).
- (4) Reviewing the schedule and 2101 data for accuracy.
- (5) Monitoring program management and performance.
- b. The HQUSACE Resource Management (RM) is responsible for:
  - (1) Issuing CRA guidance to MSCs and Districts.
  - (2) Issuing Apportionment (plan approved by OMB to obligate resources provided by law).
  - (3) Generating and distributing Funding Authorization Documents.
  - (4) Issuing program policy and performance measures via the USACE Command Guidance (UCG).
- c. The Project Review Board (PRB) is responsible for reviewing and verifying the schedule and 2101 data for accuracy and concurrence.
- d. The Project Manager is responsible for creating, updating, and maintaining schedule/resource data consistent with guidance provided by HQUSACE.
- e. The Program Budget Advisory Committee (PBAC) is responsible for verifying the budget data against the District Operating Budget.
- f. The OMB is responsible for providing Apportionment.

## 29–5. Process Steps

[Table 29–1](#) details the process steps in PROC7050.

Table 29–1 Civil Works Program and Budget Cycle – Allotment and Execution (PROC7050) Process Steps	
Responsible POC	Actions
HQUSACE Program Manager (PgM)	1. Develop Master Table for Continuing Resolution (CR) Work Allowances. This will include the 'lesser of' rule and occurs approximately 30 days prior to FY beginning.
Office of Management and Budget (OMB)	2. Apportion carry-in funding by end of September of FY prior to Execution Year.
HQUSACE, MSC, District PgM	3. Monitor House and Senate markups and bills. Conference Committee addresses differences between House and Senate bills. <b><i>If President signs Appropriations bill before beginning of FY, go to #13. Otherwise, go to #4.</i></b>
HQUSACE Resource Management (RM), PgM	4. Issue CRA guidance to MSCs and Districts.
District PgM	5. Review budget year (BY) program per CRA guidance to identify potential issues associated with shortage/excess of funds.

Responsible POC	Actions
District PgM, Project Manager (PM)	<p>6. Review projects for impact to execution and develop prioritized funding requirements. This includes looking at funding limitations and environmental windows.</p> <p>7. Update PROMIS schedule including milestones. This is in support of the “Soft” 2101 Lock.</p>
District PgM	<p>8. Inform MSC of CRA funding requirements in coordination with RM. Estimates assume the projects will use carryover funds before requesting funding through the CRA. Data calls for CR/Budget Authority Needs will be conducted throughout the year. They are done monthly during CR and “CR-like” period. If the CR period is shorter than a month, requirements will be requested for the period covered by the CRA. Limits during CR and CR-like are the amounts stated in the apportionment documents, which are based on a pro-rated share of prior year appropriations as defined by the CR period. Once the Appropriations Bill is passed and all funding has been issued, quarterly data calls for 1st, 2nd, and 3rd quarters budget authority requirements will be conducted. All remaining budget authority is distributed on July 1 for remainder of FY.</p>
MSC PgM	<p>9. Provide CRA funding requirements to HQUSACE.</p>
HQUSACE PgM	<p>10. Release CR Execution Guidance for spending per the CRA. This occurs within 30 days of 1 October.</p> <p>11. Provide Allotment of Funds to the MSCs and Districts. CRA – for the period, by month if the CRA is longer than a month. <b><i>If President signs appropriations bill before end of CRA period, go to #12. Otherwise, go to #7.</i></b></p>
President	<p>12. Signs Appropriations Bill. This is the step that interrelates this process to <a href="#">Program-Specific Processes: Civil Works Program and Budget Cycle – Defense of President’s Budget and Workplan Development (PROC7040)</a>.</p>
OMB	<p>13. Approves Workplan. For more information, refer to <a href="#">Program-Specific Processes: Civil Works Program and Budget Cycle – Defense of President’s Budget and Workplan Development (PROC7040)</a>.</p>
HQUSACE PgM	<p>14. Update WAD tables. Includes determining splits with Inland Waterway Trust Funds (IWTF) and Harbor Maintenance Trust Fund (HMTF), as applicable. This occurs within 30 days after Workplan is approved.</p>
OMB	<p>15. Issue Treasury Warrants. This occurs in coordination with the Finance Center and within 30 days after the Appropriation Bill is signed.</p>
HQUSACE PgM	<p>16. Release initial Work Allowance information.</p> <p>17. Remaining Items proponents request data for Current Fiscal Year (CFY) allocations.</p> <p>18. Provide Apportionment information to OMB.</p>



Responsible POC	Actions
	This occurs within 30 days after the Appropriation Bill is signed. 19. Issue annual Execution Engineer Circular (EC).
OMB	20. Issues Apportionments including IWTF and HMTF. This occurs within 60 days after the Appropriation Bill is signed.
HQUSACE PgM	21. Submit Affordability Analysis to Assistant Secretary of the Army for Civil Works (ASA (CW)) for all New Start Construction projects. To be completed within 30 days after Workplan is approved. <b><i>If funds/guidance are required for Congressional Adds, Continuing Authorities Program (CAP) New Starts or other projects, go to #22. Otherwise, go to #28.</i></b>
District PgM	22. Request funds/guidance for ongoing Congressional Adds, CAP New Starts or other projects. 23. Complete Fact Sheets, in coordination with PM, for new Congressional Adds, CAP New Starts and other projects as required.
Project Review Board (PRB)	24. Review and approve Fact Sheets. <b><i>If Fact Sheets approved, go to #27. Otherwise, go to #25.</i></b>
District PgM	25. Notify MSC and HQUSACE when Fact Sheets are completed.
MSC, District PgM	26. Schedule and Hold Video Teleconference (VTC) if needed. This is required to review and validate content of Fact Sheets and address any policy issues concerning authority or capability to execute Congressional Add or other projects per USACE policy.
HQUSACE PgM	27. Issue final Fact Sheets to MSC and District. 28. Review and approve initial Work Allowance requests for all projects in CEFMS II. 29. Distribute Work Allowances to MSCs, Districts and HQUSACE RM.
HQUSACE RM	30. Generate FADs per USACE policy and RM guidance. Generation of FADs is dependent on receipt of OMB allotment. 31. Distribute FADs to MSCs and Districts.
HQUSACE PgM	32. Distribute 1% funding for O&M. This occurs throughout the FY, but all funds must be issued by June of CFY, or they will be returned on a pro-rata basis to the O&M projects.
District PgM	33. Schedule/execute agreements for all New Starts and New Phases. This occurs in coordination with the MSC and typically by December of the current calendar year. Annual Appropriations Bill will define the requirement.
HQUSACE PgM	34. Provide Congressional notification of Agreement Execution for new Project Partnering Agreements (PPAs). This occurs prior to signing the PPAs.
PM	<b><i>Stop and complete <a href="#">Project Initiation: Receipt of Funds (PROC1040)</a>.</i></b> 35. Verify/update project schedule and resourcing in PROMIS with respect to funds available. 36. Establish 2101 "Baseline" version of the project in PROMIS.



Responsible POC	Actions
	<b>Stop and complete <a href="#">Project Execution, Monitor and Control: Project Execution and Control (PROC3000)</a>.</b>
PRB	37. Review and approve Fiscal Year Obligation and Expenditure Plan (2101) report per the PMP. <b>If 2101 is approved, go to #38. Otherwise, go to #35.</b>
HQUSACE PgM	38. Establish and lock a 2101 Baseline in PROMIS. To measure performance of annual budget execution per FY CW execution guidance. This will be a "Soft" lock if Appropriations Bill not signed; "Hard" lock if Workplan has been determined. Once the lock is done, Carryover reasons should be assigned.
PM	39. Monitor and measure execution of project obligations and expenditures of budgeted CW funds using corporate 2101 schedule reports. This includes updating the current schedule and carryover reasons, as needed (minimum: monthly).
HQUSACE, MSC, PgMs	40. Perform After Action Review/Lessons Learned. <b>Stop and complete <a href="#">Project Execution, Monitor and Control: After Action Review and Lessons Learned (PROC3020)</a>0.</b> <b>End of activity.</b> <b>Go to <a href="#">Project Execution, Monitor and Control: Project Execution and Control (PROC3000)</a>.</b>

## 29-6. Process Flowchart

Figure 29-1, Figure 29-2, and Figure 29-3 show the flowchart for this process.

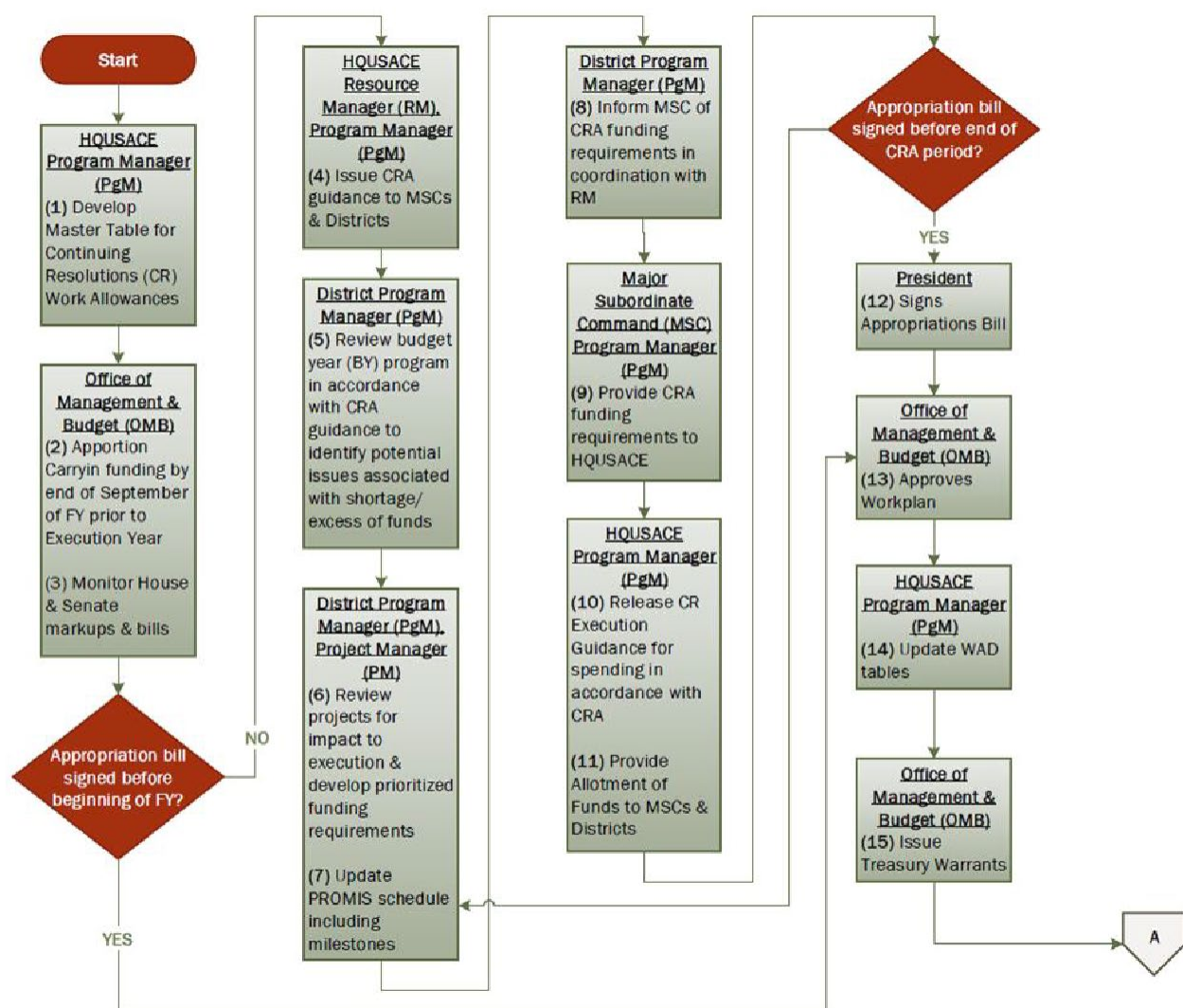


Figure 29-1. Civil Works Program and Budget Cycle Defense Allotment and Execution (PROC7050) (Part a)

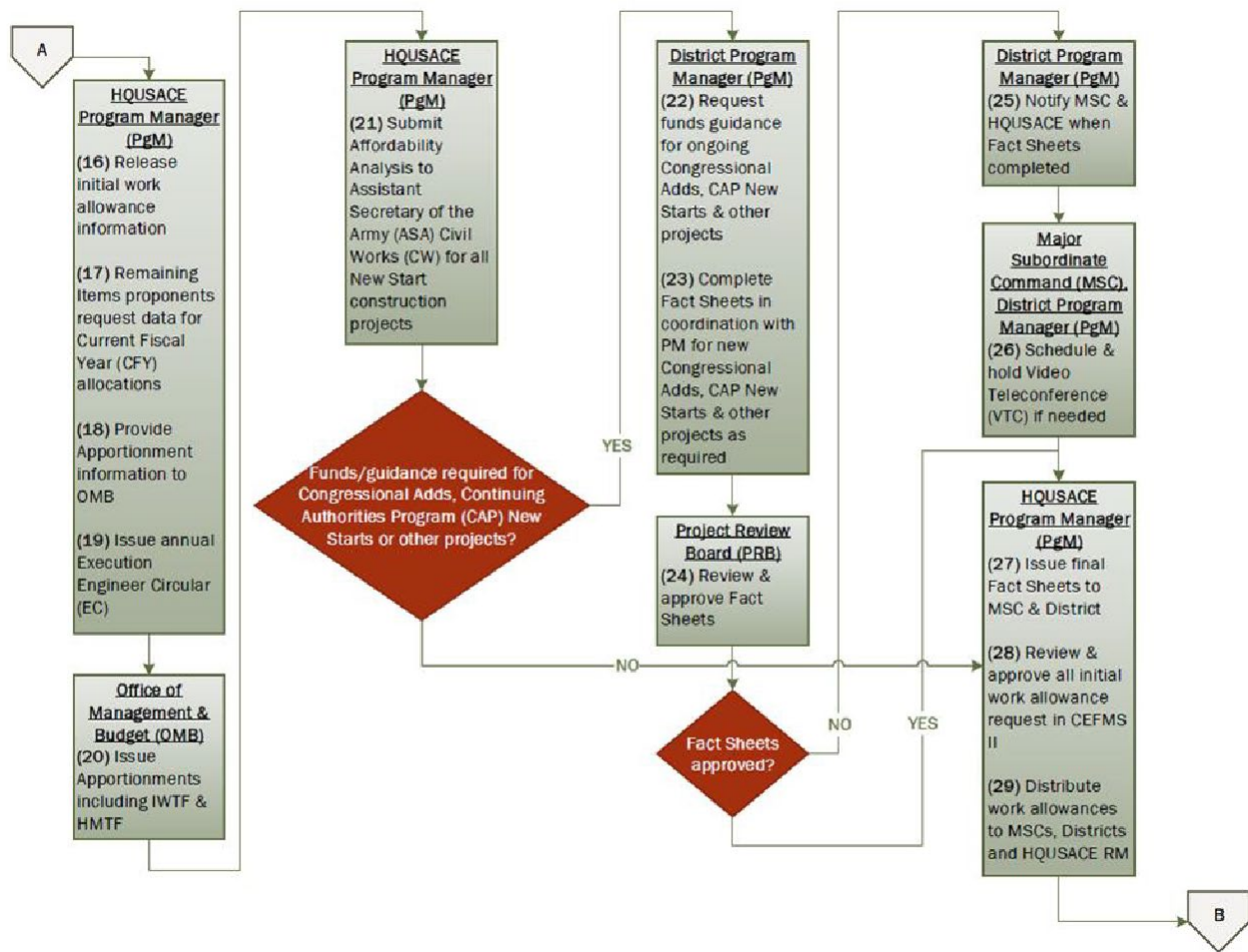
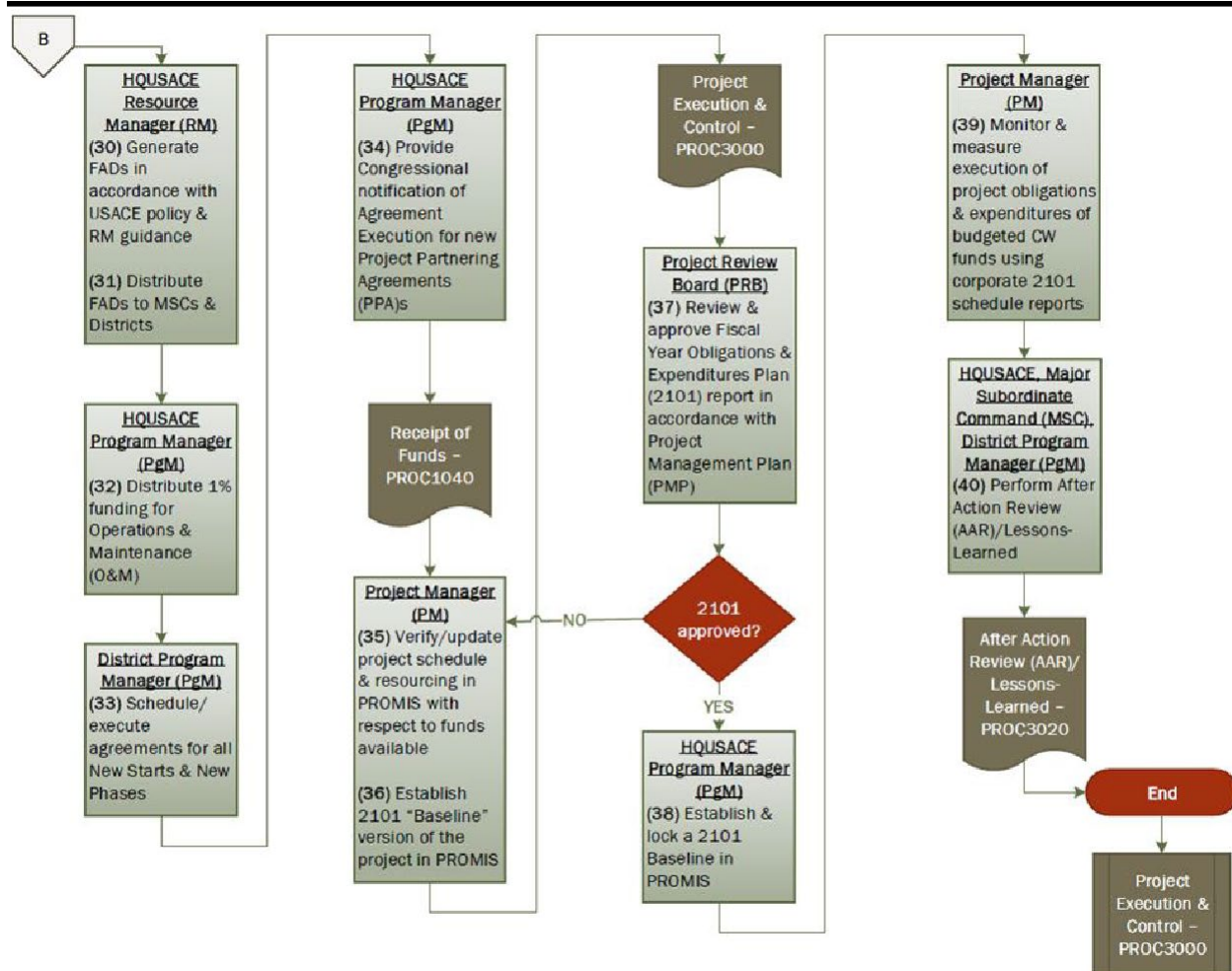


Figure 29–2. Civil Works Program and Budget Cycle Defense Allotment and Execution (PROC7050) (Part b)



**Figure 29–3. Civil Works Program and Budget Cycle Defense Allotment and Execution (PROC7050) (Part c)**

## 29–7. Policy References (See Appendix A)

a. EC 11–2–xxx, Army Programs – Corps of Engineers Civil Works Direct Program – Program Development Guidance.

(Note: The EC increases by one number each FY. The EC includes a list of all applicable public laws, Executive orders, Army regulations, Engineer Regulations, Engineer Pamphlets, Engineer Manuals, and other policy guidance relevant to the budget year under development.)

b. EC 11–2–xxx, Civil Works Direct Program – Execution Annual Program Guidance.

(Note: The EC increases by two numbers each FY. The EC includes a list of all applicable public laws, Executive orders, Army regulations, Engineer Regulations, Engineer Pamphlets, Engineer Manuals, and other policy guidance relevant to the budget year under execution.)

c. ER 5–1–11, U.S. Army Corps of Engineers Business Process.

d. ER 37–1–28, Continuing Resolution Authority (CRA).

- e. ER 37–2–10, Accounting and Reporting – Civil Works Activities.
- f. USACE Command Guidance.

## **29–8. Related Topics**

- a. Corps of Engineers Manpower Reporting System (CEMRS) Home Page.
- b. Civil Works Program and Budget Cycle – President’s Budget and OMB Submission (PROC7020).
- c. Civil Works Program and Budget Cycle (PROC7000).
- d. Civil Works Program and Budget Cycle – Defense of President’s Budget and Workplan Development (PROC7040).
- e. Civil Works Program-Specific Information (REF8010G).
- f. Operating Budget (PROC6001).
- g. Initiating a Project in PROMIS (PROC1030).
- h. PMP Content (REF8005G).
- i. PgMP Content (REF8028G).
- j. Resource Estimate Development (PROC2040).
- k. Activity/Schedule Development/Maintenance (PROC2030).
- l. Receipt of Funds (PROC1040).
- m. Work Management – Financial Management Interface (REF8014G).
- n. Project Execution and Control (PROC3000).

## **29–9. Distribution**

- a. District Program Manager.
- b. HQUSACE Resource Management.
- c. HQUSACE Program Manager.
- d. MSC Program Manager.
- e. Project Manager.
- f. Project Review Board.
- g. Program Budget Advisory Committee.

## **Chapter 30**

### **Program-Specific Processes: Army Military Construction Program and Budget (PROC7100)**

#### **30–1. Scope**

This process defines procedures and responsibilities for development of the Army MILCON program and budget for projects funded with Military Construction, Army (MCA); Army Family Housing; Military Construction Reserves; and Energy Resilience and Conservation Investment Program monies. USACE has an integral role in the process from the early development of project requirements to validating cost and scope prior to the budget, to the execution and turnover of the project.

#### **30–2. Process Overview**

The Army’s process for developing future requirements is the Planning, Programming, Budgeting, and Execution (PPBE) process as described in AR 1–1. This process is

ongoing. There will be as many as 7–9 years of program active in the process at any given time, from initial project conception through completion of construction and fiscal closeout. The following sections identify the various components of the PPBE related to MILCON, and the roles of the various organizations.

### **30–3. End Result**

Upon completion of this process, an Army MILCON Program and Budget is completed.

### **30–4. Responsibilities: Overview of MILCON Responsibilities by Organization**

- a. The Department of the Army (DA) is responsible for:
  - (1) Issuing “The Army Plan” (TAP) which is derived from Defense Planning Guidance (DPG). The TAP provides guidance for facilities planning and programming as well as training, sustainment, maintenance.
  - (2) Army staff defines/validate facility requirements and co-chairs Facility Design Teams.
  - (3) Compiling, submitting, and defending the Army’s MILCON Budget.
  - (4) Transferring the MILCON funds to HQUSACE and assisting in the reprogramming of MILCON funds.
- b. The Deputy Chief of Staff, G-9 Installations (DCS-G9) is responsible for:
  - (1) Issuing the Facility Investment Guidance (FIG). The FIG constitutes the definitive technical guidance for all Army investments in facilities, infrastructure, energy and water utilities for all Appropriations, all Components, and all Program Evaluation Groups (PEGs).
  - (2) Co-chairs Facility Design Teams.
  - (3) Providing direction to USACE to participate in Planning Charrettes, starting the initial and final designs, and providing Authority to Advertise and Award MILCON projects.
- c. The U.S. Army Materiel Command (AMC) is responsible for:
  - (1) Developing and executing the Army’s Facility Investment Strategy (FIS) and 10-year Facility Improvement Program (FIP).
  - (2) Leading an annual FIS Program review with all Army Commands (ACOM), Army Service Component Commands (ASCC), and Direct Reporting Units (DRU) and other stakeholders to assess the previous year’s program and re-prioritize current year and future year facility investment requirements.
  - (3) Overall MILCON program prioritization and insuring projects meet.
- d. The Installation Management Command (IMCOM) is responsible for:
  - (1) Leading the FIS execution plan.
  - (2) Developing the promulgating streamlined processes for installation management planning and development, acquisition, and project execution for MILCON expenditures.
  - (3) Documenting project requirements at the garrison level and prioritizing projects per the FIG.
- e. The ACOM, ASCC, and DRU are responsible for:
  - (1) Providing requirements/input on MILCON projects that support their missions.
  - (2) Defend and promote their mission projects in the annual FIP process.



- f.* The Office of the Secretary of Defense (OSD) is responsible for facilitating the final budget submission to Congress.
- g.* The OMB is responsible for facilitating the final budget submission to Congress.
- h.* The Congress is responsible for passing legislation (including MILCON Appropriations, Defense Appropriations, and Defense Authorization Bills).
- i.* The President of the United States (POTUS) is responsible for signing the bills passed by Congress.
- j.* USACE is responsible for:
  - (1) Design and Construction execution.
  - (2) Developing and maintaining design and construction criteria.
  - (3) Funds management.
  - (4) MSCs are responsible to coordinate issues with their Districts and report to HQUSACE and provide resourcing support throughout their AOR and cross boundaries for specifically assigned programs.

### **30–5. Responsibilities: Planning and Programming Process**

The planning process includes development of an Installation's Real Property Master Plan (RPMP) requirements which establish the foundation for real property management and development. The programming process includes development of sound and defensible DD Form 1391s per all applicable guidance and policies.

- a.* The DCS-G9 is responsible for:
  - (1) Programming, budgeting, and distributing funds, tracking resources and monitoring program performance for all existing and future real property systems, policies, programs, and initiatives.
  - (2) Providing guidance on facility and programming requirements via the FIG.
  - (3) Managing the Centrally Funded Planning Charette Program.
- b.* The AMC is responsible for:
  - (1) Leading the annual FIS Program review and prioritizing facility investments.
  - (2) Approval and prioritization of projects requiring planning charrettes.
- c.* The IMCOM is responsible for:
  - (1) Implementing Army real property master planning policies and guidance.
  - (2) Ensuring that major repair, minor construction, military construction, and real property acquisition, cleanup and disposal projects are consistent with, and portrayed in, the installation RPMPs.
  - (3) Validating project requirements.
  - (4) Reviewing and validating completeness of DD Form 1391s and supporting programming documentation.
- d.* The Installation is responsible for:
  - (1) Preparing the DD Form 1391 (with functional requirements) and prioritize project lists and submitting them to IMCOM.
  - (2) Participating actively in design development and in monitoring construction progress; for the Army Reserve Program, the Regional Support Commands (RSC) with input from the U.S. Army Reserve Command (USARC) serve the role of installation in MILCON program.

- e. USACE is responsible for:
  - (1) Oversight of the Centrally Funded Planning Charrette program execution.
  - (2) Oversight of the USACE Regional Master Planning Centers.
  - (3) Providing support to organizations for execution of planning charrettes and DD Form 1391 development as requested.
  - (4) Providing support to organizations for development of RPMP, components, studies, and investigations.

### **30–6. Responsibilities: Design (Budget) Process – Initial Design**

The initial design process is focused on progressing the project design to a 35% of the total design effort. This process includes validation of the project scope included on the baseline DD Form 1391, initial design of all facility and site components, and preparation of the design cost estimates. These products are utilized by DCS-G9 to prepare the final DD Form 1391 that will be submitted as part of the Army's Budget Estimate Submission (BES) and President's Budget (Pres Bud).

- a. The DCS-G9 is responsible for:
  - (1) Providing design release authority to HQUSACE.
  - (2) Providing suspense for design completion.
  - (3) Participating in the adjudication and approval of scope discrepancies and 15%/35% design cost changes.
  - (4) Producing the Army's BES and Pres Bud for each program year.
- b. The AMC is responsible for:
  - (1) Executing the Army Senior Leader approved plan.
  - (2) Approving design release authority.
  - (3) Adjudicating and approving scope discrepancies and 15%/35% design cost changes.
- c. The IMCOM is responsible for:
  - (1) Monitoring project design progress.
  - (2) Participating in the adjudication and approval of scope discrepancies and 15%/35% design cost changes identified as part of initial design efforts.
  - (3) Garrisons and IMCOM Directorates are responsible for providing written documentation of signed project site approval to the design team.
  - (4) Garrisons and IMCOM Directorates are responsible for providing Real Property Unique Identification designation (RPUID) for each proposed facility.
  - (5) Garrisons and IMCOM Directorates are responsible for ensuring that installation environmental documentation is complete/addressed.
- d. USACE is responsible for:
  - (1) Releasing design directives and funding to responsible Geographic District.
  - (2) Publishing guidance for the Code 2 (35% design) process and required deliverables.
  - (3) Providing review or comment submission period for employee feedback.
  - (4) Coordinating all scope discrepancies and 15%/35% design cost changes with DCS-G9 and IMCOM.

(5) Managing and tracking completion of the Code 2 deliverables. This task includes review and approval of the Parametric Design Report (PDR) and ENG 3086 (15% design Estimate). This process also includes tracking and collecting the District 35% Design Certification Memorandum and Design Construction Agent (DCA) Assessment and Cost and Schedule Risk Analysis (CSRA) where applicable.

(6) Briefing/reporting status of Code 2 projects to DCS-G9, AMC, IMCOM on regularly scheduled basis.

(7) Ensure appropriate Centers of Standardization, Mandatory Centers of Expertise (MCS) and Technical Centers of Expertise (CX) are engaged as applicable.

(8) USACE MSCs are responsible to ensure adequate resources are available to produce design products on time and USACE reporting systems accurately reflect current project status.

(9) USACE MSCs are responsible to ensure the Code 2 products and requirements are delivered per published suspenses.

(10) Geographic District is responsible for preparation of all Code 2 products per the Code 2 Instructions.

### **30–7. Responsibilities: Design (Budget) Process – Final Design**

The final design process begins when the Geographic District receives a final design directive. The Geographic District will progress to final design completion, to include requesting Authority to Advertise the project.

a. The DCS-G9 is responsible for:

(1) Providing final design release authority to HQUSACE.

(2) Participating in the adjudication of User Requested Changes (URC).

b. The AMC is responsible for:

(1) Approving final design release authority.

(2) Approving User Requested Changes (URC).

c. The IMCOM is responsible for:

(1) Monitoring project final design progress.

(2) Participating in the adjudication of URCs, cost, or scope issues.

(3) Ensuring that installation environmental documentation is completed within the applicable timeframes to facilitate on time award projects.

d. USACE is responsible for:

(1) Releasing final design directives and funding to responsible Geographic District.

(2) Notifying DCS-G9 and IMCOM of issues impacting project scope, cost or design completion and URC's.

(3) Managing and tracking completion of the final design deliverables.

(4) Briefing status of final design projects to DCS-G9, AMC, IMCOM on regularly scheduled basis.

(5) Requesting Authority to Advertise and award projects.

(6) USACE MSCs are responsible to ensure adequate resources are available to produce final design products on time.

(7) Geographic District is responsible for preparation of all final design products per the published criterial and instructions.

### 30–8. Timeline Major Milestones to be Considered

- a. March – FIP Program Objective Memorandum (POM) Issued.
- b. March – Initial Design Releases (Code 2).
- c. December – Complete Scope and Cost Validation.
- d. July – 35% Design Cost Certification.
- e. August – Final Design Release (Code 6).
- f. September – BES Submission.
- g. February – President’s Budget.

### 30–9. Process Steps

[Table 30–1](#) details the process steps in PROC7100.

**Table 30–1**  
**Army Military Construction Program and Budget (PROC7100) Process Steps**

Responsible POC	Actions
Department of the Army (DA)	1. Issue the TAP. The TAP provides guidance for facilities planning and programming.
Army Materiel Command (AMC)	2. Develop and execute FIS.
Deputy Chief of Staff, G-9 Installations (DCS-G9)	3. Issue the FIG. The FIG constitutes the definitive technical guidance for all Army investments.
Installations/ Garrisons	4. Develop/prepare/revise DD Form 1391. Include functional requirements.
Installation Management Command (IMCOM)	5. Validate Project Requirements and completeness of DD 1391s and supporting documentation. <b>If validated, go to #6. Otherwise, go to #4.</b>
AMC	6. Recommend Prioritized projects (DD 1391s).
DCS-G9	7. Prioritize projects. 8. Create 10-Year FIP.
HQUSACE	9. Issue Code 2 (Initial Design Authority).
USACE District	10. Release Code 2 Directive, Planning and Design (P&D) funding and guidance for required deliverables.
USACE District	11. Develop Parametric Design Report (PDR) and ENG 3086 for Scope and Cost Validation. <i>Note: USACE District performs this action.</i>
HQUSACE	12. Review PDR and 3086. <i>Note: HQUSACE performs this action.</i> <b>If PDR and 3086 are complete, go to #13. Otherwise, go to #11.</b>
USACE District	13. Develop 35% Design Certification Memorandum, Design Construction Agent (DCA).

Responsible POC	Actions
	When applicable (>\$20M), perform the Cost and Schedule Risk Analysis (CSRA).
HQUSACE	14. Submit Complete Initial Design Package.
DCS-G9	15. Compile and develop Budget Book.
AMC	16. Develop BES.
DA	17. Submit Army's BES. 18. Send to both OSD and DCS-G9 for action simultaneously. <b>If Deputy Chief of Staff, G-9 Installations (DCS-G9), go to #19, Otherwise, OSD, go to #29.</b>
DCS-G9	19. Issue Final Design Authority.
HQUSACE	20. Release Code 6 and Directive, P&D funding, and guidance for required deliverables.
USACE District	21. Develop final design package Ready to Advertise (RTA).
HQUSACE	22. Submit Code A "Authority to Advertise."
DCS-G9	23. Issue Code A Authority.
HQUSACE	24. Release Code A Directive.
USACE District	25. Advertise the Project to Industry. 26. Evaluate proposal(s). 27. Identify proposal for Selection Award.
HQUSACE	28. Submit Code 9 "Authority for Contract Award". <b>Go To #38.</b>
OSD	29. Submit OSD Budget Estimate (OSD BES).
Office of Management and Budget (OMB)	30. Review OSD BES and submit to POTUS for review.
President of the United States (POTUS)	31. Send on to Congress.
Congress	32. Review BES. 33. Hold committee hearings. 34. Enact Authorization and Appropriation Bills.
POTUS	35. Sign Bills into Law.
OSD	36. Release Program Authority.
DA	37. Allocate Army Construction Funds.
DCS-G9	38. Issue Code 9 Authority.
HQUSACE	39. Release Code 9 Directive.
USACE District	40. Award Contract Construction Project Closeout. <b>End of activity.</b>

### 30–10. Process Flowchart

Figure 30–1, Figure 30–2 and Figure 30–3 show the flowchart for this process.

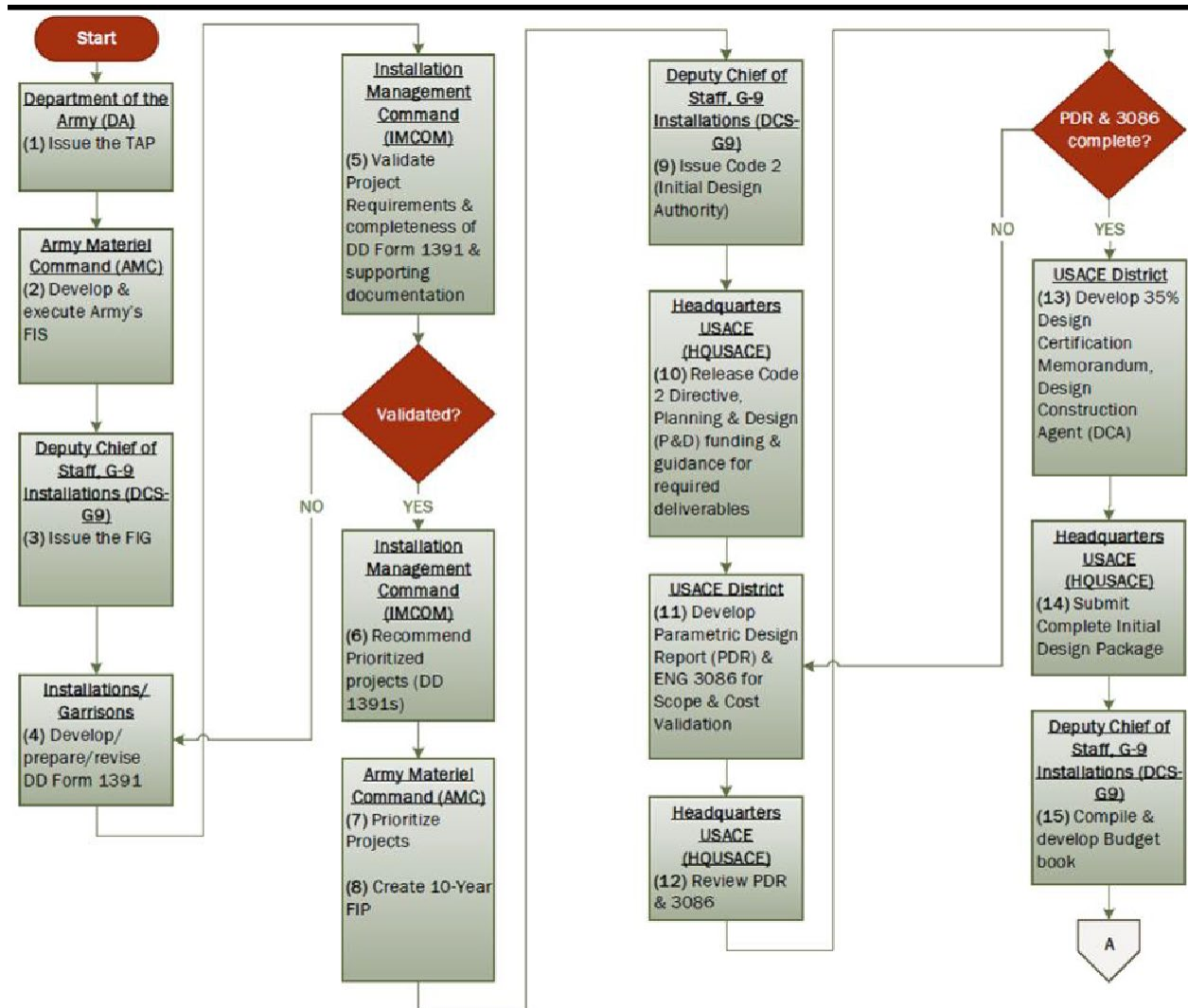


Figure 30–1. Army Military Construction Program and Budget (PROC7100) (Part a)



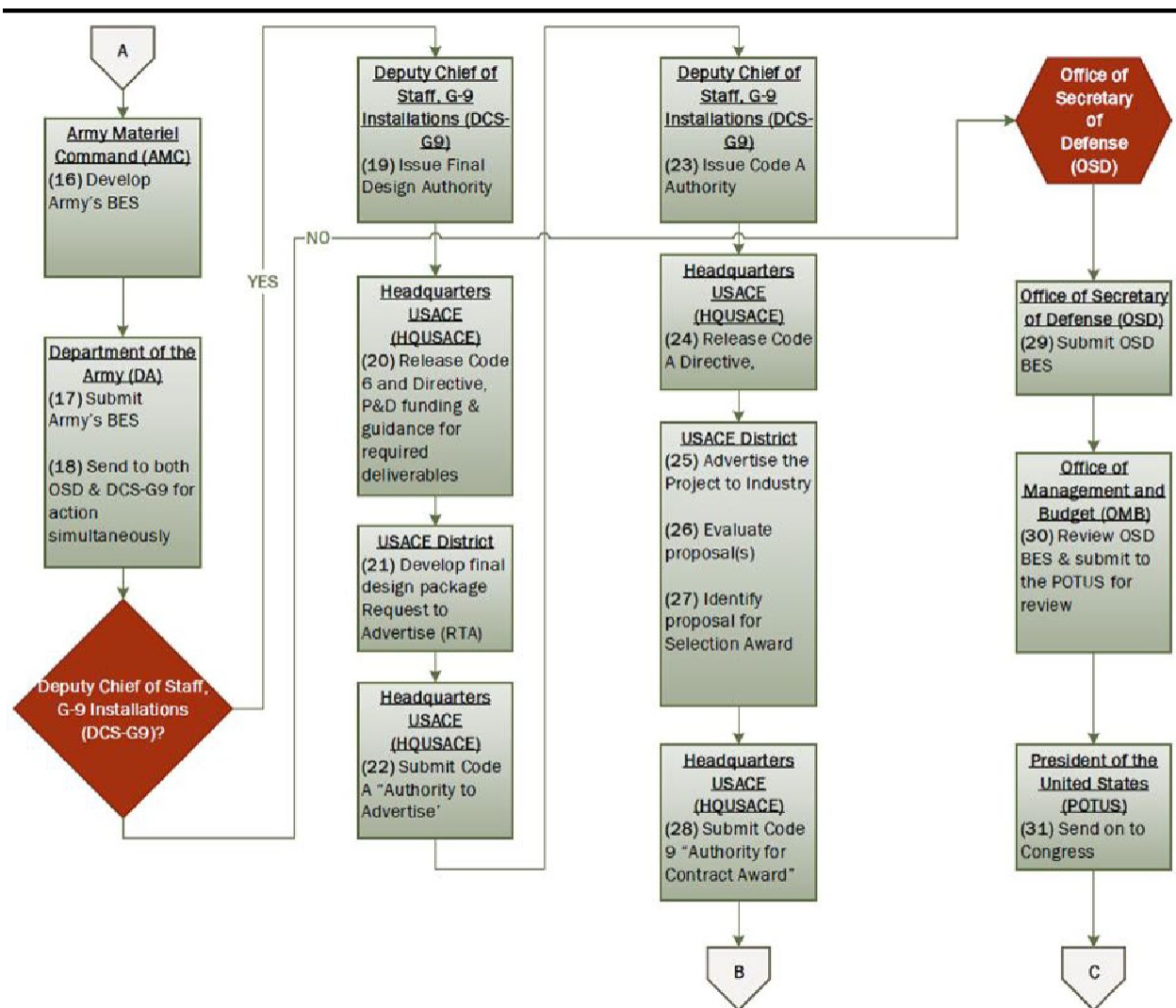


Figure 30–2. Army Military Construction Program and Budget (PROC7100) (Part b)

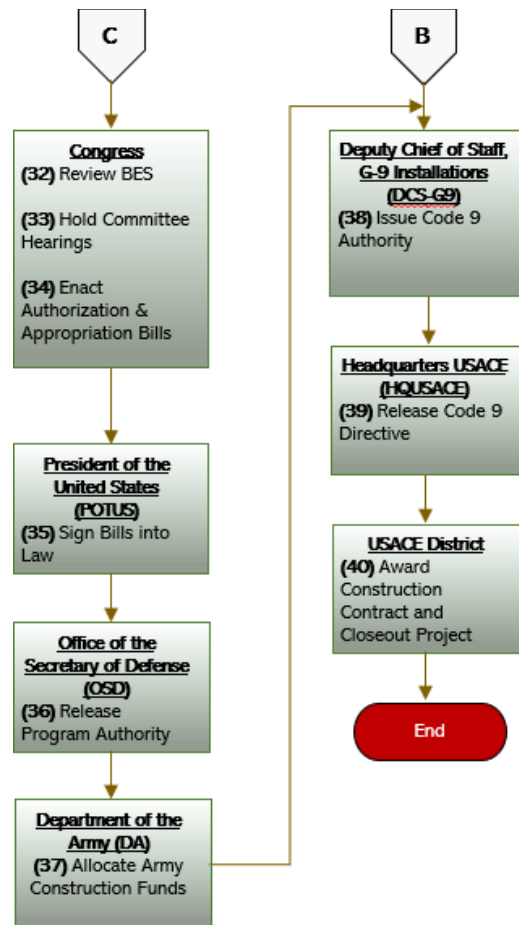


Figure 30–3. Army Military Construction Program and Budget (PROC7100) (Part c)

### 30–11. Policy References (See Appendix A)

- DoD 7000.14–R, Department of Defense Financial Management Regulation.
- ER 5–1–11, U.S. Army Corps of Engineers Business Process.
- ER 37–345–10, Accounting and Reporting – Military Activities.
- USACE Command Guidance.

### 30–12. Related Topics

- Military Program Specific Information (REF8011G).
- PMP/PgMP Development (PROC2000).
- Project Execution and Control (PROC3000).
- Work Acceptance (PROC1000).
- CEFMS II Users Manuals.

### 30–13. Distribution

- Assistant Chief of Staff for Installation Management.
- Congress.
- Department of the Army.
- USACE District.

- e. HQUSACE.
- f. Installations.
- g. Major Command.
- h. MSC.
- i. Office of Management and Budget.
- j. Office of the Secretary of Defense.
- k. President of the United States.
- l. Program Manager.
- m. Project Manager.
- n. Secretary of the Army.

## **Chapter 31**

### **Program-Specific Processes: Air Force Military Construction Program and Budget (PROC7110)**

#### **31–1. Scope**

This process defines procedures for development of the MILCON program and budget for projects funded with Military Construction, Air Force (MCAF); Minor MILCON, Air Force (MMAF); MILCON, Air Force Reserve (MAFR); and Family Housing Air Force MILCON Investment (FHAF) monies. Air Force Major Commands develop and submit MILCON programs per guidance issued by Headquarters Air Force (HAF)/Air Force Civil Engineer. The Air Force Reserve Command (AFRC) develops additional policy unique to AFRC construction programs and oversees management of those programs.

#### **31–2. Process Overview**

This process is ongoing. There will be several years of programs active in this process at any given time, from initial project design through completion of construction and fiscal closeout.

#### **31–3. End Result**

Upon completion of this process, the District will have the authority and funds to advertise, award, construct, and closeout a project.

#### **31–4. Responsibilities**

- a. The Air Force Civil Engineer Center (AFCEC) is responsible for MCAF/MMAF and FHAF.
- b. The AFRC is responsible for:
  - (1) Managing the MILCON budget and program for the MAFR.
  - (2) Managing funds and releasing adequate funds to HQUSACE for program execution.
- c. The AFCEC or AFRC is responsible for issuing design and construction authorizations to USACE.
- d. The MSC is responsible for overseeing the Air Force MILCON program.
- e. HQUSACE is responsible for:
  - (1) Oversight of the MILCON program.

- (2) Issuing HQUSACE directives to MSCs/Districts.
- (3) Managing Air Force MILCON funds.
- (4) Issuing design and construction funds for authorized projects, as authorized by AFCEC/AFRC.
- (5) Issuing program policy and performance measures via the USACE Command Guidance and Director's Policy Memorandums.
- f. The District is responsible for:
  - (1) Executing the project through the design and construction phases.
  - (2) Project Closeout.

### 31–5. Process Steps

[Table 31–1](#) details the process steps in PROC7110.

**Table 31–1**  
**Air Force Military Construction Program and Budget (PROC7110) Process Steps**

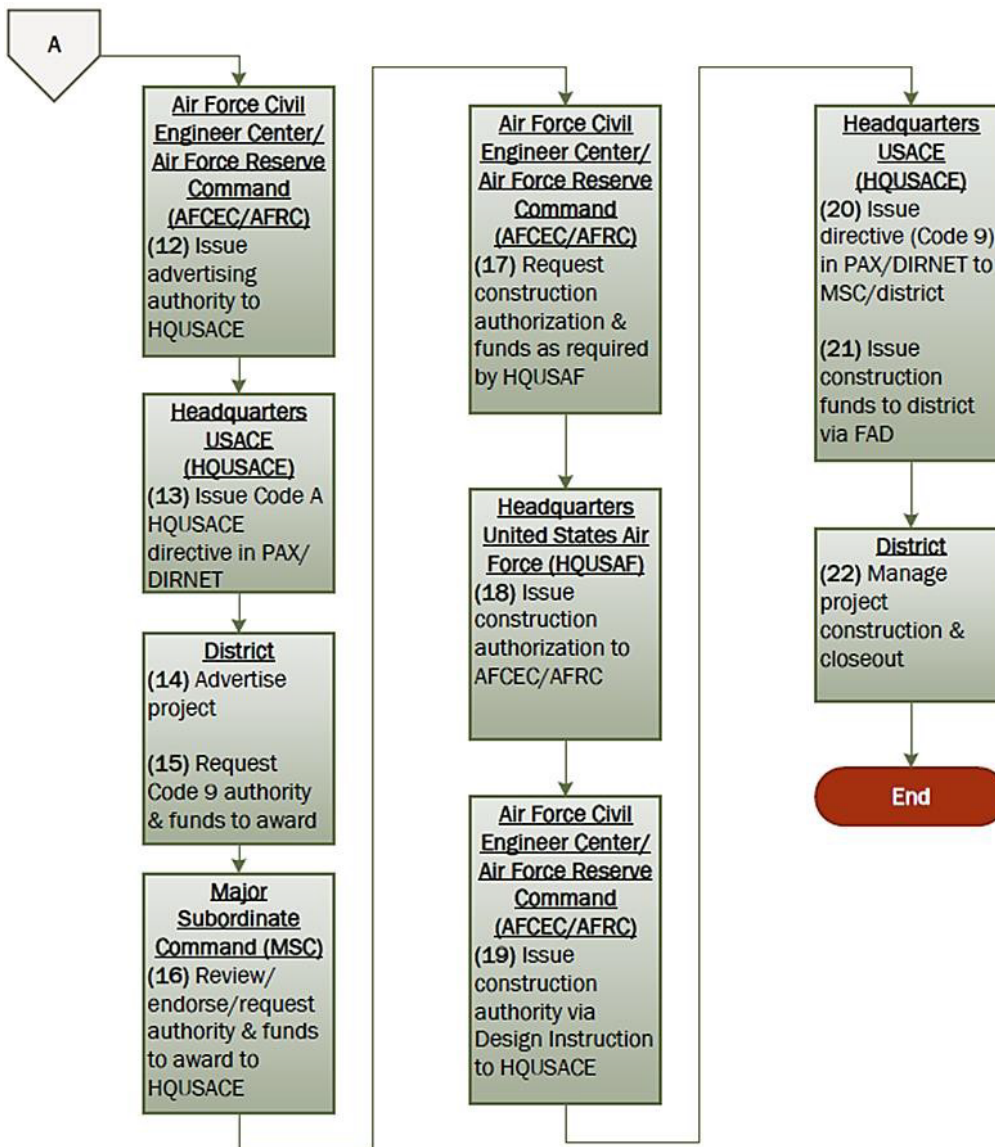
Responsible POC	Actions
<b>Headquarters United States Air Force (HQUSAF)</b>	1. Issue Design Release to AFCEC/AFRC. 2. Authorize/Release Design Funds to HQUSACE.
<b>Air Force Civil Engineer Center/Air Force Reserve Command (AFCEC/AFRC)</b>	3. Notify HQUSACE of release of Design Authorization via Design Instruction.
<b>HQUSACE</b>	4. Issue Design Directive (Code 1, 2, 3, 6 or 7). Directive initiated in Programming Administration and Execution System (PAX)/DIRNET. 5. Issue design funds to District via Funding Authorization Document (FAD).
<b>District</b>	6. Complete design/pre-award activities up to design authorized. Refer to <a href="#">Project Initiation: Work Acceptance (PROC1000)</a> . 7. Request Authority to Advertise from MSC.
<b>MSC</b>	8. Review/endorse/request Authority to Advertise from HQUSACE.
<b>HQUSACE</b>	9. Reviews and submits request to AFCEC/AFRC.
<b>AFCEC/AFRC</b>	10. Request Authority to Advertise from HQUSAF as required.
<b>HQUSAF</b>	11. Issue Advertising Authority to AFCEC/AFRC.
<b>AFCEC/AFRC</b>	12. Issue advertising authority to HQUSACE.
<b>HQUSACE</b>	13. Issue Code A HQUSACE directive in PAX/DIRNET.
<b>District</b>	14. Advertise project. Refer to <a href="#">Project Execution, Monitor and Control: Project Execution and Control (PROC3000)</a> . 15. Request Code 9 authority and funds to award.
<b>MSC</b>	16. Review/endorse/request for authority and funds to award to HQUSACE.
<b>AFCEC/AFRC</b>	17. Request construction authorization and funds as required to HQUSAF.

Responsible POC	Actions
HQUSAF	18. Issue construction authorization to AFCEC/AFRC. AFCEC/AFRC requests release of construction funding to HQUSACE.
AFCEC/AFRC	19. Issue construction authority via Design Instruction to HQUSACE.
HQUSACE	20. Issue construction directive (Code 9) in PAX/DIRNET to MSC/District. 21. Issue construction funds to District via FAD.
District	22. Manage project construction and closeout. Refer to <a href="#">Project Execution, Monitor and Control: Project Execution and Control (PROC3000)</a> . <b><i>End of activity.</i></b>

[Figure 31-1](#) and [Figure 31-2](#) show the flowchart for this process.







**Figure 31–2. Air Force Military Construction Program and Budget (PROC7110) (Part b)**

### 31–7. Policy References (See Appendix A)

- a. Air Force Instruction (AFI) 32–1021, Planning and Programming Military Construction Projects.
- b. DoD 7000.14–R, Department of Defense Financial Management Regulation.
- c. ER 5–1–11, U.S. Army Corps of Engineers Business Process.
- d. ER 37–345–10, Accounting and Reporting – Military Activities.
- e. Military Construction, Air Force Annex – Enterprise Program Management Plan.
- f. USACE Command Guidance.

### 31–8. Related Topics

- a. PMP/PgMP Development (PROC2000).
- b. Project Execution and Control (PROC3000).

- c. Work Acceptance (PROC1000).
- d. Military Program–Specific Information (REF8011G).

### **31–9. Distribution**

- a. District.
- b. HQUSACE.
- c. HQUSAF.
- d. Air Force Civil Engineer Center.
- e. Major Command.
- f. MSC.
- g. Program Manager.
- h. Project Manager.

## **Chapter 32**

### **Program-Specific Processes: Medical Military Construction Program and Budget (PROC7120)**

#### **32–1. Scope**

This process defines the responsibilities for development of the Medical MILCON program and budget for projects funded with Department of Defense Medical (DoDM) appropriations. Organizations outside of USACE perform the majority of the process.

#### **32–2. Process Overview**

This process is ongoing. There will be as many as 9 years of programs active in this process at any given time, from initial project conception through completion of construction and fiscal closeout.

#### **32–3. End Result**

Upon completion of this process, construction authority will be issued and funds released to the field.

#### **32–4. Responsibilities**

- a. The Defense Health Care Agency (DHCA) is responsible for:
  - (1) Issuing program guidance on behalf of the Defense Health Agency (DHA) Facilities Enterprise (FE).
  - (2) Preparing the Program Objective Memorandum (POM) and Budget Estimate Submission (BES).
  - (3) Reviewing and approving the Medical MILCON program budget submission.
  - (4) Reviewing and certifying DD Forms 1391.
  - (5) Coordinating real property requirements and issuing guidance to installations in regard to Medical MILCON.
  - (6) Allocating funds and issuing design and construction authority to HQUSACE.
  - (7) Adjusting project costs and submitting to OSD/OMB for budget corrections upon receipt of Cost and Schedule Risk Analysis (CSRA) submissions from the executing USACE Districts.



**Table 32–1**  
**Medical Military Construction (MILCON) Program and Budget (PROC7120) Process Steps**

Responsible POC	Actions
Defense Health Care Agency (DHCA)	<ol style="list-style-type: none"> <li>1. Issue Medical Program Guidance to HFP.</li> <li>2. Prepare DD Form 1391 and Priority Project List. List is prepared based on functional requirements prepared and submitted by the user.</li> </ol> <p><b>Task 3 (DHCA track) and 4 thru 6 (1391 track) are performed concurrently.</b></p> <ol style="list-style-type: none"> <li>3. Prepare POM/BES Input and provide to Congress.</li> <li>4. Prepare Biennial POM, review, and lock.</li> <li>5. Review Congressional notification.</li> <li>6. Release Code 1 (Pre-Design Activity/A-E Selection) or Code 2 (35% Concept Design) Design authority.</li> </ol>
HQUSACE	<ol style="list-style-type: none"> <li>7. Issue design authority. Directive information is entered into DIRNET. Directive information is transferred into PROMIS via the interface with DIRNET.</li> </ol>
District	<ol style="list-style-type: none"> <li>8. Determine level of design authority. Refer to <a href="#">Project Initiation: Work Acceptance (PROC1000)</a> if no previous directive issued. Refer to <a href="#">Project Planning: Project Management Plan/Program Management</a> Plan Development (PROC2000) if PMP has not been completed. Refer to <a href="#">Project Execution, Monitor and Control: Project Execution and Control (PROC3000)</a> if PMP is approved.</li> </ol> <p><b>If Code 1, go to #6. Otherwise, go to #9.</b></p> <ol style="list-style-type: none"> <li>9. Complete Request for Proposal (RFP)</li> <li>10. Submit RFP to HQUSACE.</li> </ol>
HQUSACE	<ol style="list-style-type: none"> <li>11. Review project and submit to DHA.</li> </ol>
DHCA	<ol style="list-style-type: none"> <li>12. Perform final program review and adjust project cost (if necessary).</li> <li>13. Perform Amended Budget Submission (ABS) and approval.</li> </ol>
Office of the Secretary of Defense (OSD), Office of Management and Budget (OMB)	<ol style="list-style-type: none"> <li>14. Review, adjust, and approve ABS.</li> </ol>
DHCA	<ol style="list-style-type: none"> <li>15. Address OSD/OMB ABS issues.</li> <li>16. Provide execution guidance to HQUSACE.</li> <li>17. Issue guidance on final design.</li> </ol>
HQUSACE	<ol style="list-style-type: none"> <li>18. Release final design authority via Directive. Directive information entered in DIRNET. Directive information is transferred into PROMIS via the interface with DIRNET. Refer to <a href="#">Project Execution, Monitor and Control: Project Execution and Control (PROC3000)</a> if following normal programming procedures.</li> </ol>

Responsible POC	Actions
	Refer to <a href="#">Project Initiation: Work Acceptance (PROC1000)</a> for Congressional Inserts.
<b>DHCA</b>	19. Compile Congressional Budget Books for ABS.
<b>Congress</b>	20. Review Budget Books 21. Committee Hearing for ABS. OSD, DHA, HFPA testify and respond to Congressional questions. 22. Enact Authorization and Appropriation Bills.
<b>President of the United States (POTUS)</b>	23. Sign bills into law.
<b>OMB</b>	24. Apportion funds.
<b>OSD</b>	25. Release Program Authority.
<b>DHCA</b>	26. Authorize construction and allocate funds to HQUSACE.
<b>HQUSACE</b>	27. Issue construction authority and funds to field. Authority issued via Directive information into DIRNET. Directive information is transferred into PROMIS via the interface with DIRNET. Funds issued via Funding Authorization Document (FAD) in the Program Budget Accounting System (PBAS).
<b>District</b>	28. Manage project construction and closeout. Refer to <a href="#">Project Execution, Monitor and Control: Project Execution and Control (PROC3000)</a> . <b><i>End of Activity.</i></b>

### 32-6. Process Flowchart

Figure 32-1 and Figure 32-2 show the flowchart for this process.

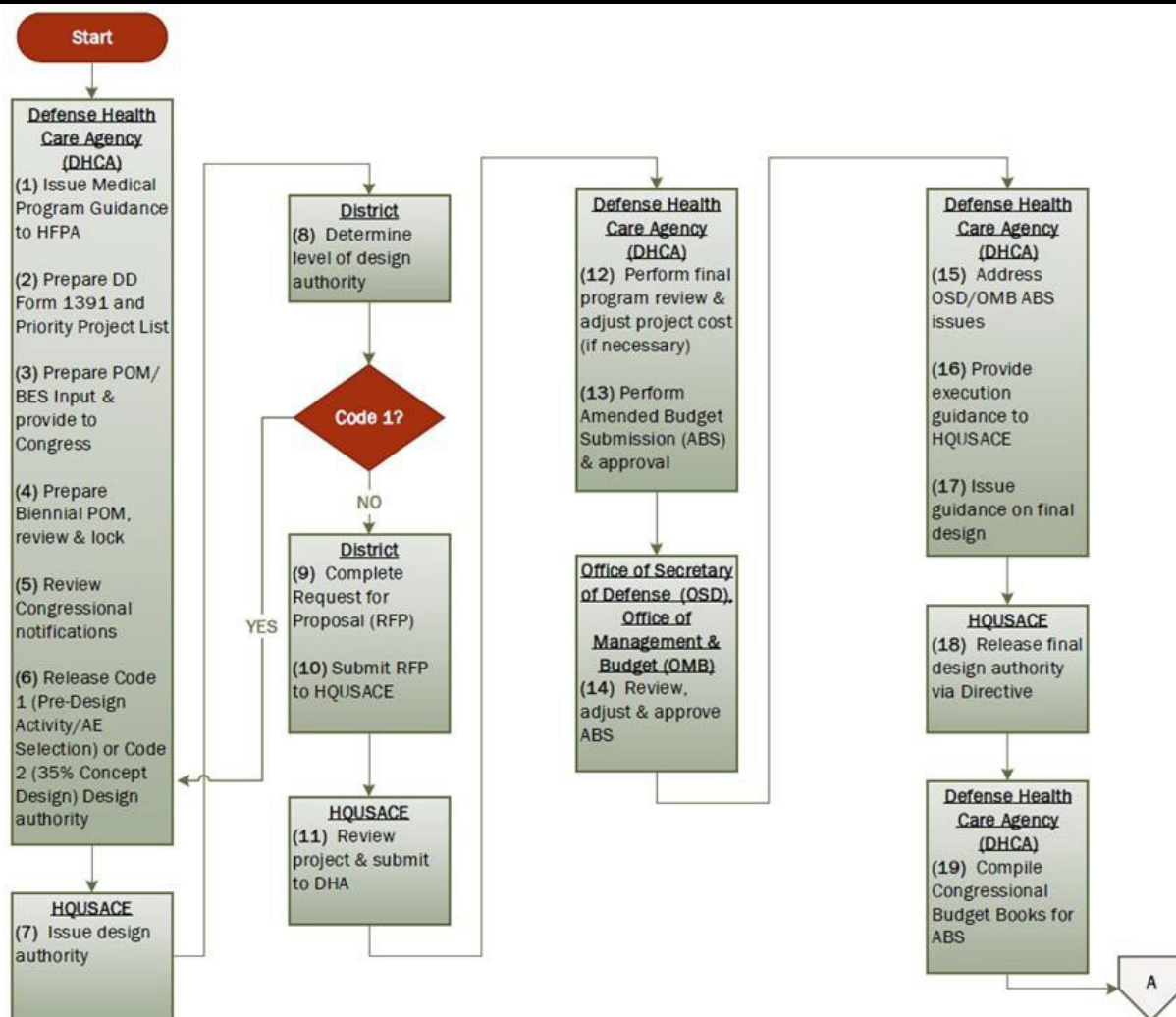


Figure 32-1. Medical MILCON Program and Budget (PROC7120) (Part a)

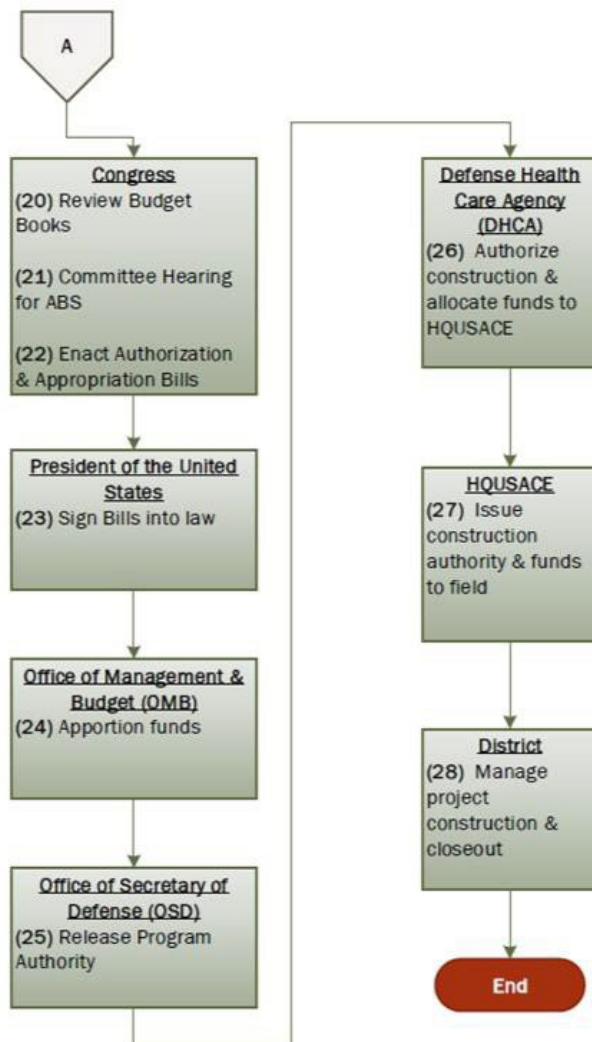


Figure 32–2. Medical MILCON Program and Budget (PROC7120) (Part b)

### 32–7. Policy References (See Appendix A)

- a. DoD 7000.14–R, Department of Defense Financial Management Regulation.
- b. ER 5–1–11, U.S. Army Corps of Engineers Business Process.
- c. ER 37–345–10, Accounting and Reporting – Military Activities.
- d. USACE Command Guidance.

### 32–8. Related Topics

- a. Military Program Specific Information (REF8011G).
- b. PMP/PgMP Development (PROC2000).
- c. Project Execution and Control (PROC3000).
- d. Work Acceptance (PROC1000).

### 32–9. Distribution

- a. Congress.
- b. District.



- c. Health Facility Planning Agency.
- d. Air Force Medical Readiness Agency.
- e. HQUSACE.
- f. Installation/Base Civil Engineering.
- g. Office of Management and Budget.
- h. Office of the Secretary of Defense.
- i. President of the United States.
- j. Program Manager.
- k. Project Manager.
- l. Defense Health Agency.

## **Chapter 33**

### **Program-Specific Processes: Host Nation Program and Budget (PROC7130)**

#### **33–1. Scope**

This process defines procedures for programming and budgeting of Planning and Design (P&D) funds for the Host Nation-Funded Construction Program (HNFCP) in Japan, Republic of Korea, Europe, and United States Central Command AOR. P&D funds are provided by the Military Construction, Army (MCA) appropriations. This scope outlines the policy and assignment of responsibilities for DoD planning, programming, and budgeting for the HNFCP. In these locations the Army Host Nation P&D is used for HNFCP for all Services and DoD agencies.

a. In Japan, P&D funds are used for Program/Project management, the preparation of U.S. Government criteria, and design and construction surveillance for Host Nation-funded projects. The Government of Japan pays for and contracts the designs and construction. These projects normally fall under two types of programs. One, the Facilities Improvement Program (FIP) targets replacing old U.S. facilities and is considered the Government of Japan sharing the burden of stationing of U.S. forces in Japan. Second, are various other programs initiated by the Government of Japan to facilitate returning land from U.S. military control to the Government of Japan. Some of these include the relocation of entire U.S. Installations, and others relocate some facilities to allow return of just portions of a base.

b. In the Republic of Korea, P&D funds are used for Program/Project management and execution of the Republic of Korea Funded Construction (ROKFC) program., which is managed by U.S. Forces Korea. P&D funds for the ROKFC programs are typically used for Program/Project management, design, and to augment construction oversight.

c. In Europe, P&D funds covers the Program/Project management and execution for Payment-in-Kind (PIK) and NATO (NATO Security Investment Program (NSIP), NATO Minor Works, and NATO Recoupment).

(1) PIK is a method for the Federal Republic of Germany to provide compensation for returned installations in the form of construction credits. Credits are usually available 3–4 years after installation closure.

(2) NSIP provides a means for operational facilities to be constructed with common funds contributed by NATO members (26 Countries). NSIP covers the process and procedures from conception of the required capabilities through package definition, resource analysis, investment proposal, implementation, acceptance and management to deletion and removal from the NATO inventory. NSIP projects are limited to the minimum military requirement needed to accomplish the NATO assigned mission and conform to established NATO criteria and standards. U.S. safety, environmental, and energy conservation requirements that exceed the NATO standard, but are mandated by U.S. Laws or DoD regulations, are exempt from those minimum criteria/standards.

(3) A NATO Minor Works (MW) project for U.S. Forces is a completely usable project not part of a currently proposed project and not part of the planning, design or consultation associated with a larger NSIP project or a Capability Package.

(4) NATO Recoupment is the use of MILCON to prefinance projects for reimbursement by NATO. In the Central Command AOR, P&D funds covers the Program/Project management and execution in support of the U.S. Air Force (Base Development activities). Currently, the active Host Nation Funding covers the Air Force work in the United Arab Emirates (MSAB Development).

(5) Other Host Nation Program opportunities would be covered under the NSIP. NSIP covers the process and procedures from conception of the required capabilities through package definition, resource analysis, investment proposal, implementation, acceptance and management to deletion and removal from the NATO inventory. NSIP projects are limited to the minimum military requirement needed to accomplish the NATO assigned mission and conform to established NATO criteria and standards.

### **33–2. Process Overview**

The P&D program and budget requirements development and submission are performed on an annual basis and follow the timelines for preparation of the President's Budget.

### **33–3. End Result**

Upon completion of this process, the methodology for developing the P&D program will be standardized.

### **33–4. Responsibilities**

a. The Department of the Army (DA) is responsible for:

(1) Programming, budgeting, and accounting for all MILCON P&D funding for U.S. criteria preparation and design and construction surveillance, inspection, and overhead costs required to manage Host Nation construction programs.

(2) Providing funds to HQUSACE.

(3) Developing and submitting the DD Form 1391 for the annual P&D requirement estimate based on appropriate input from the responsible MSCs (such as Pacific Ocean Division (POD) and North Atlantic Division (NAD)) during the Guidance Year.

b. HQUSACE (Military Programs) is responsible for interfacing with the MSCs on the annual Planning and Design Management Plan (P&DMP) and the Districts' funding requirements during the Program and Budget Year.

- c. The MSC is responsible for:
  - (1) Requesting Districts to submit annual P&DMP funding requirements for criteria preparation and engineering and construction surveillance.
  - (2) Preparing criterial for P&DMP.
  - (3) Reviewing and submitting annual P&DMP to HQUSACE.
  - (4) Preparing monthly summaries of P&D funds receipts and obligations.
  - (5) Validating and submitting funds transfer requests from Districts to HQUSACE.
- d. The District is responsible for:
  - (1) Submitting annual P&DMP to MSC based on funding requirements for criteria preparation, design surveillance and construction surveillance.
  - (2) Submitting funds transfer requests through the MSC to HQUSACE.
  - (3) Developing design and construction criteria for Host Nations to ensure that projects are designed and constructed per Host Nation agreements and U.S.
  - (4) MILCON program standards and criteria. Exceptions to U.S. standards and criteria will be coordinated with the DoD Component for whom the facility is being constructed.
  - (5) Providing design and construction surveillance, and inspection services for Host Nation projects.
  - (6) Providing technical advice to joint and Unified Commanders, Military Service component commanders and Host Nation government agencies.
- e. The Installation/Base Civil Engineering (BCE) is responsible for:
  - (1) Assisting with the initiation of all Project Initiation Forms (PIFs) and coordinating activities with Defense Health Agency (DHA) Facilities Enterprise (FE).
  - (2) Participating actively in design development and in monitoring construction progress for impacts to operation.
  - (3) Ensuring the participation of utilities agencies, the fire department, traffic control, security, network infrastructure, historical preservation offices, airfield operations, and other organizations in the design development of Medical MILCON projects and construction.
- f. The Deputy Chief of Staff, G-9 Installations (DCS-G9s) is responsible for submitting DD Forms 1391 to OSD.
- g. The OSD is responsible for facilitating the final budget submission to Congress.
- h. The OMB is responsible for facilitating the final budget submission to Congress.
- i. The Secretary of the Army (SA) is responsible for facilitating the final budget submission to Congress.
- j. The Congress is responsible for passing legislation (including the MILCON Appropriations, Defense Appropriations, and Defense Authorization Bills).
- k. The POTUS is responsible for signing the bills passed by Congress.

### 33–5. Process Steps

[Table 33–1](#) details the process steps in PROC7130.

**Table 33–1**  
**Host Nation Program and Budget (PROC7130) Process Steps**

Responsible POC	Actions
Host Nation	<ol style="list-style-type: none"> <li>Develop program requirements.</li> <li>Submit program requirements to U.S. Unified Command in country.</li> </ol>
U.S. Unified Command	<ol style="list-style-type: none"> <li>Provides Host Nation 3- to 5-year program to geographic District.</li> </ol>
Department of the Army (DA)	<ol style="list-style-type: none"> <li>Provide budget to HQUSACE.</li> </ol>
HQUSACE	<ol style="list-style-type: none"> <li>Review budget.</li> </ol>
Deputy Chief of Staff, G-9 (DCS-G9)	<ol style="list-style-type: none"> <li>Submit DD Form 1391 to OSD as part of Budget Estimate Submission (BES).</li> </ol>
Office of the Secretary of Defense (OSD)	<ol style="list-style-type: none"> <li>Submit DD Form 1391 to Congress as part of President's Budget.</li> </ol>
Congress	<ol style="list-style-type: none"> <li>Review President's Budget.</li> <li>Hold Committee Hearing for President's Budget. OSD, SA, DA, USACE, and MSC testify and respond to Congressional questions.</li> <li>Enact Authorization and Appropriations Bills.</li> </ol>
President of the United States (POTUS)	<ol style="list-style-type: none"> <li>Sign Bills into law.</li> </ol>
Office of Management and Budget (OMB)	<ol style="list-style-type: none"> <li>Apportion funds to OSD.</li> </ol>
OSD	<ol style="list-style-type: none"> <li>Apportion funds to DA.</li> </ol>
DA	<ol style="list-style-type: none"> <li>Allocate funds to HQUSACE.</li> </ol>
HQUSACE	<ol style="list-style-type: none"> <li>Request MSCs to submit a P&amp;DMP and provide guidance.</li> </ol>
MSC	<ol style="list-style-type: none"> <li>Coordinate with District on submission of P&amp;DMP and provide guidance.</li> </ol>
District	<ol style="list-style-type: none"> <li>Develop P&amp;DMP based on guidance provided by MSC and HQUSACE.</li> <li>Submits P&amp;DMP to MSCs for review and submission to HQUSACE. P&amp;DMP will reflect monthly in-house requirements to perform design and construction surveillance. P&amp;DMP will also reflect Architect-Engineer (A-E) requirements for preparation of criteria preparation.</li> </ol>
MSC	<ol style="list-style-type: none"> <li>Review P&amp;DMP for compliance with guidance. <b><i>If P&amp;DMP complies with guidance, go to #20. Otherwise, go to #17.</i></b></li> <li>Submit P&amp;DMP to HQUSACE.</li> </ol>
HQUSACE	<ol style="list-style-type: none"> <li>Review P&amp;DMP for compliance with guidance. <b><i>If P&amp;DMP complies with guidance, go to #22. Otherwise, go to #17.</i></b></li> </ol>

Responsible POC	Actions
	22. Distribute funds to District based on P&DMP. Funds are issued via a Funding Authorization Document (FAD) in the Funds Distribution Management system.
District	23. Execute Host Nation Program. Refer to <a href="#">Project Initiation: Work Acceptance (PROC1000)</a> . <b>End of activity.</b>

### 33–6. Process Flowchart

[Figure 33–1](#) and [Figure 33–2](#) show the flowchart for this process.

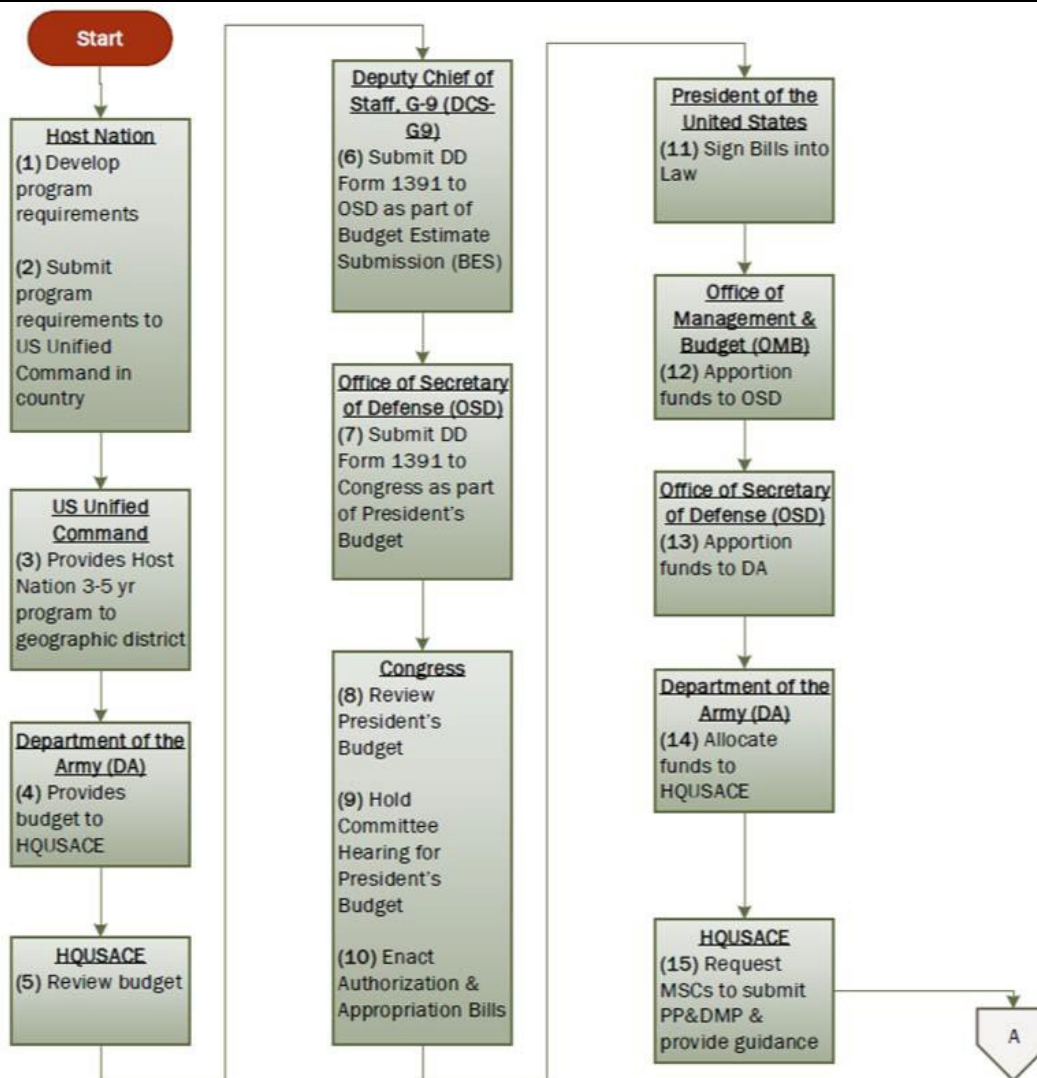


Figure 33–1. Host Nation Program and Budget (PROC7130) (Part a)

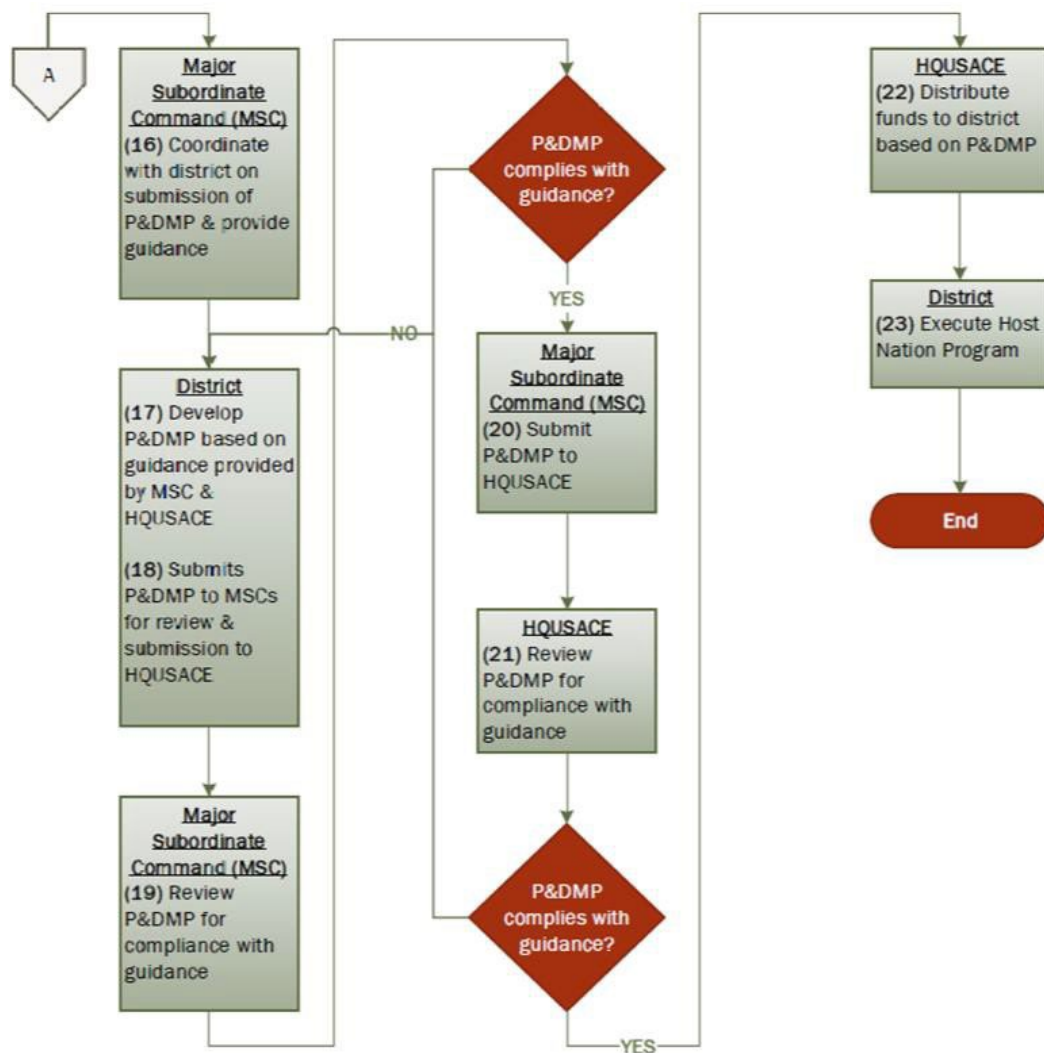


Figure 33–2. Host Nation Program and Budget (PROC7130) (Part b)

### 33–7. Policy References (See Appendix A)

- AR 415–15, Army Military Construction Program Development and Execution, Appendix K–25.
- DoD 7000.14–R, Department of Defense Financial Management Regulation.
- DoDD 4270.5, Military Construction.
- ER 37–1–30, Financial Administration Accounting and Reporting.
- USACE Command Guidance.

### 33–8. Related Topics

- PMP/PgMP Development (PROC2000).
- Project Execution and Control (PROC3000).
- Work Acceptance (PROC1000).

### **33–9. Distribution**

- a.* Deputy Chief of Staff, G-9.
- b.* Congress.
- c.* Department of the Army.
- d.* District.
- e.* Host Nation.
- f.* HQUSACE.
- g.* MSC.
- h.* Office of Management and Budget.
- i.* Office of the Secretary of Defense.
- j.* President of the United States.
- k.* Program Manager.
- l.* Project Manager.

## **Chapter 34**

### **Program-Specific Processes: Section 408 (PROC7160)**

#### **34–1. Scope**

This reference document describes the Section 408 program. USACE, often in partnership with non-federal entities, is responsible for many Congressionally authorized CW projects across the country. There are occasions when entities other than USACE may seek to alter or occupy, either permanently or temporarily, these projects. Reasons for alterations could include improvements to the projects; relocation of part of the project; installation of utilities; or construction of non-project features. Section 14 of the Rivers and Harbors Act of 1899, which has been amended several times and is codified at 33 United States Code (U.S.C.) 408 (Section 408) provides that USACE may grant permission for another party to alter a CW project upon the determination that the alteration proposed will not be injurious to the public interest and will not impair the usefulness of the Civil Works project.

#### **34–2. Program Guidance**

Engineer Circular (EC) 1165–2–220, Policy and Procedural Guidance for Processing Requests to Alter USACE Civil Works Projects, sets forth the process for implementing 33 U.S.C. 408. The EC was issued in September 2018 and has been made applicable until it is replaced through the codification of a regulation implementing Section 408 in the Code of Federal Regulations. The below summary should only be used to familiarize one with the Section 408 program. The EC must be followed when executing the Section 408 program.

#### **34–3. End Result**

The end result of this process is a Section 408 permission decision will be rendered.

#### **34–4. Responsibilities/Program Governance**

There is a Section 408 Coordinator at HQUSACE, Division, and each District office.

- a.* The District Section 408 Coordinator is responsible for:



(1) Ensuring proper coordination occurs among all the necessary elements internally and externally, including but not limited to Regulatory, Tribal liaisons, Real Estate, Counsel, Planning, Engineering and Construction, Programs and Project Management, and Operations.

(2) Data management in the Section 408 database and requesting of program funds.

*b.* The Division Section 408 Coordinator is responsible for:

(1) Ensuring proper coordination among other Districts if the proposed alteration crosses more than one District's AOR.

(2) Coordination of decisions made at the Division level.

### **34–5. Section 408 Program Budget**

Requests for authorization to alter a Civil Works project under Section 408 (a “Section 408 request”) are submitted by the proponent of the alteration (the “requester”) and there is no cost to the requester for the review by USACE.

*a.* The Section 408 program is budgeted under the O&M Remaining Items (OMRI) line-item Review of Non-Federal Alterations of Civil Works Project (Section 408). The Army Management Structure Code (AMSCO) is 190093 and the CCS is 408. Cross Charge Labor Codes and travel funds are distributed to Districts based on the amount requested to conduct the review, including construction oversight if needed, as well as funding for program management activities.

*b.* The funds are managed by the Risk Management Center (RMC) and are typically distributed monthly, or bi-monthly, based on availability. There are also three authorities under which USACE can accept and expend funds from entities to expedite the review and evaluation of a Section 408 request – Section 1156(a)(2) of Water Resources Development Act (WRDA) 2016 (which amended Section 408), Section 214 of WRDA 2000, and 23 U.S.C. 139(j). The funds from the Funding Agreements are managed at the local District level.

### **34–6. Geographical Limitations**

The procedures established to implement Section 408 apply to alterations proposed within the real property identified and acquired for the USACE CW project, to alterations proposed to submerged lands occupied or used by the USACE project where the navigation servitude applies, to alterations proposed to cross over or under a federal navigation channel when the alteration is also subject to either Section 9 or 10 of the Rivers and Harbors Act (RHA) of 1899, and to alterations to submerged lands subject to the navigation servitude in the vicinity of a CW project at the discretion of the District.

### **34–7. Synchronization with Regulatory**

Director's Policy Memorandum 2018–10, Strategy for Synchronization of the Regulatory and 408 Programs, was issued to improve coordination and communication between Regulatory and the Section 408 program, and to better serve the public to help eliminate confusion on what authorizations are needed from USACE. The memo calls for a single POC for all permitting inquiries to be established in each District; establishing “One USACE decision” to transmit the USACE decision on certain actions that require both Regulatory and Section 408 program decisions; linking of the

Regulatory database and the Section 408 database; and developing an SOP in each District and Division for coordination between Regulatory and the Section 408 Coordinator.

### **34–8. Decision Authority**

Section 408 decisions have been delegated to the Division or District Commander, or their designees. The following scenarios require the final decision to be made by the Division Commander and cannot be further delegated:

- a.* Proposed alteration requires a Safety Assurance Review (SAR).
- b.* Proposed alteration for the installation of hydropower facilities.
- c.* Proposed alterations for which the non-federal sponsor is seeking potential credit under Section 221 of the Flood Control Act of 1970, as amended.
- d.* Proposed alteration that affects the formulation, evaluation, or selection of alternatives for a current study.
- e.* Proposed alterations that change how the USACE project will meet its authorized purpose.
- f.* Proposed navigation alterations for which federal assumption of O&M under Section 204(f) of WRDA 1986 is being sought.

### **34–9. Section 408 Overview of Main Steps**

The four main steps for Section 408 requests are Completeness Determination, USACE Review and Decision, Final Decision Notification, and Construction Oversight of alteration.

- a.* Once the District receives a submittal seeking Section 408 authorization, they have 30 days to determine if the basic requirements for a complete Section 408 request have been satisfied. If the District determines a submittal is not complete, the District will provide the requester written notification of the information required for the submittal to be complete within 30 days of receipt. The 30-day timeline for a completeness determination is then restarted upon receipt of additional information.
- b.* Once the Section 408 request is determined to be complete, the District will conduct the necessary review to determine if the proposed alteration impairs the usefulness of the CW project and is injurious to the public interest as well as completing required environmental compliance processes. The Non-Federal Sponsor (if any) will also be provided an opportunity to review the request if they are not the requester. The District generally has 90 days to conduct the review, make the final decision, and provide notification.
- c.* Lastly, Districts should develop procedures for monitoring construction activities for approved Section 408 requests scaled to the complexity of the alteration to ensure it is constructed consistent with the permission conditions.

### 34–10. Process Steps

[Table 34–1](#) details the process steps in PROC7160.

**Table 34–1**  
**Section 408 Program Specific Process (PROC7160) Process Steps**

Responsible POC	Actions
<b>Regulatory</b>	<ol style="list-style-type: none"> <li>1. Receives request for USACE authorization for an activity as the “Initial Point of Entry.”</li> <li>2. Follows the local SOP to determine when activities seeking authorization need to be coordinated with the Section 408 Coordinator. <b><i>If the activity needs to be coordinated with the Section 408 coordinator, go to #3. Otherwise, the Regulatory Program processes the request consistent with 33 CFR parts 320–331 without coordination with Section 408.</i></b></li> </ol>
<b>Section 408 Coordinator</b>	<ol style="list-style-type: none"> <li>3. Review request for authorization to determine if the activity is subject to Section 408. <b><i>If Section 408 applies, go to #4. Otherwise, the Regulatory Program processes the request consistent with 33 CFR parts 320–331 without further coordination with Section 408.</i></b></li> <li>4. Determine if submittal is incomplete. <b><i>If Submittal is incomplete, go to #5. Otherwise, go to #6.</i></b></li> <li>5. Provide requester written notification of what information is needed to make submittal complete within 30 days of receipt. <b><i>Go to #4.</i></b></li> <li>6. Coordinate with Regulatory on Public Notice, if applicable. Provide requestor with completeness determination within 30 days of receipt. Issue public notice.</li> </ol>
<b>District Technical Staff</b>	<ol style="list-style-type: none"> <li>7. Conduct technical review, environmental compliance, real estate review, public interest determination, response to comments, and final decision notification. <i>Note:</i> Reviews and final decision notification should be completed within 90 days after completeness determination.</li> <li>8. Issue joint decision with Regulatory or stand-alone Section 408. <b><i>End of Activity.</i></b></li> </ol>

### 34–11. Process Flowchart

Figure 34–1 shows the flowchart for this process.

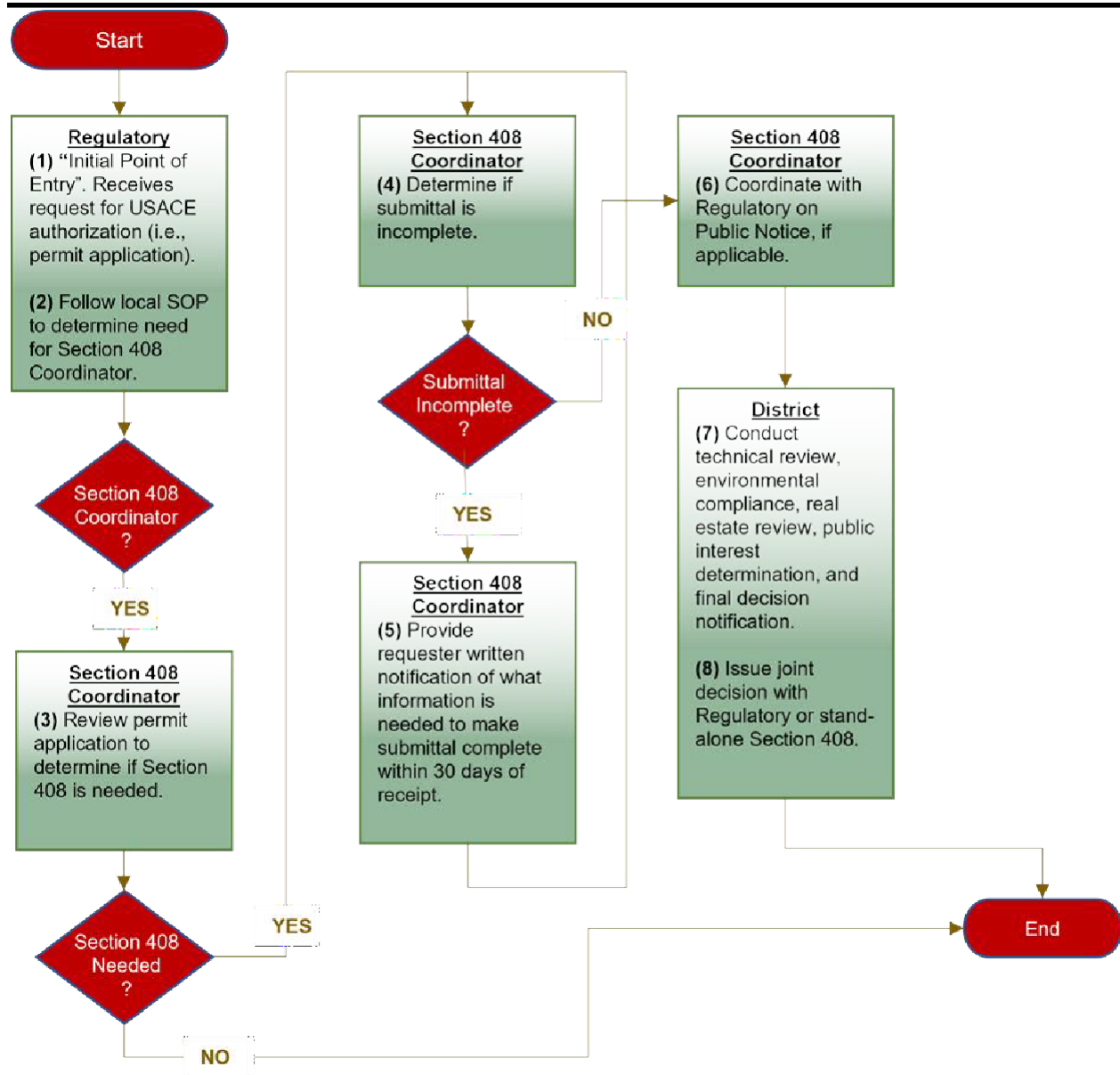


Figure 34–1. Section 408 Program Specific Process (PROC7160)

### 34–12. Non-Federal Sponsor

For USACE projects with a Non-Federal Sponsor, a written “Statement of No Objection” from the Non-Federal Sponsor is generally required if the requester is not the Non-Federal Sponsor.

a. Non-Federal Sponsors typically have O&M responsibilities; have a Cost-Share investment in the USACE project; and/or hold the real property for the USACE project. The purpose of the “Statement of No Objection” is to document that the Non-Federal Sponsor is aware of the scope of the Section 408 request and does not object to the request being submitted to USACE to initiate the evaluation of the request. Districts must coordinate with the Non-Federal Sponsor throughout the review process and ensure their feedback is considered prior to USACE rendering a final decision. A “Statement of No Objection” is not required if the requester is the Non-Federal Sponsor.

b. Projects created in PROMIS should be CW and Regulatory as their Project Type and Project Subtype, respectively. Projects should not be created under the IIS Project Type.

### **34–13. Section 408 Database**

The Section 408 database is an internal database that serves as the system of record for all Section 408 requests. It includes information such as requester, location of alteration project, USACE project altered, and date of request and decision, which is used to track the Completeness Determination and Final Decision timelines. It is the responsibility of the District Section 408 Coordinator to ensure the database is kept up to date. A subset of the data is made available to the public via the Regulatory database ORM.

### **34–14. Environmental and Cultural Resources Compliance**

A decision on a Section 408 request is a federal action subject to National Environmental Policy Act (NEPA) and other federal environmental and cultural resources compliance requirements such as Section 7 of the Endangered Species Act, Section 106 of the National Historic Preservation Act, essential fish habitat consultation, and tribal consultation, etc. and is limited to the area of the alteration and those adjacent areas that are directly or indirectly affected by the alteration. Ensuring and conducting environmental and cultural resources compliance is the responsibility of USACE, however the requester is responsible for providing all supporting information and documentation. Districts are encouraged to develop programmatic NEPA documents for Section 408 requests to efficiently conduct environmental compliance for categories of activities that have similar environmental effects.

### **34–15. Policy References (See Appendix A)**

a. Director’s Policy Memorandum 2018–10, Strategy for Synchronization of the Regulatory and 408 Programs.

b. Section 14 of the Rivers and Harbors Act of 1899, as amended, and codified at 33 U.S.C. 408 (Section 408).

### **34–16. Related Topics (Not applicable)**

### **34–17. Distribution**

- a. Project Manager.
- b. Program Manager.

- c. Project Delivery Team.
- d. Resource Providers.

## Chapter 35

### Reference Documents: Standard Computations for Workload Analysis and Resource Leveling (REF8001G)

#### 35–1. Scope

This reference document provides the numerical baseline for workload analysis and resource leveling. The recommended number of productive man hours per Full Time Equivalent (FTE) in the chart below will be used as the baseline in the workload analysis report. Regions (collection of Districts in an area) may vary this number to suit their individual needs.

#### 35–2. District Level Computations

The purpose of the chart in [Table 35–1](#) is to assist Resource Providers in determining whether a given resource is over- or under-utilized in each FY.

**Table 35–1**  
**District Level Computations**

Operation	Hours	Explanation
<b>Standard computations</b>		
	2080	Hours in 52-week work year
Deduct	80	10 Holidays/work year
Hours remaining	2000	
Deduct	224	Hours lost to Annual or Sick Leave
<b>Hours remaining</b>	<b>1776</b>	<b>Effective hours</b>
<b>Possible Additional District-level computations (To be determined by each Region)</b>		
Deduct	120	Hours charged to TI (training, etc.)
Hours remaining	1656	Direct chargeable hours
Deduct	236	Deduction for other factors (unanticipated new work, emergency work)
<b>Hours remaining</b>	<b>1420</b>	<b>80% of 1776 hours</b>

### 35–3. Quarterly Trigger Values Chart for Workload Analysis

The purpose of the chart in [Figure 35–1](#) is to establish trigger values to provide a quick indication of whether the projected District/region in-house workload by organization or function is out of balance (so low or so high) at any time during the year that it should be analyzed more carefully. The purpose of a more complete analysis is to ensure that provisions are made to appropriately balance the workload between USACE (District, region, or other regions) and contract resources, so that project/program schedules will not be impacted and that USACE resources are fully and effectively utilized. Each MSC/District/Center should develop their individual Trigger Value Chart based on historical data for training, annual and sick leave, and workload fluctuations due to emergencies/seasonal work.

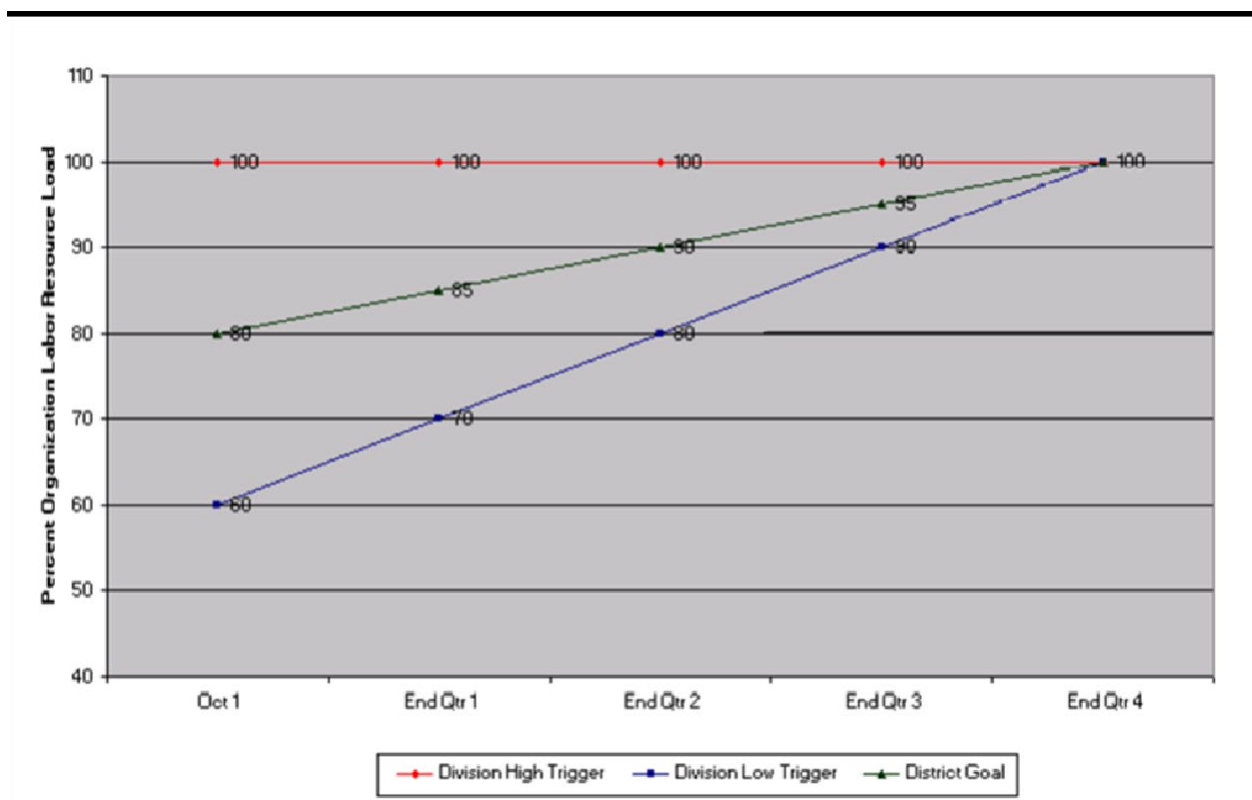


Figure 35–1. Quarterly Trigger Values for Workload Analysis

a. *Explanation of the Quarterly Trigger Values Chart:*

- (1) The chart depicts quarterly District and regional triggers for workload analysis.
- (2) Utilizing data from PROMIS showing requirements of roles and resources and the productive man hours per FTE calculated above, Districts/Centers will calculate functional and organizational workload. The workload calculation will be based on actual to date/projected in-house resource utilization for the Current Fiscal Year (CFY). The workload calculation will be displayed as a percentage (projected hours of in-house FTE utilization during the year divided by available, productive in-house FTE hours).



(3) The resulting percentage will then be compared to the Quarterly Trigger Values Chart. The top and bottom lines represent thresholds where the Regional Management Board (RMB) will be consulted to assist the District/Center in evaluating and balancing its workload, using resolution techniques identified in [Project Initiation: Workload Analysis and Resource Leveling \(PROC1020\)](#). In the first quarter of the CFY, the regional triggers are 60 and 100 percent. During the CFY, the triggers close to 100 percent at the end of the fourth quarter.

*b. CFY+1 and CFY+2 Triggers.* During the CFY+1 and CFY+2, the triggers remain at 100 percent and 60 percent of available hours. Within the thresholds of the trigger values, Districts/Centers are expected to continue to balance and analyze workload per the [Reference Documents: Resource Forecast Analysis Annual Schedule \(REF8002G\)](#).

#### **35–4. Distribution**

- a. Project Manager.
- b. Project Delivery Team.
- c. Program Delivery Team.
- d. Program Leadership Team.
- e. Program Manager.
- f. Resource Provider(s).
- g. Corporate Board.
- h. Regional Management Board.
- i. Resource Management Office.
- j. Deputy for Programs and Project Management.

### **Chapter 36**

#### **Reference Documents: Resource Forecast Analysis Annual Schedule (REF8002G)**

##### **36–1. Scope**

This document contains a Battle Rhythm (schedule/table), [Table 36–1](#), that will provide the Project Delivery Team (PDT) and Resource Providers an annual preview of the year to assist in project data evaluation/integrity. The awareness of the District processes encompassing project data will allow for sound data collection, correlation, and consistency. The individuals/boards involved are provided a vehicle to facilitate communication throughout the year. A table showing the Operating Budget Three-Year Process is also included in this document, [Table 36–2](#).

## 36–2. Forecast Schedule

**Table 36–1**  
**Resource Forecast Analysis Annual Schedule**

System, Process or Program	CFY 1st qtr Oct–Dec	CFY 2nd qtr Jan–Mar	CFY 3rd qtr Apr–Jun	CFY 4th qtr Jul–Sep	Responsible Parties
Civil Works (CW) Budget Cycle, refer to PROC7000	Current Fiscal Year (CFY) Allocations	President's Budget (Pres Budg/PB) (CFY+1); HQ provides caps/limits (CFY+2)	Field submit capabilities (CFY+2), HQ reviews (CFY+2)	Congressional mark up (CFY+1); President signs CFY+1; CFY+2 to OMB	Program Management
Military Construction (MILCON) Budget, refer to PROC7100	Field submits lock-in const award dates				PM/Regional Military Prog
Formerly Used Defense Sites (FUDS) Budget Cycle	CFY Allocations per the approved Annual Work Plan (AWP); PB (CFY+1) submit	Prog Guidance based on Defense Planning Guidance (DPG); Program Objective Memorandum (POM) Preparation (CFY+2 through CFY+7)	POM (CFY+2 through CFY+7) submit; Budget guidance; Budget Estimate Submission (BES) (CFY+2 and CFY+3) preparation	BES (CFY+2 and CFY+3) submit; Congressional Auth/Appr (CFY+1); Department of the Army (DA) approve AWP	Program Management
Military Reimbursable				End of year funding	Project Management
Corps of Engineers Manpower Reporting System (CEMRS), refer to PROC6000		CFY+1, CFY+2 thru CFY+5 CEMRS Submission		Program Budget Advisory Committee (PBAC): Op Budgets and FTE allocations based on CFY+1 CERAMMS	RM
HQ Military Programs	Previous year/qtr. Command Management Review (CMR)	Previous qtr. CMR	Previous qtr. CMR	Previous qtr./Next year CMR	PM/Regional Military Programs
Regional Management Board (RMB) review of Functional Rollups, refer to PROC6003	Dec: RMB Review CFY Resource Rollup, recommendations for CFY	Mar: RMB Review CFY/CFY+1 Resource Rollup, recommendations for CFY/CFY+1	Jun: RMB Review CFY+1/CFY+2 Resource Rollup, recommendations for CFY+1/CFY+2	Sep: RMB Review CFY+1 Resource Rollup, recommendations for CFY+1	RMB
District review of Organization Rollups, refer to PROC1020	Dist. Review CFY Resource Rollup, recommendations for CFY	Dist. Review CFY+1 Resource Rollup after CEMRS submission, recommendations for CFY/CFY+1	Dist. Review CFY+2 Resource Rollup after CFY+2 budget submission, recommendations for CFY+1/CFY+2	Dist. Reviews CFY+1 Resource Rollup after conference report, recommendations for CFY+1	PRB/Org Chiefs

<b>System, Process or Program</b>	<b>CFY 1st qtr Oct–Dec</b>	<b>CFY 2nd qtr Jan–Mar</b>	<b>CFY 3rd qtr Apr–Jun</b>	<b>CFY 4th qtr Jul–Sep</b>	<b>Responsible Parties</b>
District Regional update in addition to Monthly program adjustment	Dist. adjust CFY based on signed CW bill, allocations	District updates CFY+1 based on PB/USACE capability	District updates CFY+2 based on CFY+2 submission	District updates CFY+1 based on Conf Report	PM/Org Chiefs
District Future Projects	Shift Future projects out 1 year per trend analysis				Program Manager
Advanced Acquisition Planning, refer to PROC2050	Project contract needs CFY	Project contract needs year-end	Project contract needs CFY+1	Contract year-end projects	Contracting/ Office of Small Business Programs (OSBP)
District Project Review Board (PRB)	Monthly update of District data	Monthly update of District data	Monthly update of District data	Monthly update of District data	Project Management
Capable Workforce Analysis			Analyze outyear resource skill requirements based on CFY resource skills, and capabilities	Input resource skill and training requirements into CFY+1 operating budget	Org Chiefs
Supervision and Administration (S&A)	Initial Dist. submission for CFY, Oct		Mid-year Dist. submission for CFY, Apr	HQ request CFY+1 submission	Technical Office, Resource Management (RM)

**Table 36–2**  
**Operating Budget Three-Year Process**

<b>Phase</b>	<b>Timeframe</b>	<b>Budget Cycle (CFY)</b>	<b>Budget Cycle (CFY+1)</b>	<b>Budget Cycle (CFY+2)</b>
I	May–Sep	Continue Execution of CFY Budget Close out CFY Budget	Prepare CFY+1 Budget (include Capable Workforce Requirements) In CEFMS II according to Budget Workload projections Presentation of Proposed District and Division Command Operating Budget (COB) before RMB Approval of District COB by Division Commander (30 Sep)	Review and update workload projections based on CEMRS
II	Oct–Sep		Execution/monitoring of CFY Budget	
III	Jan–Apr		Mid-Year Review/update of CFY budget	Review and update workload projections based on CEMRS
IV	May–Sep		Execute/monitor/closeout of CFY Budget	

### **36–3. Distribution**

- a. Deputy for Programs and Project Management.
- b. Project Manager.
- c. Program Manager.
- d. Program Delivery Team.
- e. Project Delivery Team.
- f. Resource Provider(s).

## **Chapter 37**

### **Reference Documents: Contingency Funds, Project Level (REF8003G)**

#### **37–1. Scope**

This reference document covers the control and distribution of contingency funds. This document covers only the project part of contingencies.

#### **37–2. Overview**

Contingency funds are project funds that have been set aside, or reserved, to cover project uncertainties, or may be generated during project execution when activity costs are less than anticipated.

- a. Contingency funds are added to the project during resourcing as part of your PMP, refer to [Reference Documents: Project Management Plan Content \(REF8005G\)](#) and [Project Planning: Resource Estimate Development \(PROC2040\)](#).

- b. The greater the risk in a project, the greater the contingency funding, refer to [Reference Documents: Risk Management Plan \(REF8007G\)](#).

- c. Individual program-specific information concerning contingency has been further broken out into their separate reference documents, refer to [Reference Documents: Military Program-Specific Information \(REF8011G\)](#); [Reference Documents: Interagency and International Services Program-Specific Information \(REF8017G\)](#); [Reference Documents: Civil Works Program-Specific Information \(REF8010G\)](#) and [Reference Documents: Sustainment, Restoration, and Modernization Program-Specific Information \(REF8030G\)](#).

#### **37–3. Responsibilities**

- a. The Project Manager is responsible for:
  - (1) Compliance with Division and/or District specific policies for Contingency Funding Management.

- (2) Tracking contingency funds within projects; PMs must verify that USACE-approved, stakeholder contingency funding criteria have been met before authorizing use of such funds.

- (3) Distribution can be made to a specific activity only after established project-specific requirements have been met.

- (4) Returning remaining contingency funds to the stakeholder prior to or upon project completion.

- b. The Project Delivery Team (PDT) is responsible for budgeting for studies, designs and construction including a contingency amount commensurate with the level of risk or based on applicable policies.

#### **37–4. Policy References (See Appendix A)**

- a. DA PAM 420–1–2, Army Military Construction and Non-Appropriated Funded Construction Program Development and Execution.
- b. ER 1110–2–1302, Civil Works Cost Engineering.

#### **37–5. Distribution**

- a. Project Manager.
- b. Project Delivery Team.

### **Chapter 38**

#### **Reference Documents: Command Management Review (REF8004G) (Retired)**

As a “retired” reference, this chapter is no longer relevant or its content was absorbed into another process or reference chapters within this manual.

### **Chapter 39**

#### **Reference Documents: Project Management Plan Content (REF8005G)**

##### **39–1. Scope**

This document describes the minimum required content of the PMP.

- a. Some elements of the PMP may be duplicated from project to project, especially for similar or small projects. If this is the case, refer to [Reference Documents: Program Management Plan Content](#) (REF8028G). This document also provides the level of detail requirements for loading and maintaining data in PROMIS for current and future year projects. The level of detail required is based on the size, complexity, and availability of information for the individual project.
- b. The data is used in analyses of workload and resource requirements by Project Managers (PMs), Program Managers (PgMs), Resource Providers (RPs), MSCs, and HQUSACE, refer to [Project Initiation: Workload Analysis and Resource Leveling \(PROC1020\)](#). It is also used in manpower requirements development, refer to [Operating Processes: Manpower Requirements \(PROC6000\)](#).

##### **39–2. PMP Minimum Content**

The PMP is required to provide the framework so that all team members can work together efficiently, and new team members (and interested parties) can understand the past, current, and future path of the project. The PMP serves as the roadmap for communicating critical project information to all interested parties.

- a. The primary uses of the PMP are to facilitate communication among participants, assign responsibilities, define assumptions, and document decisions to establish baseline plans for scope, cost, schedule, and quality objectives against which performance can be measured, and to adjust these plans as actuals dictate. The Environmental Operating Principles (<https://www.usace.army.mil/Missions/Environmental/Environmental-Operating-Principles/>) should be considered as a critical component in the planning and execution of the project. The document records endorsement by the Project Delivery Team (PDT).

b. The following items comprise the minimum content of the PMP:

(1) Scope. Based on stakeholder need (project definition, objective, identification of stakeholder(s), description of services to be provided, key products, authority, location, unique stakeholder requirements/concerns stored within the electronic PMP), refer to [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#) and [Operating Processes: Program and Project Records Management \(PROC6004\)](#).

(2) Team Identification. Defines steps necessary to establish the PDT, which includes the stakeholder, refer to [Project Planning: Team Establishment \(PROC2020\)](#).

(3) Project Partnering. Defines steps necessary to build and maintain strong relationships and teams across the life cycle of project delivery through scalable processes and tools. This includes documenting agreed upon partnering strategies and activities within the Partnering Charter(s), refer to EP 34–1–1, Construction Project Partnering Playbook. (See [Appendix G](#))

(4) Critical Assumptions and Constraints. Critical assumptions are true at the time the PMP is written/updated and if changed, could cause major impact to the project. Constraints are items that limit the PDT's options.

(5) Work Breakdown Structure. Specifies the activities (task and subtask) necessary to fulfill the objectives of the project identified in the scope, refer to [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#).

(6) Funding. Identifies sources, available budget, stakeholder requirements for requesting/receiving funds and reporting of expenditures, resource estimates, refer to [Project Planning: Resource Estimate Development \(PROC2040\)](#).

(7) Schedule. Maintained in PROMIS to show activity status (start and physical percent complete or actual completion date) and show how schedule will be progressed, refer to [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#) and [Project Execution, Monitor and Control: Project Execution and Control \(PROC3000\)](#).

(8) Project Quality Control Plan (QCP) and Objectives. Pertains to Stakeholder expectations, applicable Quality Management Plans, criteria, and regulations, refer to [Reference Documents: Quality Management Plan \(REF8008G\)](#).

(9) Acquisition Planning. Encompasses project, regional, and overall considerations, refer to [Project Planning: Acquisition Planning \(PROC2050\)](#).

(10) Risk Management Plan. Defines identifying, analyzing, and responding to risk. To evaluate the items that could go wrong, their probability, and impact on project execution, refer to [Reference Documents: Risk Management Plan \(REF8007G\)](#).

(11) Safety and Occupational Health (SOH) hazard analysis and monitoring. Addresses how safety and health measures will be integrated into the process to assure a safe product is provided, refer to [Reference Documents: Safety and Occupational Health Plan \(REF8016G\)](#).

(12) Change Management Plan. Used to define and manage project baseline performance measurement thresholds for scope, cost, schedule, contingency, risk, and quality, refer to [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#) and [Reference Documents: Contingency Funds, Project Level \(REF8003G\)](#).

(13) Communications Strategy. Describes how the team will communicate with the stakeholder(s) and each other, stakeholder's requirements for status reporting, refer to [Reference Documents: Communications Plan \(REF8006G\)](#).

(14) Value Management. Used to manage value on procurements through the application of value studies or similar activities, refer to [Reference Documents: Value Management Plan \(REF8023G\)](#).

(15) Closeout Plan. Covers closeout of phases/products and full project/program completion, refer to [Closeout: Phase, Project, and Program Closeout \(PROC4000\)](#).

(16) Approvals. Completes the PMP/PgMP process, refer to [Project Planning: Project Management Plan/Program Management Plan Development Approval \(PROC2070\)](#). Signature page may include signatures of the PM and the stakeholder(s) and may be electronic.

(17) Data Management Plan. Details requirements for Geospatial Data needed for the project, refer to [Reference Documents: Geospatial Data Management Plan \(REF9270G\)](#).

### **39–3. PMP Minimum Level of Detail**

While PMPs contain all sections noted above, certain sections will change depending on timeframe and clarity of scope. These are highlighted in four groups below: Definitized (unknown) Work, Known but Future FY work, Known Current Fiscal Year (CFY) Work which cannot yet Start, Active Projects.

a. *Project Representing Definitized (Unknown) Work*. This includes, but is not limited to, Congressional Adds, CW or MILCON programs for CFY+1 through CFY+5, Support Services budgets for CFY+1 through CFY+5, Military Reimbursable for CFY through CFY+5, and Environmental for CFY+1 through CFY+5. The PMP for this level of work will only address the programmatic level of detail.

(1) The [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#) will be an effort dealing with very general information based on experience for programmatic level projects and information from existing stakeholders for future projects with incomplete scopes. It can also include a group of services provided by a support organization.

(2) The [Project Planning: Team Establishment \(PROC2020\)](#) defines PDT for future projects will consist typically of Division Chiefs and PgM/PMs.

(3) [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#) can be as simple as a single activity representing a given fiscal year for a specific program but may be more detailed if that information is available.

(4) [Project Planning: Resource Estimate Development \(PROC2040\)](#) for projects at a high level will be at the Division level (Construction, Engineering, Planning, Real Estate, Program and Project Management Division (PPMD), etc.) for the entire timeframe. Again, if greater detail is available, it should be used.



(5) [Project Planning: Acquisition Planning \(PROC2050\)](#) represents the best estimate on method of accomplishment, whether it be in-house, Architect-Engineer (A-E), construction, etc. This information will be used to develop the future need for task/delivery order type contracts including A-E, Indefinite Delivery Indefinite Quantity (IDIQ) contracts, Construction IDIQ contracts, Multiple Award Task Order Contract (MATOC), Performance Oriented Construction Activity (POCA) Contracts, or other multi-task/delivery order type contracts representing contract capacity.

b. *Projects with Activities Beyond the CFY (Known but Future FY Work)*. This includes, but is not limited to, existing CW, MIL, Interagency and International Services (IIS) and Environmental projects with phases extending beyond CFY.

(1) Funding for accomplishing PMP development will primarily come from Project funds.

(2) The [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#) will be developed based on stakeholder's desires as currently known, as well as authorizing legislation.

(3) The [Project Planning: Team Establishment \(PROC2020\)](#) defines PDT members will consist of personnel from existing PDT and others as needed to complete out-year requirements.

(4) [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#) defines minimum specific activities will be developed for products through current phase or CFY+2 (whichever timeframe is longer) and in FY time blocks, if applicable beyond that point. Specific military projects will be scheduled through completion. Activity templates should be used to the maximum extent practical.

(5) [Project Planning: Resource Estimate Development \(PROC2040\)](#) defines every activity in the project that requires an expenditure or resource must be included to the lowest level of the WBS for the entire project duration or the approved project phase.

(6) [Project Planning: Acquisition Planning \(PROC2050\)](#) defines the steps necessary to determine the method of contracting for a resource/project.

c. *Projects Intended to Expend CFY Funds that Cannot Be Immediately Started (Known CFY Work that Cannot Yet Start)*. This includes projects with unsigned agreements, no authority or guidance to use existing funds, or does have agreement/authority but funds have not been appropriated/received.

(1) Funding for accomplishing PMP development will come from project funds (earlier phase).

(2) The [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#) will be developed based on specific stakeholder's defined requirements for specific function level products.

(3) The [Project Planning: Team Establishment \(PROC2020\)](#) defines PDT members will consist of personnel needed to complete the PMP.

(4) [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#) defines minimum specific activities will be developed for products through current phase or CFY+2 (whichever timeframe is longer), and in FY time blocks, if applicable, beyond that point. Specific military projects will be scheduled through completion. Activity templates should be used to the maximum extent practical.

(5) [Project Planning: Resource Estimate Development \(PROC2040\)](#) defines every activity in the project that requires an expenditure or resource must be included to the lowest level of the WBS for the entire project duration or the approved project phase.

(6) [Project Planning: Acquisition Planning \(PROC2050\)](#) defines the steps necessary to determine the method of contracting for a resource/project.

d. *Active Projects.* Active projects include programs or projects with signed agreements (where applicable), with authority and guidance to use existing funds, and where funds have been approved and are available.

(1) Funding for accomplishing PMP development will come from project funds.

(2) The [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#) will be developed based on requirements as negotiated with stakeholder or included in authorizing legislation.

(3) [Project Planning: Team Establishment \(PROC2020\)](#) defines PDT members will consist of personnel required to complete the PMP.

(4) [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#) defines minimum specific activities will be at a minimum, every work activity that requires an expenditure or resources must be included to the lowest level product of the project's PROMIS schedule WBS, Specific military projects will be scheduled through completion. Activity templates should be used to the maximum extent practical.

(5) [Project Planning: Resource Estimate Development \(PROC2040\)](#) defines every activity in the project that requires an expenditure or resource must be included to the lowest level of the WBS for the entire project duration or the approved project phase.

(6) [Project Planning: Acquisition Planning \(PROC2050\)](#) defines the steps necessary to determine the method of contracting for a resource/project.

#### **39–4. Distribution**

- a. Project Manager.
- b. Project Delivery Team.
- c. Program Manager.
- d. Resource Provider(s).

### **Chapter 40**

#### **Reference Documents: Communications Plan (REF8006G)**

##### **40–1. Scope**

The purpose of this reference document is to establish an internal and external communication strategy and determine the information needs of all Project Delivery Team (PDT) members and stakeholders – who needs what information, when they will need it, how it will be given to them, and by whom.

a. The complexity of the project and impacts to the PDT including the stakeholders will determine the appropriate level of detail for the Communications Plan for the project.

b. The Communications Plan for the project is a supporting document that facilitates the implementation of the PMP, along with [Reference Documents: Quality Management Plan \(REF8008G\)](#), [Reference Documents: Risk Management Plan \(REF8007G\)](#), [Reference Documents: Safety and Occupational Health Plan \(REF8016G\)](#), [Reference Documents: Change Management Plan \(REF8009G\)](#), [Reference Documents: Value Management Plan \(REF8023G\)](#), [Operating Processes: Program and Project Records Management \(PROC6004\)](#), and [Reference Documents: Sustainment, Restoration, and Modernization Program-Specific Information \(REF8030G\)](#). Plans are developed concurrently in the iterative Project Planning Phase.

#### **40–2. Responsibilities**

- a. The Project Manager is responsible for:
  - (1) Initiating and facilitating the development of the Communications Plan.
  - (2) Incorporating the Communications Plan into the project's PMP; the PM will ask for Public Affairs Office support, as a member of the PDT, for the development of the Communications Plan based on the complexity and sensitivity of the project.
- b. The PDT is responsible for assisting the PM in determining all stakeholder project communications requirements, as well as needed internal communications.

#### **40–3. Communications Plan Content**

The communications Plan could include, but not be limited to, the following:

- a. PDT communication requirements.
- b. Project stakeholder communication requirements – an analysis of communication requirements of all project stakeholders such as partnering.
- c. Project stakeholder's communication strategy.
- d. Key stakeholder issues or concerns.
- e. Method to evaluate effectiveness of communication strategy – document in After Action Review (AAR)/Lessons Learned during project execution and project closeout.
- f. Reporting relationships – describe in sufficient detail project reporting relationships.
- g. Collection and filing – how will project information be gathered and stored, to include describing the criteria to be used to determine the frequency that PDT will progress and update project activities.
- h. Communication distribution structure – who gets what type of information, what methods will be used to distribute various types of information. If applicable, discuss the use of web sites and other technology.
- i. Description of information to be distributed – what is the content of information distributed.
- j. Production schedules – when will each type of communication be produced.
- k. Method of accessing information between scheduled communications.
- l. Methods for updating and refining the Communications Plan as the project progresses and changes.

#### **40–4. Communications Plan Methodology**

a. Identify the project stakeholders and stakeholder requirements, refer to [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#). The PDT determines the following:

- (1) What stakeholder requirements should be translated into a project communications strategy?
- (2) How, when, and why should project communications happen?
- (3) Consider geography, economics, quality of life, and political sensitivity when determining internal and external interested parties. Document this information for easy access by the PDT, review and update as needed.

b. Identify the problems, concerns/issues. The stakeholder has a significant role in the development of the Communications Plan. Issues to be considered include, but not limited to:

- (1) Quality Review Teams.
- (2) Centers of Standardization, Centers of Expertise, Agency Technical Proponents, etc.
- (3) Technical.
- (4) Institutional.
- (5) Political (tribal, federal, state, local).
- (6) Environmental.
- (7) Economic/fiscal.
- (8) Cultural.
- (9) Safety and health.
- (10) Legal.
- (11) Other.

c. How to get to the issues:

- (1) Talk with stakeholders.
- (2) Review existing documents.
- (3) Talk with interest groups.

d. The PM initiates the development of a draft communication requirements document that outlines and analyzes information needs of project stakeholders, then designs a communication strategy for each stakeholder with linkages to appropriate project milestones, with the assistance of the PDT. Determine key decision points in the project/study, according to the following:

- (1) Information requirements/expectations.
- (2) Project schedule milestones.

e. Note impacts and risk (addressed in Risk Management Plan).

f. Develop messaging approach that considers the following characteristics for an effective message (ensure a match with project goals and objectives):

- (1) Timeliness.
- (2) Clarity.
- (3) Honesty.
- (4) Sensitivity.
- (5) Relevance.

- (6) Openness.
- (7) Consistency.
- g. Consider use of the following, depending on project scope and risk:
  - (1) Request professional assistance, such as facilitators to conduct meetings.
  - (2) Note potential schedule/budget constraints.
  - (3) Plan for 360-degree feedback with interested parties.
  - (4) Use of partnering during the planning phase (planning charrettes; PB 2019–02, Planning SMART Guide), design phase (design charrettes) or the construction phase.
- h. PDT reviews and comments on draft stakeholder communication requirements document.
- i. PM consolidates PDT review comments of communications requirements document and addresses the recommended Communications Plan contents.
- j. PM submits Communications Plan to the PDT for review.
- k. PDT reviews the Communications Plan.
- l. PM incorporates Communications Plan into the PMP.
- m. Evaluate effectiveness and document in [Project Execution, Monitor and Control: After Action Review and Lessons Learned \(PROC3020\)](#), as required throughout the life cycle of the project.

#### **40–5. Distribution**

- a. Project Manager.
- b. Project Delivery Team.
- c. Public Affairs Office.

## **Chapter 41**

### **Reference Documents: Risk Management Plan (REF8007G)**

#### **41–1. Scope**

This reference document describes Risk Management, a systematic process of identifying, analyzing, and responding to risk and uncertainties for the entire project life cycle, and capturing information generated during this process to create a Risk Management Plan (RMP). Risk is a function of the likelihood of a threat or opportunity occurring in consideration of the severity of the consequence or the magnitude of the resulting change, should either occur.

- a. While projects of all sizes must have a RMP, this document was primarily developed for small to medium-scale projects. Larger projects, especially mega-projects, have enhanced methods for managing risk and would utilize specific guidance and processes found in both USACE and DoD guidance referenced in this document. The principles described below are relevant to all USACE projects.

b. Risk Management does not rely solely on formal adherence to policy, but rather requires the ability to apply critical thinking and adopt a culture of Risk Management that influences program decisions and execution of fundamental technical solutions. The PM must align risk profiles (appetite and tolerance) with organizational capacity to manage risks and allocate limited resources to the best effect. In order to appropriately consider project risk and evaluate uncertainty, an initial risk profile must be developed at project acceptance and further developed during the preparation of the PMP.

c. An initial risk assessment is performed for all projects and must include: (1) scope, (2) quality, (3) schedule, (4) safety and health risk (refer to [Reference Documents: Safety and Occupational Health Plan \(REF8016G\)](#)), (5) cost, (6) security, and (7) affordability (capability of stakeholders to continue funding in the future). Risks are to be characterized, documented, and followed throughout the project life cycle, preferably using a tool such as a risk register.

d. For Information Technology projects like the development of an automated information system (AIS), risk must be discussed in the following additional categories: (8) organizational and change management; (9) business; (10) data/info; (11) technology; (12) strategic; (13) security; (14) privacy; and (15) project resources

e. The RMP is a supporting document of the PMP, along with [Reference Documents: Safety and Occupational Health Plan \(REF8016G\)](#), [Reference Documents: Quality Management Plan \(REF8008G\)](#), [Reference Documents: Communications Plan \(REF8006G\)](#), [Reference Documents: Change Management Plan \(REF8009G\)](#), and [Reference Documents: Value Management Plan \(REF8023G\)](#). Plans are developed concurrently in the iterative Project Planning Phase. The level of detail of the risk analysis and RMP is based on the size and complexity of the project after an initial consideration of the project risk profile.

f. The majority of USACE projects are routine, recurring, small dollar size (under \$7.5M) projects typically seen in the Sustainment, Restoration, and Modernization (SRM) or Continuing Authorities Program (CAP) program and may be lower risk, refer to [Reference Documents: Sustainment, Restoration, and Modernization Program-Specific Information \(REF8030G\)](#).

(1) Projects or programs over \$500M are typically higher risk, with increased congressional interest, significant national impact, senior command level interest, or a strong potential for a catastrophic or critical outcome. The medium risk projects represent the balance of the portfolio.

(2) Only the responsible District or Division Commander may provide final PMP approval in the event of an overall project risk profile where there are multiple risks with ratings of high or extremely high, respectively. For each given project, regardless of project size, the Project Delivery Team (PDT) is responsible for determining the level of risk and developing recommendations on how to manage it.

g. Risk Management processes are used as both technical tools for project specific technical analysis and an overarching system for effective Project Management. This document focuses on the Project Management application of Risk Management and the documentation that should be included in the PMP RMP.



## 41–2. Risk Management Plan Content and Methodology

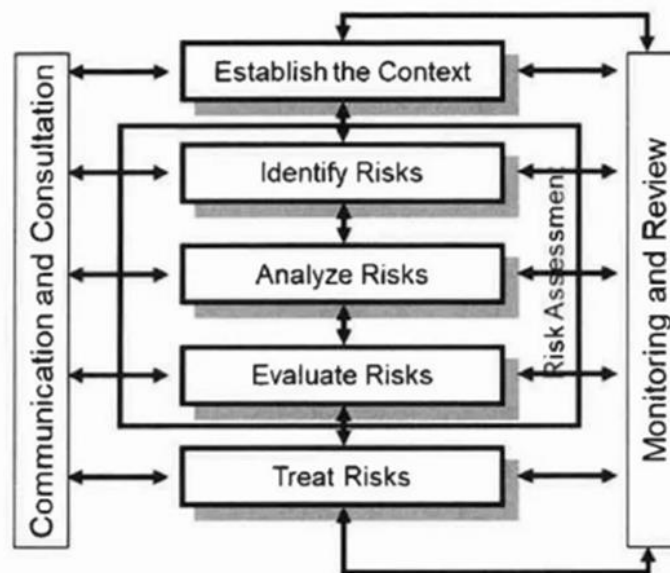
Risk Management is an iterative activity required throughout project delivery and includes assessing risk, evaluating risks, and treating risks. [Figure 41–1](#) shows a general approach to Risk Management within USACE. This section provides a general context for this model and provides tools and potential resources to assist in Risk Management. While these tools are not requirements per this document, they may be required by other regulations or policies.

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CEMP/CECW (2020-04)

SUBJECT: Risk-Informed Decision Making for Program (RIDM) and Project Delivery

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**Figure 41–1. USACE Risk Informed Decision Making (RIDM) Model (Adapted from ISO 31000:2018, Risk Management – Guidelines, International Organization for Standardization, February 2018)**

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a. Risk is a function of the likelihood of a threat or opportunity occurring in consideration of the severity of the consequence or the magnitude of the resulting change, should either occur. Risks should not be certain outcomes; if a PDT is certain that something will occur, it is not a risk but an issue, requiring resolution (see paragraph 41–4.b). Risks are the result of uncertainty, where the future outcome can be affected by management actions/decisions made in the present.

b. The effect of the uncertainty is typically expressed in cost and schedule contingency. The contingency is often developed by a PDT effort and/or vertical governance (HQ, MSC, Center, and District) that considers uncertainty and impact for all aspects of project delivery, including but not limited to quality, safety, stakeholder expectations/satisfaction, and agency tolerances.



c. Project risk evolves through the project delivery cycle and is generally a function of the uncertainties within the scope of a project, which then impacts the certainty of the quality, cost, and schedule of the project. Generally, the uncertainty and the risk are reduced as the project progresses. The highest degree of uncertainty of the scope (therefore the cost, schedule, quality, safety, etc.) of the project exists during project initiation, and the lowest degree of uncertainty of the scope of the project is during the closeout. Uncertainty translates into risks, which are threats or opportunities to the project delivery that could result in the baseline changing.

d. During the study or project development phase, the project is often still being defined. The scope of the range of potential solutions are broad and narrowed through risk-informed decision-making to identify and select the agency's preferred action. As a result, the uncertainty (risks) of the alternative evaluated and ultimately selected must be assessed, communicated, and managed, and a plan to interactively manage these uncertainties (risks) must be incorporated in the implementation of that decision. This RMP should document how a PDT intends to incorporate these principles throughout project delivery. Often, additional components, plans, and tools incorporated into PMPs and the resulting delivery will play important roles in continuing to assess and manage risk. The role of these components should be cross-referenced in the RMP to avoid redundancy or confusion.

e. As risk tolerances and appetites are defined, so are the roles and responsibilities in Risk Management. The implementation of Risk Management must be scaled to the nature of the project, and the identification of the Risk Management team is often a function of project complexity and uncertainty.

(1) Routine projects rarely require multi-layered Risk Management teams, whereas more complex projects often develop specific roles for Risk Managers. Matrices of roles assigned with assessing risk, communicating risk, and managing risk are often the best practice for more complex projects. Regardless, the RMP should clearly identify the roles and responsibilities of the PDT, vertical governance/stakeholders in regard to risk.

(2) Similar to the additional components mentioned above, the details of these roles and responsibilities are defined in other plans, processes, or tools as well (such as vertical governance, change management, contingency management, quality management, decision management), and should be referred to and cross-referenced as much as possible to avoid redundancy or confusion.

f. As discussed in section 41–1, an RMP should also be scaled to the nature of the project. Routinely implemented lower budget shorter duration projects often have less uncertainty, and, therefore, require less Risk Management. More robust Risk Management considerations are often required as the complexity, cost, and schedule of the project increases.

### **41–3. Risk Management Plan Content**

#### **a. Overall Strategy:**

(1) Summarize the risk analysis and evaluation conducted on the project and generally discuss the project and factors that contribute to an overall risk rating of low, medium, or high.

(2) Identify, list, and describe the risks requiring treatment (refer to section 41–7).

(3) Based on the overall risk rating, establish a responsibility matrix. This has two components:

(a) First, based on the overall project severity of the risk, identify who in the organization will accept or reject the project based on this risk assessment.

(b) Second, based on the acceptance of the project, identify who will be responsible for assessing, monitoring, and reporting risk on a periodic basis.

(4) Discuss the risk preference of the stakeholders and USACE and how this influences the risk decisions captured in the RMP.

(5) Discuss the Risk Management scope, budget, and inclusion of Risk Management treatments (refer to 8.8.7) in the project's overall WBS.

(6) As an attachment to the RMP, include the tables, analysis, and other documentation to support the initial risk profile.

*b. Determine Scalability:*

(1) All projects have risks to execution and final performance of the required deliverable(s). For the simpler projects, common risks that occur on virtually every project, such as time or cost growth, can be predictable. Typically, standard processes already in place, such as Biddability, Constructability, Operability, Environmental, and Sustainability (BCOES) or technical reviews, are adequate mitigation measures. As projects increase in size and technical complexity, so does the necessity of more formal Risk Management structures and processes.

(2) Larger Civil Works and Military projects undergo a cost and schedule risk analysis in the planning stage to analyze both cost and schedule risks, as well as the potential impacts those risks may have on project execution. The risk registers generated in this type of analysis can be carried forward into project execution with appropriate revisions to form the basis of Risk Management for the majority of these projects. However, on the largest, most complex projects, this risk register is the first step in developing a formal Risk Management program. A formal Risk Management program is characterized by the further refinement of the risk register into Risk Management strategies for the significant risks, the regular updating and reporting of these risks, and the results of the mitigation efforts. At this level, a full time Risk Manager may be appropriate.

(a) *Low risk* projects may use informal Risk Management processes. The RMP will identify risks which will be periodically discussed in PDT, design management, and construction meetings.

(b) *Medium Risk* projects will further develop the Cost and Schedule Risk Analysis performed as part of the project initiation phase into a risk register. The risk register will be periodically reviewed and updated during the design and construction phases.

(c) *High Risk* projects will use formal Risk Management processes outlined in the DoD Risk, Issue, and Opportunity Management Guide for Defense Acquisition Programs. The PM or assigned Risk Manager will review and update the Risk Management strategies on a quarterly basis during design and monthly once construction activities have been initiated if the resulting construction contract is deemed high risk or a significant command high-interest project.

(3) The determination of a project's initial risk assessment (low, medium, or high), and, therefore, the required complexity of the Risk Management process, is the decision of the PM and PDT, based on the above considerations.

#### 41–4. Identify Risks

Identify the risks associated with the project and provide a short description of each risk and uncertainty, their triggers, and their potential impact (see example in [Table 41–1](#)).

**Table 41–1**  
**Example of a Risk Identification Table**

Risk	Risk Event Description	Triggers	Potential Impact
3. Schedule	Failure to meet a milestone could represent an early warning that a schedule delay may occur	Milestone exceeded	Schedule will be delayed

a. Consider potential risks that could be associated with accomplishing the project's activities, schedule, and fiscal resources. Inputs to Risk Identification include, but are not limited, to the following:

- (1) All project background information.
- (2) Stakeholder quality expectations.
- (3) Stakeholder risk tolerance(s).
- (4) Historical records.
- (5) Past After Action Review/Lessons Learned.
- (6) Scope.
- (7) Work Breakdown Structure.
- (8) Network Diagram.
- (9) Cost and time estimates.
- (10) PDT experience or workload.

b. *Risks vs. Issues.* Being able to differentiate between a risk and an issue is key, as there are different processes to address each one. Essentially, risks are uncertain outcomes (it may or may not occur) while issues are certain outcomes (it will occur).

(1) Risks are a reflection of some uncertainty in the base understanding of what it will take to deliver a project. For example, a project could have uncertainty associated with variable weather conditions that could cause delays or affect the quality of the outcome. A RMP should address how the PDT plans to assess and address this uncertainty, which may or may not occur.

(2) Any certain outcome is not a risk, but an issue that must be resolved by the PDT. For example, if an extreme weather event occurs and will delay a project's original completion date, an impact has occurred, and the PDT must now respond to this issue.

(3) It is important to remember that actions planned as part of project delivery or taken in response to issues create new uncertainties and thus risks. The PDT must be prepared to iteratively assess risks and plan to manage them.

#### 41–5. Analyze Risks

Determine probability and severity ratings associated with the identified risks. The below tables are considered "best practice" as of the date of publication; however, local variations are acceptable.

a. *Determine Probability Rating (Likelihood Assessment).* Evaluate and analyze each risk identified. Determine the appropriate probability rating and severity rating (should the risk event occur) for each risk from [Table 41–2](#). Depending on the context a quantitative/qualitative approach can be taken to determine likelihood.

**Table 41–2**  
**Probability and Severity Ratings**

Likelihood	Probability of Occurrence	Description
Near Certainty – Frequent	> 80% to ≤ 99%	Will probably occur
High Likelihood – Likely	> 60% to ≤ 80%	More likely to occur
Medium or Neutral – Occasional	> 40% to ≤ 60%	About as likely to occur as not to occur
Low Likelihood – Seldom	> 20% to ≤ 40%	Less likely to occur
Not Likely – Unlikely	> 1% to ≤ 20%	Will rarely occur

b. *Determine Severity Rating (Consequence Assessment).* Determine the severity of the risk based on the degree of injury, property damage, or other mission-impairing factors, to include the degree of impact on the project’s Baseline cost, schedule, scope, and quality thresholds, as described in [Table 41–3](#).

**Table 41–3**  
**Severity of Risks**

Severity	Description
I. Very High	The consequence of this event is catastrophic.
II. High	The consequence of this event is unacceptable.
III. Moderate	The consequence of this event can be tolerated but could be managed further.
IV. Low	The consequence of this event is of relatively minor concern.
V. Negligible	There are little to no undesirable consequences associated with this event.

c. *Determine Overall Project Severity (Risk Characterization).* Enter probability and severity ratings ([Table 41–3](#)) from above into the Overall Risk Table ([Table 41–4](#)) to characterize overall project risk as E, H, M, L, or N (described below) for each of the five risk categories.

(1) E (Very High) – Red. Death or permanent total disability, system destruction, major property damage. Lost the ability to accomplish mission or complete project. Significant reputational damage.

(2) H (High) – Blue. Permanent or significant disability, major system damage, or significant property damage. Cannot accomplish mission to standards or cannot execute portions of mission. Congressional action or notification required.

(3) M (Moderate) – Yellow. Temporary disabling injury, minor system damage, minor property damage. Degrades ability to accomplish mission capabilities to standards. Cost or time growth impacts significant but within a tolerable range.

(4) L (Low) – Green. First aid or minor supportive medical treatment, minor system impairment. Little or no impact on mission. Cost or time impacts are reasonable given the nature of the project.

(5) N (Negligible) – First aid and return to work, no impact to mission, minor cost, or schedule impact.

**Table 41–4**  
**Overall Risk Table**

		Scope Risk Probability				
		Frequent	Likely	Occasional	Seldom	Unlikely
Severity	Very High					
	High					
	Moderate					
	Low					
	Negligible					

(6) Evaluate the above results along with the results of the safety and health risk plan, refer to [Reference Documents: Safety and Occupational Health Plan \(REF8016G\)](#), and determine the highest level risk of all five categories. Overall project risk level is determined by the highest risk rating. Decisions to accept risks must be made at a level equal to the degree of risk. Project Managers, Program Managers, and Commanders must weigh the risks against the benefits of performing an activity.

(7) Essentially, use the Overall Risk Table to characterize overall project risk:

(a) Describe Highest Level Risk.

(b) Calculate Costs associated with Risk Elements.

(c) Describe Risk Response Control Procedures – document identified risks, descriptions, causes, what is affected in the WBS, and impact on project objectives, risk owner and responsibility, agreed response to risk, and expected result of response.

(d) Risk Monitoring – describe how the PDT will keep track of identified risks, identify new risks, determine if agreed responses to risks have been executed, and evaluate the effectiveness of risk responses to reduce identified risks.

(8) *Note:* Unnecessary risk can be as great a hindrance to project completion as any other factor. The levels at which USACE risk decisions can be made are shown in [Table 41–5](#). In all cases, the benefits of taking the risk must be greater than the possible consequences.

**Table 41–5**  
**Severity Rating Table**

		Scope Risk Probability				
		Frequent	Likely	Occasional	Seldom	Unlikely
Severity	Very High	DE*		DPM		PgM
	High	DE	DPM		PgM	PM
	Moderate	DPM	PgM		PM	
	Low	PgM	PM			

	Negligible	PM
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*Note:* There may be consequences that would require the decision to accept risks be elevated to the Division.

DE – District Engineer

DPM – Deputy for Programs and Project Management

PgM – Program Manager

PM – Project Manager

d. **Conduct Risk Analysis.** Establish Risk Control procedures for activities that are identified as either (M) moderate, (H) high, or (E) very high. Determine and document action(s) required reducing or eliminating hazards and risks. An example of a Risk Analysis Sheet is provided in [Table 41–6](#).

**Table 41–6**  
**Risk Analysis Sheet Example**

<b>ID:</b>	<b>Date Identified:</b>
<b>WBS Item:</b>	<b>Risk Statement:</b>
<b>Severity:</b>	<i>This is a simple statement of what the risk is. Examples:</i>
<b>Probability:</b>	<input type="checkbox"/> A new technology is being used for some aspect of the project, what is the risk associated with the technology failing or not working as expected?
<b>Cost*:</b>	<input type="checkbox"/> On a horizontal construction project, such as steam or sewer lines, there's a risk of running into unidentified underground utilities. What are the implications?
<b>Owner:</b> <i>Who is responsible for managing the risk?</i>	<input type="checkbox"/> A barracks renovation is timed for completion to support a currently deployed battalion. There's no place else to house the troops on-post if the schedule slips. What are the implications?
<b>Context:</b> <i>What's the background for this? How did we get to this point?</i>	<input type="checkbox"/> On a lock project, there's a risk of the cofferdam being overtopped. What are the risk(s) and implications?
<b>Trigger:</b> <i>What will trigger this risk?</i>	
<b>Risk Response (Treat Risks):</b> Accept? Avoid? Reduce? Transfer?	
<b>Risk Control**:</b> <i>Will workarounds be required? Corrective actions in mid-stream? Implementation of a contingency plan?</i>	
<b>Status:</b> <i>Specify the date of last review of this risk and what the PDT did at that point.</i>	
<b>Lesson(s) Learned:</b> <i>If there is a lesson applicable to other projects, document here and feedback through the Observations/Suggestion process of the PDBP Manual.</i>	
<b>Approved by:</b> <i>Approving Official signs off and dates in this block.</i>	
	<b>Closing Date:</b>
	<b>Closing Rationale:</b>

\*Quantitative Techniques for Calculating Costs: Numerous quantitative methods are available to measure risk. The important point is to be consistent. One frequently used method is a simplified analytical approach. This method considers optimistic costs (O), Pessimistic costs (P) and most likely costs (ML), where  $(P + 4ML + O) / 6$  equals the expected value. This also assumes a beta distribution. Costing methods should be consistent with other costs determined in the project. For example, if a risk adjusted discounted cash flow was factored into the costing method; apply that to risk costs also.

\*\*Controls may be as simple as referencing an SOP or conducting a job-site briefing.

## 41–6. Evaluate Risks

Once project risks have been identified and analyzed, each risk must be evaluated to determine if the risk level is acceptable and to formulate viable Risk Management options. The primary intent of risk evaluation is to align the determined project risk with

organizational capacity to allow decisions on appropriate Risk Management processes and the effective use of available resources.

a. To begin the risk evaluation step, the PDT will use the overall project risk (Negligible, Low, Medium, High, or Very High) captured in the risk analysis step, along with other factors to prioritize the project risks. Other factors may include the cost effectiveness of risk mitigation options, actual or expected impact on the intended project results, expected return on investment, the frequency of occurrence, time frames and critical milestones, interrelationships with other risks, availability of resources, and similar project-specific considerations.

b. Since safety risks typically have cost, schedule, and performance impacts for the project, they should also be addressed in the context of overall Risk Management. The DoD Risk, Issue, and Opportunity Management Guide for Defense Acquisition Programs recommends as a best practice that these risks be presented along with other project risks in the prioritized risk matrix.

c. Each of the risk events provide a range of expected costs that might be incurred if that risk event does come to pass. These estimated costs are taken from the experiences of the project team and market survey data. While numerous quantitative methods are available to measure risk, the important point is to be consistent. One frequently used method is a simplified analytical approach. This method considers optimistic costs (O), pessimistic costs (P), and most likely costs (ML), where:

$$\frac{P + 4ML + O}{6} = \text{Expected Value}$$

d. Probability distributions with results generated by a Monte Carlo simulation may also be used to analyze cost risk for more complex evaluations. In all cases, costing methods should be consistent with other costs determined in the project. For example, if a risk adjusted discounted cash flow was factored into the costing method, apply that to risk costs also. The expected risk costs may then be used as part of the risk prioritization process.

e. With all aspects of project risk considered, the PDT may then plot the prioritized risks in a risk matrix such as the sample shown in [Figure 41-2](#) (from the DoD Risk, Issue, and Opportunity Management Guide) to help communicate which risks are considered unacceptable and the primary risks which should be the focus of the team's mitigation efforts.



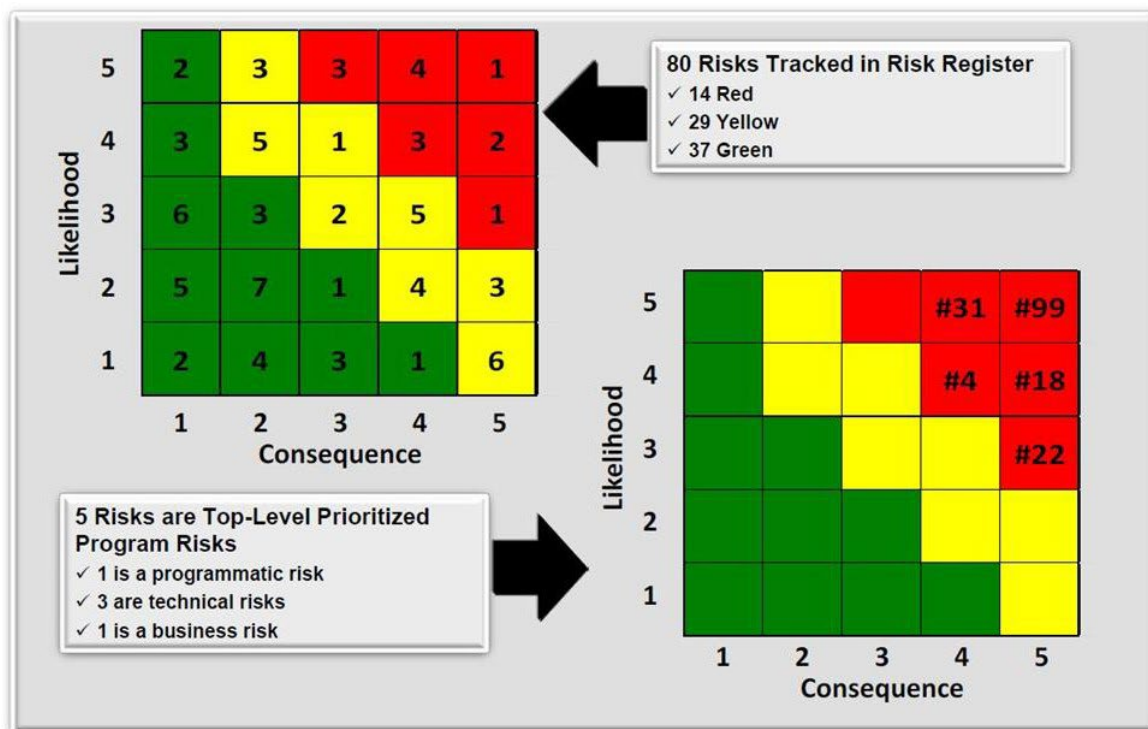


Figure 41-2. Risk Matrix Showing Prioritized Results

#### 41-7. Treat Risks/Risk Response Planning

Risk treatment is simply the process of executing and implementing the risk mitigation options and actions to achieve Risk Management objectives. The goal is to enhance opportunities, reduce threats, and lessen the consequences of risk(s). These mitigation strategies include risk prevention, risk avoidance, risk retention, or risk sharing.

a. Risk Managers are responsible for selecting the Risk Management options to treat project risks and must accomplish this in consultation with the risk assessors. Key outputs of this step include the current level of risk, the best Risk Management option to bring within risk tolerance, measurable desired outcomes to monitor the option's success, and an implementation plan.

b. Key consideration for this step is to determine what risks have been identified and how are they being addressed. Strategies include:

(1) **Avoidance:** Choose not to take on the risk by avoiding the actions that cause the risk, such as not implementing a particular course of action. For example, risks with modifying an older piece of infrastructure could be avoided by building a new facility. However, building a new facility may create its own risks that would need to be assessed and managed.

(2) **Reduction:** Take an action that can reduce either the consequence or the probability of the risk. The degree to which a risk should be reduced should follow RIDM. An example of reducing risk could be when a project has high uncertainty in foundation conditions, additional geotechnical investigations could be performed to reduce the uncertainty.

(3) *Transfer*: Risk can be transferred in part or in total to a third party. Acquisition strategies that transfer the risk to a contractor, such as firm fixed price, illustrate this type of treatment.

(4) *Acceptance*: Once the risk has been identified to be within the risk tolerance of the decision-makers, the risk can be accepted or if the risk cannot be practically reduced any further, it is retained. In this case, the treatment is often just monitoring and communicating any changes in the risk. Stakeholders, as members of the PDT, need to be aware of and involved in the process of accepting risk.

c. Risk treatments must be monitored and reviewed throughout the project life cycle. This process will evaluate the residual risk and uncertainty remaining after the application of mitigation measures. Risk Management options that result in acceptable or tolerable levels of risk may be considered viable risk treatment options for implementation. Risk Management is an iterative process occurring repeatedly during the project life cycle to monitor and control identified or emerging risks/opportunities. Refer to Appendix B for an illustration of the Iterative Nature of Risk Management.

#### 41–8. Communication of Risk

At all stages of the Risk Management process, effective communication is essential.

a. The PMP will identify how risk will be communicated through the project life cycle. For simple non-complex projects, risk will be a discussion topic during project meetings throughout its life cycle. For medium-sized projects, the risk register generated during the cost/schedule risk analysis at the project development phase, will be carried forward as a risk tracking and communication tool. The large and complex projects will use a risk matrix coupled with the risk register as their primary communication tool.

b. The risk register is typically a spreadsheet but could be an IT application or tool. The below sample risk register was split into two sections for clarity ([Figure 41–3](#), [Figure 41–4](#)).

Risk No.	Area / Option	Risk Status	Risk Statement	Potential Impacts	Mitigation Measures
Template-1	Base	Open	Overtopping of Cofferd Cells	Existing cells are designed for a 50 year event. There is a concern that the cells could be overtopped which would cause flooding of work area. Equipment that could not be removed prior to overtopping could be severely damaged from water.	Evacuation Plan to remove as much equipment as possible prior to overtopping. X, Y, and Z equipment may have to remain inside the cofferdam. Coordination with river authority to predict crest level to know if removal of equipment is required or if it can be left inside the cofferdam.

**Figure 41–3. Risk Register, Section 1**

Risk No.	Likelihood*	Project Cost		Project Schedule		Action Owner(s)	Affected Component	Expected Trend
		Cost Impact*	Cost Risk Level*	Schedule Impact*	Schedule Risk Level*			
Template-1	Unlikely	Critical	Moderate	Critical	Moderate	JOINT	Cost & Schedule	Decreasing Risk

**Figure 41–4. Risk Register, Section 2**

#### 41–9. Policy References

These references provide Risk Management guidance and tools that may be used for either technical RIDM or as an overarching Risk Management system focused on project/program execution.

- a. Current DoD Guidance on Risk Management.
- b. The USACE Risk Gateway and Learning Center; used to advance organizational awareness and intelligence in managing risk.

#### 41–10. Distribution

- a. Project Manager.
- b. Program Manager.
- c. Project Delivery Team.

### Chapter 42

#### Reference Documents: Quality Management Plan (REF8008G)

#### 42–1. Scope

This reference documents project-specific QA/QC procedures appropriate to the size, complexity, and nature of the project. Quality improvements are also documented and may be included in [Project Execution, Monitor and Control: After Action Review and Lessons Learned \(PROC3020\)](#).

a. The Quality Management Plan (QMP) is an integral part of the PMP, along with [Reference Documents: Risk Management Plan \(REF8007G\)](#), [Reference Documents: Communications Plan \(REF8006G\)](#), [Reference Documents: Safety and Occupational Health Plan \(REF8016G\)](#), [Reference Documents: Change Management Plan \(REF8009G\)](#), and [Reference Documents: Value Management Plan \(REF8023G\)](#). Plans are developed concurrently in the Project Planning Phase.

b. For Civil Works projects, a Review Plan developed according to ER 1165–2–217 is the QMP. Templates and detailed requirements for the QMP, as well as associated plans such as a Quality Control Plan (QCP), Quality Assurance Plan (QAP), or Review Plan are provided in separate Engineer Regulations. The links to these ERs are provided in [Appendix A](#).

c. In addition to quality management objectives developed as part of PMPs for projects, the system for Quality Management at an MSC/District/Center level is defined in an organizational level QMP. Organizational level QMPs can be found in Qualtrax at <https://qualtrax.usace.army.mil/>. Office- and project-specific Quality Management objectives accompanying each PMP must be consistent with the organizational QMP. Deviations from the organizational QMP must be documented in the Office or Project specific plans.

d. Quality is planned for and managed through the “Plan-Do-Check-Act” (PDCA) cycle applied at each phase or deliverable throughout project execution. The PDCA cycle is detailed in [Table 42–1](#). Quality planning for a project is the responsibility of the Project Delivery Team (PDT). QC may be performed by various entities depending on who is producing the product, (for example, an A/E firm, Design-Build contractor, construction contractor, other USACE District, or another federal agency). Regardless of who performs QC for a given project scope, the executing District PDT always performs QA on that scope.

## **42–2. Responsibilities**

a. The Project Manager is responsible for:

(1) Documenting stakeholder expectations and consensus on quality management objectives at a project level that supports the implementation of the PMP, in concert with the PDT.

(2) Utilizing the expertise of their PDTs to determine the procedures necessary, (for example, District Quality Control (DQC), Agency Technical Review (ATR)), and independent external peer review, to achieve the target level of quality.

(3) Ensuring the stakeholder endorses all quality objectives included in the QMP.

(4) Understanding the stakeholder’s role in project success; the PM’s relationship with the stakeholder is pivotal to providing quality service.

(5) Working with the stakeholder early in the Project Scope and Stakeholder Requirements Definition Process, refer to [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#) to determine stakeholder needs, and refining those requirements considering safety, fiscal, schedule, and other constraints; the PDT considers the cost/benefit of all quality improvements.

b. The Technical Lead is responsible for:

(1) Confirming all design deliverables include the authorized project scope and comply with all applicable codes, policies, and criteria.

(2) Ensuring each deliverable is prepared and reviewed per the PMP and USACE standards and guidance.

(3) Monitoring the quality of the products and services produced by their team members serving on the PDT or the contractors they use to supplement their in-house capability.

c. The PDT is responsible for:

(1) Delivering a quality project.

(2) Performing an active role to ensure the stakeholder’s quality objectives are clearly articulated and that the stakeholder understands the essential professional standards, laws, and codes which must be incorporated into the project.

(3) Ensuring the quality of individual work.

(4) Keeping the commitments for completion of their portion of the project as documented in the QMP.

d. The Resource Providers (RPs) are responsible for:

(1) Teaching, coaching, mentoring, and training staff, so they have technically competent staff to assign to PDTs.

(2) Participating in the selection of A/E firms and contraction contractors as applicable to perform the assigned work.

(3) Consulting with PDT members on a periodic basis to get feedback and adjust as necessary.

(4) Ensuring there are processes in place and qualified staff members, or contractors are available to effectively support the quality management activities.

(5) Reviewing and monitoring the quality of work produced by their employees.

### 42–3. Quality Management Relationships

**Table 42–1**  
**Plan-Do-Check-Act (PDCA) Cycle**

	Plan	Do	Check	Act
	Quality Planning	Quality Control (QC)	Quality Assurance (QA)	Quality Improvement
<b>What Is Done</b>	<ul style="list-style-type: none"> <li>Establish stakeholder expectations and acceptable standards</li> <li>Determine how quality will be measured</li> </ul>	<ul style="list-style-type: none"> <li>Review specific project products to determine if they meet performance thresholds defined in the QMP</li> </ul>	<ul style="list-style-type: none"> <li>Confirm that QC activities were performed per the QMP</li> <li>Evaluate results</li> </ul>	<ul style="list-style-type: none"> <li>Identify and implement process changes for continual, real-time improvement</li> <li>Make changes to the QMP and PMP as needed</li> </ul>
<b>When It Is Done</b>	<ul style="list-style-type: none"> <li>Project Planning Phase</li> </ul>	<ul style="list-style-type: none"> <li>Project Execution and Control Phase</li> </ul>	<ul style="list-style-type: none"> <li>Project Execution and Control Phase</li> </ul>	<ul style="list-style-type: none"> <li>Project Execution, Control Phase, and Project Planning Phase</li> </ul>
<b>What Processes Are Done</b>	<ul style="list-style-type: none"> <li>Develop PMP and components</li> <li>Define project scope</li> <li>Define stakeholder requirements</li> </ul>	<ul style="list-style-type: none"> <li>Implement procedures defined in QMP</li> <li>Conduct discipline reviews prior to inclusion in design deliverables</li> <li>Conduct PDT reviews</li> </ul>	<ul style="list-style-type: none"> <li>Verify QC activities are completed and documented</li> <li>Ensure regular communication</li> </ul>	<ul style="list-style-type: none"> <li>Conduct AARs</li> <li>Document Lessons Learned</li> </ul>

### 42–4. Quality Management Plan Content

a. Overview of Quality Management Plan:

(1) Purpose.

(2) Overview of PDCA.

b. Stakeholder Quality Objectives:

- (1) Identify Stakeholder Quality Objectives.
- (2) Identify Quality Threshold(s) for each Quality Objective.
- c. Quality Control Plans:
  - (1) Address each major deliverable and how QC will be executed.
  - (2) Define review responsibilities and risks inherent to the project.
  - (3) Identify DQC and ATR Team members and how reviews will be performed.
  - (4) Identify requirements and timing of internal Peer Reviews. Conduct no less frequently than preceding each major milestone or deliverable.
  - (5) Identify requirement for Independent External Peer Review (IEPR) and Safety Assurance Review (SAR) and how the reviews will be performed.
  - (6) Describe how the Biddability, Constructability, Operability, Environmental, and Sustainability (BCOES) reviews will be performed.
- d. Quality Assurance Plans:
  - (1) Define approaches to be used to ensure QC processes are undertaken properly.
  - (2) Identify team members that will conduct the QA reviews.
  - (3) Identify project-specific requirements.
  - (4) Develop measurable QA metrics and checklists to measure project performance against QCP.
- e. Other Project Specific Information as required.

#### **42–5. Quality Management Plan Methodology**

Project execution is a dynamic process. The PDT must communicate clearly, meet on a regular basis, and adapt to changing conditions. The QMP and PMP may require modification to ensure that project objectives are met as the project evolves.

- a. *Plan.*
  - (1) Identify the stakeholder's Quality Objectives and help stakeholders express quality expectations in objective, quantitative terms.
  - (2) Identify professional standards including legal, policy, environmental, economic, code, life safety and health.
  - (3) Document the needs and expectations of stakeholders with cost, schedule, and professional standards. Evaluate the costs and benefits of selected quality objectives and the processes to be used to achieve objectives. Stakeholders should understand and agree on the relative priorities of project objectives (if schedule is prioritized over quality).
  - (4) Develop an effective plan and processes, including QA and QC procedures, to achieve objectives. Consider risk/hazard factors and complexity of the project and adapt processes to provide the requisite level of review. Document in the Risk Management Plan any project variations from the local QMP requirements.
  - (5) Develop performance measure thresholds to ensure agreement on the definition of success relative to Quality Objectives.
  - (6) Ensure stakeholder endorsement of all quality objectives included in the QMP.
- b. *Do.* Perform QC activities to include Peer, Independent Technical Review (ITR), ATR, IEPR, and BCOES Reviews.
- c. *Check.*

- (1) Perform QA checks to confirm QC procedures have been performed per the QMP.
- (2) Evaluate the results of the QA check to identify areas for improvement.
  - d. *Act.*
    - (1) If performance measures are not met, take specific corrective actions to fix the systemic cause of any non-conformance, deficiency, or other unwanted effect.
    - (2) Document quality improvements that could include appropriate revisions to the QMP, alteration of QA/QC procedures, and adjustments to resource allocations.
    - (3) Share findings with all project stakeholders to facilitate continuous improvement.
    - (4) Document in [Project Execution, Monitor and Control: After Action Review and Lessons Learned \(PROC3020\)](#).

#### **42–6. Policy References (See Appendix A)**

- a. ER 5–1–11 U.S. Army Corps of Engineers Business Process.
- b. ER 1110–3–12 Military Engineering and Design Quality Management.
- c. ER 1165–2–217 Civil Works Review Policy.
- d. ER 1180–1–6 Construction Quality Management.

#### **42–7. Distribution**

- a. Project Delivery Team.
- b. Project Manager.
- c. Resource Provider(s).

### **Chapter 43**

#### **Reference Documents: Change Management Plan (REF8009G)**

##### **43–1. Scope**

The purpose of this reference document is to define the format, content, and methodology for the Change Management Plan (CMP). It is used to define and manage the project's baseline performance measurement thresholds for scope, cost, schedule, risk, and quality. The project's performance measurement thresholds will be used in [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#) to determine if actual project performance has exceeded the project's baseline performance measurement thresholds.

- a. The level of detail of the CMP is based on the complexity of the project. The CMP is a supporting plan that facilitates the implementation of the PMP, along with [Reference Documents: Quality Management Plan \(REF8008G\)](#), [Reference Documents: Communications Plan \(REF8006G\)](#), [Reference Documents: Safety and Occupational Health Plan \(REF8016G\)](#), [Reference Documents: Risk Management Plan \(REF8007G\)](#), [Reference Documents: Value Management Plan \(REF8023G\)](#), [Reference Documents: Sustainment, Restoration, and Modernization Program-Specific Information \(REF8030G\)](#), and [Operating Processes: Program and Project Records Management \(PROC6004\)](#). Plans are developed concurrently in the iterative Project Planning Phase.
- b. The CMP also addresses the use of the Change Request Forms and the creation and use of the project versions in PROMIS.



#### 43–2. Change Management Plan Content

- a. Document how changes will be managed for the project.
- b. Project Baseline Performance Metrics and thresholds for Scope, Schedule, Cost, Quality, Safety, and Risk.
- c. Use of applicable statutory and regulatory change will be supplemented by project-specific change management criteria such as decision trees and project governance structures.
- d. Use of Change Request Forms.
- e. Use of Project Versions.

#### 43–3. Change Management Plan Methodology

- a. As processes are completed for [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#), [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#), and [Project Planning: Resource Estimate Development \(PROC2040\)](#), record baseline performance measurement thresholds for scope, quality, risk, schedule, and cost. Other performance measurement thresholds should be considered based on the complexity and specific needs of the project.
- b. During [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#), the Project Manager:
  - (1) Gathers sufficient information to analyze the proposal and potential solutions, considering the impact of changes for all of the project's baseline performance measures in order to ensure all changes are coordinated across the entire project.
  - (2) Distributes the analysis to the appropriate decision-maker(s), if other than the PM.
  - (3) Communicates to project stakeholders the decision for all project changes according to the [Reference Documents: Communications Plan \(REF8006G\)](#).

#### 43–4. Project Baseline Performance Metrics Table

Baseline performance metrics and thresholds are defined during [Project Planning: Project Management Plan/Program Management Plan Development \(PROC2000\)](#), approved in the [Project Planning: Project Management Plan/Program Management Plan Development Approval \(PROC2070\)](#) process, and are updated as required during the project's life cycle (see [Table 43–1](#)).

**Table 43–1**  
**Project Baseline Performance Metrics**

Element	Baseline Performance Metrics
Scope	Defined by WBS that is developed in Project Scope and Stakeholder Requirements Definition Process.
Schedule	Defined by scheduled start and finish dates in the project's critical path that is developed in Activity/Schedule/Maintenance Development Process.
Cost	Defined by resource plan that reflects total project cost of all WBS items. The resource plan is developed in the Resource Estimate Development Process.

Element	Baseline Performance Metrics
Quality	Defined by quality objectives that are developed in the Project Scope and Stakeholder Requirements Definition, and Acquisition Planning Processes as well as the Quality Management Plan.
Risk	Risks are defined in Project Scope and Stakeholder Requirements Definition, Team Establishment, Activity/Schedule/Maintenance Development, Resource Estimate Development, and Acquisition Planning processes, as well as Safety and Occupational Health Plan and Risk Management Plan.

## 43–5. Project Version Control

[Table 43–2](#) table describes PROMIS project versions that are used to manage the project.

**Table 43–2**  
**Primavera Project Version Table**

Project Version Type	Description	When To Use
Baseline	To establish the project's baseline performance measurement thresholds to evaluate and measure actual project performance on a periodic basis.	After the PMP is approved in <a href="#">Project Planning: Project Management Plan/Program Management Plan</a> Development Approval (PROC2070).
Rebaseline	Creating another project baseline to measure project performance.	Creating another baseline should only be considered when a change to any of the project's performance measurements is of such a magnitude that rebaselining is required to provide relevant data to measure project performance. See <a href="#">Project Planning: Project Management Plan/Program Management Plan</a> Development Approval (PROC2070).
Current	Current versions are created and used to document periodic changes to the project.	"What If" based on current version. See <a href="#">Project Execution, Monitor and Control: Change Management</a> (PROC3010).
Budget	Budget versions serve programming purposes.	Used when budget or other programming needs occur. See <a href="#">Program-Specific Processes: Civil Works Program and Budget Cycle</a> (PROC7000). Also see <a href="#">Reference Documents: Civil Works Program-Specific Information</a> (REF8010G).
Other	Name and description to be determined by PDT or organizational needs.	Used as required to address project-specific needs.

## 43–6. Change Request Form

Change Requests are often presented in the form of verbal or informal requests, however, as a best practice proposed changes should be formally recorded to facilitate the understanding of the intent of the proposed change. The Change Request Form ([Table 43–3](#)) provides a means of documenting the impact of proposed changes and

provides the rationale for approving changes that exceed the project's baseline performance thresholds. Change Request Forms should be posted to the project in PROMIS.

**Table 43–3**  
**Sample Change Request Form**

<b>Requested by:</b>	<b>Request Number:</b>
<b>Request</b>	
<b>Change Description:</b>	
<b>Justification:</b>	
<b>Narrative Description of Impact:</b>	
<b>Scope Impact:</b>	
<b>Cost Impact:</b>	
<b>Quality Impact:</b>	
<b>Schedule Impact:</b>	
<b>Risk Impact:</b>	
<b>Coordination</b>	
<b>Team:</b>	
<b>Resolution of Change</b>	
<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	
<b>Basis of Action:</b>	
<b>PM Signature:</b>	
<b>Date:</b>	

#### **43–7. Distribution**

- a. Project Delivery Team.
- b. Project Manager.
- c. Technical Lead.

## Chapter 44

### Reference Documents: Civil Works Program-Specific Information (REF8010G)

#### 44–1. Scope

This reference document includes CW Program-specific reference information necessary to supplement the overall Project Delivery Processes. This supplemental information supports the specific needs of projects funded under CW Appropriations. The document includes such items as the CW Program and Budget Process, Work Breakdown Structure, Activity Templates, Milestones, Contingency Funds Management, Comment Fields, and CW Data Checklist.

#### 44–2. Civil Works Program and Budget

##### [Program-Specific Processes: Civil Works Program and Budget Cycle \(PROC7000\)](#)

describes the requirements for development, submission, and execution of the Annual CW Program and Budget per Civil Works Program Development Policy Guidance (Budget Engineer Circular) EC 11–2–X and Civil Works Direct Execution Annual Program Guidance (Execution EC) EC 11–2–X for each fiscal year.

a. The process covers an approximate 34-month time frame and therefore includes information relative to the Current Fiscal Year (CFY), CFY+1, CFY+2 and CFY+3. Appropriate linkages to the overall Project Delivery Process are included, especially for major events such as initial development and submission of the budget, OMB Passback and reclama, budget defense, appropriation and allocation of funds, and ultimate execution of the program.

b. The Budget EC specifies the procedures for developing the budget. The budget is built from the ground up by the creation of budget items. A budget item is a set of tasks within a project that can be accomplished independently and that provides a measurable level of benefit or performance. All budget items are grouped at the District, then Division and finally USACE-wide. Budget items are ranked according to expected performance output at each level across all projects within each business line. Those budget items not included in the President's Budget are considered part of the USACE capability should additional funding be provided by Congress, refer to [Program-Specific Processes: Civil Works Program and Budget Cycle \(PROC7000\)](#).

#### 44–3. Work Breakdown Structure

The WBS includes elements that outline the categories of work (products or services) necessary for successful project delivery and upward reporting through the basic phases of project planning, project execution, monitoring and controlling, and project closeout. The activities necessary to produce and deliver the products or services are added in the Activity Templates to schedule and resource the work in PROMIS.

a. A standardized WBS was developed for use across all specifically authorized CW projects. Separate WBSs were developed for the O&M, Regulatory, Real Estate, Emergency Operations, and Continuing Authorities Programs (CAP) because of the unique characteristics and requirements of these programs.

b. Some WBS elements may not be applicable to all projects. WBS codes are standardized to the maximum extent possible across CW, Military, Environmental, and Interagency and International Services ([Table 44–1](#)).

**Table 44–1**  
**WBS Codes**

Category	WBS Code
Project Specifically Authorized by Congress	00500 – Project Management Plan 22000 – Feasibility Report 30000 – Preconstruction Engineering and Design Agreement 30B00 – Design Documentation Report 30AP0 – Project Partnership Agreement 30AQ0 – Project Escrow Agreement 30D00 – Construction Engineering and Design 30DG0 – Design Agreement 31000 – Supervision and Administration 31DS1 – Additional Construction Contract
Operations and Maintenance	00500 – Project Management Plan 60000 – Construction 61000 – Maintenance 60710 – National Emergency Preparedness Program
Flood Control and Coastal Emergencies (FCCE)	010000 – Flood Control and Coastal Emergencies <ul style="list-style-type: none"> <li>• FCCE Appropriated Funds</li> <li>• Disaster Preparedness Program</li> <li>• All Hazards Planning Activities</li> <li>• All Hazard Training and Exercises</li> <li>• Equipment, Facilities, Supplies (MSC only)</li> <li>• Readiness Support Center</li> <li>• Reemployed Annuitant Cadre Program (HQ Only)</li> <li>• Operational Preparedness</li> <li>• FCCE Reimbursable</li> </ul>
Continuing Authorities Program (CAP)	00500 – Project Management Plan 2200C – CAP Feasibility Federal Interest Determination 2200C – Feasibility Cost Sharing Agreement 2200C – Feasibility – Detailed Project Report 30DNC – Value Engineering/Value Management 22V00 – Project Partnership Agreement 30DAC – Plans and Specifications 31000 – Construction Contract Documents 31000 – Supervision and Administration 30D00 – Engineering and Design During Construction 30F00 – Project Closeout

Category	WBS Code
Real Estate	01000 – Real Estate 20000 – RE Relocations

#### 44–4. Project Templates in PROMIS

Project Templates include the minimum milestones required for program/project execution and control and upward reporting, and the order of the activities in the template establishes the general basis of the subsequent schedule logic.

a. In Primavera, the Project Templates form the backbone for program/project delivery that is fleshed out by adding appropriate activity durations, logic linkages, and resources. Activities included in the templates can be modified based on the requirements of the particular project. However, caution should be exercised in deleting activities associated with required milestones, to ensure that all mandatory milestones are represented. Activities and logic can be added, but in doing so, ensure that all mandatory milestones are included and sequenced to capture required data, and that all added activities are properly aligned with the WBS. To ensure uniformity of coding and reporting on categories of work, Work Category Elements (WCE) have been embedded at the WBS level. Work Category Code (WCC) information will be entered as Activity Code data in Primavera.

b. Global Project Templates in PROMIS are located in the methodologies folders at the HQ, MSC, and District levels.

#### 44–5. Milestones

Milestones are an activity type tracked by an activity code in PROMIS and are assigned to zero-duration activities marking the start or completion of a significant event. A minimum set of required milestones has been pre-defined within each Project Template for the benefit of the Project Delivery Team (PDT) and District-level management as well as to satisfy corporate data needs at the MSC and HQUSACE levels.

a. The list of HQUSACE-required milestones are found in the annual Execution EC, Appendix A, which is posted on the HQUSACE CW Internet site:  
<https://usace.dps.mil/sites/INTRA-HQ/SitePages/Civil-Works.aspx>.

b. Since the Project Templates may be modified for local use, these required milestones might be assigned to other activities. Some milestones such as Environmental Assessment or the Finding of No Significant Impact (EA or FONSI Complete) may apply to multiple Activity Templates, and therefore may appear more than once in the overall project schedule. Additional, locally defined milestones may be added to any activity to facilitate project execution and control. To the maximum extent possible, common milestones that occur across CW, Military, Environmental and Research and Development (R&D) programs, such as “Contract Award” have common, standard definitions and coding to facilitate communications and reporting.

c. Refer to Appendix E for a listing of the CW Program Specific Milestones.

#### 44–6. Comment Fields

Comment field definitions are under development to capture and display supplemental text information for display on reports, Fact Sheets, etc. In Primavera, notebook fields for capturing comment (text) information can be assigned at the project, WBS, or activity

level (or at multiple levels). Notebook fields at the project level will include, but not be limited to:

- a. *Synopsis* – A short project description (paragraph or less) used in reports, Fact Sheets, etc.
- b. *Detailed Project Scope* – Complete details of the scope of the project, as defined in the PMP or as provided by the stakeholder. This field will be updated to reflect the current agreement with the stakeholder on the scope of the project as the PMP is updated or revised.
- c. *Status* – Brief status of the project for use in reports. (This field is NOT to be used to discuss project issues.)
- d. *Issues for HQ/Stakeholder* – Issues that are included in upward reporting and reports to the stakeholder.
- e. *Issues for Internal Use Only* – Issues that are for use within a District/Center prior to their release to HQ or the stakeholder, such as issues to be addressed by the Project Review Board (PRB). These issues may be resolved without release to HQUSACE or the stakeholder.

#### **44–7. Contingency Funds Management**

Contingency funds management is included in the overall project Change Management Plan, refer to [Reference Documents: Change Management Plan \(REF8009G\)](#), which is part of the PMP and also connected to the project Risk Management Plan, refer to [Reference Documents: Risk Management Plan \(REF8007G\)](#). Contingency is included in the total project cost estimate when the project is authorized and is identified through the Cost and Schedule Risk Analysis (CSRA) process.

a. Contingency is an amount of funds added to the base cost estimate to account for uncertainty and risk exposure. It describes how the project contingency funds are developed, identified, allocated, and resourced. Contingency thresholds may be established by the PDT, the District, the MSC, or HQ as an early warning sign/indicator of project health and used for risk informed decision-making. While the management of project contingency may vary across programs and business lines, its over-consumption without aggressive oversight is a common reason for project cost overruns that require approval by the Deputy Commanding General for Civil and Emergency Operations (DCG-CEO).

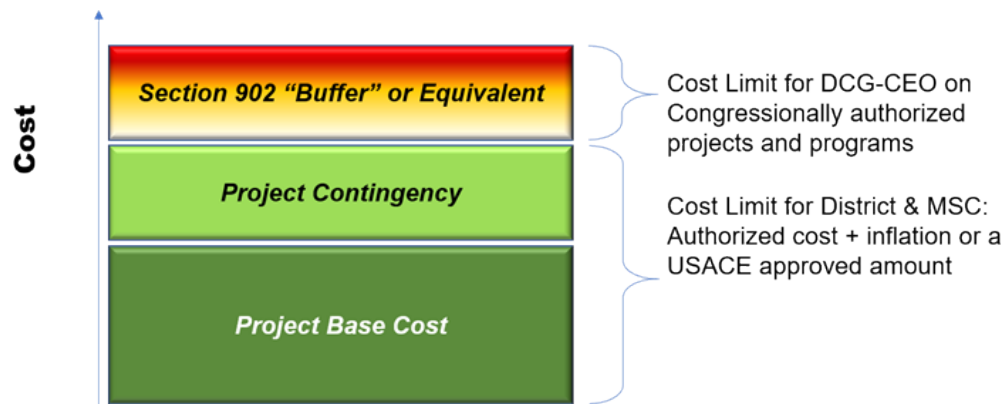
b. *Change Control Board.*

(1) Projects require a full cost update within a two-year timeframe per the Civil Works Cost Engineer Regulation (ER 1110–2–1302) to remain eligible for budget and funding requests. If the resulting total project cost estimate exceeds the authorized cost plus inflation or the USACE approved amount, an approval by the DCG-CEO is required. The HQ Change Control Board process, established by the DCG-CEO, is intended to improve the monitoring and control of project changes, provide oversight of cumulative changes for QA, assist in delivering stakeholder(s) expectations, and support objectives in the PMP. See [Figure 44–1](#).

(2) The PDT is responsible for developing project estimates and budgets, including identifying the level of risk and uncertainty with project activities, and including an appropriate amount of contingency funding in the budget commensurate with the level of risk and uncertainty to assure project success. Risks are the result of uncertainty,



where the future outcome can be affected by management actions/decision made in the present. The effect of the uncertainty is typically expressed in cost and schedule contingency. The contingency is often developed by a PDT/vertical governance team that considers uncertainty and impact for all aspects of project delivery, including but not limited to quality, safety, stakeholder expectations/satisfaction, and agency tolerances, refer to [Reference Documents: Risk Management Plan \(REF8007G\)](#).



**Figure 44-1. Project Cost Limits**

(3) Water Resources Development Act (WRDA) of 1986, Section 902, was to insure against cost overruns by providing a 20 percent buffer (management reserve), over the authorized project cost. The Assistant Secretary of the Army for Civil Works (ASA (CW)) has delegated this authority to the DCG-CEO. Without this authority or congressional legislation, projects are limited to its authorized cost plus inflation or the USACE approved amount. ER 1110-2-1302, Civil Works Cost Engineering, details reasonable percentage factors to be used for contingency allowances in estimates of costs for construction and relocation features.

(4) For design costs prior to receipt of Construction funds, projects that are programmed to complete in the Budget Year (BY), must include an appropriate, reasonable amount for contingencies to minimize the risk of insufficient Last Year funding in the BY request. For projects that are not programmed to complete in the BY, the project cost estimate must include appropriate contingency allowances to which the contingencies apply; unused contingencies from prior years will not be reflected in carryover. Claim settlements and deficiency judgments in the BY and out-years will be handled according to normal reprogramming procedures. BY and out-year requests must not include amounts for anticipated claim settlements or anticipated deficiency judgments.

c. *Contingency in PROMIS.* When resourcing contingency in PROMIS, create an activity that will be used solely for the purpose of contingency. To resource contingency, add resources to the contingency activity with the Resource ID "CONTINGY," which displays as "CONTINGY.CONTINGY" in the Resource ID Name field. To use resource contingency, deduct the resources from the contingency resource then add that same amount to the resources on the activity in which the work will be performed. The contingency activity never has actual costs. The actual costs are reflected on the activity in which the work is performed.

## **44–8. Distribution**

Project Delivery Team.

## **Chapter 45**

### **Reference Documents: Military Program-Specific Information (REF8011G)**

#### **45–1. Scope**

This reference document describes Military Programs, their Mission, Functions, and Organizational Structure.

a. The mission is to provide global engineering, construction, real estate, installation, environmental, and interagency and international services for the Army, Air Force, Navy, DoD Agencies, Joint Commands, other U.S. Government agencies, foreign governments, and international organizations as assigned.

b. Governance documents can be found under *HQUSACE Published Operation Orders*: Military Program Specific Information on data requirements and milestones, Daily Tasking Order (DTO) 2020–09–29, MP Data Requirements and Minimum Data Elements (P2/RMS) and Appendixes C–G, U, DTO 21–03–04b, Military Programs FY21 Execution, Policy and Guidance. Memorandums may be searched on by year by going to Director Policy Memorandums at <https://team.usace.army.mil/sites/HQ-MP/MOI/default.aspx>.

#### **45–2. Military Functions**

a. The Military Advisor is responsible for:

(1) Advising the USACE Commander and Chief of Engineers (COE) on engineering, construction, environmental, installation, real estate, and other technical matters related to the Military Programs portfolio.

(2) Acting in the capacity of the COE to serve as the principal military advisor for the Army on matters related to the planning, management, and execution of engineering, construction, real property, force modernization, resilience and sustainability, facilities standards, and research and development (GO 2020–01).

(3) Acting in the capacity of the COE to execute assigned Army Category Management responsibilities as the Construction Category Co-Manager and develop a program managed structure for Army's Controls Systems covering standardized procurement, configuration, cybersecurity, testing, and life-cycle management activities.

(4) Serves as the Commander's senior representative, and represents the COE as assigned, on Army enterprise boards and General Officer Steering Committees.

b. *Strategy, Policy, Plans, and Programming.*

(1) Sets the Military Programs strategic direction.

(2) Develops, coordinates, maintains, and governs implementation of Directorate strategy, policy, plans, initiatives, and operating principles.

(3) Ensures synchronization and alignment with HQUSACE, Army, Defense, and National strategy documents and resourcing priorities.

(4) Assesses the current and future operating environment and advises the USACE Commander on strategy, plans, programming, and other strategic resourcing matters.

(5) Ensures USACE strategy products and forums reflect Directorate and portfolio equities.

(6) Supports planning of Combatant Command and Army Service Component Command (ASCC) Commanders in deployment and integration of USACE engineer capability to achieve strategic theater engagement objectives, including in OCONUS contingency operations, and advises subordinate USACE commanders.

(7) Executes assigned “Quarterback” responsibilities for multiple Military Decision Packages (MDEPS) within the II Program Execution Group (PEG).

(8) In coordination with the Directorate of Resource Management, leads integration, synchronization, assessment, and communication of USACE’s manpower and funding requirements resourced with military appropriations across the Planning, Programming, Budgeting, and Execution (PPBE) process.

*c. Command and Control.*

(1) Provides Command and Control for all programs and activities aligned to the Military Programs Directorate.

(2) Assigns missions and provides direct oversight and staff supervision for the U.S. Army Engineering and Support Center, Huntsville, and the Special Missions Office.

(3) Assigns and oversees execution of new or emerging enterprise military missions and programs.

(4) Assures synchronization and integration of subordinate commander activities to achieve unified USACE performance in military mission.

*d. Program Management and Oversight.*

(1) Performs national program/account management functions.

(2) Manages and oversees the planning, design, and execution of programs and projects within the Military Programs portfolio.

(3) Monitors actions by subordinate USACE elements to ensure implementation of policies and decisions.

(4) Conducts regular program reviews and ensures that projects are completed on time, within scope, within budget and to acceptable quality standards.

(5) Establishes and executes directive controls processes for authorized or critical programs and projects.

(6) Determines budgetary requirements and establishes standards for execution to budget for both direct and project-funded programs within the Directorate.

(7) Convenes working level and Senior Executive Reviews with stakeholder agencies to assess program/project performance.

(8) Interprets, disseminates, and implements Program and Project management policy and budget guidance, provides expertise and assistance in the development of PgMPs and PMPs, assists in the selection of acquisition methods, and institutes fiscal controls, integrated data collection, reporting, and governance to enable effective performance evaluation and communication.

*e. Accountability and Performance.*

(1) Maintains accountability through participation in enterprise governance forums and conducting recurring Directorate-level governance activities including the Directors Management Review and annual After Action Review.

(2) Routinely assesses performance through the development, maintenance, and use of qualitative and quantitative measures and indicators.

(3) Actively seeks expert feedback from within and external to the organization to inform the appropriate standard by which USACE and others should be operating.

(4) Establishes, maintains, and oversees implementation of QA policies and standards.

(5) Ensures programs and projects are executed per appropriations, statutes, regulations, and applicable policies and standards.

(6) Executes program compliance reviews, assessments, and site visits.

(7) Ensures compliance with Congressional and Departmental reporting and accountability mandates, and delegates authorities where appropriate.

*f. Technical Standards and Expertise.*

(1) Establishes enterprise standards and business processes for all Engineering, Construction, Real Estate, Environmental, Installation Readiness, and Interagency and International Services matters.

(2) Leads/co-leads designated Communities of Practice (CoPs) and sub-COPs in the areas of Program and Project Management, Real Estate, Environment, Installation Readiness, Interagency and International Services, and Engineering and Construction.

(3) Serves as the functional lead for designated career fields including as the Functional Chief for the Engineering and Construction Career Field.

(4) Establishes, oversees, and maintains technical and professional competency education, training, certification standards, and workforce planning.

(5) Develops and maintains standard designs and military facilities infrastructure technical criteria and specifications.

(6) Approves establishment of and revalidates need for enterprise Mandatory and Technical Centers of Expertise.

(7) Serves as the regulatory Authority Having Jurisdiction on Army installations.

*g. Engagement and Communication.*

(1) Develops and promulgates strategic messaging and communication products.

(2) Engages with national level Stakeholders to build and sustain strategic partnerships and advance delivery across the Military Programs portfolio.

(3) Establishes formalized relationships through the development of enterprise/national-level agreements and PgMPs.

*h. Acquisition.*

(1) Ensures USACE's Head of Contracting Activity (HCA) authority is used effectively and appropriately.

(2) In conjunction with the Directorate of Contracting, establishes the operating principles that guide enterprise acquisition practices, defines the scope of available acquisition tools, and sets the standard for their application.

(3) Actively participates in acquisition planning for high-visibility, high-risk programs and projects and maintains final approval authority for all associated acquisition strategies.

(4) Serves as USACE's Command Services Executive and Strategic Sourcing.

*i. Design Construction Agent.*

- (1) Serves as the Army and DoD Design Construction Agent (DCA) with responsibility for executing Title 10 MILCON per DoD Directive (DoDD) 4270.5.
- (2) Serves as a Foreign Military Sales (FMS) Implementing Agent for Army, responsible for Letter of Request receipt, Letter of Offer and Acceptance development/implementation, and the execution of facility infrastructure design and construction for Security Assistance, Building Partner Capacity, and Foreign Assistance Act Section 607 programs using FMS.
- (3) Integrates resources across the enterprise to provide timely, economic, and effective execution of Army, Air Force, and DoD Agency MILCON programs to applicable standards.
- (4) Participates in Tri-Service work groups and committees.
- (5) Performs design and construction execution agent responsibilities through reimbursable orders for the Army, Air Force, Navy, DoD Agencies, Joint Commands, other government agencies, and partner nations.

*j. Real Estate Executive Agent.*

- (1) Serves as the Real Estate Executive Agent for the Army, and the Air Force, and in support of DoD Real Estate missions, as assigned.
- (2) Designated as the Executive Agent to execute the Homeowners Assistance Program (HAP), Defense National Relocation Program (DNRP), the Joint Recruiting Facilities Program, and contingency operations overseas leasing.
- (3) Serves as the Army's real property portfolio manager for 25M acres (Civil and Military) and provides technical expertise and business analysis as relates to the life cycle of real property.

### **45–3. Organizational Structure**

- a. The organization includes the following mission elements:
  - (1) Management Support Office Mission.
    - (a) Contributes to the development of Military Programs long-range strategies in areas of organizational planning, manpower and budget formulation, execution, and automated information systems (AIS) for the Command.
    - (b) Develops and disseminates Directorate policy and guidance for a full range of administrative and program, budget, manpower, and human resource delivery systems to provide direct support to Senior Leadership, Middle Managers, and Directorate team members.
  - (2) Power Reliability Enhancement Program. Executes an OSD proponent program to improve and assure mission reliability of power, utilities and infrastructure that supports the National Military Command System (NMCS) and Command, Control, Communication, Computers, Intelligence, Surveillance, and Reconnaissance sites.
  - (3) Military Programs Integration Division Mission.
    - (a) Provides executive leadership, management, and oversight of USACE's assigned Title X DoD Construction Agent responsibilities to deliver worldwide design and construction programs in support of Army, Air Force, DoD agencies, and foreign governments.

(b) Serves as the principal integrator for the Directorate of Military Programs with responsibility for enterprise strategy, resources (manpower, funding, and Information Technology (IT)), governance, policy, engagement, and communication.

*b. Functions.*

(1) Strategy, Policy, Plans, and Programming.

(a) Develops, synchronizes, and coordinates Directorate strategy, policy, plans, and guidance.

(b) Leads Directorate strategic resourcing responsibilities across the Planning, Programming, Budgeting, and Execution (PPBE) process.

(c) Represents the Directorate on strategic resourcing boards including, but not limited to, the IT Investment Review Board, Headquarters Prioritization Group, and Senior Budget Program Advisory Committee.

(2) Command and Control. Provides executive management and direction of the enterprise execution of assigned MILCON programs.

(3) Program Management and Oversight.

(a) Performs national level program/funds management and QA of major, minor, and Host Nation-funded MILCON programs.

(b) Performs national account management for military Planning and Design (P&D) and flat-rate Supervision and Administration (S&A) funds.

(c) Develops and oversees implementation of mission area policy, guidance, and standards consistent with the Project Delivery Business Process.

(d) Establishes and executes directive controls processes for assigned MILCON programs.

(4) Accountability and Performance.

(a) Participates in USACE enterprise governance forums and represents the Directorate in strategic governance meetings including the USACE Management Action Group and the Program/Regional Business Directors meeting.

(b) Leads development and execution of Directorate governance, performance measurement, and performance management activities.

(c) Ensures enterprise systems and business tools are sustained and updated to accommodate requirements across the Military Programs portfolio.

(d) Implements data governance to ensure consistency of data input and usage across the Directorate. Develops and maintains standard reports.

(5) Technical Standards and Expertise.

(a) Serves as the Co-Chair of the Program and Project Management Community of Practice with responsibility for establishing strategic intent and setting and advancing enterprise workforce competency and business process standards based on shared best practices and Lessons Learned that promote effective program and project delivery.

(b) Represents the Directorate of Military Programs on the Centers of Standardization Board of Directors.

(c) Develops and promulgates the use of enterprise business processes and systems that enable efficient and effective mission delivery.

(d) Encourages continuous improvement of knowledge management, sharing successes and Lessons Learned, maintaining, and disseminating program information.

(6) Legislative Affairs. Provides drafting services and prepares legislative proposals that achieve efficiencies and enhance delivery of programs and projects within the Military Programs portfolio.

(7) Engagement and Communication.

(a) Develops and promulgates Directorate-wide and PID-specific strategic messaging and communication products.

(b) Engages with national level Army, Air Force, Navy, Joint Command, DoD Agency, OSD, and Congressional stakeholders to build and sustain strategic partnerships and advance MILCON delivery.

(c) Establishes formalized relationships through the development of enterprise/national-level agreements and PgMPs.

(d) Engages with industry partners and represents USACE/the Directorate in meetings/conferences within USACE and with other U.S. Government and industry stakeholders.

(8) Acquisition.

(a) Executes enterprise Command Services acquisition responsibilities on behalf of the Director of Military Programs who is designated as the Command Services Executive.

(b) Serves as the Army Construction Category Co-Lead, representing USACE/COE at Army Category Management forums and executing assigned CM responsibilities.

c. *Air Force/Department of Defense Programs.*

(1) *Mission.* Program management for execution of assigned worldwide design and construction programs listed below:

(a) Military Construction, Air Force (MCAF).

(b) Unspecified Minor MCAF (MMAF).

(c) Air Force Family Housing (FHAF).

(d) Military Construction, Air Force Reserve (MAFR).

(e) Air Force and Defense Agency Base Realignment and Closures (BRAC) Construction.

(f) Missile Defense Agency.

(g) Chemical Demilitarization Program.

(h) Air Force and Defense Agency Energy Conservation Investment Program.

(i) Defense Logistics Agency.

(j) Department of Defense Education Agency.

(k) Defense Health Agency.

(l) Defense Energy Resilience and Conservation Investment Program.

(m) Special Operations Command.

(n) Other Defense Agencies or Service Components that have MILCON requirements assigned to USACE for execution to include, but not limited to: Navy, DeCA, DIA, DISA, NCA, NGA, NSA, and WHS.

(2) Refer to [Program-Specific Processes: Air Force Military Construction Program and Budget \(PROC7110\)](#).

d. *Army Programs Integration.*

(1) *Mission.* Program management for execution of assigned worldwide design and construction programs listed below:



- (a) Military Construction, Army (MCA).
  - (b) Military Construction, Army Reserves (MCAR).
  - (c) Unspecified Minor MCA (UMMCA).
  - (d) Army Family Housing.
  - (e) Host Nation-Funded Construction (HNFC).
  - (f) Army BRAC Construction.
  - (g) Army Energy Resilience and Conservation Investment Program.
  - (h) Active Army Component – Planning and Design (P&D).
  - (i) Other Army construction programs of national importance including, but not limited to Arlington National Cemetery, National Museum of the U.S. Army, and Armed Forces Retirement Home.
- (2) Refer to [Program-Specific Processes: Army Military Construction Program and Budget \(PROC7100\)](#).
- e. *Strategy and Policy Integration.*  
*Mission.* Serves as the principal integrator for Directorate and enterprise strategy and policy.
  - f. *Data Analytics and Performance Management.*  
*Mission.* Serves as the principal integrator for performance management and data analytics for the Directorate.
  - g. *Real Estate.*
    - (1) *Mission.* Per AR 10–87 and Army General Order 2020–01, Assignment of Functions and Responsibilities within Headquarters, Department of the Army, USACE manages and executes all Real Estate functions for the Army, for Air Force elements in the U.S., for DoD and Federal agencies upon request and where the Army is the DoD executive agent. Performs an Army Staff function under the COE to formulate, implement, manage, and evaluate real property policy for the Department of the Army including responsibility for policies and procedures for the acquisition, management of title, granting of use and disposal of real property, as well as providing technical Real Estate assistance. Serves as the DoD Executive Agent for:
      - (a) DoD Executive Agent for the Joint Recruiting Facilities Program.
      - (b) Homeowners Assistance Program (HAP).
      - (c) Defense National Relocation Program (DNRP).
      - (d) Overseas Leasing.
      - (e) The Deputy Assistant Secretary of the Army for Installations, Housing, and Partnerships (DASA (IH&P)).
    - (2) Refer to [Reference Documents: Real Estate Programs \(REF8025G\)](#).

*h. Interagency and International Services.*

(1) *Mission.* Serves as HQUSACE Program Manager for non-MILCON reimbursable services for DoD, other Federal agencies, non-Federal agencies, Intelligence community agencies, state, local, tribal, and foreign governments, international organizations, and private industry. Formulates USACE-wide policy associated with Interagency and International Services provided by the USACE Enterprise. Serves as HQUSACE manager of non-reimbursable USACE international activities except those in direct support of U.S. forces overseas. Serves on the Board of Directors for Army Security Assistance as one of the three Army Implementing Agencies. Manages relationship building with others related to assigned programs. Integrates capabilities and expertise across the enterprise to deliver valued advisory.

(2) Refer to [Reference Documents: Interagency and International Services Program-Specific Information \(REF8017G\)](#).

*i. Environmental Division.*

(1) *Mission.* The Environmental Division (ENV DIV) provides global environmental services, including environmental quality (compliance, conservation, pollution prevention, and planning), sustainability, and munitions and hazardous, toxic, and radioactive waste (HTRW) cleanup actions, for a wide range of organizations as assigned. The ENV DIV ensures that USACE is a reliable partner to all its stakeholder organizations, from the local to national level, through Executive Direction and Management, including program, capabilities, and capacity management. Stakeholder programs, specific capabilities, and general and specific authorities are provided in paragraph (2) below.

(2) Conducts national-level program management for the following stakeholders and programs:

(a) Air Force, Air Force Reserves, and Air National Guard:

- Defense Environmental Restoration Program (DERP).
- Environmental Quality (EQ).

(b) U.S. Army, Army National Guard, Army Reserves:

- BRAC – Environmental.
- Compliance Cleanup.
- DERP.
- Deactivated Nuclear Power Plant Program.
- EQ, including Regional Environmental and Energy Offices.
- Other environmental support to the Army.

(c) Office of the Secretary of Defense:

- Defense-State Memorandum of Agreement (DSMOA).
- Formerly Used Defense Sites (FUDS).
- Native American Lands Mitigation Program.

(d) Other DoD Agencies: Environmental and Military munitions support services.

(e) USACE:

- Environmental Support Team.
- Formerly Utilized Sites Remedial Action Program (FUSRAP).
- Sustainability.

- (f) U.S. Environmental Protection Agency (EPA): Superfund Program.
- (g) International and Interagency Support – Environmental: support to non-DoD agencies (excluding Superfund) technical, and engineering services to stakeholders at home and abroad to achieve national security or stakeholder strategic objectives.
- (3) Refer to [Reference Documents: Environmental Program-Specific Information \(REF8012G\)](#).

#### 45–4. Contingency

Contingency is defined in DoDD 4270.5 and is further refined in UFC 3–730–01. DoD Financial Management Regulation (FMR) Volume 2B, Chapter 6-060301-3.h.9 provides guidance regarding defining contingency on a DD Form 1391.

#### 45–5. Supervision and Administration (S&A)

Supervision and Administration is governed by ER 415–1–16; ER 37–1–30 Chapter 11, and Director’s Policy Memorandum MP 2019–01.

#### 45–6. Distribution

- a. Project Manager.
- b. Project Delivery Team.

### Chapter 46

#### Reference Documents: Environmental Program-Specific Information (REF8012G)

#### 46–1. Scope

This document describes the WBSs, milestones, and other required Project and Program management requirements necessary to ensure successful project delivery for Environmental (ENV) Programs.

#### 46–2. Environmental Programs

ENV Programs is organized by national programs with HQ-level national program managers (NPMs). These programs are a mix of centralized and decentralized funding streams that varies by program and often within programs. Each of the programs in [Table 46–1](#) have an associated national Program Manager within the referenced branch. All ENV project work fits into one of the following programs.

**Table 46–1**  
**Environmental National-Level Stakeholders, Programs, and Related Division Branches**

National-Level Stakeholder	Environmental Programs	ENV DIV Branch
Air Force (AF)	Defense Environmental Restoration Program (DERP)	Support
	Environmental Quality (EQ)	Support
Air Force Reserves	EQ	Support
Air National Guard	EQ	Support

<b>National-Level Stakeholder</b>	<b>Environmental Programs</b>	<b>ENV DIV Branch</b>
Army	Base Realignment and Closures (BRAC) – ERP	Support
	Compliance Cleanup (CC)	Support
	DERP	Support
	Deactivated Nuclear Power Plant Program (DNPPP)	Support
	EQ	Support
	EQ – Army Material Command	Support
	EQ – Army Regional Energy and ENV Offices	DoD Programs
	EQ – Cultural Resources – Installation Management Command (IMCOM)	Support
	EQ – NEPA – IMCOM	Support
	Other Army ENV (non-BRAC, -CC, -DERP, -DNPPP, -EQ work)	Support
Army National Guard	CC	Support
	EQ	Support
Army Reserves (USAR)	CC	Support
	EQ	Support
Office of the Secretary of Defense (OSD)	Defense-State Memorandum of Agreement (DSMOA) Program	DoD Programs
	Formerly Used Defense Sites (FUDS) Program	DoD Programs
	Native American Lands ENV Mitigation Program (NALEMP)	DoD Programs
Other DoD Agencies	Military Munitions Support Service (M2S2) International Contingency Operations (ICO)	Support
	Other DoD ENV Support	Support
USACE	ENV Support Team (EnvST)	Support
	Formerly Utilized Sites Remedial Action Program (FUSRAP)	Support
	Sustainability	Integration
U.S. Environmental Protection Agency (EPA)	Superfund	Support
Other Federal Agencies	Interagency and International Services – ENV (IIS-E)	Support

### **46–3. Project Type and Sub-Type**

In PROMIS, all Environmental Programs projects are categorized into one of two project types and each associated subtype. Projects are either “Environmental” (type)/“DoD”

(subtype) for any/all DoD agencies projects, or “Interagency and International Services (IIS)” (type)/“IIS” (subtype) for projects for any/all agencies other than DoD agencies.

*a. Getting Started.*

(1) When initiating a new project for ENV Programs in PROMIS, Project Delivery Teams (PDTs) will use the project initiation form (PIF) associated with the project type stated above until USACE implements its online “auto PIF” form. Typically, the PM completes a PIF and passes it to a Budget Analyst or assistant PM for data entry into PROMIS. The team members initiating the project must ensure that the required project information is correctly entered from the outset, as many data entry errors are very difficult to impossible to fix once they are in the system.

(2) For ENV projects, Districts also often use the practice of creating a Work Item (WI) on an existing project.

(a) When starting a new WI instead of a new project, **the project must be in the same program and incoming project funds must be same type of funds already established by the existing project.** This requirement means that, for example, even if the project is physically the same project, but different National Level Stakeholders (NLSs) as shown above, are contributing funds to the investigation or cleanup, then these contributions must be in separate PROMIS projects.

(b) Another example is with the same NLS, such as the Air Force Reserves. If the Air Force Reserves provides project money centrally through HQUSACE and provides funding from an installation directly to a District, even though the funds are from the same NLS, these funds have different funding codes and should not be combined on the same project. Fiscal delineations are required to meet accounting requirements and fixing such mistakes once established is extremely difficult to do.

(3) To avoid financial mix-ups as described above, ENV DIV recommends the best practice of waiting until funds have been received and using the known funding numbers prior to entering a WI or starting a new project in PROMIS. This practice helps to ensure that the correct financial information is entered correctly, and any projects started, new work items are aligned, per the paragraph above.

*b. Data Quality/ENV Key Performance Indicators.*

(1) USACE is a performance-based, data-driven organization, so the information that PDT members enter into USACE’s automated information systems (AISs), (for example, CEFMS, PROMIS, Resident Management System (RMS)) feed into overall program reporting at the highest levels of the organization.

(2) In addition to District and MSC reporting requirements, HQUSACE uses key performance indicators (KPIs) at the HQ Directorate level to describe its programs’ overall performance. These levels of review mean that the information input during project initiation is critical to meeting future reporting and performance requirements, in addition providing a means to conduct the day-to-day management and execution of projects.

(3) ENV Programs is very focused on its data quality and the initial set up of a project or the addition of a line item needs to be completed properly per the latest guidance to ensure that the project meets the performance objectives set out for ENV data quality. Additionally, ENV Programs has metrics related to project, contract, and financial milestones and execution. KPIs are laid out in the annual USACE Command Guidance (UCG) housed on the CERM SharePoint site.

#### 46–4. Project Data Elements

ENV Programs has established fields required for project/work item initiation, as shown in [Table 46–2](#).

<b>Table 46–2</b>	
<b>Environmental Required Data for All Projects, by Project Type, and Optional Information</b>	
<b>Data Element</b>	<b>Core Data – Project Initiation Form (PIF) Description</b>
<b>Required for all Environmental Programs</b>	
Project Manager District (PMD)	The District that has the project management responsibilities per ER 5–1–11.
Area of Responsibility	The geographic district where the project is located, which may differ from the PMD.
Project Name	Use/replicated as closely as possible the project title reflected on authorizing document.
Project Description	Short description of work for each project which can be taken from the stakeholder's scope.
Project Manager (PM)	PM as identified per ER 5–1–11.
Project Start Date	Input a date no later than the day before the project is to actually start.
Customers	Use the “Assign Stakeholder” option find the project's stakeholder (do not use the “assign customers” drop down menu).
Command Indicator Code (CIC)	Add field and provide the CIC. The CIC identifies the specific ENV program across CEFMS and PROMIS. This field is required for all ENV projects. See <a href="#">Table 46–6</a> for a listing of ENV CICs.
Latitude	Add field and provide project latitude from the center or most representational point of the project; field may only be left blank if the project is classified.
Longitude	Add field and provide longitude from the center or most representational point of the project; field may only be left blank if the project is classified.
EPA Region Code	Provide the U.S. EPA Region for the project (IIS-E projects must add this field).
<b>Required for DoD Projects</b>	
ARLOC – DoD Project Location	Select the DoD project location (installation or base) based on the authorizing documents. The Army Location Code (ARLOC) is critical to identifying stakeholders and locations.
DoD Primary Program	Select the applicable (specific) program name for the project's program.
DoD Secondary Program	Select the applicable (specific) sub-program name for the project's sub-program.
MDEP/AMSCO – Project Funding Identifier	Select the “MDEP/AMSCO” name that matches the “Supplemental Accounting Classification” section on the MIPR. Notes: (1) This field describes the ENV program in terms of the Army Management Structure Code (AMSCO), which crosswalks to the corresponding funding field in CEFMS; (2) all DoD funding is described in terms of the “MDEP/AMSCO” once received even though the origin of the terms is strictly Army.
Military Funds Type	Select the appropriate code for the project's program.

<b>Data Element</b>	<b>Core Data – Project Initiation Form (PIF) Description</b>
Funds Type	Provide funding source.
<b>Required for IIS-E Projects</b>	
Authority/Instrument	Superfund: L-Interagency Agreement/Support Agreement (IA).
Corporate Management Information (CMI) Display Type	Select “E” for Environmental.
Country Code	Prepopulated as U.S.; change the code if the project is not located in the U.S.
Non-DoD Primary Program	Choose either “ESFO” or “Superfund” from the drop-down menu for ENV projects, accordingly.
Non-DoD Secondary Program	Select the appropriate ENV program; if the project’s program is not in the drop-down menu, contact the IIS-E NPM.
<b>Optional for ENV Programs</b>	
Design Agent	The organization responsible for study, planning, or design services up to contract award.
Construction Agent	The organization supervising and administering construction services.
Delay Code	Add field and use if the project has experienced a delay due to coronavirus impacts.
Update NPL Status	Provide the current status of the project it is listed on the EPA National Prior.
Primary Congressional District	The state two-character abbreviation followed by the number of the Congressional District for the geographical location of the construction of the project.

#### 46–5. Work Breakdown Structure

ENV Programs template WBSs have been developed for the FUDS, Environmental Quality (EQ), Installation Restoration Program (IRP), BRAC, and Superfund projects, as shown in [Table 46–3](#). Each WBS element will be augmented by activities as added by the PDT.

a. *Activities.* Each PDT will use the “required” activities in the appropriate environmental template. WBS templates contain the minimum requirements for all environmental projects. The PDT is encouraged to build upon this template to create a project that will meet their specific reporting requirements.

**Table 46–3**  
**Work Breakdown Structures for Environmental Programs**

<b>Activity ID</b>	<b>Activity Type</b>	<b>Activity Name</b>	<b>BRAC, DERP</b>	<b>SF, IIS-E</b>	<b>CC, DNPPP, EQ, FUSRAP, NALEMP, Other Army and DoD ENV</b>
<b>052000 Project Management</b>					
SFMS010	Task Dependent	Management & Support		X	



Activity ID	Activity Type	Activity Name	BRAC, DERP	SF, IIS-E	CC, DNPPP, EQ, FUSRAP, NALEMP, Other Army and DoD ENV
<b>061000 Technical Assessment</b>					
TA1000	Start MS	Start Technical Assistance (TA) (or other)		X	
TA1100	Task Dependent	Technical Assistance (or other) Activity (resourced – IH)		X	
TA1110	Finish MS	Contract Award (MS – non resource)		X	
TA1120	Task Dependent	Contract (work done by contractor – resource)		X	
TA1130	Finish MS	Contract Complete (financial)		X	
TA1140	Finish MS	De-obligate Contract		X	
TA1200	Finish MS	Finish Technical Assistance (or other)		X	
<b>06000 Preliminary Assessment/Site Inspection (PA/SI)</b>					
SI0001	Start MS	Start PA/SI	X		
SI0015	Task Dependent	Conduct PA/SI (Non-contract; resource IHS)	X		
SI0016	Finish MS	Contract Award (MS – non resource)	X		
SI0020	Task Dependent	Contract (work done by contractor – resource)	X		
SI0110	Finish MS	Finish PA/SI	X		
<b>07000 Remedial Investigation/Feasibility Study (RI/FS)</b>					
<b>07000.07100 Remedial Investigation (RI)</b>					
RI0010	Start MS	Start RI	X	X	
RI0060	Task Dependent	Conduct RI (Non-contract items – resource in-house support)	X	X	
RI0070	Finish MS	Contract Award (MS – non resource)	X	X	
RI0080	Task Dependent	Contract (work done by contractor – resource)	X	X	
RI0090	Finish MS	Contract Complete (financial)		X	
RI0095	Finish MS	De-obligate Contract		X	
RI0100	Finish MS	Finish RI	X	X	

Activity ID	Activity Type	Activity Name	BRAC, DERP	SF, IIS-E	CC, DNPPP, EQ, FUSRAP, NALEMP, Other Army and DoD ENV
<b>07000.07200 Feasibility Study (FS)</b>					
FS0010	Start MS	Start FS	X	X	
FS0020	Task Dependent	Conduct FS (resource in-house support)	X	X	
FS0030	Finish MS	Contract Award (Select a MS)	X	X	
FS0040	Task Dependent	Contract (work done by contractor – resource)	X	X	
FS0050	Finish MS	Sign Decision Document (MS, non-resource)	X	X	
FS0060	Finish MS	De-obligate Contract	X	X	
FS0070	Finish MS	Sign Decision Document (MS, non-resource)		X	
FS0080	Finish MS	Finish FS	X	X	
<b>07000.07300 Engineering Evaluation and Cost Analysis (EE/CA)</b>					
EE1410	Start MS	Start EE/CA	X	X	
EE1420	Task Dependent	Conduct EE/CA (Non-contract items – resource in-house support)	X	X	
EE1430	Finish MS	Contract Award (Select a MS)	X	x	
EE1440	Task Dependent	Contract EE/CA Activities	X	X	
EE1460	Finish MS	De-obligate Contract		X	
EE1510	Finish MS	Approve Action Memorandum	X	X	
<b>07000.07400 Decision Document</b>					
DD1290	Start MS	Start Decision Document Process	X	X	
DD1300	Task Dependent	Conduct DD Process (NCI/resource IHS)	X	X	
DD1310	Finish MS	Contract Award (Select a MS)	X	X	
DD1320	Task Dependent	Contract Proposed Plan	X	X	
DD1330	Finish MS	Contract Complete (financial)		X	
DD1340	Finish MS	De-obligate Contract		X	
DD1400	Finish MS	ROD Signed	X	X	
<b>076000 Compliance</b>					
<b>076000 EQ – Compliance Projec</b>					
A1360	Start MS	Start Compliance Effort			X

Activity ID	Activity Type	Activity Name	BRAC, DERP	SF, IIS-E	CC, DNPPP, EQ, FUSRAP, NALEMP, Other Army and DoD ENV
A1370	Task Dependent	Conduct In-house Activities			X
A1380	Finish MS	Award Contract			X
A1390	Task Dependent	Contract Activity			X
A1400	Finish MS	Complete Compliance Effort			X

#### **077000 Pollution Prevention**

##### **077000.1 EQ – Pollution Prevention Project**

A1210	Start MS	Start Pollution Prevention Effort			X
A1220	Task Dependent	Conduct In-house Activities			X
A1230	Finish MS	Award Contract			X
A1240	Task Dependent	Contract Activity			X
A1250	Finish MS	Complete Pollution Prevention Effort			X

#### **078000 Conservation**

##### **078000.1 EQ – Conservation Project**

A1020	Start MS	Start Conservation Effort			X
A1030	Task Dependent	Conduct In-house Activities			X
A1080	Finish MS	Award Contract			X
A1090	Task Dependent	Contract Activity			X
A1100	Finish MS	Complete Conservation Effort			X

#### **08000 Remedial Design (RD)**

RD0130	Start MS	Start RD	X	X	
RD0140	Task Dependent	Conduct RD (resource in-house; include RAC procurement activities)	X	X	
RD0150	Finish MS	RD Contract Award (MS – non resource)	X	X	
RD0155	Task Dependent	RAC procurement activities (optional schedule item)	X	X	
RD0160	Task Dependent	Contract (resource – contracted)	X	X	
RD0170	Finish MS	Contract Complete (financial)		X	
RD0180	Finish MS	De-obligate Contract		X	
RD0190	Finish MS	Finish RD	X	X	

Activity ID	Activity Type	Activity Name	BRAC, DERP	SF, IIS-E	CC, DNPPP, EQ, FUSRAP, NALEMP, Other Army and DoD ENV
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#### 09000 Interim Removal Action (IRA)

IRM1000	Task Dependent	Prepare Explosives or Chemical Safety Submission (Required for OE)	X	X	
IRM1010	Finish MS	Approve Explosives or Chemical Safety Submission (Required for OE)	X	X	
IRM1020	Start MS	Start IRA	X	X	
IRM1030	Finish MS	Sign Action Memo	X	X	
IRM1040	Task Dependent	Conduct IRA (Resource)	X	X	
IRM1050	Finish MS	Contract Award (required)		X	
IRM1060	Task Dependent	Contract (required & resourced. Add WCC)		X	
IRM1070	Level of Effort	Supervision and Administration (resourced. Add WCC)		x	
IRM1080	Finish MS	Contract Complete (financial)		X	
IRM1090	Finish MS	De-obligate Contract		X	
IRM1100	Finish MS	Physical Completion		X	
IRM1110	Finish MS	Fiscal Completion		X	
IRM1120	Finish MS	Complete IRA	X	X	
IRM1050	Finish MS	Contract Award (required)	X	X	
IRM1080	Finish MS	Physical Completion	X	X	
IRM1090	Finish MS	Fiscal Completion	X	X	
IRM1120	Finish MS	Complete IRA	X	x	

#### 09000.2 IRA, Non RMS

IR0120	Task Dependent	Prepare Explosives or Chemical Safety Submission (Required for OE)	X		
IR0130	Finish MS	Approve Explosives or Chemical Safety Submission (Required for OE)	X		
IR1031	Start MS	Start IRA	X		
IR1032	Finish MS	Sign Action Memo	X		
IR1035	Task Dependent	Conduct IRA (Resource)	X		
IR1040	Finish MS	Contract Award (required)	X		

Activity ID	Activity Type	Activity Name	BRAC, DERP	SF, IIS-E	CC, DNPPP, EQ, FUSRAP, NALEMP, Other Army and DoD ENV
IR1050	Task Dependent	Contract (required and resourced. Add WCC)	X		
IR2100	Finish MS	Complete IRA	x		
<b>10000 Remedial Action – Construction (RA-C)</b>					
<b>10000.60001 Remedial Action – Construction, RMS</b>					
RA1210	Start MS	Start RAC	X	X	
RA1220	Finish MS	Contract Award (RMS required)	X	X	
RA1230	Task Dependent	Contract (RMS required. Add WCC)	X	X	
RA1231	Finish MS	Contract Complete (financial)		X	
RA1232	Finish MS	De-obligate Contract		X	
RA1240	Level of Effort	Supervision and Administration (resourced. Add WCC)	X	X	
RA1250	Level of Effort	Other Direct Costs (resource. Add WCC)	X	X	
RA1260	Level of Effort	Direct Design Costs (EDC. Resource.)	X	X	
RA1270	Finish MS	Physical Completion	X	X	
RA1280	Finish MS	Fiscal Completion	X	X	
RA1290	Finish MS	RAC Complete	X	X	
<b>10000.60002 Remedial Action – Construction, Non-RMS</b>					
RA1010	Start MS	Start RAC	X		
RA1020	Finish MS	Contract Award (required)	X		
RA1030	Task Dependent	Contract (required and resourced. Add WCC)	X		
RA1040	Level of Effort	Supervision and Administration (resourced. Add WCC)	X		
RA1060	Level of Effort	Direct Design Costs (EDC and Other Direct Costs. resourced)	X		
RA1080	Finish MS	Fiscal Completion			
RA1090	Finish MS	RAC Complete			
<b>11000 Remedial Action – Operation (RA-O)</b>					
RO0010	Start MS	Start RA-O	X	X	
RO0020	Task Dependent	Conduct RAO (add resource)	X	X	

Activity ID	Activity Type	Activity Name	BRAC, DERP	SF, IIS-E	CC, DNPPP, EQ, FUSRAP, NALEMP, Other Army and DoD ENV
RO0030	Finish MS	RAO Contract Award	X	X	
RO0040	Task Dependent	Contract (add resource)	X	X	
RO0050	Finish MS	Contract Complete (financial)		X	
RO0055	Finish MS	De-obligate Contract		X	
RO0060	Finish MS	Finish RA-O	X	X	
<b>12000 Long-Term Monitoring (LTM)</b>					
LT0010	Start MS	Start LTM	X	X	
LT0020	Task Dependent	Conduct LTM (add resources)	X	X	
LT0030	Finish MS	LTM Contract Award	X	X	
LT0040	Task Dependent	Contract (add resource)	X	X	
LT0050	Finish MS	Contract Complete (financial)		X	
LT0055	Finish MS	De-obligate Contract		X	
LT0070	Finish MS	Finish LTM	X	X	
<b>13000 Project Closeout (PCO)</b>					
PC0005	Start MS	Start PCO (no milestone code necessary)	X	X	
PC0010	Task Dependent	Conduct PCO (add resources)	X	X	
PC0020	Task Dependent	Final report to EPA		X	
PC0030	Task Dependent	DCAA Audit		X	
PC0040	Finish MS	Complete Project (Project Closeout)	X	X	

*b. Milestones (MSs).* Milestones are an activity type with an activity code for zero duration. Milestones required for each ENV program are shown in [Table 46–4](#) and [Table 46–5](#). The PDT is encouraged to add additional milestones to create a project that meets their reporting and project scheduling needs. As stated previously, these schedule and contract milestones relate back to ENV Programs KPIs.

**Table 46–4**  
**Environmental Programs Project Schedule Milestones**

PROMIS Name/Description	MS	BRAC, DERP	CC, DNPPP, EQ, NALEMP, Other Army & DoD ENV	FUDS	FUSRAP	SF, IIS-E
MIPR or WAD Received	EN005	X	X			

<b>PROMIS Name/Description</b>	<b>MS</b>	<b>BRAC, DERP</b>	<b>CC, DNPPP, EQ, NALEMP, Other Army &amp; DoD ENV</b>	<b>FUDS</b>	<b>FUSRAP</b>	<b>SF, IIS-E</b>
Start Project Closeout (PCO)	EN162	X				X
PCO	EN170	X				X
Start Preliminary Assessment (PA)	EN310	X				
Finish PA	EN315	X		X		
Start Site Investigation (SI)	EN320	X				X
Finish SI	EN325	X		X		X
Start Remedial Investigation (RI)	EN350	X				X
Finish RI	EN405	X				X
Start Feasibility Study (FS)	EN410	X				X
Decision Document Approved	EN495					
Finish FS	EN500	X		X		X
Start Interim Removal Action (RA)	EN515	X				X
Finish Interim RA	EN520	X		X		X
Start Remedial Design (RD)	EN540	X				X
Finish RD	EN545	X	X	X		X
Start RA – Construction	EN595	X				X
Finish RA – Construction	EN600	X		X		X
Construction Completed/Remedy In Place	EN620			X		X
Start RA – Operation	EN650	X				X
Finish RA – Operation/Response Complete	EN655	X		X		X
Start Long-Term Monitoring (LTM)	EN660	X				X
Finish LTM	EN665	X		X		X
Start Engineering EE/CA	EN680	X				X
Finish EE/CA	EN685	X		X		X
Start Tech Assistance	EN690					X
Finish Technical Assistance	EN700					X
Start Potential Responsible Party (PRP) Investigation (PN)	EN825	X				X
Finish PRP PN	EN830	X				X
Start RD	EN865	X				X



PROMIS Name/Description	MS	BRAC, DERP	CC, DNPPP, EQ, NALEMP, Other Army & DoD ENV	FUDS	FUSRAP	SF, IIS-E
Finish RD	EN875	X		X		X
Start RA Construction	EN880	X				X
Finish RA Construction	EN890	X		X		X
IA De-obligation Notification Date	EN930					X
Start Environmental Activity	EN985		X			X
Complete Environmental Activity	EN995		X			X
Completion of PA	ENF1				X	
Start RI	ENF2				X	
Finish RI	ENF3				X	
ROD Signed	ENF4				X	
Return Site to DOE	ENF7				X	

**Table 46–5**  
**Environmental Programs Contract Award Milestones (Required MSs are provided in each Program's PgMP)**

PROMIS Name/Description	MS	BRAC, DERP, <sup>1</sup> DNPPP, EQ, NALEMP, M2S2 ICO, Other ENV, FUSRAP, SF, IIS-E	FUDS <sup>2</sup>
Contract Award	CC800	X	X
Final/Approved SOS/SOW	EN025	X	
A/E Contract Award or Delivery Order Issued	EN045	X	X
Issue RFP for RAC	EN560	X	
Bid Opening or Proposals Due	EN575	X	
Award Removal Action (RA)	EN585	X	X
Contract Modification Awarded	EN645	X	X
Site Inspection Contract Awarded	EN835	X	X
Remedial Investigation Contract Awarded	EN840	X	X
Feasibility Study Contract Awarded	EN845	X	X
Remedial Design Contract Awarded	EN847	X	
RA – Operations Contract Awarded	EN850	X	X
Long-Term Monitoring Contract Awarded	EN855	X	X
EE/CA Contract Awarded	EN860	X	X
Removal Design Contract Awarded	EN870	X	X
RA Construction Contract Awarded	EN885	X	X

PROMIS Name/Description	MS	BRAC, DERP, <sup>1</sup> DNPPP, EQ, NALEMP, M2S2 ICO, Other ENV, FUSRAP, SF, IIS-E	FUDS <sup>2</sup>
Contract Awarded	EN895	X	X
Service Contract Awarded	EN900	X	X
Task Order Awarded	EN955	X	
EQ Program Contract Awarded	EN990	X	
IIS-E Contract Awarded	EN998	X	
Contract Award	ENF5	X	

<sup>1</sup> Applies to DERP projects other than FUDS, which is part of DERP but has separate requirements.

<sup>2</sup> These milestones are required for FUDS.

#### 46–6. Command Indicator Codes (CIC)

Environmental Programs uses CIC to quickly find key information and manage its data. The consistent use of such CICs is critically important to allow for consistent and accurate reporting. [Table 46–6](#) has the current listing of ENV Programs CIC.

**Table 46–6**  
**FY20–21 Environmental Command Indicator Codes**

NLS	ENV PGM	CIC	ENV Branch
<b>Air Force</b>	BRAC	E-B2	Support
	DERP	E-R2	Support
	EQ	E-Q2	Support
	EQ – CESU	EQC20	DoD Programs
<b>Air Force Reserves</b>	EQ	E-Q21	Support
<b>Air National Guard</b>	DERP	E-R22	Support
	EQ	E-Q22	Support
<b>Army</b>	BRAC	E-B1	Support
	CC	E-Q1	Support
	DERP	E-R1	Support
	DNPPP	DNPPP	Support
	EQ	E-Q1	Support
	Other Army ENV PGMs	E-OAR	Support
	EQ – CESU	EQC10	DoD Programs
<b>Army National Guard</b>	CC	E-Q12	Support
	DERP	E-R12	Support
	EQ	E-Q12	Support
	CESU	EQC12	DoD Programs
<b>Army Reserves</b>	CC	E-Q11	Support

<b>NLS</b>	<b>ENV PGM</b>	<b>CIC</b>	<b>ENV Branch</b>
	EQ	E-Q11	Support
	EQ – CESU	EQC11	DoD Programs
<b>Office of the Secretary of Defense</b>	DSMOA	SCAF	DoD PGMs
	FUDS	n/a	DoD PGMs
	NALEMP	NALEM	DoD PGMs
	REEO	E-Q1	DoD PGMs
<b>Department of Defense</b>	Navy/MC – BRAC	E-B4	Support
	Navy/MC – DERP	E-R4	Support
	Navy/MC – EQ	E-Q4	Support
	Navy – EQ – CESU	EQC40	DoD Programs
	MC – EQ – CESU	EQC41	DoD Programs
	Other DoD – BRAC	E-B3	Support
	Other DoD – DERP	E-R3	Support
	Other DoD – EQ	E-Q3	Support
	Other DoD – EQ – CESU	EQC30	DoD Programs
	Other DoD – ICO ENV	E-OCE	Support
	Other DoD – ICO M2S2	E-OCM	Support
<b>USACE</b>	EnvST	n/a	Support
	FUSRAP	EFSRP	Support
	Sustainability	n/a	Integration
<b>U.S. Environmental Protection Agency</b>	Superfund	99EPA	Support
<b>Interagency and International Services – ENV</b>	IIS-E	ESFO	Support

#### **46–7. Policy References (See Appendix A)**

- a. ER 37–5–3, EPA/USACE Superfund Program – Financial Closeout of Interagency Agreements.
- b. ER 1110–2–500, Superfund Program Management and Support.
- c. ER 1140–1–211, Support for Others Reimbursable Services.
- d. Environmental Division Military Programs, HQUSACE.
- e. Environmental Quality and Cleanup Community of Practice SharePoint.
- f. USACE Command Guidance.

## 46–8. Distribution

- a. Program Manager.
- b. Project Manager.
- c. Project Delivery Team.
- d. Project Initiator.

## Chapter 47

### Reference Documents: Work Management – Financial Management Interface (REF8014G)

#### 47–1. Scope

This document describes how project information generated in PROMIS will interface with the Corps of Engineers Financial Management System (CEFMS II). The interface will create the Project Work Item (WI), task WIs and budget lines in CEFMS II corresponding to the WBS, activities, and resource estimates developed in PROMIS. Once WIs and budget lines are created through the interface, the appropriate CEFMS II responsible employee/alternate responsible employees will enter CEFMS II to create Purchase Requests and Commitments (PR&Cs). Actual costs in CEFMS II will be returned to PROMIS through the interface to the corresponding resource assignment.

#### 47–2. PROMIS – CEFMS II Interface

[Project Planning: Project Management Plan/Program Management](#) Plan Development (PROC2000) and related procedures define how the PMP will be developed and ultimately approved for execution. [Figure 47–1](#) through [Figure 47–4](#) display a typical WBS structure for a sample project developed in Primavera with resourcing and interfaced with CEFMS II for the creation of WIs and PR&Cs. The shaded blocks below each activity identify resource estimates for work performed in the home District. In a virtual Project Delivery Team (PDT) environment, the blocks shown in blue identify resource estimates for work performed by another USACE District. The performing District is responsible for developing the resource estimates for these activities.

- a. From the Project Management perspective, specific data elements that will be interfaced to CEFMS II as elements of the work item or PR&C are project work items and task work items (see [Table 47–1](#) and [Table 47–2](#)).

**Table 47–1**  
**Project Work Item**

Project Management	Financial Management
Project Number	Work Item with Work Item type = “P”
Project Name	Work Item Name
Organization	Owning Organization
Key Member (Project Manager) with role assigned as Financial POC/CEFMS II Responsible Employee.	Responsible employee. Supporting information will be populated utilizing the Emp ID as the key. (E#####)

**Table 47–2**  
**Task Work Item**

<b>Project Management</b>	<b>Financial Management</b>
Work Category Code	Work Category Code (WCC)
Activity Name	Work Item Name
Organization	Requesting Organization
Key Member (Project Manager) with role assigned as Financial POC/CEFMS II Responsible Employee.	Responsible employee. Supporting information will be populated utilizing the Employee ID as the key. (E#####)

b. Any project that includes assets should be coordinated with Resource Management prior to finalizing the WBS to ensure proper WI hierarchies to track individual assets.

c. [Figure 47–1](#) and [Figure 47–2](#) illustrate the interface between PROMIS and CEFMS II, and the alignment between WBS elements and corresponding resource estimates, with the creation of WIs.

(1) *Labor PR&Cs*: The user will create a separate PR&C for each specified activity/organization within the USACE District. Cost will be tracked at line-item level.

(2) *Cross Charge Labor PR&Cs*: The user will create a separate cross charge PR&C for each specified activity/organization within another USACE District. Costs will be tracked at line-item level. *Note*: If the funds are Direct, except Revolving Fund, or are Plant Replacement and Improvement Program (PRIP) funds (Fund Type Codes “D,” except appropriation 096 4902, and “P” respectively in CEFMS II) then funds may be repositioned in lieu of cross charge PR&C.

(3) *Contract PR&Cs*: Each contract resource estimate will create a corresponding PR&C or line item. A separate resource must be established in PROMIS to generate a separate contractual PR&C in CEFMS II. The PR&C “requesting organization” must be designated for each contract resource in PROMIS to create a contract PR&C.

(4) *Government Order PR&Cs*: A government order PR&C will be created for each separate agency (ex. Fish and Wildlife, U.S. Geological Survey). If the work is not for labor and is to be performed by another USACE District, and the funds, as initially received by USACE are reimbursable (Fund Type Codes “A” or “F” in CEFMS II), resource estimates will be recorded within the “master” project with the organization code of the performing activity. A government order PR&C will be created in the ordering District’s CEFMS II database. Once the government order is completed, approved, and certified in CEFMS II, the government order will be transmitted electronically to the performing activity for acceptance.

(5) *Reposition Funding*: If the work is to be performed by another USACE District, and the funds are Direct, except Revolving Fund, or are PRIP funds (Fund Type Codes “D,” except appropriation 096 4902, and “P” respectively in CEFMS II), resource estimates will be recorded within the “master” project with the EROC code of the performing activity. A reposition of funding will be created in the ordering (requesting) District’s CEFMS II database. Once the reposition of funding is completed and approved in CEFMS II, the funds are electronically moved from the requesting District’s CEFMS II database to the performing District’s CEFMS II database and are available for use.

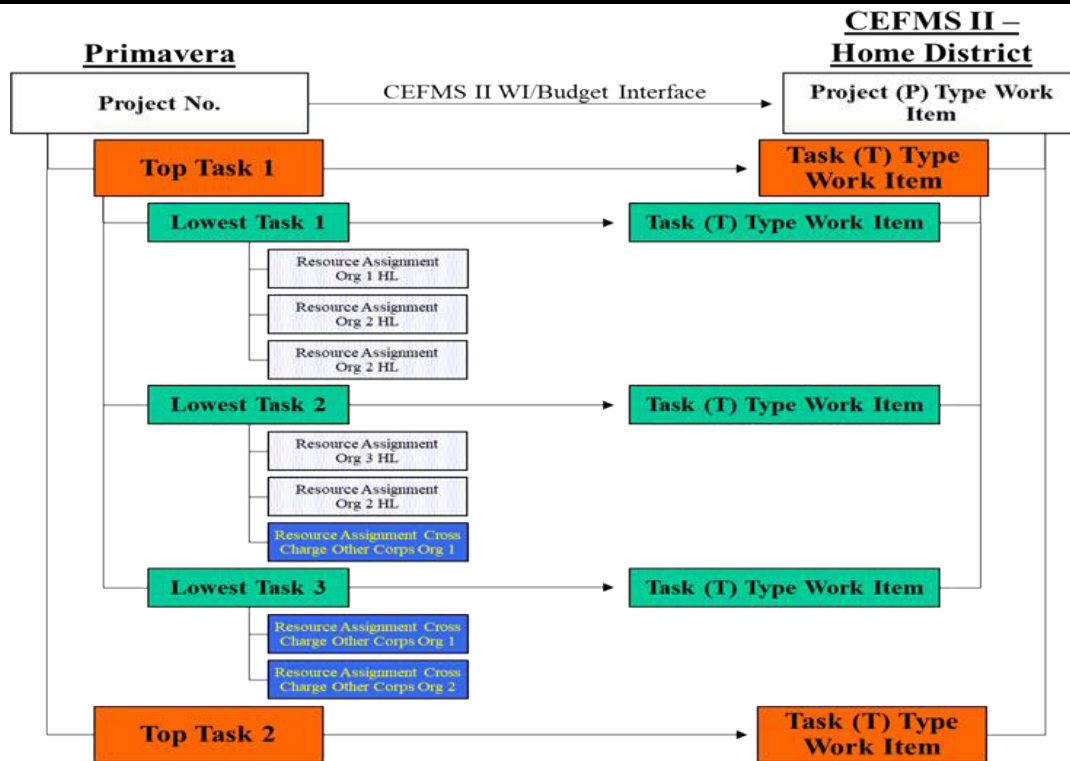


Figure 47–1. Work Items Created for Home Districts

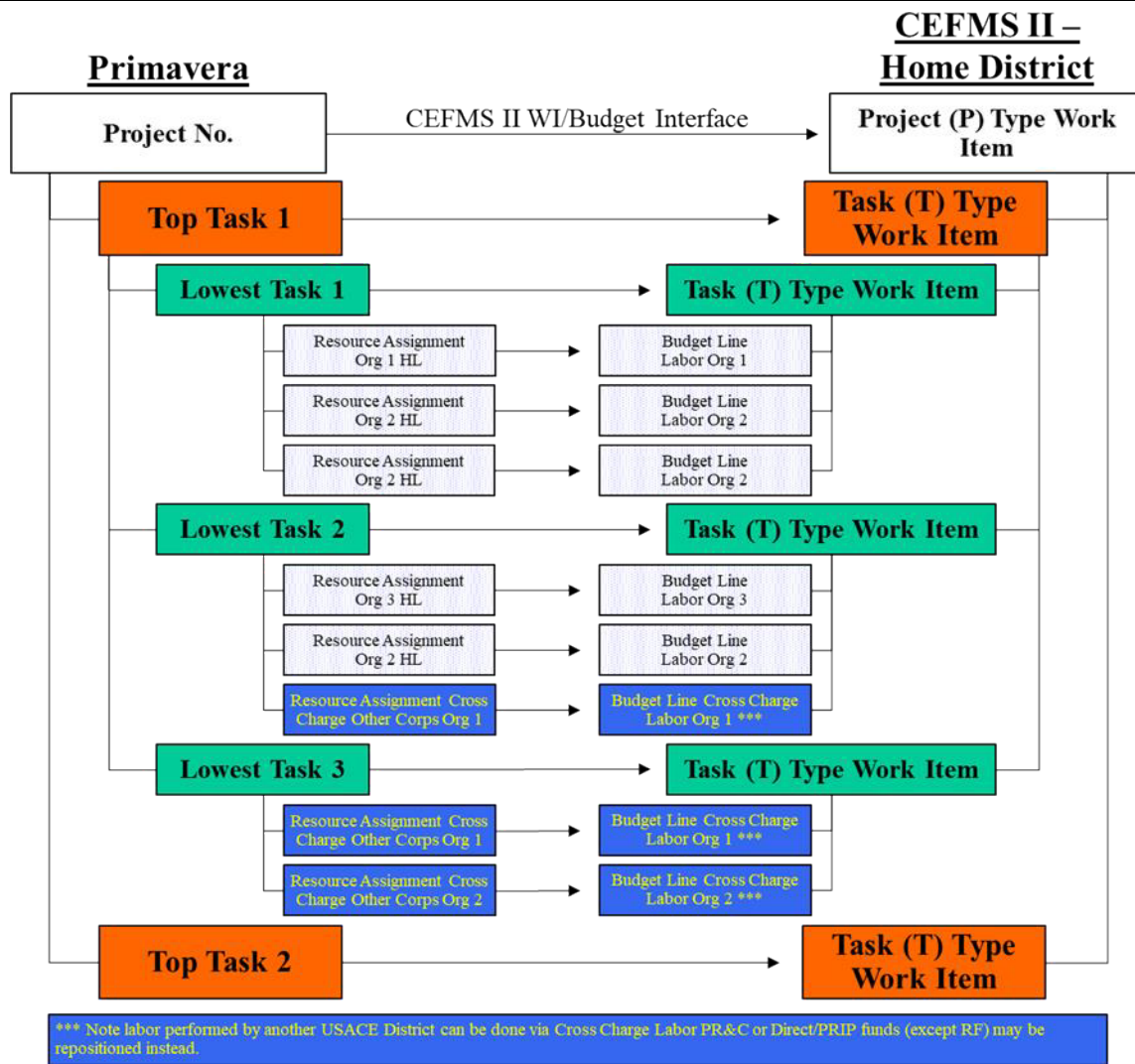


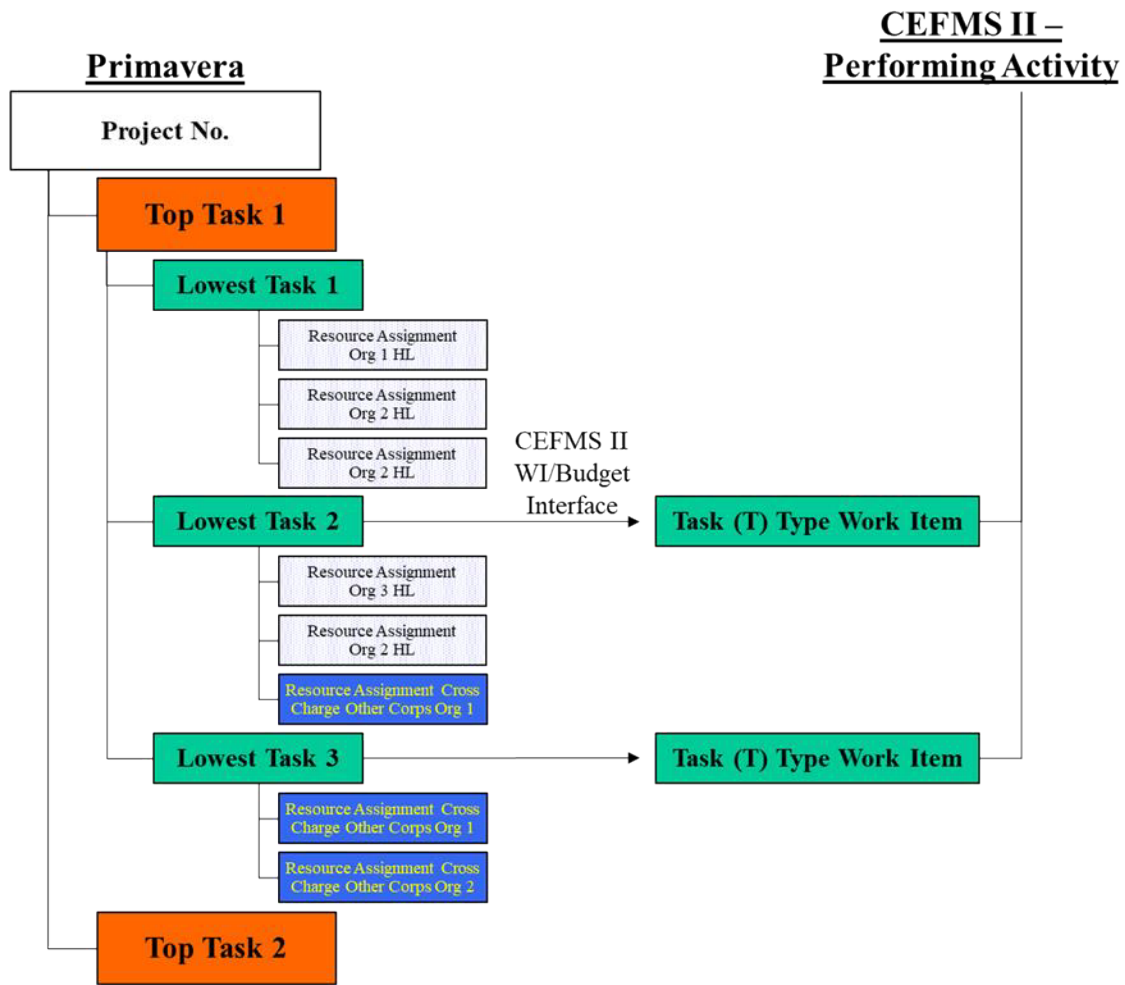
Figure 47–2. Work Performed within “Home” Districts

d. *Work performed by Other USACE District.*

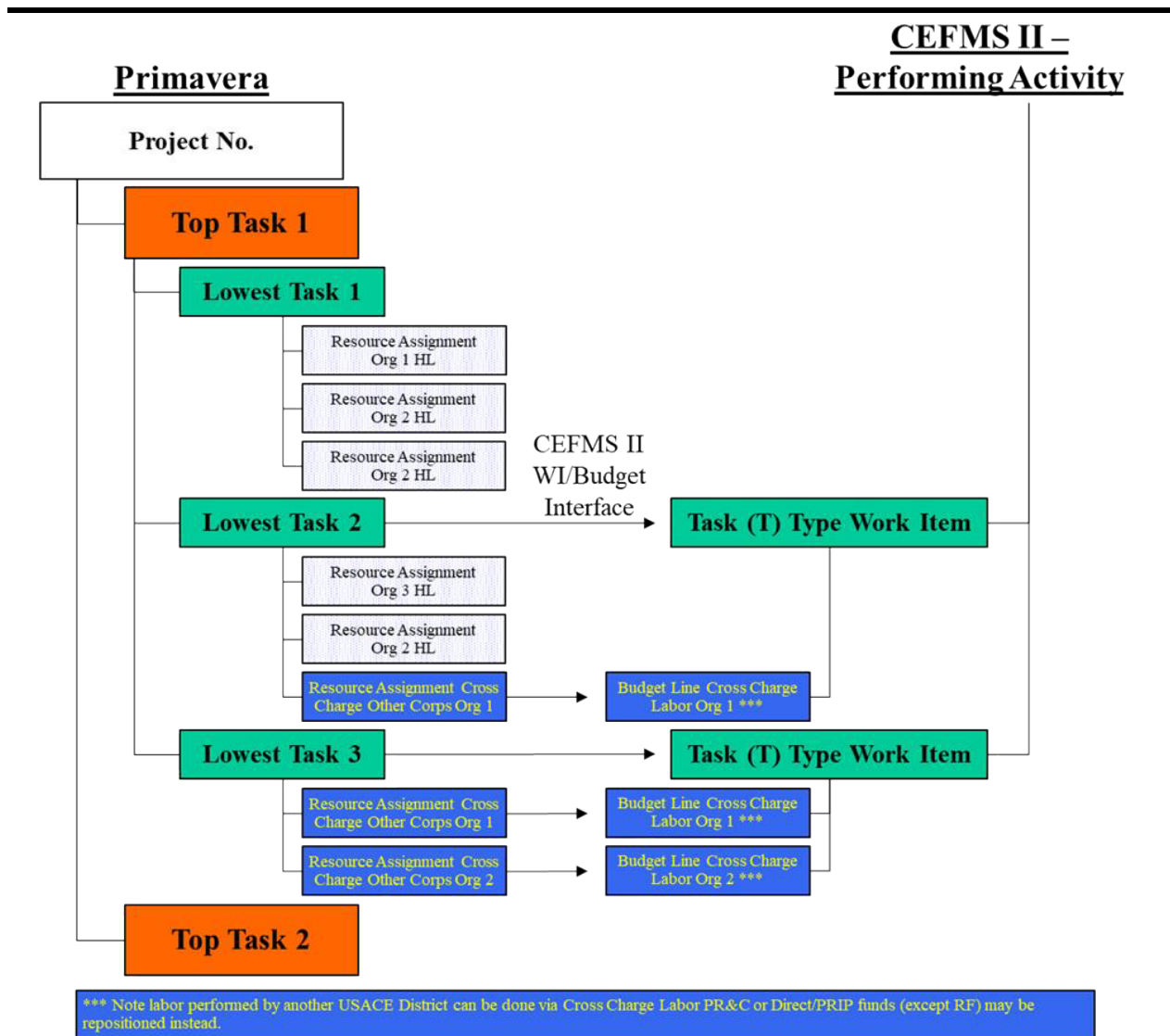
(1) [Figure 47–3](#) and [Figure 47–4](#) illustrate the interface between PROMIS and CEFMS II for work performed by another USACE District, the alignment between WBS elements and resource estimates created in PROMIS database, and the creation of WIs directly in the performing District’s CEFMS II database. The Project WI will reflect the same Project WI as established in the ordering District’s CEFMS II database. PR&Cs will be created per the resource estimate pushed from PROMIS.

(2) Execution data will be retrieved from both the performing and the ordering activity.





**Figure 47–3. Work Items Created for Performing Activity**



**Figure 47–4. Work Performed within the Performing Activity**

### 47–3. Distribution

- a. Project Delivery Team.
- b. Project Manager.
- c. CEFMS II Project Work Item Responsible Employee.
- d. CEFMS II Project Work Item Alternate Responsible Employee.

## Chapter 48

### Reference Documents: Safety and Occupational Health Plan (REF8016G)

#### 48–1. Scope

- a. This reference document specifies the safety and health hazard management procedures applicable to all projects throughout the life cycle (see Figure 48–1).



US Army Corps  
of Engineers

## The 8016G Model

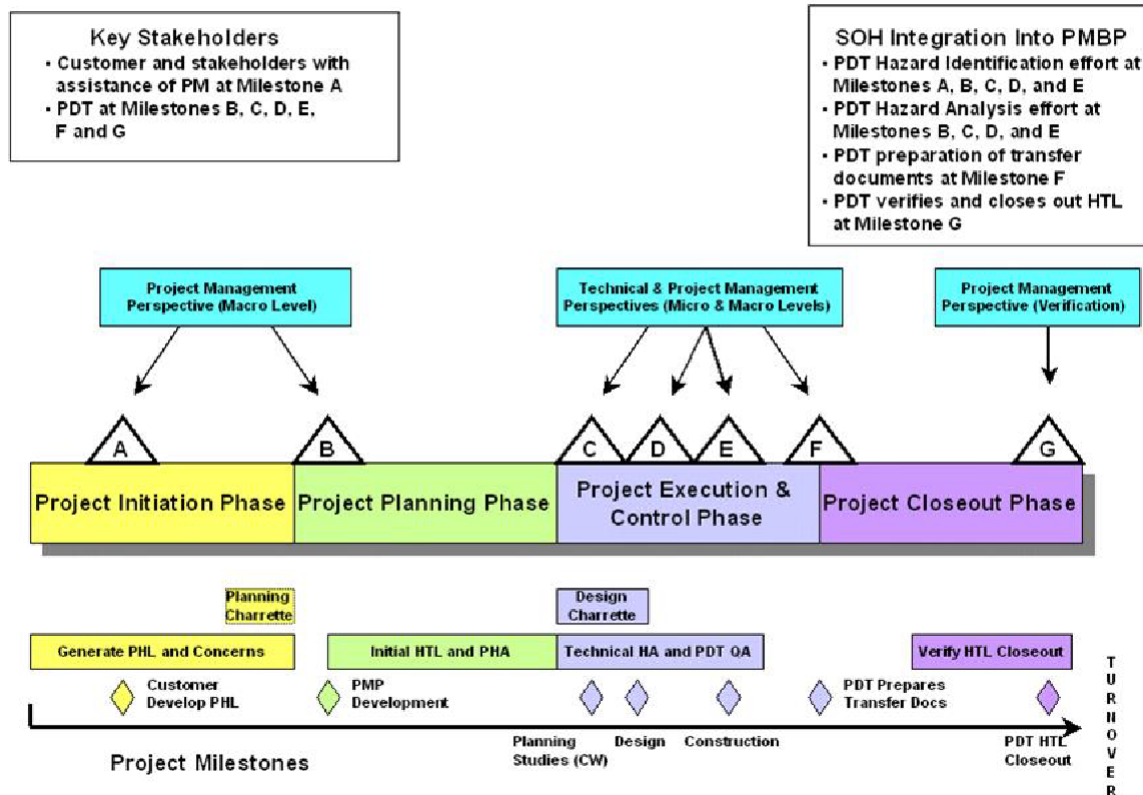


Figure 48–1. Flow Diagram Showing SRM and Hazard Management Through Project Life Cycle

(1) The Safety and Occupational Health Plan (SOHP) is a supporting plan that facilitates the implementation of the PMP, along with [Reference Documents: Risk Management Plan \(REF8007G\)](#), [Reference Documents: Quality Management Plan \(REF8008G\)](#), [Reference Documents: Communications Plan \(REF8006G\)](#), [Reference Documents: Change Management Plan \(REF8009G\)](#), [Reference Documents: Value Management Plan \(REF8023G\)](#), Department of the Army Pamphlet (DA PAM) 385–16, DA PAM 385–30, and EM 385–1–1.

(2) USACE has transitioned to a performance-based safety management system known as CE-SOHMS (Corps of Engineers Safety and Occupational Health Management System). CE-SOHMS enhances the agency's safety culture based on employee involvement at every level of the organization, while also providing for continued process improvement.

(3) The applicable SOHP will be initiated and or reviewed in the Project Delivery Business Process (PDBP) Project Planning phase and reviewed throughout the life cycle of the project. Plans are developed concurrently in the iterative Project Planning Phase.

b. The SOHP will address how safety and health measures will be integrated into the process to assure a safe product is provided (building; airfield; water control structure; hazardous, toxic, and radioactive waste (HTRW) clean-up project, etc.). It will include specifying by project phase (planning, execution and control, and closeout) the following: safety and health responsibilities, safety and health standards, requirements and criteria, and hazard analysis requirements (Safety Risk Management (SRM)), how safety and health will be accomplished, independent SOH technical reviews (at concept design and Biddability, Constructability, Operability, Environmental, and Sustainability (BCOES) reviews), and any safety and health testing/assessment requirements.

c. The SOHP will consider the hazards associated with all stakeholders throughout the life cycle of the project. Control measures provide the appropriate level of protection based on the project goals and the established level of risk acceptance authority, refer to DA PAM 385–30. Deviations from USACE publications require waiver approval from the applicable HQUSACE proponent and will hinge on the determination of the basis for the deviation and the resulting inherent risk. Refer to [Appendix B](#) for SOHP Program Management Plans.

#### **48–2. Responsibilities**

a. The Project Manager is responsible for:

(1) Including the organizations SOHP on the Project Delivery Team (PDT) and to assure that the applicable SOHP concerns are addressed in a project specific or overall organization plan.

(2) Ensuring that a qualified Safety Professional is assigned to work with the PDT from the onset of the project.

(3) Assuring an SOHP Program specific or project specific plan is developed or updated for the subject program or project.

(4) Coordinating with the stakeholder to identify and manage safety and health-related hazards inherent to the project.

(5) Assuring hazard controls as addressed in the reference document are implemented.

(6) Coordinating with the local SOHP and notifying the Commander of all high-risk issues.

(7) Coordinating with the SOHP for necessary SOH training of the PDT.

(8) Coordinating with the SOPH to assign initial and residual Risk Assessment Codes (RAC).

(9) Ensuring that a complete SOHP is provided to the stakeholder when the project is completed or turned over to the stakeholder for operation.

(10) Ensuring that system safety and occupational health is addressed throughout the project life cycle by a qualified safety professional.

b. The PDT is responsible for:

(1) Developing the SOHP and identifying and defining potential risks and appropriate responses to risks for the project according to DA PAM 385–16, System Safety Management Guide.

(2) Attending safety and health training necessary to develop and implement a sufficient SOHP.

(3) Raising issues to the appropriate level for resolution when a hazard control cannot be lowered to an acceptable level (may compromise a project threshold).

c. The Safety and Occupational Health Office or Qualified Safety Professional is responsible for:

(1) Serves as either an advisor to the PDT or a member based on need of project to assure that applicable and or necessary SOHP are produced for the project, program/operational activities contingent upon the magnitude of the project. Program Manager will determine if the safety professional is an advisor or a member of the PDT

(2) Providing necessary training to the PDT on the SOHP development methodology.

(3) Serving as an advisor to the PDT.

(4) Participating in Project Review Board (PRB) and Line Item Reviews.

(5) Providing safety and health leadership to the PDT throughout the project life cycle.

(6) Providing SOH program oversight by monitoring, assessment, and evaluation.

(7) According to DA PAM 385–30, Risk Management, assuring that the SOHP is approved by the appropriate level. Approval may be required by the District or MSC, dependent upon the level of risk acceptance for the project.

#### **48–3. Safety and Occupational Health Management Plan Methodology**

a. The SRM and hazard management processes will be used per AR 385–10 and DA PAM 385–30.

b. A hazard analysis will be performed for all USACE-managed projects and programs. The level of detail of the risk analysis and SOHP is based on the magnitude of potential hazards and complexity of the project. When a project is determined to be other than low-risk, as defined in the DA PAM 385–30, the risk must be identified, and associated control procedures defined in the PMP and associated SOHP. Only the responsible District or Division Commander may provide final SOHP approval based on the residual risk according to DA PAM 385–30.

(1) *Project Planning Phase.*

(a) Local SOHP will train or advise the PDT on the SOHP development methodology (SRM process, the hazard management process, and the tools to help guide the PDT through the process. (Refer to [Appendix B](#) for examples of High Hazard Programs/Projects/Activities).

(b) The PDT at this early stage of the project will look at the overall project with emphasis on operations, facilities, structures, and specific hazards that are identified as high or extremely high hazard (refer to [Appendix B](#) for examples/Preliminary Hazard List (PHL) Sample Format) and may consider managing the hazard through an intervention strategy that goes beyond the typical project methodology. This could be accomplished by using a prescribed sub-process (ER 385–1–92 for Environmental projects, Corps of Engineers Guide Specifications (CEGS), etc.), safety design analysis, formal systems safety effort (DA PAM 385–16), Federal Acquisition Regulation (FAR) clause to the specifications, special clause to the specifications, review by a SME, specific construction scheduling or sequencing, or other intervention strategies.

(c) The PM or designated representative will coordinate with the stakeholder and generate a list of potential hazards. For example, the stakeholder for a project on an Army installation may include the facility user, facility engineer, fire department, environmental department, safety department, etc. An example of how to format the input data is shown in [Appendix C, Residual Risk Acceptance Sample Format](#).

(d) The PDT will review the available preliminary hazard information in order to develop the SOHP (sources of which can include project background information, Customer PHL [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#), SMEs, historical records, Project Execution, Monitor and Control: After Action Review and Lessons Learned (PROC3020) (Design/Construction/User/Industry), Program/Project Schedule or Sequencing and cost implications [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#), [Project Planning: Resource Estimate Development \(PROC2040\)](#), Standards and Regulations).

(e) Perform a Preliminary Hazard Analysis (PHA) according to DA PAM 385–16.

(f) The PDT will document the identified hazards and the results of the PHA in a Hazard Tracking List (HLT), which can be displayed as shown in [Table 48–1](#); refer to [Reference Documents: Risk Management Plan \(REF8007G\)](#).

**Table 48–1**  
**Example Hazard Tracking List**

Risk	Hazard	Cause	WBS Item Affected	Impact on Project Objectives	Risk Manager	Agreed Response to Risk	Expected Result of Response
H	Harm from chemicals	Exposure to chemicals	Investigative, Construction	Cost, schedule slippage	Technical Lead, Designer, Construction Mgr, Constructor	Add HTRW CEGS to Design Specification	L

(g) The PDT will document the risk decision-making process as shown in Appendix C as part of the PMP development process, refer to [Project Planning: Project Management Plan/Program Management Plan Development \(PROC2000\)](#). The results of the PHA will be incorporated in the [Reference Documents: Risk Management Plan \(REF8007G\)](#) to reflect the safety and health risk of the project.

(2) *Project Execution and Control Phase.*

(a) Technical Lead, Construction Manager, Study Manager, qualified Safety Professional, and Contractor will review the HLT and perform a hazard analysis (design/activity/operational hazard plans) based on up-to-date hazard information (sources of which can include Design Safety Criteria, Standards and Regulations, Industry Safety Standards, USACE Library of CADD Designs, Guide Specifications for Construction, SME, EM 385–1–1, Safety and Health Requirements Manual, Construction Safety Standards and Regulations, Construction QA/QC Process (incorporated into Resident Management System (RMS)), Contractor Accident Prevention Plan and Activity Hazard Analysis, Project Change Request Form, and AAR/Lessons Learned Database), refer to [Reference Documents: Quality Management Plan \(REF8008G\)](#).



(b) The PM or delegated individual, in consultation with the assigned USACE Safety Professional, will make additions and changes to the HTL as necessary and forward to the PDT to update the SOHP.

(c) The local SOHP will make QA assistance visits to verify the effectiveness of this SOHP.

(d) The PM or delegated individual will submit Lessons Learned into the design and construction Lessons Learned systems [Project Execution, Monitor and Control: After Action Review and Lessons Learned \(PROC3020\)](#).

(3) *Project Closeout Phase.*

(a) The PDT will assure the transfer of hazard information to the user per [Closeout: Phase, Project, and Program Closeout \(PROC4000\)](#) through use of documentation (Owner's Manual, Maintenance Manual, Standard Operating Procedures, As-built Drawings, Warning Signs or Labels, Training).

(b) The PDT will finalize and close out the HTL.

(c) The PDT will assure all SOH AAR/Lessons Learned are submitted to the AAR/Lessons Learned system, refer to [Project Execution, Monitor and Control: After Action Review and Lessons Learned \(PROC3020\)](#).

#### **48-4. Policy References (See Appendix A)**

- a. AR 385-10, The Army Safety Program.
- b. DA PAM 385-16, System Safety Management Guide.
- c. DA PAM 385-30, Risk Management.
- d. EM 385-1-1, U.S. Army Corps of Engineers Safety and Health Requirements Manual.
- e. ER 5-1-11, USACE Business Process.

#### **48-5. Distribution**

- a. Project Manager.
- b. Program Manager.
- c. Project Delivery Team.
- d. Safety and Occupational Health Office.
- e. District Commander.
- f. MSC Commander.



## **Chapter 49**

### **Reference Documents: Interagency and International Services Program-Specific Information (REF8017G)**

#### **49–1. Scope**

a. This reference document provides guidance to USACE Program Managers (PgMs) for the use of WBSs, milestones, activity templates, and comments for use on Interagency and International Services (IIS) projects conducted under ER 1140–1–211. This document is not applicable to projects funded by U.S. Military DoD or USACE CW appropriations. It provides the framework for IIS PgMs to define their specific program's WBS for performance of inherently governmental functions, such as Project Management, Engineering, Environmental Programs, Construction Management, Real Estate Support, R&D, and other related services.

b. USACE performs these IIS projects for U.S. Federal agencies outside of the DoD and organizations including state, local, territorial, tribal, and foreign governments; international organizations; and U.S. firms. Some examples of IIS Stakeholders include Foreign Military Sales Clients, the Dept. of Veterans Affairs, Dept. of Health and Human Services, Dept. of Interior's National Park Service, Bureau of Indian Affairs, Dept. of Homeland Security's U.S. Customs and Border Protection, Department of Energy, National Aeronautics Space Administration, etc.

c. USACE provides unique technical capabilities for U.S. firms overseas. Additionally, under its delegated authorities, USACE may work on and cooperate with the U.S. private sector to conduct R&D in sync with USACE core competencies and mission-related technical capabilities under the Army Science and Technology, Military and CW Programs (including environmental capabilities).

#### **49–2. Interagency and International Services Program and Budget Process**

IIS Projects are identified, programmed, and budgeted through requests from IIS project proponents who seek assistance and enter into agreements and provide reimbursable funds to USACE to execute projects on their behalf. Generally, USACE does not get involved in the programming and budget process for the project proponent unless they specifically task for USACE/IIS support.

#### **49–3. Work Breakdown Structure**

a. In PROMIS, project templates, which include the WBS, are located in the methodologies folders at each level (HQUSACE, MSC, District) of the Enterprise Project Structure (EPS) hierarchy of projects in the database. HQUSACE Military Execution templates include:

- (1) HQ-CW Civil Works templates.
- (2) HQ-ML Military templates.
- (3) HQ-EN Environmental templates.
- (4) HQ-RD R&D templates.

b. Permission to view the folders and templates is assigned through the PROMIS Helpdesk.

c. A program WBS is established to provide the framework for program and technical planning, cost estimating, resource allocation, performance measurement, and status reporting. IIS projects will follow the WBS established for the project type. Environmental projects will follow the Environmental WBS water resource projects will follow the Cs WBS. Vertical construction (military facilities) will follow the Military Program's WBS. Non-Construction Technical Services will follow the Military Programs Hired Labor Study WBS Templates at the HQ level HQ-ML EPS in PROMIS. IIS R&D projects will follow the instructions for templates identified in authorizing law and implementing regulations.

#### **49–4. Milestones**

Recommended and required milestones for IIS projects will follow the format established for each type of project.

a. Environmental projects will follow the Environmental milestones format, water resources projects will follow the CW milestones format, Vertical Construction projects will follow the Military Program milestones format, and the Technical Services projects will follow the Non-Construction Related Services format. The milestones will be identified in Primavera and displayed as zero duration events marking the start or completion of a significant product or service. As a best practice, additional milestones may be identified for the benefit of the Project Delivery Team (PDT) and District-level management. Required or upward-reportable milestones must be utilized to satisfy corporate data needs at the MSC and HQUSACE levels.

b. To the maximum extent possible, common milestones that occur across USACE CW, Military, Environmental and Technical Services, and Army Science and Technology programs, such as "Contract Award" will have common standard definitions and coding to facilitate communications and reporting.

c. Program specific guidance for milestone requirements is published annually in the following documents:

(1) Annual Civil Works Program and Budget Execution EC 11–2–x, Appendix A for each fiscal year: <https://usace.dps.mil/sites/INTRA-HQ/SitePages/Civil-Works.aspx>.

(2) Military Programs (MP) Data Requirements and Minimum Data Elements (P2/RMS), currently Director's Policy Memorandum MP 2020–05.

(3) MP Execution, Policy and Guidance updated annually and posted to <https://team.usace.army.mil/sites/HQ-MP/MOI/default.aspx>.

#### **49–5. Project Templates**

In PROMIS, Project Templates are located in the methodologies folders at each level of the EPS structure (HQ, MSC, District). They will be based on common WBSs in Primavera for the specific type (Environmental, Water Resources, Military and Technical Services) of work to be accomplished under each project necessary to meet program and project needs.

a. Each WBS will include some underlying activities, all milestones and schedule logic. Activities included in the templates can be modified, deleted, or ignored based on the requirements of the project or PDT preference. However, program managers should use caution when deleting activities associated with required milestones to ensure that all mandatory milestones are represented. The user can add activities and logic, but in doing so, must make sure that all mandatory milestones are included at the appropriate location to capture required data and that all added activities are properly aligned with the WBS.

b. To ensure uniformity of coding and reporting on project purposes, Work Category Codes (WCC) and feature/sub-features templates will contain embedded WCC coding at the WBS level. Feature/sub-feature information will be entered as Activity Code data in Primavera.

c. Activity Templates to be applied to IIS projects will be the same templates as used on Environmental, CW, Military and Technical Services (non-construction) projects.

#### **49–6. Comment Fields**

Comment field definitions are under development to capture and display supplemental text information for display on reports, Fact Sheets, etc.

a. In Primavera, notebook fields for capturing comment (text) information can be assigned at the project, WBS, or activity level (or at multiple levels). Notebook fields at the project level will include but not be limited to:

(1) *Synopsis* – A short project description (paragraph or less) used in reports, Fact Sheets, etc.

(2) *Detailed Project Scope* – Complete details of the scope of the project as defined in the PMP or as provided by the project proponent. This field will be updated to reflect the current agreement with the project proponent on the scope of the project as the PMP is updated or revised.

(3) *Status* – Brief status of the project for use in reports. (This field is NOT to be used to discuss project issues.)

(4) *Issues for HQUSACE/Project proponent* – Issues that are included in upward reporting and reports to the project proponent.

(5) *Issues for Internal Use Only* – Issues that are for use within a District/Center prior to their release to HQUSACE or the project proponent such as issues to be addressed by the Project Review Board (PRB). These issues may be resolved without release to HQUSACE or the project proponent. Activity-level notebook fields will also be used to capture additional, product-specific scope-of-work information to supplement or support activity development and resourcing.

b. For more information on entering comments in PROMIS, see the PROMIS Users' Guide. Search on WPs & Docs (for work plans and documents).

#### **49–7. Contingency Funds Management**

Contingency funds are program or project funds that have been set aside or reserved to cover program or project uncertainties. Ideally, the greater the uncertainty of a program or project, the greater the percentage of available funds set aside as program or project contingency funding.

a. Many project proponents and agency programs have established/negotiated unique definitions of contingency funds based on a set percentage of total programmed funds. Some project proponents have established USACE-wide criteria for the use of contingency funds, requiring coordination and approval outside of the responsible USACE MSC or PDT membership.

b. PgMs are responsible for coordination and approval of such actions outside of the MSC or PDT membership. PgMs must certify that USACE-approved, project proponent contingency funding criteria have been met before authorizing use of such funds.

c. Budgets for studies, designs and construction will be developed by the PDT and include a contingency amount commensurate with the level of uncertainty associated with the study or design. There is not a separate line item for contingency in a design or study, but the level of effort used in the development of the project budget will include a contingency amount of effort to deal with the level of uncertainty in the design/study effort on a particular project.

d. Estimated construction costs will include a contingency amount based on the level of design detail and uncertainty (a 15 percent design estimate would have a higher contingency in the estimate than a 95 percent design estimate). This is not to say that the contingency line item in the construction estimate will be adjusted, just that the components of the estimate will include a contingency amount based on the uncertainty of the particular component. A current working estimate (CWE) will be prepared at each design submission and include a contingency amount as agreed to with the project proponent (provider of the funds) (non-DoD Federal agency, State, local, Tribal, Territorial, Foreign or other project proponent). Supervision and Administration (S&A) costs will be calculated based on the estimated required amount plus required contingency and be included in the CWE.

e. Mandatory changes will be funded from the contingency amount when adequate contingency is available. Costs above the available contingency must be addressed by securing additional, appropriate project proponent funds or reductions in construction scope. User changes must be approved by the appropriate authority and are funded using contingency funds or additional project proponent funds. Contingency funds must not be distributed to a specific program or project activity by anyone other than the responsible PgM or their designated representative. Distribution can be made to a specific activity only after established project-specific requirements have been met, certified, and approved by the PgM or designated representative.

f. The PgM may delegate approval and certification of contingency funds to a designated representative (usually the PM). However, the PgMs:

- (1) Must make such delegations by name.
- (2) May designate no more than one representative per project.
- (3) May change representatives at any time during the life of a project.
- (4) The PgM's appointment cannot be further delegated.

g. Approval authority and thresholds for using contingency to execute both mandatory and user changes must be followed per the approved Change Management Plan, refer to [Reference Documents: Change Management Plan \(REF8009G\)](#).

h. The IIS PgM is responsible for the disposition of remaining contingency funds in a timely manner.

#### **49–8. Distribution**

- a. Project Manager.
- b. Program Manager.
- c. Project Delivery Team.

### **Chapter 50**

#### **Reference Documents: Earned Value Management (REF8018G)**

##### **50–1. Scope**

This reference document provides information regarding Earned Value Management (EVM) to encourage and assist in its application, if required. The Earned Value Management System (EVMS) is widely recognized in both the public and private sector as a key tool for integrating cost, schedule and technical or physical performance for more effective project control and evaluation. This document will provide a simple example of the usefulness of Earned Value, a discussion of techniques recommended for assigning the Earned Value to tasks or work packages and provide some key terminology definitions/formulas related to EVM. For those desiring a more in-depth understanding of the methodology, several references are provided below.

##### **50–2. Introduction to Earned Value Management – Why Use It?**

EVM is part of the regular, industry-based suite of project tracking best practices. This value-added approach takes an existing Integrated and Resource Loaded Master Schedule and plans how the expenditure of dollars over time executes scope. It provides the Project Delivery Team (PDT) and Project Manager greater visibility on tracking what they budgeted in the time they expected it to take.

- a. EVM utilizes the plan a PDT creates to achieve the scope of their project. The project plan, as set up in the scheduling software, gives a PDT criterion to identify issues before the project becomes over budget/behind schedule.
- b. EVM allows PDTs and PMs to forecast project delivery health and identify areas where corrective actions or change management may be required with more fidelity.
- c. EVM forces a team to stay engaged in budget and schedule management as they go and helps reduce optimistic reports of progress without any checks and balances.
- d. EVM also helps project leads better communicate issues and identify the root cause of any cost or schedule changes with simple and clear graphical information.
- e. Controlling cost is important at any level of management within USACE. Whether USACE leadership is answering to the U.S. Congress, or project stakeholders, controlling cost and scope creep is something everyone is concerned about. EVM offers an additional set of tools to PDTs and PMs to meet USACE's original commitments.
- f. EVM goes beyond simply observing how much a project has spent. It is a system designed to evaluate the effort and performance of a PDT and forecast the impact on a project's scope, budget, and time parameters.

“Monitoring the expenditure of funds without regard to the value of work being accomplished for such expenditures has little value to the project other than to allow the project team to stay within the authorized funding. Thus, much of the effort of cost control involves analyzing the relationship between the consumption

of project funds to the physical work being accomplished for such expenditures. The key to effective cost control is the management of the approved cost performance baseline and the changes to that baseline.” (PMBOK® Guide).

g. The introduction of the following concepts will provide the basics of USACE EVM and help in visualizing some of the products. But like all aspects of project delivery, the implementation of EVM processes can require a bit of experience and expertise from project controls and financial staff. The good news is that given the processes in-place, incorporating EVM into your project delivery battle-rhythm leverages the best practices for project planning and execution in conjunction with existing USACE program requirements. Ultimately, the greatest benefits of EVM are in providing PDTs productive delivery and management tools.

### **50–3. How to Meet the Foundations of Earned Value**

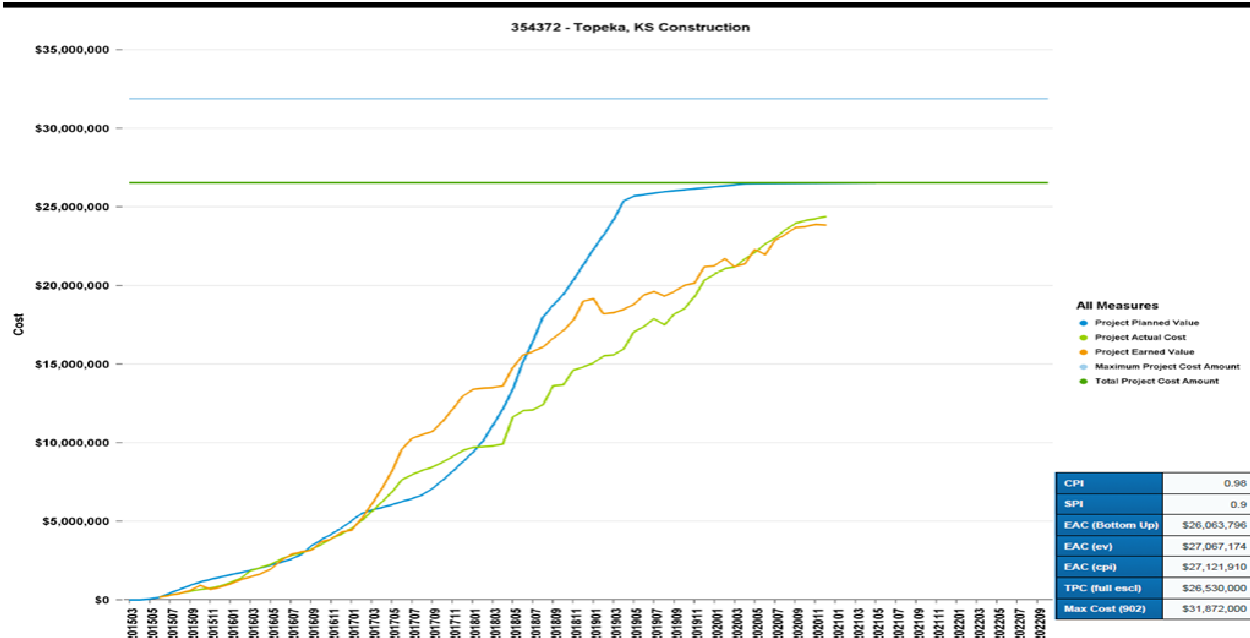
a. EVM requires a full understanding of the scheduling and resource management foundations in other Project Delivery Business Process (PDBP) documents:

- (1) [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#)
- (2) [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#)
- (3) [Project Planning: Resource Estimate Development \(PROC2040\)](#)
- (4) [Project Execution, Monitor and Control: Project Execution and Control \(PROC3000\)](#)
- (5) [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#)
- (6) [Reference Documents: Contingency Funds, Project Level \(REF8003G\)](#)
- (7) [Reference Documents: Civil Works Program-Specific Information \(REF8010G\)](#)
- (8) [Reference Documents: Military Program-Specific Information \(REF8011G\)](#)
- (9) [Reference Documents: Environmental Program-Specific Information \(REF8012G\)](#)
- (10) [Reference Documents: Interagency and International Services Program-Specific Information \(REF8017G\)](#)

b. It is expected one has a depth of knowledge and experience in these concepts for Earned Value to work properly.

### **50–4. USACE EVM Project Example**

a. The following graph in [Figure 50–1](#) and the tabular data in [Figure 50–2](#) are from an actual project, Topeka, KS Construction, managed by EVM since July 2015. The project has never been rebaselined and therefore shows the original Planned Value/Performance Measurement Baseline (PMB) with the actual expenditures and what was calculated as Earned Value each month. The data for the two figures was taken at the end of December 2020. These views are invaluable examples that EVM works in the USACE environment and the type of comparative analysis EVM provides from planning throughout the execution of a real project over time.



**Figure 50-1. Sample Project Expenditure Graph**



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# **KANSAS CITY DISTRICT - Project Earned Value Management Report**

**354372 - Topeka, KS Construction - MYERS, KENT N**

**Project EV Current As Of: 202012**

**Performance Measurement Baseline (PMB)**

P2 #	Project Name	BAC	PV	AC	EV	Perf % Comp	SPI	CPI	EAC (ev)	EAC (cpi)	EAC (Bottom Up)	EAC (comp)
354372	Topeka, KS Construction	\$26,530,000	\$26,511,326	\$24,385,144	\$23,847,909	89.9%	0.9	0.98	\$27,067,174	\$27,121,910	\$26,063,796	\$27,425,095
	Feature Code (Work Package)	BAC	PV	AC	EV	Perf % Comp	SPI	CPI	EAC (ev)	EAC (cpi)	EAC (Bottom Up)	EAC (comp)
	N Topeka Construction	\$6,710,000	\$6,710,000	\$4,190,132	\$6,710,000	100.0%	1	1.6	\$4,190,132	\$4,190,132	\$4,201,469	\$4,190,132
	N Topeka Design	\$1,400,966	\$1,400,966	\$1,156,735	\$1,400,966	100.0%	1	1.21	\$1,156,735	\$1,156,735	\$1,156,733	\$1,156,735
	Oakland Construction	\$1,551,000	\$1,551,000	\$926,246	\$1,551,000	100.0%	1	1.67	\$926,246	\$926,246	\$943,376	\$926,246
	Oakland Design	\$189,635	\$189,635	\$207,261	\$189,635	100.0%	1	0.91	\$207,261	\$207,261	\$207,261	\$207,261
	Programmatic	\$323,850	\$323,850	\$1,170,495	\$323,850	100.0%	1	0.28	\$1,170,495	\$1,170,495	\$1,172,974	\$1,170,495
	S Topeka Design	\$1,285,251	\$1,285,251	\$2,188,365	\$1,275,251	99.2%	0.99	0.58	\$2,198,365	\$2,205,007	\$2,188,339	\$2,205,781
	Contingency	\$4,136,503	\$4,117,829	\$0	\$4,047,160	97.8%	0.98	1	\$89,343	\$89,343	\$250,409	\$91,166
	S Topeka Construction	\$7,502,000	\$7,502,000	\$12,908,806	\$7,276,940	97.0%	0.97	0.56	\$13,133,866	\$13,310,899	\$12,887,838	\$13,323,128
	E&D	\$255,216	\$255,216	\$206,715	\$238,640	93.5%	0.94	1.15	\$223,291	\$221,129	\$240,975	\$222,049
	S&A	\$1,050,578	\$1,050,578	\$1,410,752	\$834,527	79.4%	0.79	0.59	\$1,626,803	\$1,776,940	\$1,559,968	\$1,874,281
	EDR	\$0	\$0	\$7,457	\$0	0.0%	0	0	\$7,457	\$7,457	\$7,457	\$7,457
	Land	\$1,381,000	\$1,381,000	\$0	\$0	0.0%	0	0	\$1,381,000	\$1,381,000	\$1,130,998	\$1,381,000
	Relocation	\$744,000	\$744,000	\$0	\$0	0.0%	0	0	\$744,000	\$744,000	\$0	\$744,000
		\$0	\$0	\$12,179	\$0	0.0%	0	0	\$12,179	\$12,179	\$105,000	\$12,179

**Figure 50-2: Sample Project Earned Value Management Report**



b. Starting in 2015, USACE established a National Earned Value Management Team which made significant investments in our automated information systems (AISs) to be able to leverage existing CEFMS II and PROMIS data. They established EVM procedures unique to USACE, had additional Activity codes added in PROMIS and created powerful tools in the Enterprise Data Warehouse (EDW) within reports for PDTs and PMs. [Figure 50–1](#) and [Figure 50–2](#) are from one of these reports.

c. One of the significant uses of EVM comparative analysis is to look at how a specific work package is performing. Many times, PDTs are wary of showing they did not achieve an original plan but the results of EVM data help tell the story of a project. In [Figure 50–3](#) one can see the Actual Cost of the South Topeka Levee Design was significantly over the baselined budget. There are valid reasons for this cost overrun: changing criteria and unknown site conditions. These reasons were articulated to District management and the graph of costs showed the impact.

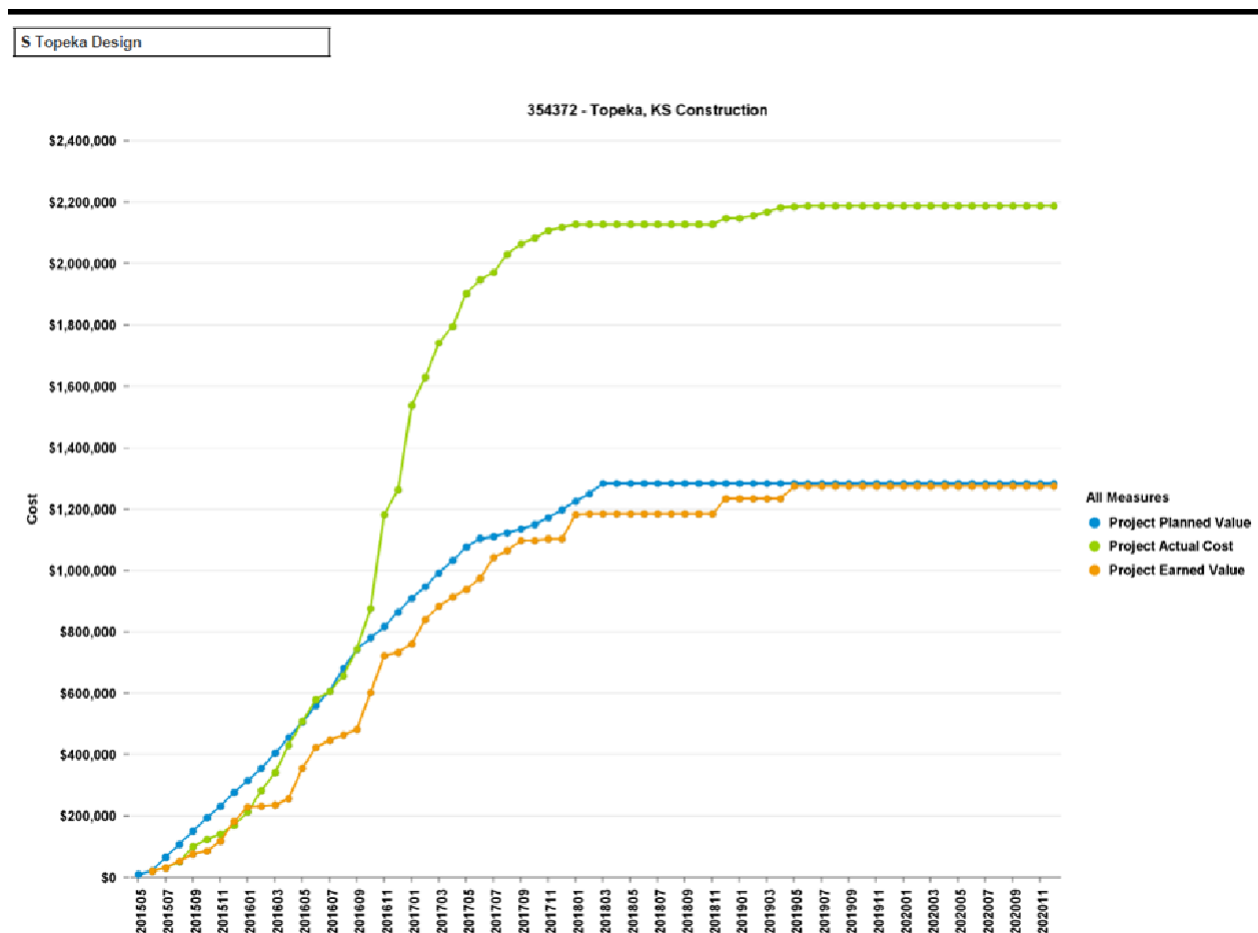


Figure 50–3. Actual Cost of Sample Project

### 50–5. Earned Value Management Relies on Four Key Data Points

- a. Planned Value: Represented by the PMB. The value refers to the reporting month.
- b. Earned Value: Represents what has been earned at an activity level of the project.
- c. Actual Cost: Is the actual cost incurred as stated by CEFMS II.
- d. Budget at Completion: Is the total of the Planned Value (PV) for an activity/project.

### 50–6. Source of the EVM Data

a. To use the EVM formulas a project schedule must be set up in a way to take advantage of its concepts (see [Figure 50–4](#)). The basis of two things are happening in tandem in this process: workflow and analysis. Some of what follows is based on creating a new PROMIS schedule. When dealing with an existing project schedule much of this has already been set up; therefore, one may want to fine tune the existing schedule but focus more on the Feature Code or EVM V-Code value for combining resourced activities in the EDW EVM reports.

b. *Workflow.*

(1) To start, one must focus on the workflow, refer to [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#), needed to accomplish the scope of the project and the budget structure, refer to [Project Planning: Resource Estimate Development \(PROC2040\)](#), to support it.

(2) The steps to do this involve establishing the WBS element arrangement relating to project fund accounting principles and future analysis in both PROMIS and CEFMS II. The issues revolve around understanding how the project products or phases relate to how funds will flow into a project. Consideration has to be given as to whether activities resourced using these funds must be in separate, or common, WBS elements. This higher level structure for resourcing must be planned in detail and entered in the PROMIS project before deciding how to enter workflow tasks or resourced activities.

(a) *Military Program* – A 1391 (Congressional Authorization) requires a new PROMIS project number. If a project is incrementally funded with subsequent 1391s, a new PROMIS project number may need to be established. In these instances of separation, EVM will still work if the EVM Master Report in EDW is modified to add the additional PROMIS project number and the Feature Code, or EVM V-Code, is correlated across PROMIS numbers.

(b) *Civil Works Program* – the flow of funds depends upon congressional Appropriations and Authorizations along with annual OMB Budget Authority by quarter. Funds may come from other agencies and sponsors – federal and non-federal. When choosing WBS structure one must consider the points when the use of funds cross from Investigations (I) to Construction (C). Along with C and I Funds, there are Supplemental Funds or Operation Division Assets which require a separate WBS.

(c) *Hazardous, Toxic, and Radioactive Waste (HTRW) (Environmental) Program* – the flow of funds into these projects is sub-program specific. The funds will be from an external sponsor (except for Formerly Used Defense Sites (FUDS)) and may be available all at once or incrementally. There are many variables in the HTRW sub-programs which lead to greater EVM value in certain phases than in others.

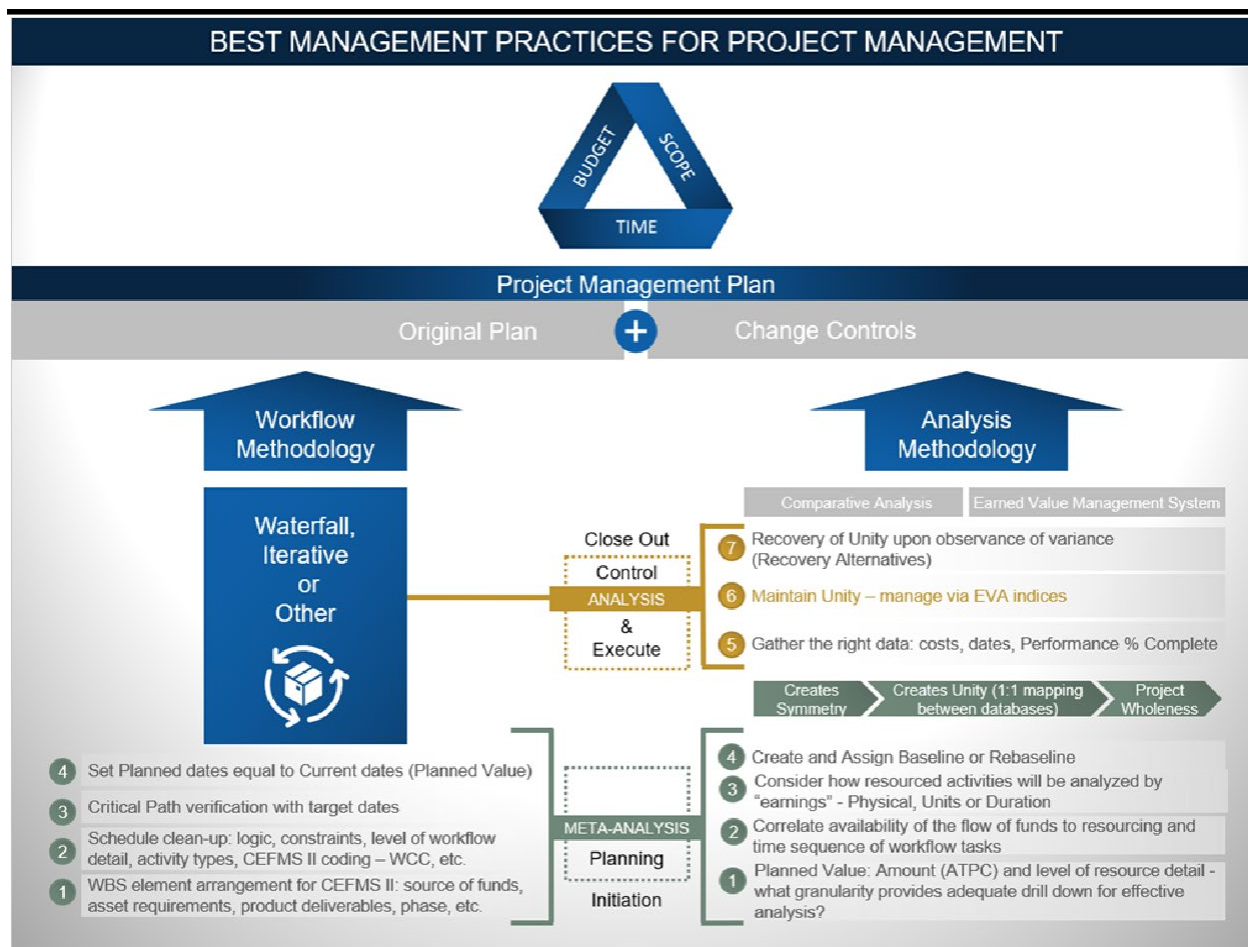
(3) Once the WBS structure is planned, then the user may start sequencing tasks as you normally would for scope and timeframe. The user must make sure of the logic connections between activities and take out any hard constraints (except those imposed by the Resident Management System (RMS): used by the Construction Division to manage projects in construction). The building of the schedule, by connecting activities, will establish a critical path, but the user must verify the workflow on this path is correlated to the target dates of the project.

(4) *Best Workflow Practices to Promote Earned Value Management.*

(a) Decompose the scope of work into deliverables and sub deliverables under appropriate WBS elements and through standard templates when available and appropriate. Develop activities that describe work and how the work will be measured. Activities must be performance-based, measurable, and provide enough detail to support effective project execution. They should also clearly define the scope of effort, permit the identification of types of expertise required, and facilitate estimates of resources (such as, labor, contract, travel) required to accomplish the project.

(b) Develop a logic driven schedule using the Critical Path Method scheduling technique through the completion of the project. Avoid the use of hard constraints on activities and milestones to ensure capturing slippages on schedules.

(c) Rolling Wave planning may be implemented for work that is to be performed in future years, (such as, greater detail is planned for activities in the current Fiscal Year (CFY) plus two years or to the end of the current phase, whichever is longer, and at a summary level for work beyond CFY+2).



**Figure 50–4. Project Management Plan Showing Tandem Workflow and Analysis**

**c. Analysis.**

(1) The second aspect of preparing for EVM is focusing up front on the type of analysis the user will use later on. In real terms, this means that at the same time as the build out of the WBS and workflow the user has to consider the amount or level of resource detail, refer to [Project Planning: Resource Estimate Development \(PROC2040\)](#), correlating with workflow tasks, in enough granularity to provide meaningful drill-down for analysis later on. An integral part of this correlation establishes a matrix of how the availability of the flow of funds is tied to the resourcing and the time sequence of workflow tasks. In addition, the user should consider how work packages, or separable components of work, will be analyzed by “earnings” in each resourced activity.

(2) These choices for calculating Earned Value are used in updating the project monthly. This type of planning for analysis focuses on how resource budgets are distributed over time. Determining the details of the Planned Value curve are the most critical part of planning which contribute to the success of Earned Value tracking. For example, will the Performance % Complete on resourced activities in a WBS be calculated by one of the Activity % Complete types, such as Physical, Duration or Units – rather than one of the other methods of procedure, such as 50 percent upon the start of an activity and 100 percent upon its completion? It is recommended to create a WBS dictionary as a reference for these initial decisions when doing monthly updates later. As a PM approves all these planning decisions, they are incorporated into schedule management.

(3) *Best Analysis Practices to Promote Earned Value Management.*

(a) Coordinate with local resource providers to assess whether the work will be performed in-house, by another District or USACE organization, by another government agency, or through a contract.

(b) Add performing resources to the work at either the activity level or at a control account activity level. A recommendation is that resourced activities be no longer than six months in duration so that performance percent complete measurements are more accurate. This may require shorter duration resourced activities. Task Dependent or Level of Effort, should be broken out into shorter duration activities so the work they are tracking is more defined. In this way the resourcing provides a more meaningful and measurable increment in the schedule.

(c) Use a certified Cost and Schedule Risk Analysis estimate, if available, as one of the tools for developing the WBS and resource plan in PROMIS. Status and progress the project schedule at least once per month.

(d) Implement change management and risk management processes, as defined in the approved PMP.

(e) Plan resources to the lowest level product or sub product of the WBS with resources to the section level for Current Fiscal Year (CFY +2) years or to the end of the current phase, whichever is longer. Resources may be summarized in less detail beyond CFY+2.

(f) The resource budgets in PROMIS must equal the Authorized Total Project Cost. The At Completion Cost (ACC) field (CEFMS Budget) for each resourced activity will aggregate to the project level. These are the Planned Value amounts which will become the Budget At Completion once the baseline is taken and assigned. It is important to note that this is so, no matter the level of Organizational Code detail on a resourced activity. A baseline copies the total ACC for each activity at the activity level.

(g) Once these things are in place a baseline may be taken and assigned in PROMIS. It is at this point of integration the project becomes “whole” for comparative purposes. When a plan is developed, and the baseline (static data set) taken and assigned in PROMIS then that static data can be compared to the current project (dynamic data set). This comparison ratio of data sets creates unity. (Unity is a mathematical concept of any number being divided by itself. The result is the number one, or unity. In terms of project scheduling this means the schedule matches the baseline).

(h) As a PDT consumes resources and does a monthly status update by starting and stopping activities, entering the Performance % Complete for resourced activities, it is readily apparent when they move away from adherence with the plan. Earned Value analysis thus revolves around how to maintain equivalence with the plan via the Cost Performance Index (CPI), Schedule Performance Index (SPI) and other indices. These EVM indices help answer questions as to why there is a variance. Variances from unity must be resolved by the PDT to ensure they are following their plan.

#### **50–7. Where the S-Curve Is Derived in the Schedule**

a. Many people have asked how the S-curve is derived. They are concerned about how what they do in the PROMIS software relates to this curve. “The cost performance baseline is an authorized time-phased Budget at Completion (BAC) used to measure, monitor, and control overall cost performance on the project. It is developed as a summation of the approved budgets by time period and is typically displayed in the form of an S-curve. In the EVM technique, the cost performance baseline is referred to as the Performance Measurement Baseline (PMB).” (PMBOK ® Guide)

b. Another aspect of this cumulative time distribution of budgets over the duration of a given activity, or set of activities, is that it is the Planned Value curve. At USACE the BAC also equals the ACC field in PROMIS once the baseline is taken. In addition, the ACC field is also the CEFMS II budget. This means the ACC is a key database field which connects across USACE AISs and is useful in the Enterprise Data Warehouse EDW for Earned Value analysis.

c. Activities in PROMIS are loaded with resource budgets in the Activities View. If the user looks at the Resource Assignments View, the time distribution of budgets can be seen. To create the S-curve one must set the right-side window Timescale to Year/Month. The user can then copy and paste the selection into an Excel spreadsheet. In the Excel file, one must then sum the period column: add the sum of the previous column to the next one and copy that formula across the total row to show cumulative ACC values over time. A graph can then be created showing the cumulative ACC. This graph will result in the S-curve for the resources loaded onto the project.

d. Having shown conceptually how the data in PROMIS builds the S-curve, the user can only gain a rough order of magnitude value by pulling the data in this manner. The preferred calculation of the S-curve will be from the EDW EVM reports. The sequencing of this S-curve derivation is seen in [Figure 50–5](#).

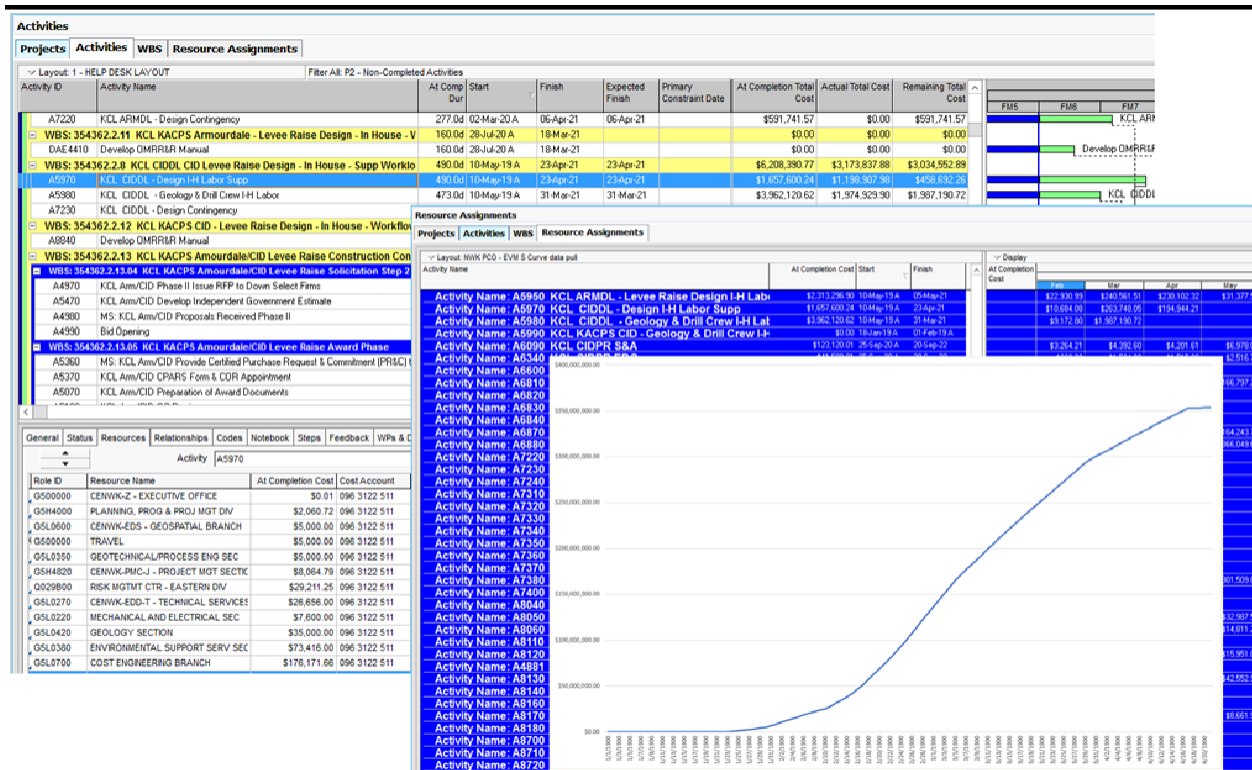


Figure 50–5. S-curve derivation sequencing

## 50–8. Earned Value Scenarios

a. Consider the resourcing for a subset of a project schedule. If we view one resourced activity for design, we may see the relationships between the components of EVM.

b. *Note:* For our purpose it does not matter what the resource(s) may be since all instances of the various ACCs (CEFMS II budgets) for resources on an activity are aggregated to the activity level. It is activity level amounts which the Earned Value mathematics uses for ratios with Actuals, PV, Earned Value (EV) and BAC.

c. If our ACC for the Design activity is \$360,000, then upon baselining the project this amount becomes the BAC. A scenario to consider is that the Design activity is 4 months long.

d. **After one month** we look at how the activity is performing (this should be done at the end of each month). At this point in our scenario the performance indicators are as shown in [Table 50–1](#):

Table 50–1  
Performance Indicators

Term	Value	Definition
Budget At Completion (BAC)	\$360,000	The Approved Amount of the resource/task. Comes from the Baseline At Completion Cost field. This value should never change unless the project undergoes an update to the approved project schedule and the baseline is updated.



Term	Value	Definition
Percent Complete	28%	Provided by PDT as part of the monthly progress cycle.
Planned Value (PV)	\$90,000 (assuming linear curve)	The amount of the BAC as of the report date.
Earned Value (EV)	\$100,800	BAC x Performance % Complete (\$360,000 x 28%).
Actual Cost (AC)	\$85,000 (Cost comes from CEFMS)	Actual Cost from CEFMS II and is updated nightly during the current month in the EDW.

*Note:* Typically, when we have 2 or more time periods, we can represent these numbers on a line chart referred to as an S-curve plot. The next month shows an example of the S-curve plot.

e. Utilizing the values above, we can then perform a schedule and cost analysis of our task ([Table 50–2](#), [Table 50–3](#)) to see how we’re doing against the plan (Baseline) and review some methods of forecasting cost (Table 50–4).

**Table 50–2**  
**Schedule Analysis: Determine if Task is on Schedule**

Term	Formula	Values	Definition
Schedule Variance (SV)	EV – PV	$\$100,800 - \$90,000 = -\$10,800$	More work has been accomplished than planned.
Schedule Variance % (SV%)	SV/PV	$\$10,800 / \$90,000 = -0.12$	12% more of the work planned to have been completed has been accomplished.
Schedule Performance Index (SPI)	EV/PV	$\$100,800 / \$90,000 = 1.12$	Work is being accomplished at 112% of the planned rate – meaning the activity is ahead of schedule.

**Table 50–3**  
**Cost Analysis: Determine if the PDT is Efficient on Completing Their Work**

Term	Formula	Values	Definition
Cost Variance (CV)	EV – AC	$\$100,800 - \$85,000 = \$15,800$	The team earned \$100,800 for \$85,000 of cost which means they were more efficient by completing more work than it costed.
Cost Variance % (CV%)	CV/EV	$15,800 / \$100,800 = .16$	Task is 16% under budget for the work performed.
Cost Performance Index (CPI)	EV/AC	$\$100,800 / \$85,000 = 1.2$	For every \$100 expended, \$120 of the BAC is earned – meaning the activity is under budget.

**Table 50–4**  
**Forecasting Cost – Estimate at Completion (EAC)**

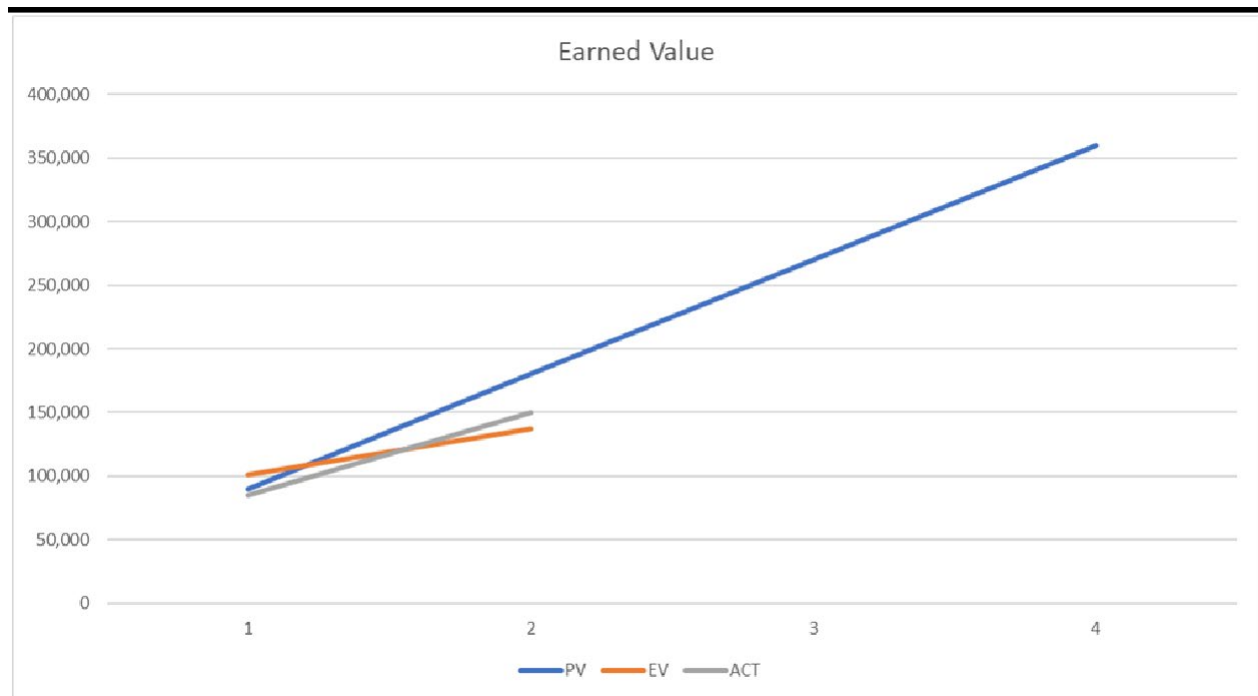
Term	Formula	Value	Definition
Estimate at Completion (EAC) Standard Method	$AC + (BAC - EV)$	$\$85,000 + (\$360,000 - \$100,800) = \$344,200$	This scenario assumes that from this point forward one may be able to complete the remaining work as originally planned, howbeit, over the original budget.
EAC CPI Method	$AC + ((BAC - EV) / CPI)$	$\$85,000 + (\$360,000 - \$100,800) / 1.2 = \$301,000.00$	This applies the efficiency factor (CPI) against the BAC. This scenario assumes that the project will continue to perform to the end of the project as it has performed until now from a cost perspective. If the CPI is above 1, the EAC will be lower.
EAC SPI/CPI Method	$AC + ((BAC - EV) / (CPI * SPI))$	$\$85,000 + ((\$360,000 - \$100,800) / (1.2 * 1.12)) = \$277,857.14$	This is the most pessimistic calculation assuming one is behind schedule and over budget. It assumes the project will continue to perform the same, both cost and schedule-wise, to the end of the project.
EAC Bottom UP Review	AC + Remaining Cost	Values come from the current schedule in PROMIS. As PDTs update the schedule, this value will be updated and reflect their current plan	

f. **After two months** we look at how the activity is performing (this should be done at the end of each month). At this point in our scenario the performance indicators are shown in [Table 50–5](#).

**Table 50–5**  
**Two-Month Performance Indicators**

Term	Value	Definition
Budget At Completion (BAC)	\$360,000	The Approved Amount of the resource/task. Comes from the Baseline At Completion Cost field. This value should never change unless the project undergoes an update to the approved project schedule and the baseline is updated.
Percent Complete	38%	Provided by PDT as part of the monthly progress cycle.
Planned Value (PV)	\$180,000 (assuming linear curve)	The amount of the BAC as of the report date.
Earned Value (EV)	\$136,800	$BAC \times \text{Performance \% Complete}$ ( $\$360,000 \times 38\%$ ).
Actual Cost (AC)	\$150,000 (Cost comes from CEFMS)	Actual Cost from CEFMS II and is updated nightly during the current month in the EDW.

g. After the PDT has 2 or more data points, we can apply the values against an S-curve chart to visually represent trends on the activity or project ([Figure 50–6](#)).



**Figure 50–6. S-Curve of First Two Months of Sample Project**

h. A quick analysis of the chart above shows the team is not as efficient in the second month as they were in the first month. Actual Cost (AC) exceeded the Earned Value (EV) ([Table 50–6](#), [Table 50–7](#)). Different scenarios and calculations of forecasting cost with estimates at completion with various performance indicators are provided in [Table 50–8](#).

**Table 50–6**  
**Schedule Analysis: Determine if Task is on Schedule**

Term	Formula	Values	Definition
Schedule Variance (SV)	EV – PV	\$136,800 - \$180,000 = -\$43,200	Less work has been accomplished than planned.
Schedule Variance % (SV%)	SV/PV	-\$43,200 / \$180,000 = - 0.24	24% of the work planned to have been completed has not been accomplished.
Schedule Performance Index (SPI)	EV/PV	\$136,800 / \$180,000 = 0.76	Work is being accomplished at 76% of the planned rate – meaning the activity is behind schedule.

**Table 50–7**  
**Cost Analysis: Determine if the PDT is Efficient on Completing Their Work**

Term	Formula	Values	Definition
Cost Variance (CV)	$EV - AC$	$\$136,800 - \$150,000 = -\$13,200$	The team earned \$136,800 for \$150,000 of cost which means they were less efficient by completing less work than it costed.
Cost Variance % (CV%)	$CV/EV$	$-\$13,200 / \$136,800 = -0.10$	Task is 10% over budget for the work performed.
Cost Performance Index (CPI)	$EV/AC$	$\$136,800 / \$150,000 = 0.91$	For every \$100 expended, \$91 of the BAC is earned – meaning the activity is over budget.

**Table 50–8**  
**Forecasting Cost – Estimate at Completion**

Term	Formula	Value	Definition
Estimate at Completion (EAC) Standard Method	$AC + (BAC - EV)$	$\$150,000 + (\$360,000 - \$136,800) = \$373,200$	This scenario assumes that from this point forward one may be able to complete the remaining work as originally planned, howbeit, over the original budget.
EAC CPI Method	$AC + ((BAC - EV)/CPI)$	$\$150,000 + (\$360,000 - \$136,800) / .91 = \$395,274.73$	This applies the efficiency factor (CPI) against the BAC. This scenario assumes that the project will continue to perform to the end of the project as it has performed until now from a cost perspective. If the CPI is above 1, the EAC will be lower.
EAC SPI/CPI Method	$AC + ((BAC - EV)/(CPI * SPI))$	$\$150,000 + (\$360,000 - \$136,800) / (0.91 * .76) = \$354,395.60$	This is the most pessimistic calculation assuming one is behind schedule and over budget. It assumes the project will continue to perform the same, both cost and schedule-wise, to the end of the project.
EAC Bottom UP Review	AC + Remaining Cost	Values come from the current schedule in PROMIS. As PDTs update the schedule, this value will be updated and reflect their current plan	

## **50–9. Practical Ideas on Earned Value**

a. Project scheduling is about processes. In Army acquisition concepts, the WBS for USACE is found in its missions and programs. Additionally, USACE projects follow prescribed processes, legal requirements, methodologies, and reporting for metrics. A PDT functions within this environment and context when selecting the categories and activities which delineate what is viewed as the WBS of a schedule. The WBS is the same for a project regardless of whether it is following the EVMS or not. A WBS grouping should be built so data aggregate/roll up to separable elements of work for analysis. The reverse of this allows a progressive expansion of a given WBS to view granularity in work packages.

b. The ability to drill down to current problem areas is one of the major benefits of Earned Value for a PDT, but this capability must be built into the schedule from the start. To be clear, EVM deals with activities which are resourced. It is these resourced activities on which schedule and cost performance are measured. Therefore, PDTs must ensure accurate budgets. Pragmatism recognizes all budgets are estimates and unless they are based on historical expenditures for similar type of work, they impose a risk on the measurement of progress. The ability to match the factors underpinning the budget estimates depends upon rigor and control by the PDT, which they may not have throughout the project. Timely closure of resourced activities reduces the chance of a skew in comparative ratios of actual expenditures to original estimates.

c. Shorter resourced activity durations allow visibility to problems with schedule slippage earlier than would be possible with longer duration activities. If there are too few resourced activities or if they are too long, the drill down benefit diminishes. The same is true of not being able to close resourced activities on time.

d. Often, scheduling theory mentions “right sizing” a network diagram. Why is right sizing a project important? Earned Value metrics analyze the relationship between the PV of resources (this becomes the Performance Measurement Baseline) and the rate of their consumption. In a perfect world, every activity in a project network diagram/schedule would be resourced. The idea is, why have an activity in the schedule without the associated hours it takes for a PDT to accomplish it? However, this will not work at USACE due to CEFMS II policy and the number of financial staff available. So, “right size” not just the workflow it takes to deliver a product, but the number of resourced activities wherein the costs of work are reflected. The “right sized” Earned Value project will have multiple resourced activities for the segments/products within its scope.

e. Differentiate resourced contract activities from resourced labor activities. Contract activity durations are what they are by contract requirements, but labor activities are based on the duration of a work package, such as design. The tendency at USACE is to minimize resourced labor activities. Yet this creates challenges when it comes to using Earned Value. To truly embrace EVM, a PDT must find the labor granularity compromise which works for the betterment of project management without it becoming too onerous for USACE staff to manage.

*f.* When considering Earned Value, regarding how the project performed in relation to the mathematical unity, or adherence to the plan, one utilizes the SPI and the CPI. These indices are beginning points of analysis. If one has multiple resourced activities for a given work package/segment of work, then the CV and SV indices may be used while accomplishing work to drill down to problem areas. Meaningful analysis is a combination of how resources are used in comparison to a plan (EVM indices) and how that relates to what the PDT is experiencing as they work to accomplish the scope of a project.

*g.* By using tools, such as Rolling Wave planning and PROMIS partial rebaselining, these programs can utilize the benefits EVM provides. The idea is to capture the Authorized Total Project Cost for a project and then manage to that amount with the transparency PROMIS provides. Also, be mindful of resourcing so that it matches the processes and timeframe followed by the PDT to accomplish work.

*h.* Once a PDT establishes the level of detail in a project plan, then these may be entered in the PROMIS with tasks and resourcing to accomplish them. Another aspect of what should be happening when selecting activities to accomplish work is not just what is being done but how it is done. The details are made up of two streams in a PROMIS schedule which are contextual to methodology:

(1) Workflow – tasks to accomplish work, refer to [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#).

(2) Budgets – resourced activities for the costs of processes, refer to [Project Planning: Resource Estimate Development \(PROC2040\)](#).

*i.* To take this a step further, we should be capturing USACE processes along with the complete scope of work to accomplish the effort in the scheduling software. The focus here is not on how workflow relates to analysis but how it relates to USACE processes for each Program. At times, these streams of workflow and budget may run parallel (for example labor) and at times they will be embedded together (for example contracts). USACE budget processes are typically focused on obligation, but PROMIS budgets are expenditure in nature. This makes it easier to establish the PV curve. However, this means the two foci are different views into the same data and will have to be dealt with in context when doing data locks for EVM vs. Fiscal Year (FY) obligation locks for USACE programs.

## **50–10. Conclusion**

“The size at which we study objects can have a profound impact on the conclusions we draw.” – Don Lincoln, Ph.D. If there is one major take-away from this article for the success of an Earned Value project, it would be this concept. Success in Project Management tracking and transparency is found in how we measure the details. If we do not adequately plan, then we may not have studied the problems we are confronted with in enough detail. If we do not have enough detail, then we may not be able to effectively measure what we are doing or how we are doing it. Without detail, our EVM indices will start to show failure shortly after we start our project. In these instances, it may be the size at which we are studying or managing the project is too large and meaningful conclusions are unattainable.

## 50–11. Earned Value Management Key Terminology and Formulas

a. The EVMS provides calculations that can be used to provide an objective and predictive assessment of variance in project cost and schedule. It provides a basis for common understanding by all members of the PDT. EVM is incorporated in PROMIS for ready use by the PDT. It allows consistent analysis from PM to PM. It is highly recommended as the standard procedure for PDBP in assessing project status.

b. [Table 50–9](#) provides key definitions/formulas for EVM. For more detail and additional definitions/formulas, refer to the Acronyms and Glossary section of the PDBP Manual.

**Table 50–9**  
**EVM Concepts, Definitions, and Formulas**

Concept	PMI Definition	
Actual Cost (AC)	The realized cost incurred for the work performed during a specific time period. In order for EVM to be reliable, AC must be recorded in the same time period as EV and for the same activity or WBS component as EV.	<ul style="list-style-type: none"> <li>The Actual Total Cost for the activity, including labor resources, nonlabor resources, material resources, and project expenses.</li> <li>EDW reports pull the Actual Cost data from CEFMS II to obtain costs per accounting period. PROMIS software spreads the Actual Cost according to its Resource Curve between the Start and Finish Dates of an activity.</li> </ul>
Budget At Completion (BAC)	The sum of all the budgets established for the work to be performed. The BAC can be represented at all levels of the project from Activity, WBS, Feature, EVM V Code, and Project.	<ul style="list-style-type: none"> <li>It is the same amount as the Baseline Total Cost. At USACE upon the baseline being taken and assigned the At Completion Cost becomes the BAC.</li> </ul>
Earned Value (EV)	The measure of work performed at a specific point in time, expressed in terms of the approved budget authorized for that work.	<ul style="list-style-type: none"> <li><math>EV = BAC \times \text{Performance \% Complete}</math></li> </ul>
Planned Value (PV)	The authorized, time-phased budget assigned to accomplish the scheduled work. At any given point on a timeline, PV describes how much of the project work was planned to be performed.	<ul style="list-style-type: none"> <li>PV is the portion of the BAC of the activity that is scheduled to be completed as of the project data date, according to the baseline.</li> </ul>
Cost Performance Index (CPI)	<p>A gauge of how cost efficient the PDT is in using its resources. As such, it is a measure of the efficiency of the dollar value earned for the actual cost of work performed. It indicates how many dollars of earned effort were accomplished for every dollar spent.</p> <p>A value less than 1.0 indicates more money is being spent than was earned (over budget). A value greater than 1.0 indicates less money is being spent than was planned (under budget).</p>	<ul style="list-style-type: none"> <li><math>CPI = EV / AC</math></li> </ul>



Concept	PMI Definition	
Cost Variance (CV)	A measure which shows whether a project is in an over-budget or under-budget condition. (This variance relates the amount of the BAC which the PDT claims they have accomplished to their actual consumption of resources.)	<ul style="list-style-type: none"> <li>• <math>CV = EV - AC</math></li> <li>• <math>CV (\%) = CV / EV</math></li> </ul>
Estimate at Completion (EAC)	The expected total cost of a control account, work package, or the project when the defined scope of work will be completed. The formal EAC for a project should be estimated by the PDT; however, EACs may also be calculated based on performance to date.	<ul style="list-style-type: none"> <li>• <math>EAC = AC + ETC</math></li> <li>• <math>EAC = BAC / CPI</math></li> <li>• Standard Method <math>AC + (BAC - EV)</math></li> <li>• CPI Method <math>AC + ((BAC - EV) / CPI)</math></li> <li>• SPI/CPI Method <math>AC + ((BAC - EV) / (CPI * SPI))</math></li> </ul>
Estimate to Complete (ETC)	The expected cost needed to complete all of the remaining work for a control account, work package, or the project.	<ul style="list-style-type: none"> <li>• The setting in PROMIS to determine the method of calculation is on the WBS View, Earned Value tab, "Technique for computing Estimate to Complete (ETC)." At USACE the ETC is set to "remaining cost for activity."</li> </ul>
Schedule Performance Index (SPI)	A gauge of how cost efficient the PDT is in using its time. It indicates how the PDT is working compared with the plan. A value less than 1.0 indicates less work is being accomplished than was planned (behind schedule). A value greater than 1.0 indicates more work is being accomplished than was planned (ahead of schedule).	<ul style="list-style-type: none"> <li>• <math>SPI = EV / PV</math></li> </ul>
Schedule Variance (SV)	Schedule variance is very often misinterpreted as a time-based indicator, for example, are we early or late and by how much? It is not a time-based indicator, but rather an indication of the physical status (how much of the work has been accomplished). The schedule variance (SV) determines whether a project is ahead of or behind schedule in accomplishing work. A positive value indicates more work has been accomplished than planned; a negative value indicates that less work has been accomplished than planned.	<ul style="list-style-type: none"> <li>• <math>SV = EV - PV</math></li> <li>• <math>SV (\%) = SV / PV</math></li> </ul>

Concept	PMI Definition	
To-Complete Performance Index (TCPI <sub>BAC</sub> )	The ratio of cost efficiency that must be achieved between the remaining baseline not earned and the remaining baseline not spent. The ratio shows how much performance must improve to complete the remaining work in order for the project to achieve the BAC.	<ul style="list-style-type: none"> <li><math>TCPI_{BAC} = (BAC - EV) / (BAC - AC)</math></li> </ul>
To-Complete Performance Index (TCPI <sub>EAC</sub> )	The ratio of cost efficiency that must be achieved between the remaining baseline not earned and the Estimate to Complete. The ratio shows how much performance must improve to complete the remaining work in order for the project to achieve the EAC.	<ul style="list-style-type: none"> <li><math>TCPI_{EAC} = (BAC - EV) / (EAC - AC)</math></li> </ul>

## 50–12. System References

- USACE Work Instructions for Applying Earned Value Management Principles within USACE (under revision).
- Project Management Body of Knowledge, (PMBOK®), Project Management Institute®.
- Practice Standard for Earned Value Management, Project Management Institute®.
- Topeka, KS Levee System, Volume 1, Issues 9 and 10 of PROMIS HQ News, dated June–July 2020.

## 50–13. Distribution

- Project Manager.
- Project Delivery Team.
- Project Scheduler.
- Resource Provider(s).
- Deputy for Programs and Project Management.
- Corporate Board.

## Chapter 51

### Reference Documents: Formerly Used Defense Sites Planning, Programming, Budgeting, and Execution System (REF8019G) (Retired)

As a “retired” reference, this chapter is no longer relevant or its content was absorbed into another process or reference chapters within this manual.

## Chapter 52

### Reference Documents: Roles and Responsibilities (REF8020G) (Retired)

As a “retired” reference, this chapter is no longer relevant or its content was absorbed into another process or reference chapters within this manual.

## Chapter 53

### Reference Documents: Value Management Plan (REF8023G)

#### 53–1. Scope

Federal agencies are required to have policies and processes in place to manage value on procurements through the application of value studies or similar activities. This reference documents the requirements and responsibilities related to Value Management (VM) by partnering with the District Value Officer (DVO), who is trained in management practices and technical applications of value-improving strategies.

a. The Value Management Plan (VMP) is an integral part of the PMP and must be developed in close coordination with the DVO as part of the Project Initiation process along with the following plans: [Reference Documents: Quality Management Plan \(REF8008G\)](#), [Reference Documents: Risk Management Plan \(REF8007G\)](#), [Reference Documents: Communications Plan \(REF8006G\)](#), [Reference Documents: Safety and Occupational Health Plan \(REF8016G\)](#), and [Reference Documents: Change Management Plan \(REF8009G\)](#).

b. When planned for early in the project life cycle, value-improving activities can have a greater positive impact on project outcomes. The following processes within this Project Delivery Business Process (PDBP) manual are touch points for the larger VM process and thought should be given to how VM fits within each of these processes: [Project Initiation: Workload Analysis and Resource Leveling \(PROC1020\)](#), [Project Initiation: Initiating a Project in PROMIS \(PROC1030\)](#), [Project Initiation: Receipt of Funds \(PROC1040\)](#), [Project Planning: Project Management Plan/Program Management Plan Development \(PROC2000\)](#), [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#), [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#), [Project Planning: Acquisition Planning \(PROC2050\)](#), and [Project Execution, Monitor and Control: Project Execution and Control \(PROC3000\)](#). Refer to Value Engineering (VE) flowchart.

c. Plans are developed concurrently in the iterative Project Planning Phase. Value improvements are also documented and should be included in [Project Execution, Monitor and Control: After Action Review and Lessons Learned \(PROC3020\)](#).

d. Statutory and regulatory requirements for VE will be initially addressed in a VMP, which is a key component of the overarching PMP. Refer to the DVO for the process and requirements to execute, implement, report, and manage value program activities beyond the VMP.

e. Proper planning for VM is essential to the overall project plan. The later in the process the VMP is completed, the less flexibility the Project Delivery Team (PDT) has in addressing the VE statutory and regulatory requirements while generating larger budget and schedule impacts. Neglecting to properly budget for this effort can result in a project not being executable due to insufficient documentation of statutory compliance (VMP).

#### 53–2. Responsibilities

a. The Project Manager is responsible for:

- (1) Ensuring a VMP is incorporated into the PMP for the project at Project Initiation.

(2) Including the DVO or DVO's designated representative as an integral member of the PDT.

(3) Ensuring that value-improving activities are scheduled, resourced, and executed per the VMP and associated critical milestones.

(4) Certifying that statutory and regulatory requirements have been addressed per the VMP prior to advertising the contract.

(5) Establishing and maintaining mandatory milestones associated with USACE Command Guidance (UCG) metrics in coordination with appropriate PROMIS personnel.

b. The PDT is responsible for collectively providing input into the screening process and VMP and ensuring the VM activities are properly scheduled and resourced.

c. The DVO (Support Services) is responsible for:

(1) Providing SME advice to the PM and PDT.

(2) Participating on PDTs to assure projects are screened for program compliance, studies are scheduled with appropriate resources (whether in-house or contract), and activities are identified in the PMP to accomplish mandatory VM requirements.

(3) Assuring that value studies are planned for per industry and USACE standards as the technical expert on the PDT.

(4) Encouraging credible value studies earlier in the project life cycle and selecting projects with the most opportunity to benefit.

(5) Encouraging seamless VM per PDBP intent.

(6) Developing VMP in coordination with PM and PDT to ensure compliance for the Contracting Officer (KO) prior to advertising contracts.

(7) Obtaining VMP approval signatures as required by USACE Value Program policy and guidance.

### **53–3. Value Management Plan Content**

a. *Goals and Objectives:* Items of accomplishment that the VM efforts will achieve specific to the project. For example: Validate current alternative strategies; Identify and address pertinent issues that may impact the successful implementation and effectiveness of the current alternative strategies; Provide recommendations for future research needs.

b. *Execution:* VMP approval signatures are required from the qualified DVO and PM for contracts above the USACE minimum VE screening threshold. Depending on the strategy identified in the VMP, additional approval signatures (Regional Value Officer, (RVO), Office of Value Expertise (OVx), or Chief Value Officer (CVO)) may be required per USACE Value Program policy and guidance. The VMP should include resourcing needs, staffing needs, and scheduling and milestone requirements for the complete project life cycle. The following is an example of VMP content:

(1) *What:* Description of VM activity/effort (such as, specific value-improving activities, other participation in PDT activities).

(2) *Why:* Purpose of VM actions.

(3) *Who:* Specific staff/contractors necessary to complete the VM actions.

(4) *When:* VM activity schedule in terms of the overall project and associated schedule milestones.

(5) *How*: Brief description of process to be used to execute VM activities.

(6) *Cost*:

(a) Budget requirements consist of DVO to manage the VM requirement for the project, Contracting to advertise and award a task order (as needed), in-house value team members to participate in any value-improving activities, contract costs (if A-E is used to lead study/provide value team members), and associated DVO validation/certification requirements prior to project ready to advertise (RTA), and any associated travel costs.

(b) Funding requirements should be identified for all VM activities expected over the project life cycle and budgeted for upfront in the VMP. Resourcing shown within the VMP only includes those activities to manage the VM activities – this does not include PDT costs associated with PDT participation (unless fully participating in value studies), incorporating the proposals into the current design, or any other implementation actions.

(c) Costs external to the VMP must be captured by the overall project activities and not the VMP. For these costs, refer to [Project Planning: Resource Estimate Development \(PROC2040\)](#).

(7) *Time*: Depending on the VM strategy, timing and duration will vary. More importantly, the DVO may have multiple points of interaction on the project schedule. Consult with the DVO to ensure timing, duration, and all necessary interactions are properly scheduled and budgeted.

c. Major steps when conducting the VMP process are:

(1) *Step 1*: Screen for Opportunity with the DVO.

(2) *Step 2*: Is Contract over \$2M? (This value may be lower based on local policy and requirements).

(a) If NO, no further value activity required.

(b) If YES, proceed.

(3) *Step 3*: Complete “Strategy Selection” (either Low Opportunity or Level of Effort).

(4) *Step 4*: Document the strategy in the VMP.

(5) *Step 5*: PM enters appropriate dates in PROMIS and includes VMP into all project baselines and the PMP.

#### **53–4. Work Breakdown Structure**

Three different courses of action that could take place on a given procurement are shown in [Table 53–1](#), [Table 53–2](#), and [Table 53–3](#). This is intended to be a starting point for discussion between the PM and DVO to generate District level scheduling/resourcing templates within PROMIS. It should be noted that multiple value studies can occur for a single procurement and thus more than one set of value study activities may be required for a given procurement.

**Table 53–1**  
**Low Opportunity (VMP Only)**

Activity	Activity Name	Description	Milestone
1.1	Value Management Plan (VMP)	Date of the signed VMP between PM, DVO, and other signature authorities (Division, OVx, HQ) if applicable.	CW283; ML280; EN137; VE280
1.2	Low Opportunity (VMP Only)	Identifies the date that a Low Opportunity designation has been granted by the DVO and approved by other signature authorities. This user-defined field (UDF) is not used with VE study milestones; there should be <b>only</b> study milestones or a Low Opportunity UDF.	No milestone; this is a UDF with a date value (apply to the contract award milestone)
1.3	Contract Award	Identifies the award date of the contract. Date provided by Contracting to PM for input. Milestone is tied to VE milestones via feature code if feature codes are used to separate multiple contract awards under one PROMIS number. Ensure award milestone is resourced for anticipated award amount.	Numerous (coordinate with the PROMIS Schedulers)

**Table 53–2**  
**Low Opportunity (Bridge/Scan)**

Activity	Activity Name	Description	Milestone
1.1	Value Management Plan (VMP)	Date of the signed VMP between PM, DVO, and other signature authorities (Division, OVx, HQ) if applicable.	CW283; ML280; EN137; VE280
1.2	Low Opportunity (Bridge/Scan)	Identifies the date that a Low Opportunity designation has been granted by the DVO and approved by other signature authorities. This UDF is not used with VE study milestones; there should be only study milestones or a Low Opportunity UDF.	No milestone; this is a UDF with a date value (apply to the contract award milestone)
1.3	VE Implementation Validation	Date that PM and DVO validate the implementation of accepted alternatives from the value activity (such as, Bridge/Scan).	CW295; ML295; EN145; VE295
1.4	Contract Award	Identifies the award date of the contract. Date provided by Contracting to PM for input. Milestone is tied to VE milestones via feature code if feature codes are used to separate multiple contract awards under one PROMIS number. Ensure award milestone is resourced for anticipated award amount.	Numerous (coordinate with the PROMIS Schedulers)

**Table 53–3**  
**Level of Effort (Study)**

Activity	Activity Name	Description	Milestone
1.1	Value Management Plan (VMP)	Date of the signed VMP between PM, DVO, and other signature authorities (Division, OVx, HQ) if applicable.	CW283; ML280; EN137; VE280
1.2	VE Study Start	Start date of the VE study.	CW192, CW285; ML285; EN139; VE285
1.3	VE Study Complete	End date of the VE study.	CW195, CW290; ML290; EN140; VE290
1.4	VE Implementation Validation	Date that PM and DVO validate the implementation of accepted alternatives from the VE effort (such as a Study).	CW295; ML295; EN145; VE295
1.5	Contract Award	Identifies the award date of the contract. Date provided by Contracting to PM for input. Milestone is tied to VE milestones via feature code if feature codes are used to separate multiple contract awards under one PROMIS number. Ensure award milestone is resourced for anticipated award amount.	Numerous (coordinate with the PROMIS Schedulers)

### **53–5. Policy**

- a. Public Law 111–350 [41 USC 1711] – Value Engineering.
- b. OMB Circular. A–131, Value Engineering.
- c. DoDI 4245.14, Department of Defense Value Engineering Program.
- d. AR 5–1, Management of Army Business Operations HQDA.
- e. ER 11–1–321 Army Programs Value Engineering.
- f. ER 5–1–11, Management, USACE Business Process.
- g. ER 1110–2–1150, Engineering and Design for Civil Works Projects.

### **53–6. Distribution**

- a. Project Delivery Team.
- b. Project Manager.
- c. District Value Officer (Support Services).
- d. Contracting Officer.

## **Chapter 54**

### **Reference Documents: Real Estate Programs (REF8025G)**

#### **54–1. Scope**

This reference outlines the responsibilities for acquisition, management, and disposal of real property in support of the USACE Military Programs and CW missions. It also provides an overview of several Real Estate products and services that are provided and the responsibilities of the Real Estate Division. USACE Real Estate serves as the Army’s Real Estate agent, supports the Air Force, the DoD, and other federal agencies



to include the Environmental Protection Agency, Department of Energy, Customs and Border Protection.

## **54–2. Process Overview**

These Real Estate processes and products are being performed in conjunction with all Military and CW projects or stand alone as a sole Real Estate transaction.

a. Real Estate provides technical expertise, advice on cost and asset information for projects, provides appraisals, mapping/GIS services, engages in property negotiations with landowners to acquire and upgrade facilities, manages real property, and ensures transactions are executed per Real Estate policies and procedures.

b. Real Estate provides support to U.S. forces during overseas contingency operations and disaster response and recovery support to the nation. USACE Real Estate is the DoD Executive Agent for the Joint Recruiting Facilities Program, and the Homeowners Assistance Program.

c. Real Estate supports and manages the Leased Government Housing (LGH) Program for the Army, Navy, and Air Force.

## **54–3. Major Programs and Responsibilities**

a. *Real Property Asset Management.* The USACE asset management framework applies to its CW program, which covers assets in its navigation, flood risk management, and recreation portfolios, among others.

(1) USACE is accountable for the nation's water resource infrastructure assets. Under the Chief Financial Officers Act in 1990, USACE has completed the audit for CW financial statements, and Real Estate is actively updating real property data in support of the ongoing DoD's audit readiness efforts.

(2) There are two major Real Estate systems for the entire organization; the Real Estate Management Information System (REMIS) and the Rental Facilities Management Information Systems (RFMIS).

(a) *REMIS* is the system of record for accountability and management of the Civil and Military Real Property Assets and Out-grants and is the official source of record for Army Military land records and the CW inventory for public lands, buildings, and structures. It provides a uniform, automated method of recording, storing, retrieving, and reporting information related to real property assets and out grants for which USACE is the owner/executive agent. REMIS supports following Real Estate functional areas: appraisals, acquisitions, disposals, relocations, environmental programs, and Real Estate management activities for other Federal agencies. REMIS additionally interfaces with the CEFMS II to generate billings for civil and military out-grants that produce revenue and for capitalization of real property as financial assets.

(b) *RFMIS* is the system of record for all in-leasing actions (LGH, Military, Civil and DoD Recruiting) activities of the USACE Real Estate community. RFMIS supports the requirements to execute the mission by offering a web-based system, a workflow management tool that allows for the managing, entering, modifying, and tracking of all "in-leasing" data for example, active non-recruiting leases and housing leases.

(3) USACE's rental facilities management mission includes the management of the following co-categories of leased property. Managing these areas includes some similar, shared, and some unique workflow processes.

b. *Leased Government Housing (LGH) Program.* USACE is responsible for executing and administering the LGH Program as part of the Military program for the Army, Navy, and Air Force. Per DoD Directives, the program ensures eligible personnel, and their families have access to affordable, quality housing facilities and services consistent with grade and dependent status. The LGH Program has been implemented to lease housing units to service members assigned to remote duty stations, high-cost areas where cost for lodging plus utilities exceed their Basic Allowance for Housing and the authorized out-of-pocket expense. The LGH Program has four components:

(1) *Independent Duty Leasing* supports recruiter and reserve personnel who are assigned to locations where housing is not available within a reasonable commuting distance from the Service Member's duty location.

(2) *Directed Leasing* supports Military Installations with large deficits of family housing for Soldiers and their families.

(3) *Key and Essential Leases* support active-duty Military assigned to the Combatant Command, subordinate units, and supporting activities.

(4) *Unaccompanied Housing Leases* support single Service Members and Geographical Bachelors serving a Dependent-Restricted Tour.

c. *Joint Recruiting Facilities Program (JRFP).* USACE is the DoD's Executive Agent for JRFP, supporting the Military Service Recruiting Commands by providing professional storefront and administrative office space for active duty military recruiters at strategic market driven locations for recruiters to screen and pre-qualify individuals to meet each Service's military accession goal. The JRFP includes the Army, Navy, Marines, Air Force, and Air Force Reserve, and currently has over 5000 leased recruiting facilities comprising over 7.5M SF of space.

d. *Homeowners Assistance Program (HAP).*

(1) USACE Real Estate is the DoD's Executive Agent for HAP. The program provides financial assistance to eligible military and civilian employee homeowners when the Real Estate markets are adversely affected due to the closure or realignment of a Military installation under Base Realignment and Closures (BRAC); wounded, injured, or ill military and civilian employee homeowners reassigned in furtherance of treatment or due to medical retirement; and surviving spouses of fallen warrior homeowners.

(2) The program provides also financial aid to eligible Military (including Coast Guard), civilian, certain overseas employees, and non-appropriated fund employee homeowners who have served or have been employed at or near Military installations which the DoD has ordered to be closed or whose operations have been significantly reduced and where Real Estate values have declined because of the announced closure or realignment.

e. *Enhanced Use Leasing (EUL).*

(1) USACE Real Estate is the Army's execution agent for the EUL Program. Under this program, Real Estate has the authority to lease available, non-excess real property to non-federal parties and is responsible for the planning, management, and execution of these leases.

(2) EULs must be of direct benefit to the United States, promote national defense, public interest and be compatible with current and anticipated future military activities at the installation. These leases provide the exclusive right to possess, and use specified real property for a specified period of time in exchange for fair market value consideration.

*f. Defense National Relocation Program (DNRP).* The DoD DNRP offers comprehensive Real Estate relocation services to DoD agencies for transferring civilian employees. These services are provided through relocation management contractors with nationwide capabilities. DNRP contract services support DoD agency employee mobility needs with Home Marketing Assistance, Guaranteed Home Purchase, Property Management and Home Finding Assistance.

*g. Forestry Program.* The USACE Forestry Program administers the disposal of forest products for Civil Works Projects and Military installations. Additionally, the program provides forest management to government installations that do not have an in-house forest management staff.

*h. Outside the Continental United States (OCONUS)/Continental United States (CONUS) Natural Disaster Response.*

(1) Real Estate plays a vital role in support of overseas military contingency operations, resolving complex issues regarding ownership and acquisition (leasing), and base closures as directed to support U.S. Military operations. USACE Districts have Real Estate staff trained and ready through the Contingency Real Estate Support Team program, to respond to additional requests from all DoD Combatant Commands. Real Estate transactions in foreign countries follow local customs and title or ownership rules are unique to each country.

(2) For CONUS natural disaster response, Real Estate also provides disaster response and recovery support to the Federal Emergency Management Agency and the Nation through deployment of personnel for execution of rights-of-entry, blue roof mission, debris removal, leasing of land, warehouse, office space and housing.

*i. Base Realignment and Closures.* The USACE Real Estate office provides subject matter technical Real Estate support for the BRAC program, executing the disposal plans to remove excess and surplus property from the Army's inventory.

*j. Civil Works Planning Real Estate Support.*

(1) USACE Real Estate involvement is essential to the CW Planning Program. Real Estate has the responsibility to plan, acquire, manage, and dispose Army land for water resources and other CW projects. Therefore, Real Estate works closely with CW Operations, Planning, and other disciplines as part of the Project Delivery Team, the appropriate Regional Integration Team, Divisions and Districts to identify and resolve issues in support of the CW mission.

(2) Early involvement and inclusion of Real Estate is crucial to determining these Real Estate requirements. Understanding alternatives, impacts, costs, risks, and schedules needed is critical in supporting the planning of CW projects. A key mechanism for Real Estate input is included in the Project Decision Documents in which the Real Estate Plan, a component part of the Project Decision Documents, identifies and describes lands, easements, rights-of-ways, relocations, and disposals required for the construction, operation, and maintenance of the proposed CW project. Real Estate is also part of the vertical team for all planning documents and performs policy and

compliance reviews to determine the acceptability of decision documents during the feasibility phase as a Policy Review team member.

#### **54–4. Policy References (See Appendix A)**

The following legislation, regulations, directives, instructions, and Executive Orders define USACE's acquisition, management, and disposal of Army Real Estate and real property. These laws and policies provide the framework for USACE's Real Estate and real property mission.

- a.* AR 405–10, Acquisition of Real Property Interests.
- b.* AR 405–45, Real Property Inventory Management.
- c.* AR 405–80, Management of Title and Granting Use of Real Property.
- d.* AR 405–90, Disposal of Real Estate.
- e.* DoDD 4165.06, Real Property.
- f.* DoDD 5160.58E, Recruiting Facilities.
- g.* DoDI 4165.63, Department of Defense Housing Management.
- h.* DoDI 4165.65 series.
- i.* DoDI 4165.68, Base Closure Community Assistance.
- j.* DoDI 4165.69, Return of Department of Defense Sites Overseas.
- k.* DoDI 4165.70, Real Property Management.
- l.* DoDI 4165.71, Real Property Acquisition.
- m.* DoDI 4165.72, Real Property Disposal.
- n.* EO 13327, Federal Real Property Asset Management.
- o.* ER 405–1–11, Real Estate Acquisition.
- p.* PL No. 31, Real Estate Support to Civil Works Planning.

#### **54–5. Distribution**

- a.* Division and District Real Estate Chief.
- b.* MSC Commander.
- c.* Program Manager.
- d.* Project Delivery Team.
- e.* Project Manager.
- f.* Resource Providers.

### **Chapter 55**

#### **Reference Documents: Program Management Plan Content (REF8028G)**

##### **55–1. Scope**

*a.* This document describes the minimum, required content of the PgMP. Where processes and reference documents do not already include the terms PgMP and Program Leadership Team (PLT), the terms PMP and Project Delivery Team (PDT) must also include these meanings as needed.

b. Some elements of the PgMP may be duplicated from project to project, especially for similar or small projects. The PgMP may contain the elements common to all projects within a program and the individual PMPs could then refer to the PgMP for those elements. This document also provides the level of detail requirements for loading and maintaining data in PROMIS for current and future year's projects and programs. The level of detail required is based on the size, complexity, and availability of information of the individual project.

c. The data is used in analyses of workload and resource requirements by Project Managers (PMs), Program Managers (PgMs), Resource Providers, MSCs, Centers, and HQUSACE. It is also used in manpower requirements development.

d. Prior to developing a PgMP, [Project Planning: Project Management Plan/Program Management](#) Plan Development (PROC2000) should be performed/completed for a PgMP or at minimum in parallel with developing PMPs for subordinate projects. Ideally, it informs projects on the overall delivery of the program and should clearly state how projects support the delivery of the program as well as interdependencies/sequencing.

## **55–2. When a Program Management Plan May Be Required**

- a. When required by the stakeholder.
- b. When required by National PgM.
- c. When required by MSC programs and leaders.
- d. When needed to expedite project delivery outcomes.

## **55–3. Program Management Plan Minimum Content**

A PgMP, although similar to a PMP, takes a higher-level leadership role related to resources, governance, oversight, as well as shaping outcomes. Unless specifically stated in the PgMP, all projects governed by the PgMP must have a unique PMP that describes how that project will be delivered to the stakeholder(s). Individual PMPs may be shortened by incorporating the PgMP by reference and providing only such details that are in addition to the PgMP and as necessary to manage the project.

a. The following are considerations for grouping projects attributes under a program.

- (1) Multiple projects with same stakeholder.
- (2) Multiple projects of similar type.
- (3) Multiple projects in same geographic locations (base, structure).
- (4) Similar funding sources, business line, or program.
- (5) Labor and Acquisition for multiple projects falling under a PgMP is simple, largely task order-based, and repetitive.

b. The following items comprise the PgMP:

- (1) *Scope*.

(a) This may include Program Goals, Authorities, and Applicability based on stakeholder need (project definition, objective, identification of stakeholder(s), description of services to be provided, key products, authority, location, unique stakeholder requirements/concerns electronically stored within the PgMP).

(b) The [Project Planning: Project Scope and Stakeholder Requirements Definition \(PROC2010\)](#) will be an effort dealing with very general information based on experience for programmatic level projects and information from existing stakeholders for future projects with incomplete scopes. It can also include a group of services provided by a support organization.

(c) Program scope should describe the breadth undertaken in terms of geographic area, key stakeholders, stakeholder requirements, authority, type work or projects to be accomplished within the program, objectives of the program and referenced standards. The PgMP should explicitly note any exclusions from applicability to the PgMP.

(2) *Team Identification*. Where teams may also be known as Program Governance, Steering Committee, etc. The PgMP will provide the names and positions of those within the organization charged with oversight of the program, and a hierarchical structure for program governance. Limits of authority and alignment within the organization and organizational processes should be clearly defined. Program governance processes and procedures should be detailed within the PgMP. The team for future programs will consist typically of Division Chiefs and PgM/PM, refer to [Project Planning: Team Establishment \(PROC2020\)](#). These teams leading the program will be collectively referred to as Program Leadership Teams (PLTs).

(3) *Partnering*. EP 34–1–1, Construction Project Partnering Playbook (see [Appendix G](#)) defines steps necessary to build and maintain strong relationships and teams across the life cycle of project delivery through scalable processes and tools. Partnering, at the program level, is accomplished using the same steps as outlined in the Construction Project Partnering Playbook. This includes documenting agreed upon partnering strategies and activities within the Partnering Charter(s).

(4) *Critical Assumptions and Constraints*. Critical assumptions are considered to be true at the time the PgMP is written/updated and if changed, could cause major impact to the program. Constraints are items that limit the team's options and apply across the entirety of the program. All known critical assumptions and constraints that apply across the program should be contained within the PgMP.

(5) *Work Breakdown Structure*. Specifies the task and subtask necessary to fulfill the objectives of the program (not subordinate projects). WBS contained within the PgMP will be at a high level focused on programmatic products and services, as individual PMPs for subordinate projects will contain additional refinement and details as required within the WBS, refer to [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#).

(6) *Funding*.

(a) This may include sources, available budget, stakeholder requirements for requesting/receiving funds and reporting of expenditures, resource estimates, refer to Project Planning: Resource Estimate Development (PROC2040). This process is specific to projects, unless the Program receives funding specific for resources to manage programmatic activities, products, or services.

(b) The PgMP should describe program funding, the schedule for obtaining authority and appropriation of stakeholder funding, the method of obtaining or amending federal funding, restrictions to funding and any special considerations as might be encountered such as contributed funds.

(c) The PgMP should also describe required reports of obligations and expenditures with specified format, content and frequency, refer to [Reference Documents: Civil Works Program-Specific Information \(REF8010G\)](#), [Program-Specific Processes: Civil Works Program and Budget Cycle \(PROC7000\)](#) (that describes development, submission, capabilities and execution of CW's Program and Budget); [Reference Documents: Environmental Program-Specific Information \(REF8012G\)](#); [Reference Documents: Interagency and International Services Program-Specific Information \(REF8017G\)](#); [Reference Documents: Military Program-Specific Information \(REF8011G\)](#); [Reference Documents: Sustainment, Restoration, and Modernization Program-Specific Information \(REF8030G\)](#).

(7) *Schedule*. If actual funding exists for programmatic activities and if future program amounts are being scheduled, recommend loading a project in PROMIS to show how schedule will be progressed for programmatic activities and resources. The PgM must add a table to this section (see [Figure 55–1](#)) if the program has a regular set of meetings (sometimes referred to as a battle rhythm)/frequency of scheduled documentation requirements (charter, meeting agendas/minutes, line item reviews and actions) identifying when executive or working level teams confer on programmatic issues, please include in this section. Also refer to [Project Planning: Activity, Schedule Development, and Maintenance \(PROC2030\)](#) and [Project Execution, Monitor and Control: Project Execution and Control \(PROC3000\)](#).

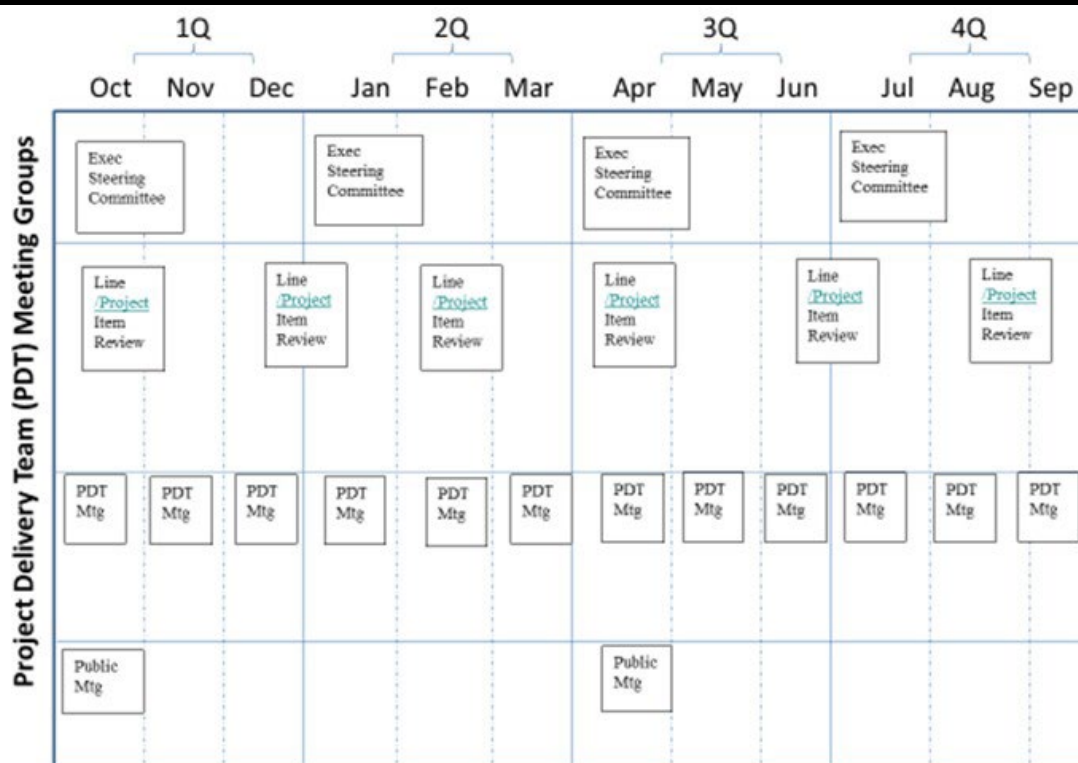


Figure 55–1. Suggested Battle Rhythm Framework



(8) *Project Quality Control Plan (QCP) and Objectives*. This may include stakeholder expectations, applicable Quality Management Plans, criteria, and regulations. A program QCP should only be included if it encompasses all projects or reference the next higher QCP, District/MS/Center/HQ or project QCPs, refer to [Reference Documents: Quality Management Plan \(REF8008G\)](#).

(9) *Acquisition Strategy Plan*.

(a) PgMPs need to refer to any restrictions or special processes to be used by teams performing projects or work within the Program. The PLT will develop the acquisition strategy that best meets the requirements for delivering the projects in the program. This will be documented in the PgMP and provided to the stakeholder for approval. Proposed changes to an approved PgMP acquisition strategy will be fully coordinated with the PLT prior to implementation.

(b) As an PgMP example, programmatic evaluation criteria for construction contractor selection will be developed by the PLT. The USACE PgMP will invite the stakeholder to participate in the development of evaluation criteria and in source selection evaluation boards. The PLT will coordinate with the stakeholder upon conclusion of market research. The acquisition strategy represents the best approach to method of accomplishment, whether it be in-house, A-E, construction, etc. This information will be used to develop the future need for contracts including: A-E Indefinite Delivery Indefinite Quantity (IDIQ) contracts, Construction IDIQ contracts, Multiple Award Task Order Contract (MATOC), Performance Oriented Construction Activity (POCA), or other multi-task/delivery order type contracts representing contract capacity.

(c) For individual projects, refer to [Project Planning: Acquisition Planning \(PROC2050\)](#).

(10) *Risk Management Plan*. Risk Management is a systematic process of identifying, analyzing, and responding to risk for the entire project life cycle. The level of detail of the Risk Management Plan within the PgMP should be commensurate with the extent to which similar risks apply to all projects within the program. PLT performing projects/work within the Program should evaluate their individual efforts to determine if additional risks exist. Refer to [Reference Documents: Risk Management Plan \(REF8007G\)](#).

(11) *Safety and Occupational Health (SOH) Hazard Analysis and Monitoring*. Refer to [Reference Documents: Safety and Occupational Health Plan \(REF8016G\)](#).

(12) *Change Management Plan*. This may include schedule/cost risk analysis, thresholds, how cost growth and other changes to the plan will be approved, what changes require stakeholder re-approval. Subject to programmatic change management requirements noted here, change management should be managed per local processes. A PgMP should provide details addressing deviations from local processes such as stakeholder approvals, particularly where local governments may require multiple readings to approve changes, refer to [Project Execution, Monitor and Control: Change Management \(PROC3010\)](#).

(13) *Communications Strategy*. How the team will communicate with the stakeholder(s) and each other, stakeholder's requirements for status reporting. Follow reference document instructions substituting "Program" for "Project." Refer to [Reference Documents: Communications Plan \(REF8006G\)](#).

(14) *Value Management*. The PgMP should either include wording that individual project PMPs adhere to VM guidance or contain direction for a programmatic study which requires the Value Engineering (VE) PgM and HQ Chief Value Officer (CVO) approval/signature on the VMP for concurrence and supervision to ensure the appropriate effort is being performed since this effort affects or applies to multiple projects or procurements.

(a) This effort is utilized when a program consists of a subset of similar projects that can be addressed by and are associated with a programmatic effort. Since the results from a programmatic effort are applied to other projects, the level of effort would typically be considerably more than a single project activity.

(b) The typical effort for this type of event would be 5 days and will likely include a larger study team. Programmatic study results must only be valid for 3–5 years since details can change significantly over the course of a few years. However, any substantial changes to the basis of the programmatic task will automatically trigger a new programmatic effort. The MSC Value PM must actively participate in all Programmatic Efforts (HQ CVO must participate for Engineering Centers) to ensure an appropriate level of effort and quality is achieved.

(c) Additionally, the PgMP should include the stakeholder definition of value to ensure alignment of intent. For Value Engineering Requirements, see the USACE Value Management/Value Engineering (VM/VE) program requirements published in ER 11–1–321, and the 2020 VE requirements narrative. For individual project specific value management plans, refer to [Reference Documents: Value Management Plan \(REF8023G\)](#).

(15) *Closeout Plan*. When the need for a program is past, the PgM is responsible to initiate and complete all activities to close out the program. The PgMP must indicate if a program is anticipating continuing into perpetuity (for example, CW O&M) or provide conditions under which the program must be considered completed. For programs with defined goals and ends, the PgMP must provide for closeout such that all projects, work, and activities within the program are physically and fiscally complete as follows:

(a) All projects, work and activities are completed and placed in service or transferred to the owner for O&M per [Closeout: Phase, Project, and Program Closeout \(PROC4000\)](#).

(b) Program is closed out per [Closeout: Phase, Project, and Program Closeout \(PROC4000\)](#).

(16) *Approvals*. Refer to [Project Planning: Project Management Plan/Program Management Plan](#) Development Approval (PROC2070). Page may include signatures of the appropriate levels of program governance hierarchy, as well as the individual project's PM and the stakeholder(s) and may be electronic.

(17) *Data Management Plan*. Refer to [Reference Documents: Geospatial Data Management Plan \(REF9270G\)](#).

(18) *Records Management Plan*. Refer to [Operating Processes: Program and Project Records Management \(PROC6004\)](#).

## **55–4. Distribution**

- a. Project Manager.
- b. Project Delivery Team.

- c. Program Manager.
- d. Resource Provider(s).
- e. Program Leadership Team(s).

## **Chapter 56**

### **Reference Documents: Geospatial Data Management Plan (REF9270G)**

#### **56–1. Scope**

Data Management is a process and standard for the collection and life cycle maintenance of data used by the Project Delivery Team (PDT) members, partners, and stakeholders. Data Management is also a key component to achieving quality data and ultimately a quality product or deliverable. Data Management utilizes the concept of an enterprise District repository for data with individuals responsible for maintenance/storage of data from all projects.

a. This concept reduces the collection of redundant data and provides a central location for PDT members to determine available information for a project. The concept of Data Management can extend outside the time frame of a single project PDT.

b. While the guidance here is not limited to geospatial data, geospatial data does have unique Data Management requirements that need to be addressed throughout a project's life cycle. For a complete definition of geospatial data see EM 1110–1–2909, Chapter 1.

#### **56–2. Responsibilities**

- a. The Project Manager is responsible for:
  - (1) Ensuring the PDT prepares a project Data Management Plan (DMP).
  - (2) Approving the DMP and publish it with the PMP.
  - (3) Budgeting for and funding geospatial data acquisition, processing, and management as identified in the DMP.
- b. The District Geospatial Coordinator is responsible for:
  - (1) Working with Supervisory chain to assign a Geospatial Lead to the PDT.
  - (2) Training Geospatial Specialists and Technicians to perform as Geospatial Leads.
  - (3) Informing the Geospatial Leads and Geospatial Technicians of current geospatial data standards.
  - (4) Helping Geospatial Leads prepare project DMPs.
  - (5) Reviewing and signing DMPs and recommending approval to PMs.
  - (6) Checking geospatial work to verify it meets applicable standards.
  - (7) Managing the District geospatial data Authoritative Source Repository (ASR).
  - (8) Serving as Geospatial Lead, when assigned.
- c. The Lead Engineer (LE) is responsible for:
  - (1) Reviewing the DMP and recommending approval to the PM.
  - (2) Supervising geospatial work execution with support from the Geospatial Lead and District Geospatial Coordinator.
  - (3) Leading QA review of geospatial work.
- d. The Geospatial Lead is responsible for:

- (1) Preparing the DMP and reviewing it with the PDT and District Geospatial Coordinator.
- (2) Submitting the DMP to the LE for review and to the District Geospatial Coordinator and PM for approval.
- (3) Performing the data coordination tasks identified in the DMP.
- (4) Working with the PM to determine level of effort for Computer Aided Design/Building Information Modeling (CAD/BIM) and ProjectWise Management
- (5) Developing geospatial products as assigned.
- (6) Facilitating data sharing among the Geospatial Technicians assigned to the project.
- (7) Performing QA of data produced by other PDT members, the contractor, other District, or other Agency.
- (8) Ensuring that all geospatial products meet applicable data standards and include metadata.
- (9) Tracking and reporting geospatial work production status.
- e. The Geospatial Technician is responsible for:
  - (1) Producing geospatial products (CAD, BIM, Geographic Information System (GIS), survey, remote sensing, etc.) that comply with the PMP, DMP and other applicable standards.
  - (2) Sharing current geospatial data.
  - (3) Working with the Geospatial Lead and District Geospatial Coordinator to maintain project data in the District geospatial ASR.

### **56–3. Importance of Data Management**

Along with DoD and Army directives, the USACE Data Strategy 2020 directs USACE to treat data as an asset through sound management, documentation, and curation practices. Project data management is a critical component to project delivery success and drives informed and consistent decision-making at all levels in USACE. To support USACE's enterprise data strategy, the full business value of data investments which are essential for informed data driven decision-making and innovation must be captured and funded through the life cycle of the project to include archived costs through project closeout.

### **56–4. Upward Reporting to Enterprise Systems**

Data produced through project management and execution is a critical asset not only to the project, but also to the success of enterprise systems. Many enterprise systems rely on project specific data being entered or uploaded to ensure data is current and consistent at all levels in USACE. For example, if land surveys are performed as part of the project, the geodetic control and survey should be documented and uploaded to USMART as directed in ER 1110–1–8170. If land is acquired or disposed of as part of a project, Real Estate Management Information Systems (REMIS) and REMIS Geospatial needs to be updated to reflect those changes as well as project locations and boundaries updated in Corps Project Notebook as directed in ER 5–1–18.

## 56–5. Data Management Plans

a. The DMP is an integral part of the PMP, as it serves to actively manage project specific data while also ensuring retention and availability of an enterprise asset. The DMP is developed in the iterative Project Planning Phase and should address data management for the life cycle of the project – a project spans from initial data searches/collection, supplemental data collection, use of data, database management, and storage of data after completion of the project.

b. Every Project must have a DMP or be addressed in an overarching District data management strategy. The DMP scope and procedures should be consistent with the size, complexity, and nature of the project. The project PDT will identify initial data requirements and determine the level of effort for the DMP recognizing that additional requirements may be identified through the life cycle of the project and the DMP may need to be updated. The PDT may determine that the project data is minimal, and it is covered under the Districts overall DMP/Geospatial Information and Services (GI&S) data management strategy.

## 56–6. Project Geospatial Process and Forms

a. *Start.* At the start of the PMP development process, the PM and LE will consult with the District Geospatial Coordinator to assess the geospatial work scope and, if appropriate, will assign a Geospatial Lead. Generally, the Geospatial Lead will be a PDT member with a major production role. The District Geospatial Coordinator may serve as a Geospatial Lead and perform combined duties.

b. *Prepare.*

(1) The Geospatial Lead and District Geospatial Coordinator will prepare a project DMP using the template (see example in [Table 56–1](#)).

(2) The DMP will be specific to the project geospatial scope. The scope and budget will be coordinated with the functional supervisors and PDT members performing the geospatial work. The LE will review the DMP and, when complete, forward it to the PM and District Geospatial Coordinator for approval.

**Table 56–1**  
**Example Data Management Plan Template**

Data Management Plan Template
1. Date:
2. District:
3. Project Title/Name:
4. PROMIS Project Number:
5. Project Type:
6. Project Location (Latitude/Longitude Coordinates):
7. Geospatial Lead:
8. Project Manager:
9. Approvals: Indicate DMP approval with digital signature below. (Right click on signature line and select "Sign Document.")

District Geospatial Coordinator	Project Manager
X	X
Block 5: Project Type: Civil Works, Environmental, Military, Other	

c. *Implement.* The PM will publish the DMP with the PMP. Geospatial tasks will be integrated with the overall schedule and budget. The approved DMP will be transmitted to the PDT members and stored in Web Corporate Management Information (CMI). The PM will fund the geospatial tasks in PROMIS as indicated in the DMP. The Geospatial Lead will ensure the effective exchange storage and maintenance of project-specific geospatial data. The PDT will periodically review the status and quality of the geospatial work.

d. *Finish.* Prior to Project Closeout Phase, the Geospatial Lead and District Geospatial Coordinator will ensure the final geospatial data is complete and fully stored in the District geospatial database files. Final CAD/BIM documents should be filed in District ProjectWise appropriate folders.

## 56–7. Data Coordination

The Geospatial Lead will check for existing geospatial data usable for the project prior to finalizing the acquisition strategy for new data. The Geospatial Lead will perform the coordination checks shown in [Table 56–2](#). The Geospatial Lead will reformat as needed any usable existing data.

**Table 56–2**  
**Data Coordination Checks**

Other District Functions: Planning, Operations, Real Estate, etc.
Other USACE Districts
Stakeholders (Internal and External)
Civil Works Business Intelligence/CorpsMap Data Catalog
Army Geospatial Center
Federal Geospatial Platform
U.S. Interagency Elevation Inventory
3D Elevation Program (3DEP)
Other Data Coordination Checks: (List below)

## 56–8. Acquisition Strategy

a. The Geospatial work components for the project with their associated acquisition methods, geospatial production leads, and work budgets are shown in [Appendix D](#). See the schedule section of the PMP for planned work timelines.

b. *Geospatial Datasets.* The required geospatial datasets for the project with their associated collection methods, format, and standards are shown in [Appendix D](#).

## 56–9. Quality

The LE and District Geospatial Coordinator will plan and implement effective QA/QC for geospatial products from all sources. Geospatial products will be included in formal quality reviews with comments recorded in Dr. Checks reports.

## 56-10. Records

At a minimum, each approved DMP will be stored electronically with the PMP in the project ePMP folder in Web CMI.

## 56–11. Additional Requirements

At any time during project delivery additional geospatial requirements may be added by USACE or project stakeholders (Table 56–3).

**Table 56–3**  
**Additional Geospatial Requirements**

Describe any other geospatial requirements specific to the project not addressed in other forms

## 56–12. Distribution

- a. District Geospatial Coordinator.
- b. Geospatial Lead.
- c. Geospatial Technical Project Manager.
- d. Lead Engineer.
- e. Project Delivery Team.
- f. Project Manager.

## Chapter 57

**Reference Documents: Sustainment, Restoration, and Modernization Program-Specific Information (REF8030G)**

## 57-1. Scope

- a. This reference document describes aspects of the Project Delivery Business Process (PDBP) specific to projects falling under the Installation Readiness Division (IRD) for sustainment, restoration, and modernization (SRM). This category of work provides reimbursable assistance to DoD agencies and organizations, including the Military Services. It does not include the following:
- (1) Projects funded by non-DoD agencies,
  - (2) USACE CW appropriations,
  - (3) DoD Real Estate activities, or
  - (4) Environmental-related activities.



b. Under this program, USACE applies SRM core competencies and technical capabilities. While SRM projects generally follow the same business processes as other USACE projects, the scope and scale of SRM projects for recurring stakeholders does allow for streamlining of processes and is authorized as outlined below. IRD will distribute programmatic guidance on a regular basis to assist Districts and Centers in managing the SRM program and related data.

## **57–2. Definitions and References**

a. *DoD Definition – Sustainment, Restoration, and Modernization (SRM).* DoD 7000.14–R, Financial Management Regulation (FMR), Volume 2B Chapter. 8 paragraph 1.5.

(1) Sustainment means the maintenance and repair activities necessary to keep an inventory of facilities in good working order.

(2) Restoration means the restoration of real property to such a condition that it may be used for its designated purpose. Restoration includes repair or replacement work.

(3) Modernization means the alteration or replacement of facilities solely to implement new or higher standards, to accommodate new functions, or to replace building components that typically last more than 50 years.

b. *Statutory Definition – Repair of Facilities.*

(1) 10 United States Code (U.S.C) § 2811.

(2) To restore a real property facility, system, or component to such a condition that it may effectively be used for its designated function purpose.

(3) To convert a real property facility, system, or component to a new functional purpose without increasing its external dimensions.

c. *Statutory Definition – Unspecified Minor Military Construction (UMMC).* Using Appropriations Available for O&M and Laboratory Revitalizations Using Appropriations Available for O&M.

(1) 10 U.S.C § 2805 (c) and (d).

(2) Services may spend from appropriations available for O&M amounts necessary to carry out an unspecified minor MILCON project costing not more than \$2,000,000 (such as, new construction limit).

(3) For the revitalization and recapitalization of laboratories Services may obligate and expend from appropriations available for O&M, amounts necessary to carry out an unspecified minor MILCON project costing not more than \$6,000,000.

(4) Note: for the purposes of this document and project execution, UMMC project funded by appropriations available for O&M will be administered in the same manner as SRM projects under 10 U.S.C. § 2811. From here on, all projects will be simply referred to as “SRM.”

d. *Other Statutory Requirements or Regulations.*

(1) 31 U.S.C § 1341, Limitations on Expending and Obligating Amounts, also referred to the “Anti-Deficiency Act.”

(2) 31 U.S.C. § 1535, Agency Agreements, also referred to as the “Economy Act.”

(3) 31 U.S.C. § 1552, Procedure for Appropriation Accounts Available for Definite Periods.

(4) 31 U.S.C. § 1553, Availability of Appropriation Accounts to Pay Obligations.  
(5) 41 U.S.C. § 6307, Orders or Contracts for Material Placed with Government-Owned Establishments Deemed Obligations, also referred to as “Project Order Authority.”

(6) DoD 7000.14–R, FMR, Volume 3, Chapter 10, Accounting Requirements for Expired and Closed Accounts.

(7) DoD 7000.14–R, FMR, Volume 11A, Chapter 3, Economy Act Orders.

(8) DoD 7000.14–R, FMR, Volume 11A, Chapter 2, Project Orders.

(9) DoDI 4000.19, Support Agreements.

(10) Army Management Structure Guide. <https://www.asafm.army.mil/DFAS-Guidance/Army-Management-Structure-Guide/>.

*e. Service Policies.*

(1) AR 420–1, Army Facilities Management.

(2) DA PAM 420–11, Project Definition and Work Classification.

(3) AFI 32–1032, Planning and Programming Appropriated Fund Maintenance, Repair, and Construction Projects.

(4) Chief of Naval Operations Instruction (OPNAVINST) 11010.20H, Navy Facility Projects.

(5) Marine Corps Order (MCO) 11000.5, Facilities Sustainment, Restoration, and Modernization.

*f. USACE Policies.*

(1) Governance documents can be found under HQUSACE Published Operation Orders. Memorandums may be searched on by year by going to Director’s Policy Memorandums at <https://team.usace.army.mil/sites/HQ-MP/MOI/default.aspx>.

(2) SRM Execution Guidance – Daily Tasking Order (DTO) 20–08–12, Director’s Policy Memorandum 2020–04, Military Programs Sustainment, Restoration, and Modernization (SRM) Simplified Project Execution Using Risk-Informed Decisions.

(3) SRM Data Guidance – Military Programs (MP) specific information on data requirements and milestones, DTO 2020–09–29, Director’s Policy Memorandum 2020–05, MP Data Requirements and Minimum Data Elements (PROMIS/RMS), Appendixes D, E, and G (Appendix C can be used for large SRM projects greater than \$15M).

(4) ER 1140–1–211, Support for Others, Reimbursable Services.

(5) Reimbursable Orders Policy – Director, Resource Management (RM) Memorandum, CERM-F (2019–25), Update to Reimbursable Orders Policy.

**57–3. SRM Work Acceptance (Refer to [Project Initiation: Work Acceptance \(PROC1000\)](#))**

New SRM projects for an existing stakeholder within the District or Center’s AOR or mission assignment may be accepted through the standard work acceptance process. However, SRM projects must adhere to the following guidance, in this section and the following sections, to accurately identify, account for, and report program/project status and health.

*a. Installation Readiness (IR) Program and Budget Process.*

(1) SRM projects are identified, programmed, and budgeted by our stakeholders using funds available for O&M. These projects are generally executed under the

“Economy Act” (31 U.S.C. § 1535). Under the Economy Act, stakeholders choose to use USACE to execute the project on their behalf. DoD is currently transitioning to use of the Government-Invoicing (G-Invoicing) system to execute reimbursable work. This is a U.S. Department of the Treasury owned system, which all federal agencies must use to process intergovernmental transactions (IGT). USACE offices enter into support agreements with stakeholders/requesting agencies using Treasury Form FS–7600A to establish the General Terms and Conditions (GT&C) and Treasury Form FS–7600B/DD448 to place the “Order.”

(2) Generally, USACE is not involved in the programming and budget process for the stakeholder, unless specifically tasked, and funded, to support the stakeholder. IRD will distribute programmatic guidance on a regular basis to assist Districts and Centers in managing the SRM program and related data. See ER 1140–1–211 for guidance on accepting and managing reimbursable orders.

*b. Project Authorization.*

(1) Authorization can come in several forms but must include a description of the project scope, work classification, authorized dollar amount and be signed by an authorized individual. On Military installations, this will typically be the Installation Commander, or the Commander’s delegee, commonly the Director of Public Works/Base Civil Engineer/Public Works Officer.

(2) For projects greater than \$7,500,000, the service Secretary, or delegated official, is the approval authority and congressional notification is required per 10 U.S.C. § 2811. The cost of repair/cost of replacement ratio is also a factor when determining project approval authorization and is set by individual Service or Agency policy.

(3) Projects must be approved prior to advertising a contract solicitation, or have authorization from the Service Secretary, or delegated authority, to advertise the project concurrent with the approval process.

**57–4. Initiating a SRM Project in PROMIS (Refer to [Project Initiation: Initiating a Project in PROMIS \(PROC1030\)](#))**

Project initiation is the most important part of the SRM process. Accurate project tracking, reporting, and Program Management are contingent on the project being properly entered into USACE’s automated information systems (AIS) (such as, PROMIS, CEFMS II, Resident Management System (RMS)), per Director’s Policy Memorandum 2020–05, MP Data Requirements and Minimum Data Elements (PROMIS/RMS), Appendixes D, E, and G. For projects exceeding \$2,000,000, assigned from a centrally funded stakeholder list, or having significant importance to the stakeholder, the following requirements will be adhered to:

*a. Unique PROMIS#, or Project Number.* Director’s Policy Memorandum 2020–05 provides guidance on establishing PROMIS #s. Projects should follow the principle of “one stakeholder project-one PROMIS project relationship.” The memo outlines when it is acceptable to deviate from this principle.

*b. Project Title.* All projects will be initiated with the same project title designated by the stakeholder on the project approval form, or work classification. Districts and Centers are highly discouraged from using USACE developed or created project titles. Stakeholder alignment is essential in all aspects of a project.

c. *Required Milestones.* Director's Policy Memorandum 2020–05, MP Data Requirements and Minimum Data Elements (PROMIS/RMS), Appendixes D, E, and G define the minimum milestones for SRM projects. (Appendix C can be used for large SRM projects). See the sections below for further details.

d. *Stakeholder Project Identifying Information.* When a project is initiated, Project Managers (PMs) must include the following project identifying information from the stakeholder:

(1) *Installation Location.* This is designated as the Army Location Code (ARLOC) in various systems. It is important to use exact ARLOC coding for each project and that the latitude/longitude is entered to assist in geolocating the project.

(2) *Stakeholder Project Number.* Entering the stakeholder's project number allows USACE to share information and promotes integration with stakeholder reporting requirements.

(3) *Major Command.* Entering and identifying the Major Command allows USACE to report progress to major stakeholders and end users who may not be the funds provider (for example, U.S. Army Forces Command). PMs need to understand the organization structures of the stakeholders and end users USACE serves to better understand the purpose of a project and who is the ultimate beneficiary of the work. HQUSACE conducts program/project reviews with key major commands. USACE MSCs, Districts, and Centers are encouraged to do so likewise.

(4) *Program Year (PY).* The PY is the Fiscal Year (FY) in which the project is funded for construction execution, or planned FY of construction. This may not be the same year in which it was initiated in any USACE system or the year the design was funded if Design-Bid-Build. The year of initiation may be carried forward as a planned FY until the year of execution is confirmed. Once confirmed all previous years referenced must be updated to reflect actual execution as the PY.

(5) *Stakeholder Programmatic Coding.* The list below shows the Army designations, but each Service or Agency has comparable coding that can be found in the line of accounting (LOA) on the Military Interdepartmental Purchase Request (MIPR) or obtained from the stakeholder. See the "Receipt of Funds" section below as well since the USACE "carrier appropriation" system will convert both Army and non-Army stakeholder information to an USACE authorized carrier appropriation that uses Army designations. District and Center Resource Management (RM) should know how to properly enter MIPR source information, refer to [Reference Documents: Work Management – Financial Management Interface \(REF8014G\)](#). PMs must understand the terms below to ensure data quality in initiating and tracking a project.

(a) *Management Decision Package (MDEP).*

- MDEP is an Army budget term. It is a construct to group resources for Army programs and is designated with a 4-digit alphanumeric code used to describe a particular Army organization, program or function and records the resources associated with the intended output.

- PROMIS is loaded with a portion of Army assigned MDEPs. However, the list is not complete and generally contains the carrier account/financing (see below) MDEPs. The Defense Financial Accounting Service (DFAS) maintains the most up to date MDEP list. MDEP coding is one of the most important parts of project identifying information. It is how the Army tracks projects the Headquarters, Department of the Army (HQDA) programming level and at the Landholding Command Level (LHC). Districts and Centers will use the MDEP found on the MIPR/FS-7600B LOA to track projects. Other services and agencies have equivalent codes for their projects that can be found using DFAS reference guides or consulting the stakeholder.

*(b) Army Management Structure Code (AMSCO).*

- Also referred to as the Project Code. The AMSCO is a data element not to exceed 11 digits. It is the common language for interrelating programming, budgeting, accounting, and manpower control through a standard classification of Army activities and functions.

- The first three numbers of the AMSCO are referred to as the sub-activity group (SAG) and is often how stakeholders refer to the type of project to be executed. PROMIS is loaded with a portion of Army assigned AMSCOs. However, the list is not complete and generally contains the carrier account/financing (see below) AMSCOs. DFAS maintains the most up to date AMSCO list.

- Districts and Centers will use the AMSCO found on the MIPR/FS-7600B LOA to track projects. Other services and agencies have equivalent codes for their projects that can be found using DFAS reference guides or consulting the stakeholder.

*e. PROMIS Funds Type Code.*

(1) There are over 40 appropriations and Working Capital Fund (WCF) sources available for use on SRM projects. PMs must understand the source of the funding received. Assignment of the correct PROMIS Fund Type Code is critical for accurate project tracking and reporting.

(2) PROMIS Funds Type Codes are derived from the fund source appropriation code, not by the location of the project. For instance, an O&M, Air Force (OMAF) appropriation may be used on a Joint Base assigned to the Army. The Fund Type Code will follow the Air Force LOA and be assigned Fund Type Code “24,” not the O&M, Army (OMA) Fund Type Code “14.” Director’s Policy Memorandum 2020–04, Military Programs SRM Simplified Project Execution Using Risk-Informed Decisions, Appendix D contains a list of the commonly used fund sources, appropriation numbers, and corresponding PROMIS Funds Type Code.

*f. Automated Project Initiation Form (AutoPIF).* To improve data quality, PMs are encouraged to use the AutoPIF tool to generate Project Initiation Forms which will help improve the quality of data being input into PROMIS. This system replaces the PDF and Excel versions under Military Programs. As the PM fills out the PIF, the tool will filter down the list of values to make it faster to complete the PIF and improve the data quality. As the program changes, HQUSACE will be able to quickly modify the AutoPIFs to adopt new business rules, like new Military Fund Type Codes. AutoPIF assist users in providing a point-and-click ability to capture the Latitude and Longitude and provides the list of required milestones for the project. The AutoPIF is part of the USACE Enterprise Reports Website located at <https://reports.usace.army.mil>.

## **57–5. Receipt of SRM Funds (refer to [Project Initiation: Receipt of Funds \(PROC1040\)](#))**

For new contract obligations, project funding can come from a variety of sources available for O&M. See Appendix D of Director’s Policy Memorandum 2020–04, SRM Simplified Project Execution Using Risk-Informed Decisions for a list of common appropriations and fund sources. It is essential for PMs to work with their RM Analyst to accept and properly account for funds received. The terms and concepts in the subsections below are fundamental to understanding how funds are sourced, received, and managed. Accurate SRM project reporting hinges on the PM’s understanding of these concepts.

*a. Source Funds Available for SRM.* At project acceptance, ensure the stakeholder funds provided are correct for the intended purpose and “bona fide need” requirements are met. Verify the funds are in the period of availability for obligation for new awards and the funds expiration date, usually 30 September, has not passed. O&M type funds expire after the period of availability for new obligations. The period of availability is:

(1) *One (1) year for O&M funds.* O&M type funds make up the majority of USACE’s SRM workload. Expire on 30 September of the FY of the appropriation.

(2) *Two (2) years for Research, Development, Testing and Evaluation (RDT&E) funds.* Expire at the end of the second year after the year of appropriation (for example, FY22 RDT&E funds expire 30 September 2023).

(3) *Three years (3) for procurement funds.* Expire at the end of the third year after the year of appropriation (for example, FY22 procurement funds expire 30 September 2024).

(4) *Working Capital Funds (WCF), or revolving funds.* Are “no year” type funds and do not expire. However, WCF have specific requirements each District or Center must follow when used.

(5) *Note:* Each of these appropriations or fund sources above have specific rules that must be followed to avoid a potential Anti-Deficiency Act (ADA) violation as noted in sections 57–7 and 57–10.

*b. Carrier Appropriation/Account Rules.*

(1) Most SRM projects are accepted under reimbursable orders (for example, Economy Act Orders). PMs need to be familiar with USACE’s Reimbursable Orders Policy under CERM-F Memorandum 2019–25. By policy, USACE RM uses a “carrier” appropriation, or “financing appropriation,” to carry the source funds provided by a stakeholder.

(2) For military appropriations, USACE uses the OMA or MILCON appropriations for “automatic reimbursable” authority. However, the CERM-F memorandum specifically requires OMA “construction work” to be carried/financed as MILCON. As such, the source LOA information on the MIPR will be transformed into something entirely different in CEFMS II. In most cases, the source MDEP and AMSCO, or other Service/Agency equivalent, will be converted to a corresponding USACE MDEP and AMSCO. In some cases, for Army projects, it may retain its source OMA designation but be assigned a different MDEP and AMSCO. Likewise, appropriations from other Services or DoD Agencies will have their source LOA data transformed into USACE carrier appropriations.



(3) During this process, SRM data becomes co-mingled in the data reporting systems with other reimbursable work from Real Estate, Environmental, or Interagency and International Services (IIS). The net effect of this is the stakeholders' source programming data is lost or obscured making it programmatically impossible to track or report SRM data without extreme manual effort to filter out non-SRM data. RM is required to properly record the source appropriation data in CEFMS II, but this does not always happen or may be wrongly entered. In some rare cases, the stakeholder's financial/RM personnel may omit certain data.

(4) It is incumbent upon the PM to ensure RM records the source appropriation data accurately, to include project identifying data (particularly the MDEP). See ER 1140-1-211 for guidance on accepting and managing reimbursable orders.

c. *Funds Assurance Statements.* Projects cannot be accepted or advertised without sufficient funds received from the funding stakeholder. However, projects can be advertised in advance of funds receipt if the stakeholder's authorized official issues a funds assurance statement per the Army Federal Acquisition Regulation Supplement (AFARS) 5132.702(a)(i) and (ii) (or comparable supplements from other services).

#### **57-6. SRM Project Management Plan Development (Refer to [Project Planning: Project Management Plan/Program Management Plan Development \(PROC2000\)](#))**

SRM projects are diverse. Projects can range from non-complex to very complex. Some projects have straight-forward requirements, shorter periods of performance, lower risk, and fewer stakeholders. These conditions may warrant the use of simplified PMPs based on standard templates which primarily reference sections of an approved PgMP.

a. *Standard Project Execution.* For projects of higher risk and complexity, refer to [Reference Documents: Project Management Plan Content](#) (REF8005G) and [Reference Documents: Program Management Plan Content](#) (REF8028G) for general guidance on PMPs and PgMPs.

b. *Simplified Project Execution.*

(1) The relative lower cost, risk, and complexity associated with some SRM projects, justifies scaled implementation of the USACE PDBP, and other regulations and policies. This policy intends that District and Center functional leaders will recognize low risk projects that may not benefit from the existing mandated procedure and will execute such projects in a more efficient manner suitable to the project. It intends to encourage a risk-informed decision analysis to be implemented by responsible professional functional leadership at each District and Center.

(2) Director's Policy Memorandum 2020-04, Military Programs SRM Simplified Project Execution Using Risk-Informed Decisions, provides for a simplified project delivery approach to the execution of low risk SRM projects.

- Many project pre-award processes can be streamlined or expedited using the authorizations allowed under this memo.
- This includes streamlining of the Biddability, Constructability, Operability, Environmental, and Sustainability (BCOES) review, Independent Government Estimate (IGE), and Value Engineering (VE) (refer to [Reference Documents: Value Management Plan \(REF8023G\)](#)).



- The memo's guiding principles intend the level of effort required to execute a project is commensurate with the level of technical complexity and risk posed by the work of the project. It intends the exercise of sound professional judgment consistent with our engineering values, without sacrificing quality; life, safety, and health expectations; or life cycle cost considerations. This document can also be inferred to authorize streamlining of PMPs/PgMPs for these types of projects.

(3) Reviews and approvals above the District and Center level are not required.

#### **57–7. SRM Project Scope and Stakeholder Requirements Definition (Refer to Project Planning: Project Scope and Stakeholder Requirements Definition (PROC2010))**

a. Clearly identify organizations and individuals who have authority to approve project scope details and work classification. SRM projects have scope descriptions in the approval documentation (DD1391 or comparable documents). Project details are verified during site visits and in reviews of available as-built drawings.

b. It is not uncommon for SRM projects to include a mix of work classifications. New construction, or new footprint (10 U.S.C. § 2805(c) and (d)), can be comingled with repairs (10 U.S.C § 2811) and equipment.

c. Beware; it is easy to exceed certain thresholds on SRM projects during the scope development and requirements phase of a project resulting in “purpose, time, or amount” violations that could potentially result in violations of the ADA. Per 10 U.S.C § 2805 (c) and (d), there are dollar thresholds that cannot be exceeded when using funds available for the purpose of O&M on new construction, or laboratory revitalizations, regardless of whether the construction is combined with other types of work classification.

d. The project approval authority must provide written verification that the project meets all statutory and work classification requirements for the scope to be valid and is a bona fide need in the year of the requirement.

(1) *Bona Fide Needs Rule.*

(a) Government agencies may not purchase goods or services they do not require. As such, the bona fide needs rule is a fiscal law timing rule that requires both the timing of the obligation and the bona fide need to be within the fund's period of availability. The bona fide need is the point in time recognized as the moment when a government agency becomes authorized to obligate funds to acquire a particular good or service based on a currently existing requirement.

(b) Agencies may only obligate funds to fill a requirement once the bona fide need exists and may only use current funds for new obligations while the bona fide need exists.

(c) The bona fide need must be determined by the requesting agency before it obligates funds. A bona fide needs analysis is separate and distinct from an analysis of the contract scope or specifications and whether they are a legitimate expression of the requesting Agency's minimum requirements.

(2) *Work Classification.* Work Classification approval is the responsibility of the real property owner or requesting Service/Agency. It is not the responsibility of USACE to generate or approve the work classification. However, PMs must ensure that a work classification is submitted with each project. DA PAM 420–11 provides guidance on work classification. The Army uses DA Form 4283 to classify the type of work. Other services and agencies have similar guidance and forms. SRM type projects are vulnerable to improper work classifications. An improper work classification could result in a potential ADA violation. *Note:* USACE is not authorized to approve projects or certify work classification for non-USACE funded projects.

#### **57–8. SRM Activity/Schedule Development/Schedule Maintenance (Refer to Project Planning: Activity, Schedule Development, and Maintenance (PROC2030))**

This section provides specific information on the WBS, milestones, activity templates, and comments used on SRM projects. Ensure minimum data requirements are adhered to per Director's Policy Memorandum 2020–05, as noted above and below.

a. *Work Breakdown Structure.* SRM projects will follow the WBS established for the type of work that is being accomplished by the project. Vertical construction (Military facilities type) will follow the Military Program WBS. Technical Services (non-construction-related services) will follow the Non-Construction Related Services WBS. For the “One Stakeholder Many Projects” on one PROMIS Project scenario (“Catch-all”) listed in Appendix D of the Director's Policy Memorandum 2020–05 Minimum data requirements, adherence to each project being an individual WBS is important for project tracking.

b. *Milestones.*

(1) Recommended and required Milestones for the SRM projects will follow the milestone format established for the type of project. Vertical Construction projects will generally follow the Military Program milestones format, and the Technical Services projects will follow the Non-Construction Related Services format.

(2) The milestones will be developed in PROMIS and displayed as zero duration events marking the start or completion of a significant product or service. As a best practice, milestones will be defined and recommended for use in conjunction with each element of the WBS for the benefit of the PDT District-level management. Required, or upward-reportable, milestones will also be indicated to satisfy corporate data needs at the MSC and HQUSACE levels.

(3) Executing Districts/Centers must comply with the Appendixes D, E, and G in the Military Programs Director's Policy Memorandum 2020–05, Military Programs Data Requirements and Minimum Data Elements (PROMIS/RMS), and all subsequent amendments to facilitate communications and reporting.

c. *Activity Templates.* Many Districts develop Activity Templates to assist in the establishment of projects within PROMIS to satisfy the Program and Project management needs of the various SRM project types. Districts must ensure that all mandatory milestones are represented and that the templates reflect accurate schedule logic.

d. *Comment Fields.* Comment field definitions are provided below to inform PMs on the multitude of options for entering project comment information. Project Comment information is vital to our organizational reporting tools. For SRM projects above \$7,500,000 or listed in the Army Facilities Improvement Program (FIP), or as directed by HQUSACE, Program and PMs are expected to enter project status comments to facilitate upward reporting to USACE senior leaders and stakeholders who fund the projects. In PROMIS, Work Plans and Documents (WPs & Docs) fields for capturing comment (text) information can be assigned at the project, WBS, or activity level (or at multiple levels). PROMIS WPs & Docs fields at the project level will be included, but not be limited to:

(1) *Status.* Brief status of the project for use in reports. PRIMARY PROMIS field pulled into all USACE Reporting tools. (This field is NOT to be used to discuss project issues.)

(2) *Synopsis.* A short project description (paragraph or less) used in reports, Fact Sheets, etc.

(3) *Detailed Project Scope.* Complete details of the scope of the project as defined in the PMP or as provided by the stakeholder. This field will be updated to reflect the current agreement with the stakeholder on the scope of the project as the PMP is updated or revised.

(4) *Issues for HQUSACE/Stakeholder.* Issues that are included in upward reporting and reports to the stakeholder.

(5) *Issues for Internal Use Only.* Issues that are for use within a District/Center prior to their release to HQUSACE or the stakeholder, such as issues to be addressed by the Program Management Review (PMR). These issues may be resolved without release to HQUSACE or the stakeholder. Activity-level notebook fields will also be used to capture additional, product-specific scope-of-work information to supplement or support activity development and resourcing.

(6) *Note:* Military Programs Business Intelligence Team has also introduced a Comment Tracking tool that can be utilized throughout the enterprise for all Military Programs Projects. The comment tracking tool has been added to the USACE Enterprise Reports site and it allows HQs and MSCs to make comments to projects for reports such as the MILCON Automated Quad sheets. District Comment functionality is included as well. More information can be found here: [Military Programs Comment Tracking Process - USACE Wiki \(army.mil\)](https://wiki.usace.army.mil/Military_Programs_Comment_Tracking_Process), or [https://wiki.usace.army.mil/Military Programs Comment Tracking Process](https://wiki.usace.army.mil/Military_Programs_Comment_Tracking_Process).

#### **57–9. SRM Project Management Plan/Program Management Plan Approval (Refer to Project Planning: Project Management Plan/Program Management Plan Development Approval (PROC2070))**

Small projects and projects executed under Director's Policy Memorandum 2020–04 Military Programs Sustainment, Restoration, and Modernization, Using Risk-Informed Decisions, can be approved internally within USACE. Stakeholder signatures are not required. However, the District or Center should send the PMP/PgMP for stakeholder review and annotate the project file with a memorandum for the record or an email read receipt as confirmation, refer to Operating Processes: Program and Project Records

Management (PROC6004). It is up to the District or Center to set the local policy on how this is done. Higher level approvals, or reviews, are not required.

**57–10. SRM Change Management (Refer to Project Execution, Monitor and Control: Change Management (PROC3010), and Reference Documents: Change Management Plan (REF8009G) for additional information)**

Change Management Plans should be specific to the types of funds used on SRM projects.

*a. Funds Identification.* Project changes normally occur after the period of availability for the type of appropriation used. Per section 57–5, this is called the “expired” period, which lasts five (5) years. During the expired period, in-scope, “antecedent liability” changes or modifications must be funded with same year funds as used to make the original obligation. After the five (5) year expiration period the funds are “canceled” or “closed” and returned to the U.S. Treasury.

(1) *Antecedent Liability.* This term refers to when the government’s liability arises, and is enforceable by the contractor, under a provision in the original contract (for example, the Changes Clause).

(a) The government has a unilateral right under the terms of the original contract to direct the contractor to perform the work and the contractor has a right under the terms of the original contract to seek additional payment for performing the work. In this case, a within-scope price adjustment that is requested and approved during the fund’s expired period will be charged against the appropriation current at the time the contract was originally executed.

(b) However, not all price adjustments arising from contract modifications or amendments represent a bona fide need of the year in which the agreement was made. If the change or modification exceeds the general scope of the contract or is not made according to a provision in the original contract, then it is not based on any antecedent liability, in which event it may obligate only appropriations current at the time it is issued (such as current year funds (CYF)). The sections below go into more detail.

(2) *Bona Fide Needs Rule for Changes/Modifications.* PMs must work with their RM Analyst, Contracting Officer, and Legal to ensure the funds used are correct for the intended purpose and that bona fide need requirements are met as noted in section 57–7. Each of the appropriations or fund sources noted in section 57–5 have specific rules that must be followed to avoid a potential ADA violation.

(3) *Other Fund Usage.* If a different fund source or multiple fund sources are used to fund a modification, or if a CYF are used, the PM must ensure that all work classification processes are followed and that the work is separate and distinct from the source funds used in the original obligation to avoid a potential ADA violation. Contracting Officer and legal reviews are essential in this situation.

(4) *Closed/Canceled Funds.*

(a) On 30 September of the fifth FY after the period of availability for obligation of a fixed appropriation account ends, the account must be closed and any remaining balance (whether obligated or unobligated) in the account must be canceled and thereafter is not available for obligation or expenditure for any purpose, unless exempt by a provision of an appropriation law.

(b) Once an appropriation account has closed, questions of antecedent liability or relation back to the original contract are no longer relevant for purposes of determining the availability of amounts in the closed accounts since, at that time, appropriation balances cease to be available for expenditure. However, questions of antecedent liability, or relation back, are used to determine the extent to which current funds are available.

(c) Once an appropriation closes/cancels, only current year funds (CYF) may be used to fund changes or modifications, up to specified limits, for such obligations. This situation sometimes occurs when the original contract is suspended, or the project incurs major changes after the work starts and the project extends past the five (5) year expiration period.

(d) In these situations, it is essential for the PM to work with the Contracting Officer, Legal, and the funds provider to ensure all statutory requirements are met to avoid potential ADA violations.

b. *Current Year Funds Requests.* CYF can be used to fund modifications where the original fund source/appropriation is still in its period of availability for obligations and has not expired (for example, FY22 O&M funds can be used to fund an in-scope modification using CYF prior to 30 September 2022). Districts and Centers must work with the funds provider to follow their rules to obtain CYF. Use of CYF on projects awarded in prior FYs must follow Service/DoD Agency policy to avoid potential ADA violations and the work must be clearly delineated.

c. *Prior Year Funds (PYF) Requests.* The process to request expired funds from the funding stakeholder is called a PYF Request.

(1) Each Service or Agency sets the policy and guidance used to request PYF to fund a change. Districts and Centers must be cognizant of their funding stakeholder's guidelines and processes and include these in the Change Management Plan. The PYF Request process can be cumbersome and long. This needs to be factored into Change Management Plans and the project schedule.

(2) There are thresholds under the Financial Management Regulations (FMR) and statute that require higher level approvals when the total of all in-scope contractual modifications (obligations) exceed certain amounts. FMR Volume 3, Chapter 10, paragraphs 3.6 and 3.7 and 31 U.S.C. § 1553 set the thresholds that require approval from the Officer of the Under Secretary of Defense, Comptroller, (OUSD(C)) and, in some cases, Congressional notification. These thresholds are currently set at \$4,000,000 and \$25,000,000, respectively. Non-contract costs are not included (for example, Supervision and Administration (S&A)), but may be required to be funded with CYF. See paragraph 57–11 if the PYF are being held in a contingency account at USACE.

d. *In-Scope Determinations.* All modifications requiring PYF must be determined to be in-scope and an antecedent liability to the original contract action. Contracting Officer and Legal reviews are required to be documented as part of the process.

e. *Out of Scope Modifications.* Cannot be generated or approved by USACE. Out of scope changes must be approved per Service/DoD Agency policies prior to issuance and must be funded with CYF, or other suitable funds based on statutory authority.

*f. Programmatic Updates Resulting from Changes.* Each change, or modification, to a project may result in changes to programmatic documents. Each of the following items may need to be adjusted prior to approving project changes:

(1) *Project Re-approval.* If a project exceeds certain thresholds, then re-approval may be required, to include Congressional Notification, under 10 U.S.C. § 2811 and the programmed amount on an updated DD1391, or comparable document.

(2) *Updated Work Classification and Cost of Repair/Cost of Replacement Ratio.* These are updated to ensure compliance with statutory and policy requirements.

(3) *Revised Current Working Estimate (CWE).* The funding stakeholder must be made aware of and adjust the CWE after each change.

#### **57–11. SRM Contingency Funds Management (Refer to Reference Documents: Contingency Funds, Project Level (REF8003G))**

Contingency funds, when authorized by statute or policy, are program or project funds that have been set aside, or reserved, to cover program or project uncertainties. Stakeholder's programs have established/negotiated unique definitions of contingency funds, based on a set percentage of total programmed funds. To maintain control and accountability of contingency funds, any held contingencies must be stored in a separate work item in CEFMS II. The PM is responsible for returning remaining contingency funds to the stakeholder upon project completion.

*a. End of Fiscal Year Guidance.*

(1) When performing SRM work on an Economy Act order, at fiscal year-end all Field Operating Activities (FOAs) must advise the ordering activity in writing of the anticipated amount that will be needed in the ensuing fiscal year to fund any anticipated contingencies that are considered in-scope, antecedent liability contract modifications.

(2) The ordering activity is required to remove expired contingency funding from the order and then resend such funding to USACE when/if needed for proper in-scope obligation adjustments. However, if the ordering activity elects to not remove expired contingency funding from the order it is not incumbent on USACE to force the ordering activity to do so. If the ordering activity does not remove expired contingency funding from the order, USACE must receive written approval from the ordering activity before later utilizing the expired contingency funds and may only use the expired funds for valid obligation adjustments for which the use of expired funds is otherwise legally permissible.

*b. No New Obligations of Expired Funds.* An ordering activity's decision to not remove expired funds from an order in no way extends the life of an appropriation and cannot be used to make new obligations past the fund's expiration date. The ordering activity must provide current fiscal year funds for future contingencies that are not considered obligation adjustments for which expired funds may legally be used or for any other new obligations.

#### **57–12. SRM Communication Plan (Refer to Reference Documents: Communications Plan (REF8006G))**

District and Centers are required to participate in line-item reviews (LIR), senior executive review groups (SERG), or similar events to communicate project status to stakeholders, end-users, and senior executives. This is particularly essential for projects

on centrally funded/managed project lists like the FIP, the Air Force annual Construction Task Order, or other similar 1-N lists. Thus, keeping the data requirements mentioned above is critical to convey the health and tone of the SRM projects managed on the behalf of others. IRD will issue periodic guidance on such reviews and schedule on a regular basis. Participation is not optional.

### **57–13. SRM Risk Management Plan**

*a. Standard SRM Project Execution.* For projects of higher risk and complexity, refer to Reference Documents: Risk Management Plan (REF8007G) and all USACE guidance.

*b. Simplified Project Execution.* Per Director's Policy Memorandum 2020–04 Military Programs Sustainment, Restoration, and Modernization, a low risk is determined based on the residual risk after evaluation and not the project's inherent risk.

(1) The memo's guiding principles intend the level of effort required to execute a project is commensurate with the level of technical complexity and risk posed by the work of the project.

(2) It intends the exercise of sound professional judgment consistent with our engineering values, without sacrificing quality; life, safety, and health expectations; or life cycle cost considerations. Risk assessment and management for simplified projects are inherently empirical and judgment based.

(3) The risk assessment is to be a simple and rapid assessment of project risks, documented in the project record. The goal of the risk assessment is to determine opportunity to reduce the level of effort in pre-award or post-award activities.

(4) The creation of complex or quantitative methods for this purpose should be avoided as well as rigid adherence to risk management guidelines intended for more complex projects. Wide latitude is given to qualified USACE professionals to exercise individual judgment in making risk-informed decisions.

(5) Reviews and approvals above the District and Center level are not required.

### **57–14. Distribution**

- a.* Program Manager.
- b.* Project Delivery Team.
- c.* Project Manager.
- d.* Resource Management.

## **Chapter 58**

### **Reference Documents: USACE Dam Safety Program – Program-Specific Information (REF8031G)**

#### **58–1. Scope**

This process describes the various activities, tasks, and products included in the USACE Dam Safety Program. Referenced documents include details on the products required by the dam safety program. General guidance on unique products of the dam safety program is included herein.



## **58–2. Process Overview**

a. The USACE Dam Safety Program exists to protect life, property, and the environment by ensuring that all USACE dams are designed, constructed, regulated, operated, and maintained as safely and effectively as is reasonably practicable. USACE has had an active Dam Safety Program since the 1970s and is periodically reviewed and evaluated by external organizations and other Federal Agencies.

(1) USACE has moved from a standards-based approach for its dam safety program to a dam safety portfolio risk management approach. [Figure 58–1](#) shows the Dam Safety Risk Management Process that has been adopted and implemented by several dam-owning Federal Agencies. The outer ring highlights the ongoing dam safety activities for all USACE dams in the portfolio. Dam inspections, regular maintenance, periodic assessments, training, emergency action plans, and instrumentation monitoring are performed routinely by Districts across USACE.

(2) Routine dam safety program activities are funded through the O&M Accounts for each USACE operating project. Issue Evaluation Studies and Dam Safety Modification Studies are funded through the USACE Construction (C) account line item Seepage and Stability Correction Program (also referred to as the Wedge account). This account is centrally managed and prioritized by the Dam Safety program. A District Project Manager will lead the execution of specific studies. Preconstruction Engineering and Design (PED) may be initiated through the Seepage and Stability Correction Program account. Final PED and Construction of dam safety modifications will be funded as specific projects from the C account and managed by the District PM.



(1) Routine activities include National Inventory of Dams (NID) updates, annual and periodic inspections (PI), instrumentation, monitoring, periodic assessments (PA), operations and maintenance (O&M), emergency action planning, training, and other routine dam safety activities.

(3) The products are typically managed by the Dam Safety Program Manager and may not include a detailed WBS schedule in PROMIS.

- (4) Typically, the products consist of the following tasks:
  - (a) Pre-Inspection Brochure (for PI and PA).
  - (b) Inspection (if applicable).
  - (c) Hydrologic Loading and Flood Hazard (for PA only).
  - (d) Potential Failure Modes Analysis (for PA only).
  - (e) Semi-Quantitative Risk Assessment (for PA only).
  - (f) Draft Report.
  - (g) District Quality Control Review.
  - (h) Agency Technical Review of Report (for PA only).
  - (i) Dam Senior Oversight Group (DSOG) Review and Recommendation (for PA only).
  - (j) Final Review and Approval.

c. *Issue Evaluation Study (IES)*. An inspection finding or dam safety incident can trigger the need to recharacterize the risks associated with a dam. This is done by performing an Issue Evaluation Study (IES). IES requirements are outlined in ER 1110–2–1156, Safety of Dams – Policy and Procedures and ER 1165–2–217, Civil Works Review Policy. In addition, an IES SOP provides procedural guidance to aid Project Delivery Teams (PDTs) and vertical teams (HQUSACE elements, MSCs, Districts, etc.) in the implementation of IES requirements.

(1) [Figure 58–1](#) illustrates where the IES fits in the overall risk management process. IESs are used to establish the baseline risk condition of a dam, enabling risk informed decisions regarding the safety of the structure and the urgency of action needed within USACE’s inventory of dams. IESs also provide the rationale and basis for taking action to reduce risk, identify further investigations needed to reduce uncertainty, guide the selection of interim risk reduction measures, and assist in the prioritization of the dam within the overall dam safety portfolio. The general framework, work products, required reviews, decision points, and approval process for an IES are outlined in ER 1110–2–1156.

(2) ER 1110–2–1156, including Appendixes, provides detailed process guidance and information needed to complete an IES including:

(a) Background project information and previous risk assessments that have been performed to date and the current Dam Safety Action Classification (DSAC).

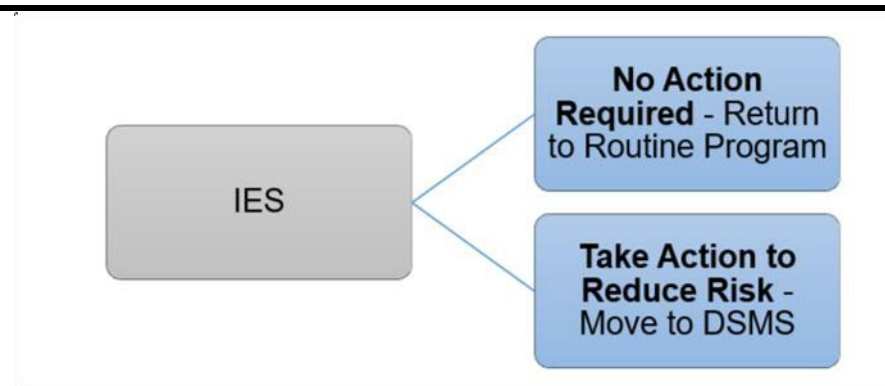
(b) Identification of the Potential Failure Modes (PFMs) that will be evaluated to determine the flood risk (incremental and non-breach) by performing a Semi-Quantitative Risk Assessment (SQRA).

(c) Determine any PFMs that approach or exceed USACE tolerable risk guidelines and perform a Quantitative Risk Assessment (QRA) on those specific PFMs only to determine if any are actionable and warrant a Dam Safety Modification Study (DSMS) to determine how to reduce unacceptable flood risk.

(d) Reduction of uncertainty and means to arrive at decisions more efficiently including performing updated loading studies, collecting additional data, or performing advanced technical analyses.

(e) Completion of the desired work products within the risk-informed decision framework for reasonable costs and schedules.

(3) The primary objective of conducting a risk assessment in support of the IES is to confirm that dam safety issues exist and to justify that a DSMS is warranted. There are two possible outcomes from an IES as shown in [Figure 58–2](#).



**Figure 58–2. Potential IES Outcomes**

(4) The WBS for an IES has been developed to align with ER 1110–2–1156 and the current practices to streamline the execution of the study. The WBS forms the basic task structure for the execution of the study and enables the project to track the scope, schedule, costs, and Earned Value Management (EVM) for key milestones on an IES. Analysis of this data across the program enables the program to make adjustments to the resources and process to continually improve the execution of IES projects and to build a project library for future teams to utilize when scoping and performing a new IES. Typically, the IES WBS consists of the following tasks:

- (a) Project Management.
- (b) Data Preparation and Review.
- (c) Hydrologic Loading and Flood Hazard.
- (d) Supplemental Investigations and Analysis.
- (e) Risk Assessment.
- (f) IES Report.
- (g) DSOG Review and Recommendation.
- (h) Final Review and Approval.
- (i) Risk Communication.

(5) However, PDTs and Advisors may consider additional WBSs or sub-WBSs as necessary. The WBSs listed above do not necessarily occur in sequence and may overlap. It is also possible, that the IES may not require all the WBSs.

(6) Agency objectives for IES have been developed in coordination with HQUSACE Engineering and Construction Division. Each IES is unique, and the complexity of the study will be the primary factor that determines the duration and cost of a given study. However, general schedule and budget targets are as follows:

- (a) The USACE schedule target for IESs is 12–24 months.
- (b) The USACE budget target for IESs is \$500k–\$1.5M (in FY 2020 dollars).

*d. Dam Safety Modification Study (DSMS).*

(1) After completion of an IES, and presentation of the results to the DSOG, the decision is made to either return the project back to the routine program or recommend for further study. Based on the results of the IES, the following actions can be taken:

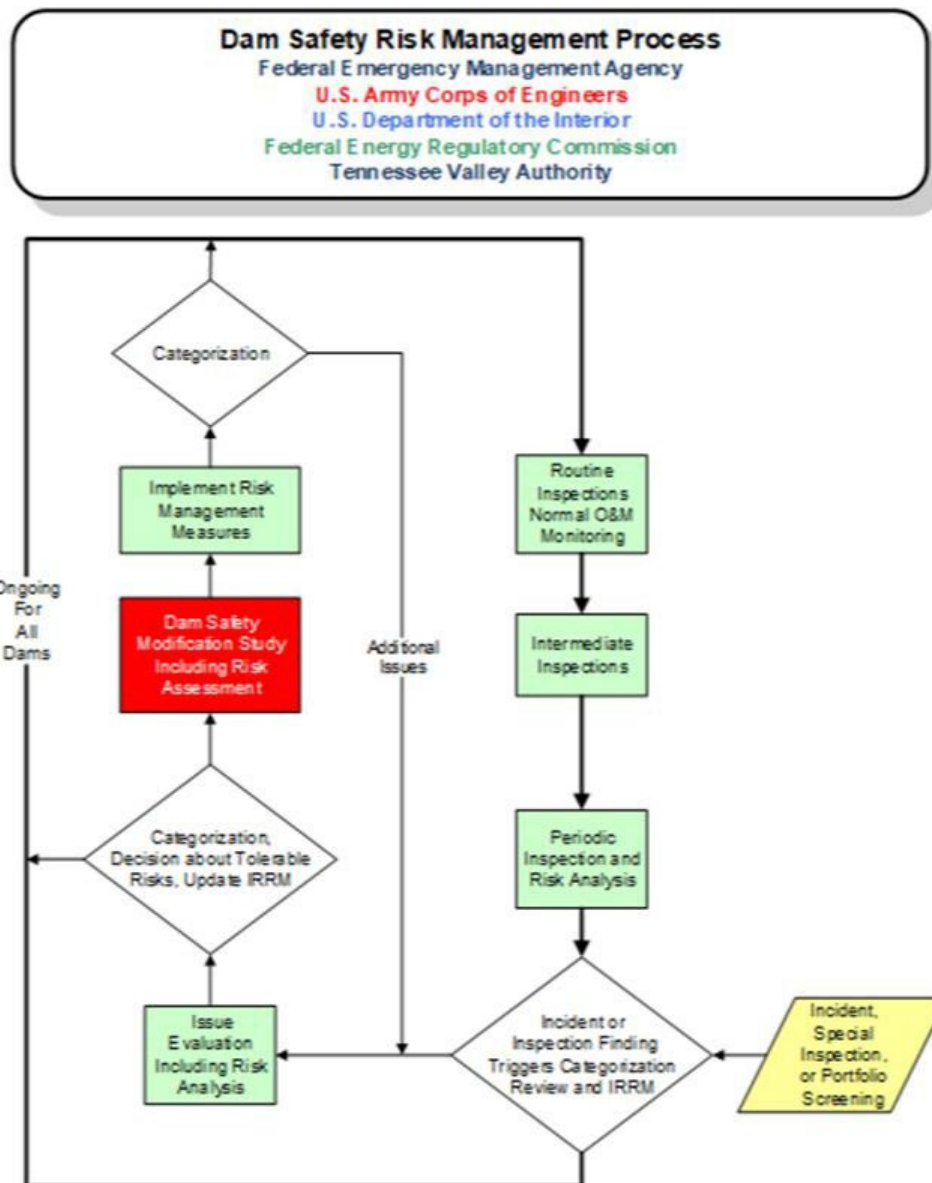
- (a) Confirm that dam safety issues do or do not exist.
- (b) Verify or reclassify the current DSAC based on these findings.
- (c) Gauge the effectiveness of current interim risk reduction measures and recommend additional measures, if needed.
- (d) Determine if there is basis to proceed to a DSMS.
- (e) If a DSMS is warranted, use the IES results to identify data deficiencies, develop DSMS plans, and prioritize DSMS efforts.

(2) ER 1110–2–1156 and current practices provides procedural guidance to aid PDTs and vertical teams (HQUSACE elements, MSCs, Dam Safety Production Centers (DSPCs), Districts, etc.) in the implementation of DSMS requirements as well as Planning Manual Part II: Risk Informed Planning (IWR 2017R03) and ER 1165–2–217 Review Policy for Civil Works.

(3) The red box in [Figure 58–3](#) describes where the DSMS fits in the overall risk management process. Once the agency has determined what action(s) is required to reduce risk because of an IES, a DSMS describes the alternatives considered and the rationale describing which action(s) the agency is choosing and why. The general framework, work products, required reviews, decision points, and approval process for a DSMS are outlined in ER 1110–2–1156.

(4) ER 1110–2–1156 and current practices provides detailed process guidance and information needed to complete a DSMS including:

- (a) Identification of the right level of design and analysis needed to support the array of structural, non-structural, and no-action Risk Management Plans (RMPs).
- (b) Development and selection of Tentatively Selected Plans (TSPs) which are more fully informed and supported by risk-informed design considerations.
- (c) Reduction of the uncertainty that could change a decision or outcome and means to arrive at decisions more efficiently.
- (d) Completion of the desired work products within the risk-informed decision framework for reasonable costs and schedules.



**Figure 58–3. Federal Dam Safety Risk Management Process**

- (5) ER 1110–2–1156 and current practices also describes program level expectations for DSMSs and provides guidance on how to:
- (a) Assemble an experienced DSMS team.
  - (b) Develop a task-based scope, schedule, budget, and work plan using experienced planners and dam designers.
  - (c) Perform a streamlined study using risk-informed decision-making following an iterative process.
  - (d) Prepare DSMS work products for major milestone meetings and reviews.
  - (e) Communicate project status and issues effectively through vertical team engagement at milestone meetings, and monthly and issue-based reporting.
  - (f) Develop a plan for implementation.

(6) The WBS for a DSMS has been developed to align with ER 1110–2–1156 and current practices to streamline the execution of the study. The WBS forms the basic task structure for the execution of the study and enables the project to track the scope, schedule, costs, and EVM for key milestones on a DSMS. Just like IESs, analysis of this data across the program enables the program managers to make adjustments to the resources and process to continually improve the execution of DSMS projects and to build a project library for future teams to utilize when scoping and performing a new DSMS. Typically, the DSMS WBS consists of the following phases which align with the iterative planning process.

- (a) Project Management.
- (b) Scoping.
- (c) Vertical Team Kickoff Meeting.
- (d) Estimate Existing Condition and FWAC Risk.
- (e) Formulate Risk Management Plans.
- (f) Evaluate Risk Management Plans and Select TSP.
- (g) Vertical Team TSP Decision Meeting.
- (h) Refine TSP Design.
- (i) NEPA Coordination and Documentation.
- (j) TSP Construction Costs and Schedule.
- (k) Draft Dam Safety Modification Report.
- (l) DSOG Review and Recommendation.
- (m) Final DSMR Review and Approval.
- (n) Notification to ASA (CW).

(7) However, PDTs and Senior Advisors are encouraged to consider additional WBSs or sub-WBSs as necessary. The WBSs listed above do not inherently occur in sequence and will likely overlap with one another. It is also possible, that the DSMS may not require all the WBSs.

(8) Agency objectives for DSMS have been developed in coordination with HQUSACE Engineering and Construction Division and Planning and Policy Division. Each DSMS is unique, and the complexity of the study will be the primary factor that determines the duration and cost of a given study. DSMSs with a single failure mode and/or simplified NEPA requirements (for example, Environmental Assessment, Categorical Exclusion) may be completed for less time and money than a DSMS where there are multiple failure modes and/or there are more complex NEPA requirements (for example, Environmental Impact Statement (EIS)).

- (a) The USACE schedule target for DSMSs is 12–24 months.
- (b) The USACE budget target for DSMSs is \$1M–\$3M (in FY 2020 dollars).
- (c) Durations and targets for each phase/iteration may decrease or increase based on the level of complexity of the DSMS.

e. *Preconstruction Engineering and Design (PED) and Construction.* The PED and Construction of dam safety modifications will follow the same WBS and typical milestones as other Civil Works projects per ER 1110–2–1150, Engineering and Design for Civil Works Projects. Typically, these projects require a Safety Assurance Review (SAR) per ER 1165–2–217, Civil Works Review Policy. The project WBS should incorporate these related task and milestones.



*f. Post Implementation Evaluation (PIE).* Once the risk reduction measures are complete, as identified in the DSMS, a post implementation evaluation (PIE) is performed. The PIE verifies that the objectives in the DSMS were met by successfully reducing the risk of the dam. The DSMS risk assessment is reviewed and updated after implementation of the RMP and associated risk reduction measures. Appendix X of ER 1110–2–1156 describes the PIE process, objectives, scope, and roles and responsibilities for completing a PIE. In addition, Appendix X of ER 1110–2–1156 also outlines the documentation needed, the PIE report requirements and other details such as determining PIE scheduling, funding, and PIE review and approval. Refer to the PIE flow chart in Appendix X of ER 1110–2–1156.

### **58–3. Dam Safety Program Management**

*a.* The Dam Safety Program is managed per the HQUSACE Dam Safety PgMP, dated March 2021 with annual updates as necessary.

*b.* The USACE Dam Safety Program will be implemented using a coordinated team comprised of staff from the HQs, Division, and District levels. Dam safety personnel at each level of the organization enables efficient coordination and collaboration between Districts, Divisions, and HQs. USACE responsibilities described in this document can be delegated unless otherwise noted.

*c.* USACE Dam Safety Program management will also provide processes and a structure for planning, managing, and monitoring program implementation. Program management will provide a consistent approach for dam safety personnel to implement the activities part of this program.

*d.* The Dam Senior Oversight Group is comprised of a multi-disciplinary team of senior dam safety engineers and professionals from across USACE to provide consistent program oversight. The Dam Senior Oversight Group has a high level of expertise and a comprehensive knowledge of dams across the country and will review risk assessment results and studies to provide recommendations to the HQUSACE Dam Safety Officer and the field regarding dam safety and risk procedures, methods, and results. The members of the Dam Safety Oversight group are designated by the USACE Deputy Dam Safety Officer.

### **58–4. Program Funding and Execution**

*a.* Funding needs for program requirements should be budgeted per the current budgetary guidance and processes. Funding sources and requirements for specific Dam Safety Program activities are described in general by the following programmatic budgetary guidelines.

(1) Routine Activities (including PAs) – see Table 58–1.

**Table 58–1**  
**Routine Activities (including PAs)**

<b>Activity</b>	<b>Army Management Structure Code (AMSCO)</b>	<b>Work Category Code (WCC)</b>	<b>Category, Class, Subclass (CCS) Code</b>	<b>Appropriation Account</b>
National Dam Safety	088935	60232	99999, 640	3123

<b>Activity</b>	<b>Army Management Structure Code (AMSCO)</b>	<b>Work Category Code (WCC)</b>	<b>Category, Class, Subclass (CCS) Code</b>	<b>Appropriation Account</b>
Program/Remaining Items				
Inspections, Data Collection, and Analyses	Varies by Project	60131, 60231, 60331, and 60631	210, 220*	3123
Formal Periodic Inspections, Assessments, and Reports	Varies by Project	60132, 60232, 60332, and 60632	210, 220*	3123
Interim Risk Reduction Measures (IRRM)s	Varies by Project	60130, 61230, 61330, 61630	210, 220*	3123

\*See current CW Direct Program Development Policy Guidance and Execution Annual Program Guidance for Dam Safety Activities for Navigation, Hydropower, and Joint Accounts.

(2) Issue Evaluation Study (IES) – see Table 58–2.

**Table 58–2**  
**Issue Evaluation Study (IES)**

<b>Activity</b>	<b>AMSCO</b>	<b>Work Category Code (WCC)</b>	<b>Category, Class, Subclass (CCS) Code</b>	<b>Appropriation Account</b>
Dam Safety and Seepage/Stability Correction Program	190010	30AKC	241, 541, 641	3122

(3) Dam Safety Modification Study (DSMS) – see Table 58–3.

**Table 58–3**  
**Dam Safety Modification Study (DSMS)**

<b>Activity</b>	<b>AMSCO</b>	<b>Work Category Code (WCC)</b>	<b>Category, Class, Subclass (CCS) Code</b>	<b>Appropriation Account</b>
Dam Safety and Seepage/Stability Correction Program	190010	30AKC	241, 541, 641	3122

(4) Preconstruction Engineering and Design (PED) – see Table 58–4.

**Table 58–4**  
**Preconstruction Engineering and Design (PED)**

Activity	AMSCO	Work Category Code (WCC)	Category, Class, Subclass (CCS) Code	Appropriation Account
Varies*	Varies*	Varies*	242, 542, 642	3122

\*Funding is reallocated from the Dam Safety and Seepage/Stability Correction Program (190010) to individual project AMSCO.

b. *Post Implementation Evaluation (PIE)*: PIE is funded through C line item since it is included as part of construction closeout.

#### **58–5. Policy References (See Appendix A)**

- a. ER 1110–2–1150, Engineering and Design for Civil Works Projects.
- b. ER 1110–2–1156, Safety of Dams – Policy and Procedures.
- c. ER 1165–2–217, Civil Works Review Policy.
- d. HQUSACE Dam Safety, Program Management Plan, March 2021.

#### **58–6. Distribution**

- a. Project Manager.
- b. Dam Safety Program Manager.
- c. Dam Senior Oversight Group.

### **Chapter 59**

#### **Reference Documents: USACE Levee Safety Program – Program-Specific Information (REF8032G)**

##### **59–1. Scope**

This document describes an overview of the USACE Levee Safety Program and describes USACE activities, roles, and responsibilities for federally authorized levees in support of the Project Delivery Business Process (PDBP) Manual (EM 5–1–11). Further detail can be found in the referenced EC 1165–2–218.

##### **59–2. Process Overview**

a. Levee safety is one piece of overall flood risk management and includes managing and reducing potential flood damage and loss of benefits associated with levee systems. The goal of levee safety is to ensure that levee systems provide benefits to those living and working behind them.

(1) USACE and levee sponsors work together to understand the benefits and risks associated with levees, build awareness among the public, fulfill daily responsibilities on the levee structure, and take actions to manage the future performance of the levee.

(2) The USACE Levee Safety Program includes activities that are intended to help USACE and levee sponsors work together to fulfill the purposes of the program, organized within the following categories:

- (a) Inspections.
- (b) Risk assessments.
- (c) Levee operation, maintenance, repair, replacement, and rehabilitation.
- (d) Sharing levee information.
- (e) Inventory of levees (National Levee Database).
- (3) Levee Safety Program Management.

*b. Inspections.*

(1) Levee inspections document the condition of a levee, inform levee management activities, and serve as a primary source of information related to levee condition and performance for risk assessments. Inspections verify any changed conditions and may capture progress of levee management measures for consideration in subsequent inspections or risk assessments. USACE inspects federally authorized levees at least once every five years, (Formal Inspections (Pre-scheduled)). USACE also works with levee sponsors to inspect levees when conditions have changed such as after flood events, (Special Inspections (Unscheduled)).

(2) Site visits are another tool in the Levee Safety Program used to observe or verify any changed levee conditions, provide technical advice, and respond to sponsor questions, or capture progress of levee management measures for consideration in the next inspection or risk assessment. Site visits provide the flexibility to engage with the levee sponsor and conduct a visual observation of the levee system between scheduled inspections.

*c. Risk Assessments.*

(1) A risk assessment is a method used across multiple industries to estimate the likelihood and consequences of a particular event. For levees, risk assessments evaluate the hazard, performance, and condition of the levee, which inform the likelihood of levee breach, and the potential life loss and structural or property damages that may result from that breach.

(2) USACE completes risk assessments on federally authorized levees every ten years. Levee sponsors are the most knowledgeable about their levees and provide valuable information regarding condition and past performance. Their participation, to the extent they are able, in risk assessments is vital.

(3) A risk assessment results in an estimate of the risk, and is a tool that USACE and levee sponsors may use to:

(a) Better understand the most critical areas for a levee system and identify which issues should be prioritized.

(b) Help sponsors make and articulate a case for the priority of investments and solutions with elected officials and decision-makers.

(c) Highlight key information that should be shared with the broader community impacted by the levee.

*d. Operation, Maintenance, Repair, Replacement, and Rehabilitation (OMRR&R).* Understanding and documenting the levee risk can be used to develop a strategy for performing operation, maintenance, repair, replacement, and rehabilitation that is unique to each levee, since no two levees are alike. USACE works with levee sponsors to provide information from inspections and risk assessments that can inform activities on the levee and maximize benefits with limited resources.

e. *Sharing Levee Information.*

(1) USACE and levee sponsors, such as Federal Emergency Management Agency, gather information during inspections and risk assessments that can inform actions on the levee and shed light on who and what benefits from the levee and could be impacted should an issue occur. This information is helpful to others who have the authority and responsibility in the area behind the levee, such as community leaders and Emergency Managers.

(2) USACE and levee sponsors work together to develop a strategy for sharing levee condition and performance information with those who may need it, such as local Emergency Management agencies with responsibility for community evacuation, or local agencies responsible for land-use planning in the community.

(3) When sharing levee information, USACE and levee sponsors seek to raise awareness about:

- (a) Why the levee is there and benefits it provides.
- (b) Potential performance issues associated with the levee.
- (c) Actions taken before, during, and after a flood event.
- (d) Actions being taken to preserve levee-related benefits.

f. *Inventory of Levees.* USACE is responsible for establishing and maintaining an inventory of levees in the U.S. to promote public awareness of the benefits and risks associated with living behind a levee. The National Levee Database (<https://levees.sec.usace.army.mil/#/>) includes information on levees' location, general condition information, and an estimate of the number of structures and population within the leveed area. A comprehensive inventory of the nation's levees serves as a key resource for USACE and sponsors to share levee information with others.

### **59–3. Levee Safety Program Management**

a. The USACE Levee Safety Program will be implemented using a coordinated team comprised of staff from the Headquarters, Division, and District levels. Levee safety personnel at each level of the organization enables efficient coordination and collaboration between Districts, Divisions, and Headquarters, and provides levee sponsors with individual points-of-contact at each level. USACE responsibilities described in this document can be delegated unless otherwise noted.

b. USACE Levee Safety Program management will also provide processes and a structure for planning, managing, and monitoring program implementation. Program management will provide a consistent approach for levee safety personnel to implement activities within this program in partnership with local levee sponsors.

c. The Levee Senior Oversight Group is comprised of a multi-disciplinary team of existing levee safety professionals from across USACE. The Levee Senior Oversight Group has a high level of expertise and a comprehensive knowledge of levees across the country and will review risk assessment results and provide recommendations to the HQUSACE Levee Safety Officer and the field regarding levee safety and risk procedures, methods, and results. The members of the Levee Safety Oversight Group are designated by the USACE Levee Safety Officer.

#### **59–4. Program Funding and Execution Notes**

a. Funding needs for program requirements should be budgeted per the current budgetary guidance and processes. Funding sources and requirements for specific Levee Safety Program activities are described in general by the following programmatic budgetary guidelines.

(1) For HQUSACE-led, agency-wide activities, including overall program governance, development and management of tools, policy development and revisions, selected risk assessments, and external engagement at the national level, budgeting and management of associated funding will be accomplished by HQUSACE, typically under Army Management Structure Code (AMSCO) 030767, Category Class Subclass (CCS) code 221.

(2) District-led Levee Safety Program activities related to levee systems that are federally authorized and locally maintained will be budgeted by the state under Inspection of Completed Works (ICW) in the O&M account. ICW was created based on Section 221 of the Flood Control Act of 1970, as amended (84 Stat. 1831, 42 U.S.C. 1962d-5b) and requires a written agreement be executed between the Secretary of the Army and the non-federal sponsor to identify the “items of local cooperation” for USACE projects, including O&M requirements.

(a) To determine whether the items of local cooperation are being performed, USACE conducts coordination, inspection, and assessment activities with funding budgeted under ICW. ICW activities encompass all federally constructed and locally maintained flood risk management projects. However, due to potential life safety consequences, Levee Safety Program activities are a priority for this program.

(b) Activities under this category are budgeted by state. Separate AMSCOs are used for each state’s activities. Items funded under O&M appropriation 3123 will be coded with CCS code 221, and contributions from MR&T appropriation 3112 will be coded with CCS code 420.

(c) Activities should be budgeted under the following Work Category Codes (WCCs): 60224 – Inspections, 60225 – Program Management, and 60226 – National Levee Database (NLD) Updates. Budget development for these activities is coordinated through Business Line Managers (BLMs) and Levee Safety Program Managers (LSPMs) at the District, Division, and HQ levels.

(3) District-led Levee Safety Program activities related to levee systems in which USACE has project-specific appropriations or the Mississippi River and Tributaries account will be budgeted under those project-specific line items with CCS code 220. Activities should be budgeted under the following WCCs: 60224 – Inspections, 60225 – Program Management, and 60226 – National Levee Database (NLD) Updates.

(4) Levee Safety Program activities related to non-federal levee systems eligible for the Rehabilitation Program (reference A.4), will be budgeted under the Flood Control and Coastal Emergencies account.

(5) A levee system that has at least one federally authorized levee segment will be treated as a federally authorized levee system related to frequency of risk assessments, inspections, and associated funding sources to conduct these activities.

(6) Studies, design, and construction activities will be funded from the appropriate accounts based on authorizations for these activities.

(7) NLD activities are typically budgeted under the National (Levee) Flood Inventory and Review O&M Remaining Items using AMSCO 030745.

*b. Cost Sharing.* Many projects in the USACE Levee Safety Program have Cost Sharing requirements that have been established with the local project sponsor through Project Partnership Agreements. Funds received through Cost Share agreements will be received under Appropriation 8862 but should otherwise follow the general guidelines listed above regarding AMSCO, CCS, and WCC assignments.

*c. National Flood Insurance Program (NFIP) Risk Assessments.* When requested by local sponsors of federally authorized levees, USACE may conduct risk assessments of levee systems for purposes of National Flood Insurance Program (NFIP) accreditation on a Cost Shared basis as described in ECB 2019–11 with the local sponsor contributing either 50 or 100 percent of funds.

(1) The process for requesting, funding, and approving NFIP risk assessment requests is described in ECB 2019–11. These risk assessments may be funded from any applicable USACE Levee Safety Program funding source, with the final source of funding being determined by HQUSACE. When funded through 096 3123 (and 096 8862 for Cost Share), these studies should use CCS code “22L.”

(2) Regardless of funding source, Command Indicator Code (CIC) “LNFIP” should be applied to funds for NFIP Levee Accreditation Risk Assessments to permit tracking of study costs.

(3) Refer to Policy Memo CERM-F (37) dated 26 February 2021.

#### **59–5. Policy References (See Appendix A)**

- a.* EC 1165–2–218 USACE Levee Safety Program.
- b.* ECB 2019–11 Transition Guidance for Levee System Evaluations for the National Flood Insurance Program.
- c.* ECB 2019–15 Interim Approach for Risk-Informed Designs for Dam and Levee Projects.

#### **59–6. Distribution**

- a.* Program Manager.
- b.* USACE Levee Senior Oversight Group.
- c.* USACE Levee Safety Officer.



## Appendix A

### References

Unless otherwise indicated, USACE publications are available at:

- Administrative Publications: <https://armypubs.army.mil/> and <https://www.publications.usace.army.mil/>.
- Engineer Circulars: <https://www.publications.usace.army.mil/USACE-Publications/Engineer-Circulars/>.
- Engineer Manuals: <https://www.publications.usace.army.mil/USACE-Publications/Engineer-Manuals/>.
- Engineer Pamphlets: <https://www.publications.usace.army.mil/USACE-Publications/Engineer-Pamphlets/>.
- Engineer Regulations: <https://www.publications.usace.army.mil/USACE-Publications/Engineer-Regulations/>.

#### A-1. Required Publications

##### **10 U.S.C. § 3036**

The Chief's Economy Act

(Available at <https://www.govinfo.gov/app/details/USCODE-2015-title10/USCODE-2015-title10-subtitleB-partI-chap305-sec3036>)

##### **10 U.S.C. § 6505**

The Intergovernmental Cooperation Act

(Available at <http://www4.law.cornell.edu/uscode/31/6505.html>)

##### **15 U.S.C. § 1535**

The Economy Act (Available at <http://www4.law.cornell.edu/uscode/31/1535.html>)

##### **33 U.S.C. 2323a § 234 of WRDA 96**

Interagency and International Support Authority

(Available at <http://www4.law.cornell.edu/uscode/33/2323a.html>)

##### **36 CFR**

Chapter XII, Parts 1200–1299 National Archives and Records Administration

(Available at <https://www.ecfr.gov/current/title-36/chapter-XII>)

##### **42 U.S.C. § 5121**

Robert T. Stafford Disaster Relief and Emergency Assistance Act

(Available at <http://www4.law.cornell.edu/uscode/42/5121.html>)

##### **44 USC 3301–3314**

Disposal of Records (Available at

<https://uscode.house.gov/view.xhtml?path=/prelim@title44/chapter33&edition=prelim>)

**AFARS (Army Federal Acquisition Regulation Supplement)**

(Available at <https://www.acquisition.gov/afars>)

**AFI 32–1021**

Planning and Programming Military Construction Projects

(Available at [https://static.e-publishing.af.mil/production/1/af\\_a4/publication/afi32-1001/afi32-1001.pdf](https://static.e-publishing.af.mil/production/1/af_a4/publication/afi32-1001/afi32-1001.pdf))

**AR 5–1**

Management of Army Business Operations HQDA

**AR 25–400–2**

Army Records Management Program

**AR 385–10**

The Army Safety and Occupational Health Program

**AR 405–10**

Acquisition of Real Property and Interests Therein

**AR 405–45**

Real Property Inventory Management

**AR 405–80**

Management of Title and Granting Use of Real Property

**AR 405–90**

Disposal of Real Estate

**AR 420–1**

Army Facilities Management

**ARMIS (Army Records Information Management System)**

(Available at <https://www.arims.army.mil/arims/default.aspx>)

**CEFMS II Users Manuals**

(Available at <https://usace.dps.mil/sites/INTRA-FC/SitePages/CEFMS-II.aspx>)

**CX Website**

(Available at <https://www.usace.army.mil/About/Centers-of-Expertise/>)

**DA PAM 25–403**

Army Guide to Recordkeeping

**DA PAM 385–16**

System Safety Management Guide

**DA PAM 385–30**  
Risk Management

**DA PAM 420–1–2**  
Army Military Construction and Non-Appropriated Funded Construction Program  
Development and Execution

**DFARS (Defense FAR Supplement)** (Available at <https://www.acquisition.gov/dfars>)

**DFARS PGI (Procedures, Guidance, and Information)**  
(Available at <https://www.acquisition.gov/dfarspgi>)

**DoD 7000.14–R**  
Department of Defense Financial Management Regulation (FMR)  
(Available at <https://comptroller.defense.gov/FMR.aspx>)

**DoD 7000.14–R**  
DoD FMR, Volume 3, Chapter 7, February 2009  
Reprogramming of MILCON and Family Housing Projects (Available at [https://comptroller.defense.gov/Portals/45/documents/fmr/archive/03arch/03\\_07\\_Feb09.pdf](https://comptroller.defense.gov/Portals/45/documents/fmr/archive/03arch/03_07_Feb09.pdf))

**DoD 7000.14–R**  
DoD FMR Volume 3, Chapter 7, April 2021  
Reprogramming of MILCON and Family Housing Projects (Available at [https://comptroller.defense.gov/Portals/45/documents/fmr/current/03/03\\_07.pdf](https://comptroller.defense.gov/Portals/45/documents/fmr/current/03/03_07.pdf))

**DoD 7000.14–R**  
DoD FMR, Volume 3, Chapter 8  
Standards for Recording Commitments and Obligations (Available at [https://comptroller.defense.gov/Portals/45/documents/fmr/archive/03arch/03\\_08.pdf](https://comptroller.defense.gov/Portals/45/documents/fmr/archive/03arch/03_08.pdf))

**DoD 7000.14–R**  
DoD FMR, Volume 3, Chapter 17, July 2021  
Accounting Requirements for Military Construction Projects (Available at [https://comptroller.defense.gov/Portals/45/documents/fmr/current/03/03\\_17.pdf](https://comptroller.defense.gov/Portals/45/documents/fmr/current/03/03_17.pdf))

**DoDD 4165.06**  
Real Property (Available at <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodd/416506p.pdf>)

**DoDD 4270.5**  
Military Construction (Available at <https://standards.globalspec.com/std/13126272/DoDD%204270.5#:~:text=34%20-%20Host%20Nation-Funded%20Construction%20Programs%20in%20the,of%20Staff%2C%20the%20Combatant%20Commands%2C%20the%20Office%20of>)

**DoDD 5160.58E**

Recruiting Facilities (Available at

<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodd/516058p.pdf>)

**DoDI 4000.19**

Support Agreements (Available at

<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/400019p.pdf?ver=AgPBMZwTey4t8dkHDRM4ng%3D%3D>)

**DoDI 4165.63**

DoD Housing Management (Available at

<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodm/416563m.pdf>)

**DoDI 4165.65 Series** (Available at

<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/416565p.pdf?ver=2019-04-15-094503-190>)

**DoDI 4165.68**

Base Closure Community Assistance (Available at

<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/416568p.pdf?ver=2020-07-06-143707-813>)

**DoDI 4165.69**

Return of DoD Sites Overseas (Available at

[https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/416569p.PDF?ver=3-gvUKi7h15U\\_ax-EtHhew%3d%3d](https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/416569p.PDF?ver=3-gvUKi7h15U_ax-EtHhew%3d%3d))

**DoDI 4165.70**

Real Property Management (Available at

<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/416570p.pdf?ver=2018-09-19-073246-187>)

**DoDI 4165.71**

Real Property Acquisition (Available at

<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/416571p.pdf?ver=2018-09-19-072536-840>)

**DoDI 4165.72**

Real Property Disposal (Available at

<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/416572p.pdf?ver=2019-04-29-073343-743>)

**DoDI 4245.14**

DoD Value Engineering (VE) Program (Available at

[https://standards.globalspec.com/std/13095836/DoDD 4245.14](https://standards.globalspec.com/std/13095836/DoDD%204245.14))

**Director's Policy Memorandum 2018-10**

Strategy for Synchronization of the Regulatory and 408 Programs (Available at <https://planning.erdcdren.mil/toolbox/library/MemosandLetters/DPM%20CW%202018-10.pdf>)

**Director's Policy Memorandum MP 2019-01**

Military Supervision and Administration (S&A) Management Directive

**EC 11-2-228 or (xxx)**

Civil Works Direct Annual Execution Program Guidance

(Note: The EC increases by two numbers each fiscal year. The EC includes a list of all applicable public laws, Executive orders, Army regulations, Engineer Regulations, Engineer Pamphlets, Engineer Manuals, and other policy guidance relevant to the budget year under execution.)

**EC 11-2-227 or (xxx)**

Civil Works Directorate Annual Program Development Guidance

(Note: The EC increases by two numbers each fiscal year. The EC includes a list of all applicable public laws, Executive orders, Army regulations, Engineer Regulations, Engineer Pamphlets, Engineer Manuals, and other policy guidance relevant to the budget year under development.)

**EM 385-1-1**

Safety and Occupational Health (SOH) Requirements

**EM 1110-1-2909**

Geospatial Data and Systems

**Environmental Division Military Programs, HQUSACE**

(Available at <https://www.usace.army.mil/Missions/Environmental.aspx>)

**Environmental Quality and Cleanup Community of Practice SharePoint**

(Available at <https://usace.dps.mil/sites/KMP-EQC>)

**EO 13327**

Federal Real Property Asset Management

**EP 34-1-1**

Standardization Construction Project Partnering Playbook

**EP 37-1-3**

Budget Officer's Handbook

**EP 37-1-5**

Budget and Manpower Resource Management Cycle

**ER 5-1-10**

Corps-Wide Areas of Work Responsibility

**ER 5-1-11**

U.S. Army Corps of Engineers Business Process

**ER 5-1-13**

U.S. Army Corps of Engineers Policy on Regional Business Centers (RBC)

**ER 11-1-321**

Army Programs Value Engineering

**ER 25-60-1**

Records and Information Management Program

**ER 37-1-24**

Operating Budgets

**ER 37-1-26**

Issuance and Acceptance of Project Orders

**ER 37-1-28**

Continuing Resolution Authority (CRA)

**ER 37-1-30**

Accounting and Reporting

**ER 37-5-3**

EPA/USACE Superfund Program – Financial Closeout of Interagency Agreements

**ER 405-1-11**

Real Estate Acquisition

**ER 415-345-13**

Financial Closeout

**ER 415-345-38**

Transfers and Warranties

**ER 1110-1-8159**

DR Checks

**ER 1110-2-500**

EPA/USACE Superfund Program Funding and Reporting Requirements

**ER 1110-2-1150**

Engineering and Design for Civil Works Projects

**ER 1110-2-1156**

Safety of Dams – Policy and Procedures

**ER 1110–2–1302**

Civil Works Cost Engineering

**ER 1110–3–12**

Quality Management

**ER 1140–1–211**

Support for Others: Reimbursable Services

**ER 1165–2–30**

Acceptance and Return of Required, Contributed, or Advance Funds

**ER 1165–2–131**

Local Cooperation Agreements for New Start Construction Projects

**ER 1165–2–217**

Civil Works Review Policy, Water Resources Policies and Authorities

**ER 1180–1–6**

Construction Quality Management

**HQUSACE Dam Safety, Program Management Plan, March 2021****FAR (Federal Acquisition Regulation)**

(Available at <https://www.acquisition.gov/browse/index/far>)

**FAR 4.804**

Federal Acquisition Regulation, Closeout of Contract Files

(Available at <https://www.acquisition.gov/far/4.804>)

**Military Construction Air Force Annex – Enterprise Program Management Plan (EPgMP)** (Available at

[https://www.wbdg.org/FFC/AF/POLICY/USACE\\_AFCEC\\_EPgMP\\_MILCON\\_Annex.pdf](https://www.wbdg.org/FFC/AF/POLICY/USACE_AFCEC_EPgMP_MILCON_Annex.pdf))

**OMB Circular A–131**

Value Engineering (Available at <https://georgewbush-whitehouse.archives.gov/omb/circulars/a131/a131.html>)

**OMB Memo 19–21, supersedes OMB Memo 12–18**

(Available at <https://www.whitehouse.gov/wp-content/uploads/2019/08/M-19-21-new-2.pdf>)

**PROMIS User Guide**

(Available at <https://p2pmbportaltrain.usace.army.mil/P2UserGuide/index.htm>)

**PGL No. 31**

Real Estate Support to Civil Works Planning

(Available at <https://planning.erdc.dren.mil/toolbox/library/PGL/PGL31R.pdf>)



**PL 111–350 [41 USC 1711]**

Value Engineering

(Available at <https://www.congress.gov/111/plaws/publ350/PLAW-111publ350.pdf>)

**Section 408**

Section 14 of the Rivers and Harbors Act of 1899, as amended, and codified at 33 U.S.C. 408 (Section 408). (Available at <https://www.law.cornell.edu/uscode/text/33/408>)

**UAI (USACE Acquisition Instruction)** (Available at [https://www.usace.army.mil/Portals/2/USACE\\_Aquisition\\_Instruction\\_and\\_Desk\\_Guide\\_10Apr2020.pdf](https://www.usace.army.mil/Portals/2/USACE_Aquisition_Instruction_and_Desk_Guide_10Apr2020.pdf))

**USACE Command Guidance** (Available at <https://usace.dps.mil/sites/INTRA-HQ/SitePages/CG.aspx>)

**A–2. Related Publications**

This section contains no entries.

## Appendix B

### Risk Management – Illustrating the Iterative Nature of Risk Management

Refer to Reference Documents: Risk Management Plan (REF8007G).

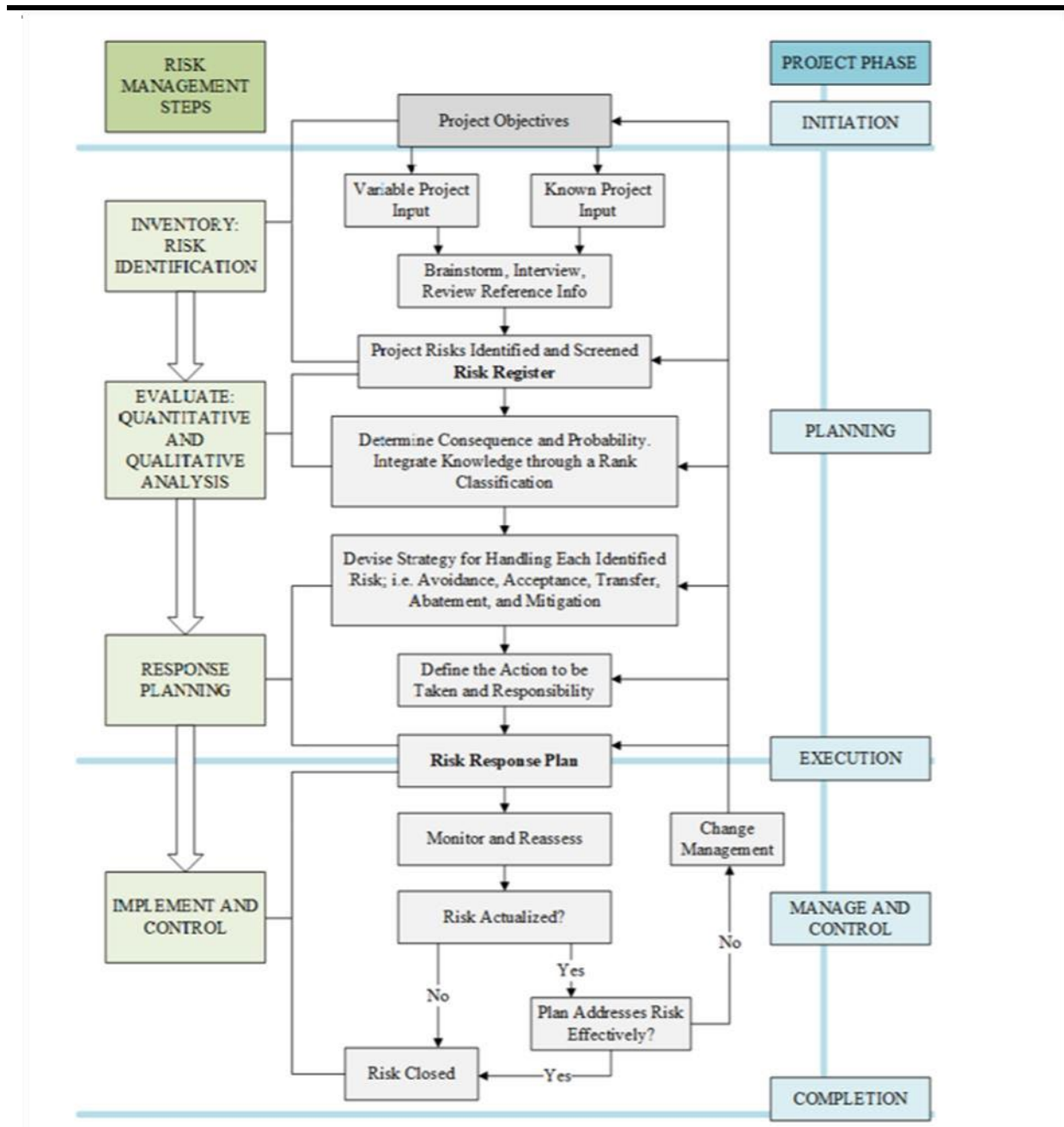


Figure B–1. Alternative Diagram Illustrating the Iterative Nature of Risk Management

## **Appendix C**

### **Safety and Occupational Health – Examples of Overall High Hazard Programs/Projects/Activities**

Refer to the Reference Documents: Safety and Occupational Health Plan (REF8016G).

#### **C–1. Programs**

- a.* Dam Safety.
- b.* Diving.
- c.* Dredging.
- d.* Emergency Management.
- e.* Environmental.
- f.* Formerly Utilized Sites Remedial Action Program (FUSRAP).
- g.* Military Munitions Response.

#### **C–2. Projects**

- a.* Aircraft Hangars.
- b.* Chemical Demilitarization Facilities.
- c.* Dams.
- d.* Distribution Centers.
- e.* Dredging.
- f.* Hospitals.
- g.* Munitions Bunkers.
- h.* Power/Fuel Distribution.
- i.* Tunnels.

#### **C–3. Example Activities of High Hazard Construction Work**

- a.* Complex interaction of heavy equipment.
- b.* Complex interaction of workers with equipment.
- c.* Confined space.
- d.* Critical crane lift
- e.* Critical diving.
- f.* Testing of high-voltage systems (over 600V).
- g.* Testing of high-pressure systems (over 100 psi).
- h.* Tunneling.
- i.* Work is performed 25 feet or more above surface.
- j.* Work is performed more than 5 feet below ground.

#### **C–4. Hazard Identification Tools**

- a.* “What if” Analysis.
- b.* Activity/Job Hazard Analysis.
- c.* Brainstorming.
- d.* Cause and Effect Diagrams.
- e.* Change Analysis.
- f.* Energy AnalysisMission Risk Analysis.

- g. Event Tree Analysis.
- h. Failure Mode and Effects Analysis.
- i. Fault Hazard Analysis.
- j. Fault Tree Analysis.
- k. Flow Diagram.
- l. Interface Analysis.
- m. Multilinear Event Sequence.
- n. Operating Hazard Analysis.
- o. Preliminary Hazard Analysis.
- p. Statistical or “Data Mining” Analysis.
- q. Tree Diagrams.

### **C–5. Preliminary Hazard List Sample Format**

#### *a. Narrative:*

- (1) Facility Description to include a description of the operations and activities to be conducted within the facility, estimated value of the facility and equipment it will house, the personnel level and type of occupancy, and the military significance of the facility.
- (2) A map of the installation illustrating the proposed facility site and the location of any nearby hazardous operations and housing areas.
- (3) Specialized or state of the art equipment.
- (4) Details regarding special or unusual operations.

#### *b. Data Elements:*

- (1) Column 1. (HAZARDOUS EVENT) A description of the hazards/undesired or unacceptable occurrences.
- (2) Column 2. (CASUAL FACTORS) A description of why or how the hazard may result in an accident.
- (3) Column 3. (SYSTEM EFFECTS) A description of each significant event resulting from a hazard above, which addresses as applicable:
  - (a) How many people would be affected in a “worst case” probable accident.
  - (b) How much is known/unknown concerning the control of the hazard and the need for any follow-on analyses?
  - (c) The degree to which an accident could affect the local community.
  - (d) The effects the hazard may have on the facility or facility subsystems.
- (4) Column 4. (RISK ASSESSMENT) The initial risk assessment assigned to each uncontrolled hazard or undesired or unacceptable occurrence.
- (5) Column 5. (COMMENTS) Provision for comments by the reviewers. May include preparation date, preparer’s signatures, and instructions for future contact.

### **C–6. Residual Risk Acceptance Sample Format**

#### *a. PART I – Description of Residual Risk.*

- (1) Facility/Item Identification:
  - (a) MILCON Project Number: \_\_\_\_\_
  - (b) Facility ID \_\_\_\_\_
- (2) For each proposed acceptance of a MEDIUM or greater risk associated with an identified hazard, provide the following:

- (a) Hazard Description and potential consequences.
- (b) Final Risk Assessment Code.
- (c) Identify source document(s) and/or reference(s).
- (d) Document any alternative actions to reduce the risk.
- (e) Proposed by: \_\_\_\_\_ Organization: \_\_\_\_\_
- (f) Date proposed: \_\_\_\_\_
- (3) Technical Review by Appropriate Level based on RAC.
- (a) Reviewed by: \_\_\_\_\_ Date: \_\_\_\_\_
- (b) Reviewer's Recommendations.
- b. *PART II – Approval.*
- (1) Signature: \_\_\_\_\_
- (2) Date: \_\_\_\_\_

### **C–7. Safety and Occupational Health Plan for Program Management Plans**

a. The Safety and Occupational Health Plan (SOHP) section for PgMPs will discuss procedures and key personnel to identify, analyze and mitigate safety and occupational health hazards associated with the program. If these concerns are provided for under separate PMP then they do not need to be addressed in the PgMP. Also, if there is no justification to have a SOHP, it should be so stated.

b. Major safety and occupational health hazards to employees and stakeholders should be addressed in this section. This can be done through the use of past Hazard Analysis, AAR/Lessons Learned, discussion with the stakeholder or safety professional, or any other method of identifying and analyzing hazards—generally following the same methodology as with projects (see SOHP Methodology). A qualified person who is familiar with the hazards of the program should be the one to develop or lead the effort to develop the SOHP. A safety and health professional advises when needed and the PgM ultimately accepts the SOHP as appropriate for the program.

c. Some areas of concern would be work/phases/tasks that include high-hazard, high-complexity, high-visibility, time-critical, adjacent operations, etc. that are typical for projects under the program. For support offices, the qualified person would look for these same conditions as they apply in the course of delivering their service. They should be looking at ways to control those conditions in a standardized manor.

d. *Example 1: Formerly Utilized Sites Remedial Action Program (FUSRAP).* An experienced person or team in FUSRAP work should be able to identify many safety and health hazards associated with this program. Some areas might include contact with radiation source material, contaminated material, migration of contaminated material offsite, workers unknowledgeable of hazards, stakeholder employee fear factor, disposal requirements, etc. All these issues, and more, would have surfaced on most of the FUSRAP projects to be addressed by the Project Delivery Team (PDT).

e. *Example 2: Logistics Program.*

(1) An experienced person or team in Logistics-Maintenance work should be able to identify many safety and health hazards associated with this program. Some areas might include product defects or recalls, damaged or missing safety devices, potential hazardous energy sources (split rim tires, lifting equipment, battery explosions, etc.), use of non-compatible parts.

(2) Some ways that consistency of control measures can be accomplished is through standard designs, standard processes, policy or procedures, requirements, training, or checklists. It is critical that control measures are well understood by PDT members and stakeholders, and that implementation is verified and evaluated by management and supervisors.

## **Appendix D**

### **Data Management Plan**

Refer to [Reference Documents: Geospatial Data Management Plan \(REF9270G\)](#).

Data Management is a process and standard for the collection and life-cycle maintenance of data used by the PDT members, partners, and stakeholders. Data Management is also a key component to achieving quality data and ultimately a quality product or deliverable. Data Management utilizes the concept of an enterprise District repository for data with individuals responsible for maintenance/storage of data from all projects. While the guidance presented in this EM is not limited to geospatial data, geospatial data does have unique Data Management requirements that need to be addressed throughout a project's life cycle as defined in EM 1110–1–2909, Geospatial Data and Systems.

The below screenshots of a sample Data Management Plan show the geospatial work components for a project with their associated acquisition methods, geospatial production leads, and work budgets. Examples of the required geospatial datasets for the project with their associated collection methods, format, and standards provided are also provided. The examples provided here are a continuation of the information provided in Chapter 56.



## Data Management Plan (DMP)

1. Date:
2. District:
3. Project Title/Name:
4. PROMIS Project Number:
5. Project Type:
6. Project Location (Latitude/Longitude Coordinates):
7. Geospatial Lead:
8. Project Manager:
9. Approvals: Indicate DMP approval with digital signature below. (Right click on signature line and select "Sign Document".)

District Geospatial Coordinator:

Project Manager:

X

X

10. Responsibilities. Roles and responsibilities for PDT members include the following:

10.1 Project Manager (PM):

- Ensure the PDT prepares a project data management plan (DMP).
- Approve the DMP and publish it with the project management plan (PMP).
- Fund the geospatial work as budgeted in the DMP.

10.2 District Geospatial Coordinator:

- Work with supervisory chain to assign a Geospatial Lead to the PDT.
- Train geospatial specialists and technicians to perform as Geospatial Leads.
- Inform the Geospatial Leads and Geospatial Technicians of current geospatial data standards.
- Help Geospatial Leads prepare project DMPs.
- Review DMPs and recommend approval to Project Managers.
- Check geospatial work to verify it meets applicable standards.
- Manage the District geospatial data warehouse.
- Serve as Geospatial Lead, when assigned.

10.3 Lead Engineer (LE) (or project engineer/architect, technical lead, product lead, etc.):

- Review the DMP and recommend approval to the Project Manager.

- Supervise geospatial work execution with support from the Geospatial Lead and District Geospatial Coordinator.
- Lead quality assurance review of geospatial work.

#### 10.4 Geospatial Lead:

- Prepare the DMP and review it with the PDT and District Geospatial Coordinator.
- Submit the DMP to the Lead Engineer for review and to the District Geospatial Coordinator and Project Manager for approval.
- Perform the data coordination tasks identified in the DMP.
- Work with the PM to determine level of effort for CAD/BIM and ProjectWise Management
- Develop geospatial products as assigned.
- Facilitate data sharing among the Geospatial Technicians assigned to the project.
- Perform quality assurance of data produced by a contractor, other District, or other Agency.
- Ensure that all geospatial products and data include metadata.
- Track and report geospatial work production status.

#### 10.5 Geospatial Technician:

- Produce geospatial products (CAD, BIM, CIM, GIS, survey, etc.) that comply with the PMP, DMP and other applicable standards.
- Share current geospatial data.
- Work with the Geospatial Lead and District Geospatial Coordinator to maintain project data in the District geospatial warehouse.

### 11. Procedures. Project geospatial procedures are described in the sections and tables below.

**11.1 Start.** At start of PMP development, the PM and LE will consult with the District Geospatial Coordinator to assess the geospatial work scope and, if appropriate, will assign a Geospatial Lead. Generally, the Geospatial Lead will be a PDT member with a major production role. The District Geospatial Coordinator may serve as a Geospatial Lead and perform combined duties.

**11.2 Prepare.** The Geospatial Lead and District Geospatial Coordinator will prepare a project DMP using the template in the attached appendix. The DMP will be specific to the project geospatial scope. The scope and budget will be coordinated with the functional supervisors and PDT members performing the geospatial work. The LE will review the DMP and, when complete, forward it to the PM and District Geospatial Coordinator for approval.

**11.3 Implement.** The PM will publish the DMP with the PMP. Geospatial tasks will be integrated with the overall schedule and budget. The approved DMP will be transmitted to the PDT members and stored in Web CML. The PM will fund the geospatial tasks in PROMIS as indicated in the DMP. The Geospatial Lead will ensure the effective exchange storage and maintenance of project-specific geospatial data. The PDT will periodically review the status and quality of the geospatial work.

**11.4 Finish.** Prior to project closeout, the Geospatial Lead and District Geospatial Coordinator will ensure the final geospatial data is complete and fully stored in the District geospatial database files. Final CAD/BIM documents should be filed in District ProjectWise appropriate folders.

**12. Data Coordination.** The Geospatial Lead will check for existing geospatial data usable for the project prior to finalizing the acquisition strategy for new data. The Geospatial Lead will perform the coordination checks shown in Table 1. The Geospatial Lead will reformat as needed any usable existing data.

Table 1: Data Coordination Checks
Other District Functions: Planning, Operations, Real Estate, etc.
Other USACE Districts
Customers (Internal and External)
CorpsMap Catalog
Army Geospatial Center (AGC)
National Geospatial Data Infrastructure (NSDI) Clearinghouse
Geospatial 1-Stop (for acquisitions estimated at \$100,000 or more)
US Interagency Elevation Inventory
3DEP
Other Data Coordination Checks: (List below.)

13. Acquisition Strategy. The geospatial work components for the project with their associated acquisition methods, geospatial production leads, and work budgets are shown in Table 2. See the Schedule section of the PMP for planned work timelines.
14. Geospatial Datasets. The required geospatial datasets for the project with their associated collection methods, format, and standards are shown in Table 3.
15. Quality. The Lead Engineer and District Geospatial Coordinator will plan and implement effective QC and QA for geospatial products from all sources. Geospatial products will be included in formal quality reviews with comments recorded in DrChecks reports.
16. Records. At a minimum, each approved DMP will be stored electronically with the Project Management Plan (PMP) in the project ePMP folder in Web CMI.

17. Additional Requirements. (In the space below describe any other geospatial requirements specific to the project not addressed in other items.)



#### Data Management Plan Pick Lists

The following pick lists present suggested values for use in the identified location of the project Data Management Plan:

BLOCK 5. PROJECT TYPE: Civil Works, Environmental, Military, Other

#### TABLE 2. PROJECT DATA (Geospatial) ACQUISITION STRATEGY

##### PROJECT DATA (Geospatial) WORK COMPONENTS:

Project Data Management (required), Corps Project Notebook (CPN) Maintenance (required), Building Information Modeling (BIM), Computer-Aided Design (CAD), Geographic Information System (GIS), Topographic Surveying/Mapping, Hydrographic Surveying/Mapping, Remote Sensing Imagery Acquisition

ACQUISITION METHOD: Contractor, In-House, Local Sponsor, Other District, Other Agency, or Vendor

#### TABLE 3. (Geospatial) DATASETS REQUIRED FOR PROJECT

##### DATA (Geospatial) PRODUCTS/DATASET:

CAD Drawings, Building Information Model (BIM), Project Instrumentation, Boring Locations, Well Locations, Water Sample Locations, Soil Sample Locations, Bathymetry, Imagery Base Map, Geodetic Survey Control, Topographic Base Map, Digital Elevation Model, Terrestrial/Mobile LiDAR, Property Boundary, Infrastructure Layers, Utility Layers, H&H Layers, Environmental Layers, Aerial Photos, Orthophotos

DATA COLLECTION METHOD: CAD Production, BIM Production, GIS Production, Terrestrial Survey, Hydro Survey, Handheld GPS, Survey GPS, LiDAR, Aerial Photography, Satellite, Unmanned Aircraft, Federal Agency, State Agency, County Agency, Municipal Agency, Vendor Acquisition

##### DATA FORMAT:

CAD DGN, CAD DWG, BIM IFC, BIM RVT, BIM NWD, BIM DGN, InRoads DTM, Land XML, ASCII Text, ESRI Geodatabase, ESRI Raster, ESRI Terrain, ESRI Vector, Raster, USGS DEM, SDTS DEM, DTED, LAS, XYZ, PDF

DATA STANDARD: A/E/C CAD, AEC Graphics, SDSFTE, FGDC, Mapping Standards, Survey Standards, Other

COORDINATE SYSTEM/PROJECTION: Albers, Lambert, Latitude Longitude, Mercator, Project Datum, State Plane, UTM

HORIZONTAL DATUM: WGS84, NAD83, NAD27

VERTICAL DATUM: NAVD88, NGVD29, IGLD85, Ohio River Datum, Other

UNITS: Feet, Meters, US Survey Feet, Decimal Degrees, DMS (degrees-minutes-seconds), Other

## **Appendix E**

### **Phase/Project/Program Closeout Checklist Series**

Refer to [Closeout: Phase, Project, and Program Closeout \(PROC4000\)](#).

The following phase, project, and program closeout checklist series is provided to adequately and properly ensure phases, projects, and programs are closed out. Each checklist requires coordination with the entire PDT. The list below is associated with a phase of a project or program.

- a.* Cost Share Closeout.
- b.* Terminating CW Feasibility Study.
- c.* Converting CW Feasibility Study to Continuing Authorities Program (CAP).
- d.* Converting CAP Study to CW Feasibility Study.
- e.* CW Feasibility Study Closeout.
- f.* CW Preconstruction Engineering and Design Closeout.
- g.* Construction Contract Closeout.
- h.* CW Construction Phase Closeout.
- i.* Military Construction Phase Closeout.
- j.* General Project Closeout.
- k.* Interagency and International Services/Military Environmental Projects.
- l.* Alternate Definitions.



## E-1. Cost Share Closeout

**Table E-1**  
**Checklist for Closing Out a Civil Work Cost Share Procedures**

	Date Completed	Responsible	File	Additional Notes
Closeout Checklist		PM	X	
CEFMS II Steps	Date Completed	Responsible	File	Additional Notes
Generate Funding Account Financial Summary Report (finrpt)		BA		
Identify funds recorded against the Cost Share Control Record (Federal and Non-Federal)		BA		
Identify expenditures recorded against the Cost Share Control Record		BA		
Process cost transfers to balance the project expenditures		BA, RM		
Update the cost share record to reflect actual expenditures, cash received, and (work in kind) WIK approved credits		RM		
Verify that funds have been removed from the federal register		RM		
Request UFC return excess funds to the sponsor (after receipt of the signed closeout letter) and verify completeness		RM		
Return any remaining funds to non-Federal Sponsor, or request permission to reallocate remaining non-Federal Sponsor money to the PED phase (Finance Center has to move)		BA, RM		
Collect funds due from sponsor, if applicable to balance the cost share record (funds are due from sponsor within 90 days of invoice date. See ER 37-1-30)		BA, RM		
Send letter to the Bank to release remaining escrow balances to the sponsor, as applicable		BA		
Verify that the Physically and Fiscally complete indicators are checked		RM		
Execute and verify that the 'Eligible for Withdrawal' indicator is blank		RM		
Verify that the 'Cash Advance Balance' is zero – Screen 6.3		RM		
Verify that the 'Available for Return' is zero – Screen 4.156		RM		

	Date Completed	Responsible	File	Additional Notes
Lock the Cost Share Record to prevent additional charges.		RM		
Generate the 'Cost Share Closeout Report' to identify and verify that all actions have been completed and no variance exist.		RM		
Maintain cost share documentation for six years and 3 months		RM		
Remove remaining Federal funding from AMSCO on Feasibility Phase CCS (if PED phase is active/started, can move to PED phase on same CCS with RLC transaction)		BA		
<b>Demand Letter Steps (if cannot collect owed Cash or WIK from NFS)</b>	Date Completed	Responsible	File	Additional Notes
PM contact the sponsor via telephone, email, or letter to notify of funds owed.		PM		Notification of funds owed
PM creates letter. RM creates CEFMS bill. PM sends demand letter, final accounting report and bill to Sponsor. RM sends document to the UFC.		PM, RM		Day 1 of the demand letter. Whether agreements require payment w/n 90 or 30 days, demand letter must go out 30 days before due.
Sends letter informing bill is delinquent, request debtor to pay.		UFC		31 Days after the Bill Date
Sends letter informing bill is delinquent and if bill is not paid, debt will be turned over to the Treasury for Treasury Offset Program.		UFC		60 Days after the Bill Date
Sends letter informing bill is delinquent and if bill is not paid, debt will be turned over to the Treasury for Treasury Offset Program.		UFC		90 Days after the Bill Date

	Date Completed	Responsible	File	Additional Notes
Turn debt over to the Treasury for Treasury Offset Program per USACE process.		UFC		120 Days after the Bill Date. Debtor Federal Tax Id will be needed. PM should request prior to setting up CSCR.
Must turn debt over to the Treasury for Treasury Offset Program per DoD FMR.		UFC		180 Days after the Bill Date

## E-2. Terminating CW Feasibility Study

**Table E-2**  
**Checklist for Terminating Civil Works Feasibility Study**

	Date Completed	Responsible	File	Additional Notes
Closeout Checklist		PM	X	
<b>Administrative Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
District Commander Determines Study Not Active or Lacks Federal Interest.		DE		
District Termination Memo		PM	X	
District Notify MSC, HQ and OASA w/n 48 hours of release of Termination Memo		PM		
Signed Dated Letters to non-Federal Sponsor, Congressional Members, and Sponsor w/n 5 days		DPM	X	
Documentation of Public Notice in Federal Register w/n 30 days (if NEPA was published prior to termination)		PM, PD	X	
WIK request and review		PM, LS	X	
WIK approval		PM	X	
Request feedback from non-Federal Sponsor		PM	X	
AAR/Lessons Learned		PDT	X	

	Date Completed	Responsible	File	Additional Notes
<b>Financial Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Check terms of Feasibility Cost Share Agreement (FCSA)		OC, PM, BA		
De-obligate all ULOs		RM, BA		
De-obligate all remaining commitments		RM, BA		
Enter completion dates in CEFMS		BA		
Verify all contract payments		CT		
Verify all Contracts are closed		CT, ED		
Run cost reports		PM, RM	X	
• (cost ledger, CEFMS funding status, etc.)		PM, RM		
Audit Report (Actual)		PM	X	
Closeout Memo (to RM, PgM)		RM	X	
Cost Transfers		Analyst, RM		
Verification		PM		
• (Cost Transfers)		BA, RM		
• (Refund Check)		BA, RM	X	
Audit Report (Final)		PM	X	
Financial Closeout Letter to Local Sponsor		PM	X	
<b>Real Estate Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
*no specific steps to highlight				
<b>CEFMS II Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Generate Funding Account Financial Summary Report (finrpt)		BA		

	Date Completed	Responsible	File	Additional Notes
Identify funds recorded against the Cost Share Control Record (Federal and Non-Federal)		BA		
Identify expenditures recorded against the Cost Share Control Record		BA		
Process cost transfers to balance the project expenditures		BA, RM		
Update the cost share record to reflect actual expenditures, cash received, and WIK/LERRD approved credits		RM		
Verify that funds have been removed from the federal register		RM		
Request UFC return excess funds to the sponsor (after receipt of the signed closeout letter) and verify completeness		RM		
Return any remaining funds to non-Federal Sponsor		BA, RM		
Collect funds due from sponsor, if applicable to balance the cost share record (funds are due from sponsor within 90 days of invoice date. See ER 37–1–30		BA, RM		
Send letter to the Bank to release remaining escrow balances to the sponsor, as applicable		BA		
Verify that the Physically and Fiscally complete indicators are checked		RM		
Execute and verify that the 'Eligible for Withdrawal' indicator is blank		RM		
Verify that the 'Cash Advance Balance' is zero – Screen 6.3		RM		
Verify that the 'Available for Return' is zero – Screen 4.156		RM		
Lock the Cost Share Record to prevent additional charges.		RM		
Generate the 'Cost Share Closeout Report' to identify and verify that all actions have been completed and no variance exist.		RM		
Maintain cost share documentation for six years and 3 months		RM		
Remove remaining Federal funding from AMSCO		BA		
<b>PROMIS Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Update actual costs.		PS		

	Date Completed	Responsible	File	Additional Notes
Progress and update activities as completed. Includes: set the actual finish of the project fiscally complete milestone = the actual finish of the last resourced activity so this will set the CEFMS project level work item end date = the project fiscally complete milestone actual finish.		PS, RM, BA, PM		Synchronize dates between P2 and CEFMS as much as possible
<b>Local (internal) procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	

### E-3. Converting CW Feasibility Study to Continuing Authorities Program (CAP)

**Table E-3**  
**Checklist for Specifically Authorized Feasibility Studies Converting to CAP Procedures**

	Date Completed	Responsible	File	Additional Notes
Closeout Checklist		PM	X	
<b>Administrative Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
District determines the project should be converted to CAP		PM		
Terminate Feasibility Study				
WIK request and review		PM, LS	X	
WIK approval		PM	X	
Request feedback from non-Federal Sponsor		PM	X	
District Termination Memo		PM	X	
District Notify MSC, HQ and OASA w/n 48 hours of release of Termination Memo		PM		
Signed Dated Letters to non-Federal Sponsor, Congressional Members and Sponsor w/n 5 days		PM	X	
AAR/Lessons Learned		PDT	X	
<b>Financial Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Check terms of FCSA		OC, PM, BA		
De-obligate all ULOs		RM, BA		Check Terms of FCSA

	Date Completed	Responsible	File	Additional Notes
De-obligate all remaining commitments		RM, BA		
Enter completion dates in CEFMS		BA		
Verify all contract payments		CT		
Verify all Contracts are closed		CT, ED		
Run cost reports		PM, RM	X	
• (cost ledger, CEFMS funding status, etc.)		PM, RM		
Audit Report (Actual)		PM	X	
Closeout Memo (to RM, PgM)		RM	X	
Cost Transfers		BA, RM		
Verification		PM		
• (Cost Transfers)		BA, RM		
• (Refund Check)		BA, RM	X	
Audit Report (Final)		PM	X	
Closeout Letter to Local Sponsor		PM	X	
<b>Real Estate Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
*no specific steps to highlight.				
<b>CEFMS II Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Generate Funding Account Financial Summary Report (finrpt)		BA		
Identify funds recorded against the Cost Share Control Record (Federal and Non-Federal)		BA		
Identify expenditures recorded against the Cost Share Control Record		BA		
Process cost transfers to balance the project expenditures		BA, RM		
Update the cost share record to reflect actual expenditures, cash received, and WIK/LERRD approved credits		RM		
Verify that funds have been removed from the federal register		RM		



	Date Completed	Responsible	File	Additional Notes
Request UFC return excess funds to the sponsor (after receipt of the signed closeout letter) and verify completeness		RM		
Return any remaining funds to non-Federal Sponsor, or request permission to reallocate remaining non-Federal Sponsor money to the CAP phase (Finance Center has to move)		BA, RM		
Collect funds due from sponsor, if applicable to balance the cost share record (funds are due from sponsor within 90 days of invoice date. See ER 37–1–30)		BA, RM		
Send letter to the Bank to release remaining escrow balances to the sponsor, as applicable		BA		
Verify that the Physically and Fiscally complete indicators are checked		RM		
Execute and verify that the 'Eligible for Withdrawal' indicator is blank		RM		
Verify that the 'Cash Advance Balance' is zero – Screen 6.3		RM		
Verify that the 'Available for Return' is zero – Screen 4.156		RM		
Lock the Cost Share Record to prevent additional charges.		RM		
Generate the 'Cost Share Closeout Report' to identify and verify that all actions have been completed and no variance exist.		RM		
Maintain cost share documentation for six years and 3 months		RM		
Remove remaining Federal funding from AMSCO		BA		
<b>PROMIS Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Update actual costs.		PS		
Progress and update activities as completed. Includes: set the actual finish of the project fiscally complete milestone = the actual finish of the last resourced activity so this will set the CEFMS project level work item end date = the project fiscally complete milestone actual finish.		PS, RM, BA, PM		Synchronize dates between P2 and CEFMS as much as possible
Create a new P2 project with a Project Subtype = CAP.		PS		See PROC1030
<b>Local (internal) procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	

## E-4. Converting CAP Study to CW Feasibility Study

**Table E-4**  
**Checklist for Cap Studies Converting to Specifically Authorized Studies Procedures**

	Date Completed	Responsible	File	Additional Notes
Closeout Checklist		PM	X	
Terminate CAP Project				
<b>Administrative Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
District determines the project should be converted to Specifically Authorized		PM		
WIK request and review		PM, LS	X	
WIK approval		PM	X	
Request feedback from non-Federal Sponsor		PM	X	
District Termination Memo		PM	X	
District Notify MSC, HQ and OASA w/n 48 hours of release of Termination Memo		PM		
Signed Dated Letters to non-Federal Sponsor, Congressional Members and Sponsor w/n 5 days		PM	X	
Input Completion dates in P2		PM, PS		
AAR/Lessons Learned		PDT	X	
<b>Financial Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Check terms of FCSA		OC, PM, BA		
De-obligate all ULOs		RM, BA		Check Terms of FCSA
De-obligate all remaining commitments		RM, BA		
Enter completion dates in CEFMS		BA		
Verify all contract payments		CT		

	Date Completed	Responsible	File	Additional Notes
Verify all Contracts are closed		CT, ED		
Run cost reports		PM, RM	X	
• (cost ledger, CEFMS funding status, etc.)		PM, RM		
Audit Report (Actual)		PM	X	
Closeout Memo (to RM, PgM)		RM	X	
Cost Transfers		BA, RM		
Verification		PM		
• (Cost Transfers)		BA, RM		
• (Refund Check)		BA, RM	X	
Audit Report (Final)		PM	X	
Closeout Letter to Local Sponsor		PM	X	
<b>Real Estate Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
*no specific steps to highlight.				
<b>CEFMS II Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Generate Funding Account Financial Summary Report (finrpt)		BA		
Identify funds recorded against the Cost Share Control Record (Federal and Non-Federal)		BA		
Identify expenditures recorded against the Cost Share Control Record		BA		
Process cost transfers to balance the project expenditures		BA, RM		
Update the cost share record to reflect actual expenditures, cash received, and WIK/LERRD approved credits		RM		
Verify that funds have been removed from the federal register		RM		
Request UFC return excess funds to the sponsor (after receipt of the signed closeout letter) and verify completeness		RM		

	Date Completed	Responsible	File	Additional Notes
Return any remaining funds to non-Federal Sponsor, or request permission to reallocate remaining non-Federal Sponsor money to the CAP phase (Finance Center has to move)		BA, RM		
Collect funds due from sponsor, if applicable to balance the cost share record (funds are due from sponsor within 90 days of invoice date. See ER 37–1–30)		BA, RM		
Send letter to the Bank to release remaining escrow balances to the sponsor, as applicable		BA		
Verify that the Physically and Fiscally complete indicators are checked		RM		
Execute and verify that the 'Eligible for Withdrawal' indicator is blank		RM		
Verify that the 'Cash Advance Balance' is zero – Screen 6.3		RM		
Verify that the 'Available for Return' is zero – Screen 4.156		RM		
Lock the Cost Share Record to prevent additional charges.		RM		
Generate the 'Cost Share Closeout Report' to identify and verify that all actions have been completed and no variance exist.		RM		
Maintain cost share documentation for six years and 3 months		RM		
Remove remaining Federal funding from AMSCO		BA		
<b>PROMIS Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Update actual costs.		PS		
Progress and update activities as completed. Includes: set the actual finish of the project fiscally complete milestone = the actual finish of the last resourced activity so this will set the CEFMS project level work item end date = the project fiscally complete milestone actual finish.		PS, RM, BA, PM		Synchronize dates between P2 and CEFMS as much as possible
Create a new P2 project with a Project Subtype = nonCAP.		PS		See PROC1030
<b>Local (internal) procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	

## E-5. CW Feasibility Study Closeout

**Table E-5**  
**Checklist for Completion of Civil Works Feasibility Phase Closeout Procedures**

	Date Completed	Responsible	File	Additional Notes
Closeout Checklist		PM	X	
<b>Administrative Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Directors Report or Chiefs Report Signed				
Initiate Closeout		PM		Within 10 Days of Signed Report
Notify Sponsor In Formal Letter with Copy of Signed Report.		PM	X	
File Signed Report		PM	X	
Post and File Certified TPC		ED	X	
Post and File Section 902 Calculation		EN/Econ	X	
WIK request and review		PM, LS	X	
WIK approval		PM	X	
Request feedback from non-Federal Sponsor		PM	X	
If a Chief's Report Transmit to Congress		RIT/ASA		
Completion Report (Final)		PM	X	
AAR/Lessons Learned		PDT	X	
<b>Financial Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Check terms of FCSA		OC, PM, BA		
De-obligate all ULOs		RM, BA		
De-obligate all remaining commitments		RM, BA		
Enter completion dates in CEFMS		BA		
Verify all service contract payments		CT		
Verify all service Contracts are closed		CT, ED		

	Date Completed	Responsible	File	Additional Notes
Run cost reports		PM, RM	X	
• (cost ledger, CEFMS funding status, etc.)		PM, RM		
Audit Report (Actual)		PM	X	
Closeout Memo (to RM, PgM)		RM	X	
Cost Transfers		BA, RM		
Verification		PM		
• (Cost Transfers)		BA, RM		
• (Refund Check)		BA, RM	X	
Audit Report (Final)		PM	X	
Completion Letter to Local Sponsor		PM	X	90 Days from Notice of Completion
<b>Real Estate Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
*REP is an appendix to the Feasibility Report and submitted to the Chief/Director for signature so no specific steps to highlight.		RE		
<b>CEFMS II Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Generate Funding Account Financial Summary Report (finrpt)		BA		
Identify funds recorded against the Cost Share Control Record (Federal and Non-Federal)		BA		
Identify expenditures recorded against the Cost Share Control Record		BA		
Process cost transfers to balance the project expenditures		BA, RM		
Update the cost share record to reflect actual expenditures, cash received, and WIK approved credits		RM		
Verify that funds have been removed from the federal register		RM		
Request UFC return excess funds to the sponsor (after receipt of the signed closeout letter) and verify completeness		RM		

	Date Completed	Responsible	File	Additional Notes
Return any remaining funds to non-Federal Sponsor, or request permission to reallocate remaining non-Federal Sponsor money to the PED phase (Finance Center has to move)		BA, RM		
Collect funds due from sponsor, if applicable to balance the cost share record (funds are due from sponsor within 90 days of invoice date. See ER 37–1–30)		BA, RM		
Send letter to the Bank to release remaining escrow balances to the sponsor, as applicable		BA		
Verify that the Physically and Fiscally complete indicators are checked		RM		
Execute and verify that the 'Eligible for Withdrawal' indicator is blank		RM		
Verify that the 'Cash Advance Balance' is zero – Screen 6.3		RM		
Verify that the 'Available for Return' is zero – Screen 4.156		RM		
Lock the Cost Share Record to prevent additional charges.		RM		
Generate the 'Cost Share Closeout Report' to identify and verify that all actions have been completed and no variance exist.		RM		
Maintain cost share documentation for six years and 3 months		RM		
Remove remaining Federal funding from AMSCO on Feasibility Phase CCS (if PED phase is active/started, can move to PED phase on same CCS with RLC transaction)		BA		
<b>Real Estate Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
*REP is an appendix to the Feasibility Report and submitted to the Chief/Director for signature so no specific steps to highlight.		RE		*The REP is signed at the District level
<b>PROMIS Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Update actual costs.		PS		
Progress and update activities as completed. Includes: set the actual finish of the project fiscally complete milestone = the actual finish of the last resourced activity so this will set the CEFMS project level work item end date = the project fiscally complete milestone actual finish.		PS, RM, BA, PM		Synchronize dates between P2 and CEFMS as much as possible
<b>Local (internal) procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	

## E-6. CW Preconstruction Engineering and Design Closeout

**Table E-6**  
**Checklist for Civil Works Preconstruction Engineering and Design Phase Closeout Procedures**

	Date Completed	Responsible	File	Additional Notes
Closeout Checklist		PM	X	
<b>Administrative Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Construction New Start Appropriation				
1st Set of P&S Complete		ED, PM	X	
WIK request and review		PM, LS	X	
WIK approval		PM	X	
Record WIK in CEFMS		RM		
Request feedback from non-Federal Sponsor		PM	X	
AAR/Lessons Learned		PDT	X	
<b>Financial Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Check terms of Design Agreement		OC, PM, BA		
De-obligate all ULOs		RM, BA		
De-obligate all remaining commitments		RM, BA		
Enter completion dates in CEFMS		BA		
Verify all contract payments		CT		
Verify all Contracts are closed		CT, ED		
Run cost reports		PM, RM	X	
• (cost ledger, CEFMS funding status, etc.)		PM, RM		
Audit Report (Actual)		PM	X	
Closeout Memo (to RM, PgM)		RM	X	



	Date Completed	Responsible	File	Additional Notes
Cost Transfers		Analyst, RM		
Verification		PM		
• (Cost Transfers)		BA, RM		
• (Refund Check)		BA, RM	X	
Audit Report (Final)		PM	X	
Closeout Letter to Local Sponsor		PM	X	
<b>Real Estate Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
*no specific steps to highlight.		RE		
LERRD steps may be applicable. If so, please refer to the CW Construction Phase Closeout.		RE		
<b>CEFMS II Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Generate Funding Account Financial Summary Report (finrpt)		BA		
Identify funds recorded against the Cost Share Control Record (Federal and Non-Federal)		BA		
Identify expenditures recorded against the Cost Share Control Record		BA		
Process cost transfers to balance the project expenditures		BA, RM		
Update the cost share record to reflect actual expenditures, cash received, and WIK approved credits		RM		
Verify that funds have been removed from the federal register		RM		
Request UFC return excess funds to the sponsor (after receipt of the signed closeout letter) and verify completeness		RM		
Return any remaining funds to non-Federal Sponsor, or request permission to reallocate remaining non-Federal Sponsor money to the Construction phase (Finance Center has to move)		BA, RM		
Collect funds due from sponsor, if applicable to balance the cost share record (funds are due from sponsor within 90 days of invoice date. See ER 37-1-30)		BA, RM		

	Date Completed	Responsible	File	Additional Notes
Send letter to the Bank to release remaining escrow balances to the sponsor, as applicable		BA		
Verify that the Physically and Fiscally complete indicators are checked		RM		
Execute and verify that the 'Eligible for Withdrawal' indicator is blank		RM		
Verify that the 'Cash Advance Balance' is zero – Screen 6.3		RM		
Verify that the 'Available for Return' is zero – Screen 4.156		RM		
Lock the Cost Share Record to prevent additional charges.		RM		
Generate the 'Cost Share Closeout Report' to identify and verify that all actions have been completed and no variance exist.		RM		
Maintain cost share documentation for six years and 3 months		RM		
Remove remaining Federal funding from AMSCO		BA		
<b>PROMIS Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Update actual costs.		PS		
<b>Local (internal) procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	

## E-7. Construction Contract Closeout

**Table E-7**  
**Checklist for Construction Contract Closeout Procedures**

	Date Completed	Responsible	File	Additional Notes
Closeout Checklist		PM	X	
<b>Administrative Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Complete Contract Punchlist		COR	X	
Ensure compliance with all Permits		ACO		
Resolve any outstanding issues (if applicable)		COR		
O&M manual (and ITR)		COR	X	

	Date Completed	Responsible	File	Additional Notes
Property Transfer (DD 1354)		COR/ACO	X	
Warranty Letter		COR	X	
Release of Claims		COR/ACO		
CPARS (Contractor Performance and Appraisal Review System) – Final Report – before final progress payment is approved		COR	X	
Final Progress Payment		ACO/KO		
Input Completion dates in RMS		COR		
• Contract Completion (CC820)		COR		
• Beneficial Occupancy (CC850)		COR		
• Contract final payment (CC880) – called Fiscal Completion in RMS		COR		
• Construction Completion (PDBP/PROMIS CC820)		COR		
• Beneficial Occupancy Date (PDBP/PROMIS CC850)		COR		
• Contract Physical Completion (PDBP/PROMIS CC840)		COR		
• Contractor Final Payment (PDBP/PROMIS CC880)		COR		Updated through CEFMS, which also sets actual finish on the contract's resourced activity if RMS-P2 linked
Contract Status changed Fiscally Complete in RMS		COR		
Completion Report (Final)		PM	X	
AAR/Lessons Learned		PDT	X	
<b>Financial Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Verify all contract payments		CT		
Verify Contract is closed		CT, ED		

	Date Completed	Responsible	File	Additional Notes
De-obligate all ULOs		ACO/COR		
Decrease all remaining commitments		BA or PA		
If more contracts on Project, reprogram funding to other contracts as allowed		BA or PA w/RM		
If Last contract on Project, Return Excess Funds (See Tab 7 or 8 to Close Project)		BA or PA w/RM		
<b>PROMIS Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Progress and update activities as completed.		PM, PS		
<b>Local (internal) procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	

## E-8. CW Construction Phase Closeout

**Table E-8**  
**Checklist for Civil Works Construction Project Closeout Procedures**

	Date Completed	Responsible	File	Additional Notes
Closeout Checklist		PM	X	
<b>Administrative Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Follow Const Contract Closeout Process		CD/CT/ACO, KO, and CORs		Workbook Tab #7
Initiate closeout		PM		Upon Completion of Release of Claims
LERRD Crediting Closeout		RE, PM, RM	X	
WIK request and review		PM, LS	X	
WIK approval		PM	X	
Request feedback from non-Federal Sponsor		PM	X	
Transfer letter to non-Federal Sponsor		RE, PM	X	

	Date Completed	Responsible	File	Additional Notes
Completion Report (Final)		PM	X	
ENG 3013		RM, PM	X	
AAR/Lessons Learned		PDT	X	
<b>Financial Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Check terms of LCA, PCA, and/or PPA; depending on age of project.		OC, PM, BA		Projects after early 2000s should all have PPAs. Also make sure to check for any contributed funds, P3 or advanced agreements.
De-obligate all ULOs		RM, BA		
De-obligate all remaining commitments		RM, BA		
Enter completion dates in CEFMS		BA		
Verify all contract payments		CT		
Verify all Contracts are closed		CT, ED		
Run cost reports		PM, RM	X	
• (cost ledger, CEFMS funding status, etc.)		PM, RM		
Audit Report (Actual)		PM	X	
Closeout Memo (to RM, PgM)		RM	X	
Cost Transfers		BA, RM		
Verification		PM		
• (Cost Transfers)		BA, RM		
• (Refund Check)		BA, RM	X	
Audit Report (Final)		PM	X	

	Date Completed	Responsible	File	Additional Notes
Closeout Letter to non-Federal Sponsor	Within 90 days of Release of Claims.	PM	X	
<b>Real Estate Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
NFS submits LERRD credit request with supporting documentation		LS	X	
RE reviews and validates all LERRD credits, and provides recommendation to PM and RM		RE		
RM records approved LERRD amounts in CEFMS		RM		
*Although not paid for by USACE, LERRD credit amounts are resourced in PROMIS as LAND Resource Code. LERRD credits should be recorded quarterly.		RE		
<b>CEFMS II Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Generate Funding Account Financial Summary Report (finrpt)		BA		
Identify funds recorded against the Cost Share Control Record (Federal and Non-Federal)		BA		
Identify expenditures recorded against the Cost Share Control Record		BA		
Process cost transfers to balance the project expenditures		BA, RM		
Update the cost share record to reflect actual expenditures, cash received, and WIK/LERRD approved credits		RM		
Verify that funds have been removed from the federal register		RM		
Request UFC return excess funds to the sponsor (after receipt of the signed closeout letter) and verify completeness		RM		
Return any remaining funds to non-Federal Sponsor		BA, RM		
Collect funds due from sponsor, if applicable to balance the cost share record (funds are due from sponsor within 90 days of invoice date. See ER 37–1–30)		BA, RM		
Send letter to the Bank to release remaining escrow balances to the sponsor, as applicable		BA		
Verify that the Physically and Fiscally complete indicators are checked		RM		

	Date Completed	Responsible	File	Additional Notes
Execute and verify that the 'Eligible for Withdrawal' indicator is blank		RM		
Verify that the 'Cash Advance Balance' is zero – Screen 6.3		RM		
Verify that the 'Available for Return' is zero – Screen 4.156		RM		
Lock the Cost Share Record to prevent additional charges.		RM		
Generate the 'Cost Share Closeout Report' to identify and verify that all actions have been completed and no variance exist.		RM		
Maintain cost share documentation for six years and 3 months		RM		
Remove remaining Federal funding from AMSCO		BA		
<b>PROMIS Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Update actual costs.		PS		
Progress and update activities as completed. Includes: set the actual finish of the project fiscally complete milestone = the actual finish of the last resourced activity so this will set the CEFMS project level work item end date = the project fiscally complete milestone actual finish.		PS, RM, BA, PM		Synchronize dates between P2 and CEFMS as much as possible
<b>Local (internal) procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	

## E-9. Military Construction Phase Closeout

**Table E-9**  
**Checklist for Military Construction Project Closeout Procedures**

	Date Completed	Responsible	File	Additional Notes
Closeout Checklist		PM	X	Also reference Tab #6 in this workbook for Construction Contract closeout specific procedures

	Date Completed	Responsible	File	Additional Notes
<b>Administrative Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Complete Physical Incremental Phases of Construction				MILCON Project Closeout EBP
<ul style="list-style-type: none"> <li>Initial Red Zone Meeting (IRZM)</li> </ul>	80% Complete, but no less than 60 days prior to BOD	PM, AE/PE	X	Processes 1,2 & 4
<ul style="list-style-type: none"> <li>Continue Pre-BOD Construction</li> </ul>		AE/PE, PM		Processes 6–10
<ul style="list-style-type: none"> <li>BOD and Interim 1354 Transfer/CIP Transfer</li> </ul>		AE/PE, PA, RM		Processes 11–16
<ul style="list-style-type: none"> <li>– 30 Days Prior to Scheduled BOD, Res Engr Office to coordinate with PM/PA to obtain Cost-to-Date for Interim 1354</li> </ul>				
<ul style="list-style-type: none"> <li>– PM/PA must provide Res Engr with Cost for Interim 1354 as of no more than 14 days of BOD</li> </ul>	Int Cost pmcipproj must be w/in 14 days of BOD			
<ul style="list-style-type: none"> <li>– PM/PA must run pmcipproj for files and cost provided to Res Engr Office must be exact amount entered on Interim 1354</li> </ul>	Int Cost to be provided no later than 7 days prior to BOD			
<ul style="list-style-type: none"> <li>– Res Engr office must provide Customer Signed Interim 1354 to the PM/PA (See Financial Closeout below)</li> </ul>				
Complete Physical Last Phase of Construction		AE/PE		Processes 17–25
<ul style="list-style-type: none"> <li>O&amp;M manual and As-Builts and ITR</li> </ul>		ED, COR	X	
<ul style="list-style-type: none"> <li>Transfer letter to Sponsor (BOD, Punchlist and Warranty)</li> </ul>		AE/PE, PM, COR/ACO	X	
Construction Contract Closeout				Processes 26–32
<ul style="list-style-type: none"> <li>Release of Claims</li> </ul>		ACO/COR		
<ul style="list-style-type: none"> <li>Final Progress Payment</li> </ul>		ACO/KO		
<ul style="list-style-type: none"> <li>Completion Report (Final)</li> </ul>		ACO	X	



	Date Completed	Responsible	File	Additional Notes
Complete AE Contract Requirements		PM, CT		Processes 33–34
AE Contract Closeout		PM, KO		Processes 35–41
Interim/Final Fiscal Review, Funds Return, Real Prop/CIP Trf				Processes 42–45
Transfer CIP/Asset Items				
Project Fiscal Closeout Complete after Last Final 1354 Customer Rec Ackn or Final CIP Transfer (use P2 Milestone ML 260 - Project Fiscally Complete)		PA, P2		Process 46
AAR/Lessons Learned		PDT	X	
<b>Financial Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Initial Red Zone Meeting (IRZM) – Interim Funds Review		PM, PA		Processes 3 & 5
<ul style="list-style-type: none"> <li>Reviews status to clear balances no longer required – return known excess</li> </ul>		PM, PA, RM		
Continue Pre-BOD Construction				Process 9
<ul style="list-style-type: none"> <li>AE/PE coordinates w/ PM/PA for All Project Cost for Int 1354</li> </ul>		AE/PE, PA		Processes 9 & 12
BOD and Interim 1354 Transfer/CIP Transfer		AE/PE, PA, RM		Processes 12–16
<ul style="list-style-type: none"> <li>AE/PE provides Customer Signed Int 1354 to PM</li> </ul>				
<ul style="list-style-type: none"> <li>PM sends Signed Int 1354 and CIP Trf Memo to RM for Int CIP Trf</li> </ul>	Int CIP MUST be Transferred w/in 90 days of BOD/PIS	PM, PA		
Construction Contract Closeout		CD, PA		Processes 29 & 30
<ul style="list-style-type: none"> <li>CD provides a copy of Final Pay Package to PM for Fiscal Closeout</li> </ul>				
Final/Interim Fiscal Review, Funds Return, Real Prop/CIP Trf		PA, PM, RM		
<ul style="list-style-type: none"> <li>Verify all contract payments completed</li> </ul>		PA		
<ul style="list-style-type: none"> <li>Verify all Contracts are closed</li> </ul>		CT, CD, PM, (ED?)		

	Date Completed	Responsible	File	Additional Notes
• De-obligate all ULOs		ACO/KO		
• Decrease all remaining commitments		BA, PA		
• Return all Excess Funds		BA/PA w/ RM		
• Run cost reports (Cost Ledger, Fin Summary, pmcipproj, etc.)		BA, PA		
• Prepare Final 1354, Sign, and Send to Customer RPAO		PA, PM		
• Obtain RPAO Final 1354 Receipt Acknowledgement		PA		
• Send Final 1354, Rec Ackn, and CIP Transfer Memo to RM for Final CIP Trf	Final CIP Transfer MUST be processed w/in 90 days of being issued to the RPAO, BUT NTE Date Below*	PA, RM		
Enter completion dates in P2 (ML 260) (This is last step – later date of Final 1354 Rec Ackn or Final CIP Transfer)	*Fiscal Completion (ML 260) should be within 12 months (CONUS) or 15 months (OCONUS) of BOD.	BA		
Audit Report (Actual)		PM	X	
Closeout Memo (to RM, PgM)		RM	X	
Cost Transfers		BA, RM		
Verification		PM		
• (Cost Transfers)		BA, RM		
• (Refund Check)		BA, RM		
Audit Report (Final)		PM	X	
Real Estate Steps				

	Date Completed	Responsible	File	Additional Notes
Record assets costs on the DD 1354		RPAO		
Sign DD 1354 prior to receiving facility access. Provide to Resident Engineer		RPAO		
<b>CEFMS II Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Run cost reports (Cost Ledger, Fin Summary, pmcipproj, etc.)		BA		
Verify that funds have been removed from the federal register		RM		
Remove remaining Federal funding from AMSCO		BA		
<b>PROMIS Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Update actual costs.		PS		
Progress and update activities as completed. Includes: set the actual finish of the project fiscally complete milestone = the actual finish of the last resourced activity so this will set the CEFMS project level work item end date = the project fiscally complete milestone actual finish.		PS, PM		Enter completion dates (ML 260). Synchronize dates between P2 and CEFMS as much as possible.
<b>Local (internal) procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	

## E-10. General Project Closeout

**Table E-10**  
**Checklist for Projects That Do Not Meet the Other Tab Definitions Closeout Procedures**

	Date Completed	Responsible	File	Additional Notes
Closeout Checklist		PM	X	
<b>Administrative Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Initiate closeout		PM		Upon Completion of Release of Claims on any contract

	Date Completed	Responsible	File	Additional Notes
WIK request and review		PM, LS	X	If cost-shared, and had Work in Kind
WIK approval		PM	X	If cost-shared, and had Work in Kind
Request feedback from non-Federal Sponsor		PM	X	If cost-shared; otherwise, request Feedback from any Stakeholders
Completion Report (Final)		PM	X	
AAR/Lessons Learned		PDT	X	
<b>Financial Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Check terms of Agreement		OC, PM, BA		
De-obligate all ULOs		RM, BA		
De-obligate all remaining commitments		RM, BA		
Enter completion dates in CEFMS		BA		If cost-shared
Verify all contract payments		CT		If applicable
Verify all Contracts are closed		CT, ED		If applicable
Run cost reports		PM, RM	X	
• (Cost ledger, CEFMS funding status, etc.)		PM, RM		
Audit Report (Actual)		PM	X	
Closeout Memo (to RM, PgM)		RM	X	
Verification		PM		
• (Cost Transfers)		RM, BA		
• (Refund Check)		RM, BA	X	

	Date Completed	Responsible	File	Additional Notes
Audit Report (Final)		PM	X	
Closeout Letter to non-Federal Sponsor	Within 90 days of Release of Claims.		X	
<b>Real Estate Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
*no specific steps to highlight.				
<b>CEFMS II Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Generate Funding Account Financial Summary Report (finrpt)		BA		
Identify funds recorded against the Cost Share Control Record (Federal and Non-Federal)		BA		If cost-shared
Identify expenditures recorded against the Cost Share Control Record		BA		If cost-shared
Process cost transfers to balance the project expenditures		BA, RM		If applicable
Update the cost share record to reflect actual expenditures, cash received, and WIK/LERRD approved credits		RM		If cost-shared
Verify that funds have been removed from the federal register		RM		
Request UFC return excess funds to the sponsor (after receipt of the signed closeout letter) and verify completeness		RM		
Return any remaining funds to non-Federal Sponsor		BA, RM		If cost-shared
Collect funds due from sponsor, if applicable to balance the cost share record (funds are due from sponsor within 90 days of invoice date. See ER 37–1–30)		BA, RM		If cost-shared
Send letter to the Bank to release remaining escrow balances to the sponsor, as applicable		BA		If cost-shared
Verify that the Physically and Fiscally complete indicators are checked		RM		If cost-shared
Execute and verify that the 'Eligible for Withdrawal' indicator is blank		RM		If cost-shared
Verify that the 'Cash Advance Balance' is zero – Screen 6.3		RM		If cost-shared
Verify that the 'Available for Return' is zero – Screen 4.156		RM		If cost-shared
Lock the Cost Share Record to prevent additional charges.		RM		If cost-shared

	Date Completed	Responsible	File	Additional Notes
Generate the 'Cost Share Closeout Report' to identify and verify that all actions have been completed and no variance exist.		RM		If cost-shared
Maintain cost share documentation for six years and 3 months		RM		If cost-shared
Remove remaining Federal funding from AMSCO		BA		
<b>PROMIS Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Update actual costs.		PS		
Progress and update activities as completed. Includes: set the actual finish of the project fiscally complete milestone = the actual finish of the last resourced activity so this will set the CEFMS project level work item end date = the project fiscally complete milestone actual finish.		PS, PM, RM, BA		Synchronize dates between P2 and CEFMS as much as possible
<b>Local (internal) procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	

## E-11. Interagency and International Services/Military Environmental Projects

**Table E-11**  
**Checklist for IIS and Military Environmental Project Closeout Procedures**

	Date Completed	Responsible	File	Additional Notes
Closeout Checklist		PM	X	Also reference Tab #6 in this workbook for Construction Contract closeout specific procedures
<b>Administrative Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Complete Physical Incremental Phases of Construction				MILCON Project Closeout EBP

	Date Completed	Responsible	File	Additional Notes
<ul style="list-style-type: none"> <li>Initial Red Zone Meeting (IRZM)</li> </ul>	80% Complete, but no less than 60 days prior to BOD	PM, AE/PE	X	Processes 1,2 & 4
<ul style="list-style-type: none"> <li>Continue Pre-BOD Construction</li> </ul>		AE/PE, PM		Processes 6–10
<ul style="list-style-type: none"> <li>BOD and Interim 1354 Transfer/CIP Transfer</li> </ul>		AE/PE, PA, RM		Processes 11–16
<ul style="list-style-type: none"> <li>– 30 Days Prior to Scheduled BOD, Res Engr Office to coordinate with PM/PA to obtain Cost-to-Date for Interim 1354</li> </ul>				
<ul style="list-style-type: none"> <li>– PM/PA must provide Res Engr with Cost for Interim 1354 as of no more than 14 days of BOD</li> </ul>	Int Cost pmcipproj must be w/in 14 days of BOD			
<ul style="list-style-type: none"> <li>– PM/PA must run pmcipproj for files and cost provided to Res Engr Office must be exact amount entered on Interim 1354</li> </ul>	Int Cost to be provided no later than 7 days prior to BOD			
<ul style="list-style-type: none"> <li>– Res Engr office must provide Customer Signed Interim 1354 to the PM/PA (See Financial Closeout below)</li> </ul>				
Complete Physical Last Phase of Construction		AE/PE		Processes 17–25
<ul style="list-style-type: none"> <li>O&amp;M manual and As-Builts and ITR</li> </ul>		ED, COR	X	
<ul style="list-style-type: none"> <li>Transfer letter to Sponsor (BOD, Punchlist and Warranty)</li> </ul>		AE/PE, PM, COR/ACO	X	
Construction Contract Closeout				Processes 26–32
<ul style="list-style-type: none"> <li>Release of Claims</li> </ul>		ACO/COR		
<ul style="list-style-type: none"> <li>Final Progress Payment</li> </ul>		ACO/KO		
<ul style="list-style-type: none"> <li>Completion Report (Final)</li> </ul>		ACO	X	
Complete AE Contract Requirements		PM, CT		Processes 33–34
AE Contract Closeout		PM, KO		Processes 35–41
Interim/Final Fiscal Review, Funds Return, Real Prop/CIP Trf				Processes 42–45

	Date Completed	Responsible	File	Additional Notes
Transfer CIP/Asset Items				
Project Fiscal Closeout Complete after Last Final 1354 Customer Rec Ackn or Final CIP Transfer (use as ML 260)		PA, P2		Process 46
AAR/Lessons Learned		PDT	X	
<b>Financial Closeout Procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Initial Red Zone Meeting (IRZM) – Interim Funds Review		PM, PA		Processes 3 & 5
<ul style="list-style-type: none"> <li>Reviews status to clear balances no longer required – return known excess</li> </ul>		PM, PA, RM		
Continue Pre-BOD Construction				Process 9
<ul style="list-style-type: none"> <li>AE/PE coordinates w/ PM/PA for All Project Cost for Int 1354</li> </ul>		AE/PE, PA		Processes 9 & 12
BOD and Interim 1354 Transfer/CIP Transfer		AE/PE, PA, RM		Processes 12–16
<ul style="list-style-type: none"> <li>AE/PE provides Customer Signed Int 1354 to PM</li> </ul>				
<ul style="list-style-type: none"> <li>PM sends Signed Int 1354 and CIP Trf Memo to RM for Int CIP Trf</li> </ul>	Int CIP MUST be Transferred w/in 90 days of BOD/PIS	PM, PA		
Construction Contract Closeout		CD, PA		Processes 29 & 30
<ul style="list-style-type: none"> <li>CD provides a copy of Final Pay Package to PM for Fiscal Closeout</li> </ul>				
Final/Interim Fiscal Review, Funds Return, Real Prop/CIP Trf		PA, PM, RM		
<ul style="list-style-type: none"> <li>Verify all contract payments completed</li> </ul>		PA		
<ul style="list-style-type: none"> <li>Verify all Contracts are closed</li> </ul>		CT, CD, PM, (ED?)		
<ul style="list-style-type: none"> <li>De-obligate all ULOs</li> </ul>		ACO/KO		
<ul style="list-style-type: none"> <li>Decrease all remaining commitments</li> </ul>		BA, PA		
<ul style="list-style-type: none"> <li>Return all Excess Funds</li> </ul>		BA/PA w/ RM		



	Date Completed	Responsible	File	Additional Notes
• Run cost reports (Cost Ledger, Fin Summary, pmcipproj, etc.)		BA, PA		
• Prepare Final 1354, Sign, and Send to Customer RPAO		PA, PM		
• Obtain RPAO Final 1354 Receipt Acknowledgement		PA		
• Send Final 1354, Rec Ackn, and CIP Transfer Memo to RM for Final CIP Trf	Final CIP Transfer MUST be processed w/in 90 days of being issued to the RPAO, BUT NTE Date Below*	PA, RM		
Enter completion dates in P2 (ML 260) (This is last step – later date of Final 1354 Rec Ackn or Final CIP Transfer)	*Fiscal Completion (ML 260) should be within 12 months (CONUS) or 15 months (OCONUS) of BOD.	BA		
Audit Report (Actual)		PM	X	
Closeout Memo (to RM, PgM)		RM	X	
Cost Transfers		BA, RM		
Verification		PM		
• (Cost Transfers)		BA, RM		
• (Refund Check)		BA, RM		
Audit Report (Final)		PM	X	
Real Estate Steps				
Record assets costs on the DD 1354		RPAO		
Sign DD 1354 prior to receiving facility access. Provide to Resident Engineer		RPAO		

	Date Completed	Responsible	File	Additional Notes
<b>CEFMS II Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Run cost reports (Cost Ledger, Fin Summary, pmcipproj, etc.)		BA		
Verify that funds have been removed from the federal register		RM		
Remove remaining Federal funding from AMSCO		BA		
<b>PROMIS Steps</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	
Update actual costs.		PS		
Progress and update activities as completed. Includes: set the actual finish of the project fiscally complete milestone = the actual finish of the last resourced activity so this will set the CEFMS project level work item end date = the project fiscally complete milestone actual finish.		PS, PM		Enter completion dates (ML 260). Synchronize dates between P2 and CEFMS as much as possible
<b>Local (internal) procedures</b>	<b>Date Completed</b>	<b>Responsible</b>	<b>File</b>	

## E-12. Closeout Checklist Legend and Alternate Definitions

**Table E-12**  
**Legend and Alternate Definitions for Closeout Terminology and Roles/Responsibilities**

Term	Definition	May Also Be Known As	Roles/Responsibilities
AE	Area Engineer	Resident Engineer	
ACO	Administrative Contracting Officer	ACO or AKO	
AMSCO	Army Management Structure Code	Program Code	
ASA	Assistant Secretary of Army for Civil Works	OASA, ASA (CW)	All official authorization-related activities and transmits to Congress and OMB.
BA	Budget Analyst	PA, Program Analyst, Project Specialist, Budget Tech, Project Financial Manager (PFM)	

<b>Term</b>	<b>Definition</b>	<b>May Also Be Known As</b>	<b>Roles/Responsibilities</b>
BOD	Beneficial Occupancy Date		
CAP	Continuing Authorities Program		
CCS	Category, Class, Subclass		
CEFMS	Corps of Engineers Financial Management System		
COR	Contracting Officer Representative		
CSCM	Cost Share Control Manager		
CT	Contracting Division		
DE	District Engineer	District Commander, Colonel or Lt. Colonel	
DPM	Deputy for Programs and Project Management		All formal signatures on communication to Stakeholders and Congressional Representatives as delegated by the District Commander.
Econ	Economist		
ED	Engineering Division		
ENV	Environmental		
FCSA	Feasibility Cost Share Agreement		
FUDS	Formerly Used Defense Sites		
FUSRAP	Formerly Used Sites Remedial Action Program		
IIS	Interagency and International Services		
KO	Contracting Officer		
LCA	Local Cooperation Agreement		
LERRD	Lands, Easements, Rights-of-Way, Relocations, and Disposal Areas		Real Estate requirements necessary for execution of the project implementation.

<b>Term</b>	<b>Definition</b>	<b>May Also Be Known As</b>	<b>Roles/Responsibilities</b>
LS	Local Sponsor		Cost-sharing Sponsor for the study/project.
MILCON	Military Construction		
OC	Office of Counsel		
P3	Public, Private Partnership		
PA	Program Analyst		
PCA	Project Cost Share Agreement	Project Construction Agreement	
PD	Planning Division		
PDT	Project Delivery Team		
PE	Project Engineer	Resident Engineer	
PED	Preconstruction Engineering and Design		
PgM	Program Manager		
PM	Project Manager	Project Engineer (PE), Study Manager	
PPA	Project Partner Agreement		
PROMIS	Program and Project Management Information System	P2 (PROMIS V2)	
PS	Project Scheduler		
RE	Real Estate	RE	
REP	Real Estate Plan		
RIT	Regional Integration Team	HQRIT	Liaison to ASA and OMB.
RM	Resource Management		
RPAO	Real Property Accountability Officer		
UFC	USACE Finance Center		
WIK	Work in Kind		

## Appendix F

### Civil Works Program-Specific Milestones

Refer to [Reference Documents: Civil Works Program-Specific Information \(REF8010G\)](#).

These Civil Works milestones are typically used by Project Delivery Teams (PDTs) to deliver Civil Works Projects and will be utilized within project schedules and PMPs. They are also defined by their use in various Phases and Types of Works of Civil Works projects.

**Table F-1**  
**Civil Works Program-Specific Milestones**

*Notes:*

\* PED = Preconstruction Engineering and Design

\*\* SWNCP = Specific Work not Commonly Performed Phase of Work or Dredging Activities in the O&M appropriation.

Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
<b>CW030</b>	Start PMP	PMP Start	S	This provides the start date of developing the original PMP by the PDT and signifies the major start of the significant phases of a Project. This start milestone is used when a new PMP is at the start of development for a project. This milestone is not to be used for the minor updates (amendments) to existing PMP documents.	X	X			
<b>CW035</b>	Approved Review Plan (posted on District website)	Post Review Plan	F	Represents the initial date the Review Plan is posted on the District's website. Peer Review Plans are required for decision documents that require authorization by the U.S. Congress.	X	X	X		

Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
<b>CW040</b>	PMP Approval	PMP Approval	F	This provides the finish date for the original PMP document when all signatures have been provided for approval. See Project Planning: Project Management Plan/Program Management Plan Development Approval (PROC2070).	X	X			
<b>CW042</b>	PMP Revision	Revised/Updated PMP	F	This provides the finish date for the revised/updated PMP document(s) when all signatures have been provided for approval. May be used multiple times within a project; typically done at the start of each new phase of work/new WBS and at least annually.	X	X	X	X	
<b>CW044</b>	Review Plan Revision	Update/Revise Review Plan	F	Represents the date of any Review Plan updates. May be used multiple times within a project.	X	X	X		
<b>CW060</b>	Submit Milestone Meeting MFR	Submit Milestone MFR	F	The date the PDT submits a Memorandum for Record to the Vertical Team after achieving a study milestone. May be used multiple times within a project.		X			
<b>CW070</b>	Start FCSA Agreement Development	Agreement Start	S	This provides the start date for development of the Feasibility Cost Share Agreement.	X				
<b>CW080</b>	Submit FCSA Agreement to MSC/HQ	Agreement Submittal	F	This provides the finish date of the drafted FCSA and the start of review by MSC/HQ.	X				
<b>CW090</b>	District/MSCHQ Approval of Agreement	Agreement Approved	F	This provides the finish date that the Agreement is approved by MSC and/or HQ. May be used multiple times within a project. District approval for delegated CAP authorities only.	X				

Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
<b>CW100</b>	ASA (CW) Approves Design Agreement	Agreement ASA (CW) Approval	F	This provides the finish date that the Agreement is approved by the ASA (CW). This milestone kicks off PED. Only required for CAP if non-standard agreement.	X				
<b>CW130</b>	FCSA Executed, Watershed CSA Executed, FCCE CSA Executed, Design Agreement Executed, Project Partnership Agreement Executed, or Agreement Executed	Agreement Execution	F	This provides the finish date of an agreement execution, which includes Feasibility Cost Share Agreements (FCSA), Watershed Cost Share Agreements (CSA), FCCE CSAs, Design Agreements, and Project Partnership Agreements (PPA). This provides the date the agreement has been signed by all parties (both the cost share sponsors and the Federal Government.) For a FCSA, this date also marks the beginning of the 3-year “clock” in a feasibility study.	X	X	X		
<b>CW140</b>	Start Study	Report Start	S	This provides the start date for the initiation of the Study after Federal funds have been received.	X	X			
<b>CW150</b>	Release of Draft Report for Concurrent Reviews	Draft Report Submittal	S	This is the date the Draft Report is released for concurrent reviews (ATR, IEPR, Public, Policy and Legal Compliance). Not used for CAP. For specifically authorized projects. It is a requirement in Section 1002 letters. CW 250 may be used in lieu of this milestone.					
<b>CW151</b>	ATR Certification of Draft Report	Draft Report ATR Certification	F	This provides the date on which the Draft Report receives Agency Technical Review (ATR) certification.					
<b>CW152</b>	ATR Certification of Final Report	ATR Certification	F	This provides the date on which the report receives ATR certification.					

Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
<b>CW160</b>	District Submit Final Report	District Final Report Submittal	F	This provides the finish date of the Final Report Document that has been submitted to the next higher headquarters for (concurrent) review.	X	X			
<b>CW170</b>	CAP Federal Interest Determination Approval, Approval of Final CAP Decision Document, Final Watershed Plan, FCCE Complete Project Information Report or Report Approval	CAP Report Approval	F	This provides the finish date of the Final Report's approval by the approving office. Applies to CAP Federal Interest Determination (FID) Approval, Approval of Final CAP Decision Document, Watershed Studies Approved Final Watershed Plan, and FCCE Complete Project Information Report (PIR).	X	X			
<b>CW180</b>	Transmitted Report to Congress	Report to Congress	F	This provides the finish date for the submission		X			
<b>CW190</b>	Tentatively Selected Plan (TSP) Meeting	Tentatively Selected Plan (TSP) Meeting	F	Formerly Alternative Formulation Briefing and formerly MSC Decision Meeting (MDM). Milestone code only applicable to CAP projects.	X				
<b>CW192</b>	Start Feasibility Level VE Study/Workshop	VE/VM Study/ Workshop Start	S	This provides the start date of the feasibility phase VE/VM Study/Workshop which is conducted as part of the plan formulation process prior to the selection of final alternatives.					
<b>CW195</b>	Finish Feasibility Level VE Study/ Workshop	VE/VM Study/ Workshop Complete		This provides the finish date of the feasibility phase VE/VM Study/Workshop					
<b>CW200</b>	EA and FONSI complete	EA and FONSI complete	F	This provides the finish date for the completion of the Environmental Assessment (EA) or the Finding of No Significant Impact (FONSI) for the Study.		X			



Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
<b>CW205</b>	EIS Notice of Intent	EIS Notice of Intent	F	The provides the date of the Environmental Impact Statement (EIS) Notice of Intent.		X			
<b>CW210</b>	EIS/SEIS complete	EIS/SEIS complete	F	The provides the finish date of the EIS or Supplemental EIS for the Study.		X			
<b>CW220</b>	Water Quality Certification Received	401 State Water Quality Certification Received	F	Provides the date the Section 401 of the Clean Water Act State Water Quality Certification is approved for the project and the documentation is inserted in the report or project files.		X			
<b>CW230</b>	ROD Signed	ROD Signed	F	This provides the finish date that the Record of Decision is approved/signed for the project and the documentation is inserted in the report or project files.		X			
<b>CW250</b>	Release of Draft Feasibility Report for Public Review	Release of Draft Feasibility Report for Public Review	S	After the TSP Milestone is executed, the release of draft integrated feasibility/NEPA report for public review		X			
<b>CW260</b>	MSC Transmittal Letter with Final Feasibility Report	MSC Transmittal Letter with Final Feasibility Report	S	The transmittal letter submitting the final report package from the District through the MSC to Headquarters, including the Integrated Feasibility/NEPA Report, the final Biological Opinion, and the draft Record of Decision or draft FONSI for policy review. This milestone will be used by exception only with direction by HQUSACE, in lieu of the use of CW160.		X			
<b>CW261</b>	Alternative Evaluation and Analysis	Alternatives Milestone	F	This is the first decision milestone in the SMART Planning process. The milestone marks the vertical team concurrence on the proposed way forward on continuing analysis and evaluation on a focused array of alternatives.		X			

Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
<b>CW262</b>	Tentatively Selected Plan (TSP)	Tentatively Selected Plan (TSP) Milestone	F	This is the second decision milestone in the SMART Planning process. The milestone is met when the PDT has concurrence on the tentatively selected plan and the path forward from the vertical team representing District, Division, and Headquarters decision-makers. This milestone is the trigger for public release of the draft Integrated Feasibility/NEPA Report for concurrent agency and public reviews.		X			
<b>CW263</b>	Agency Decision	Agency Decision Milestone	F	Meeting where a panel of senior HQUSACE (or MSC if the milestone approval has been delegated to the MSC) leaders chaired by the HQ Chief of Planning and Policy or MSC Programs Director (if delegated) will determine whether the selected plan should be endorsed and move forward into feasibility-level design.		X			
<b>CW269</b>	Director of Civil Works Report	Director of Civil Works Report	F	The favorable report of the Director of Civil Works, signifying that the Director of Civil Works approves the project recommendation. This is the final decision milestone in the SMART Planning Process for post-authorization decision documents (such as, within the scope of the existing authorization). May include delegated water reallocation studies, Section 202 studies, etc.		X			
<b>CW270</b>	Signed Chief's Report	Signed Chief's Report	F	The favorable report of the Chief of Engineers, signifying that the Chief of Engineers approves the project recommendation. This is the final decision milestone in the SMART Planning Process.		X			

Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
<b>CW330</b>	Plans and Specifications Approval	Plans and Specifications Approval	F	This provides the finish date for completion of the approval process of the plans and specifications, including technical reviews and certification. This milestone can be used multiple times in a single project.			X	X	X
<b>CW360</b>	Certify Real Estate Receipt	Certify Real Estate Receipt	F	This provides the finish date for District review of sponsors availability acquisition documents for sufficiency and certifies availability of real estate to support the project and sponsor submits Rights of Entry for project construction for certifying the receipt of real estate. This milestone can be used multiple times in a single project.	X			X	X
<b>CW400</b>	Contract RTA	RTA	F	This provides the finish date for the initial construction contract administration documentation; the contract package is ready to advertise (RTA). This milestone can be used multiple times in a single project.			X	X	X
<b>CW401</b>	A/E Contract RTA	A/E Contract RTA	F	This provides the finish date for any Architect/Engineer contract administration documentation; the A/E contract package is ready to advertise. This milestone can be used multiple times in a single project.	X	X	X	X	X
<b>CW402</b>	Other Contract RTA	Other Contract RTA	F	This provides the finish date for any contract administration documentation, except construction contracts and Architect/Engineer contracts; the contract package is ready to advertise. This milestone can be used multiple times in a single project.	X	X	X	X	X

Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
<b>CW450</b>	Project Physical Completion	Project Physical Completion	F	<p>This milestone is required when it is the last or only contract for the project. Completing this milestone is the beginning of Project Fiscal Closeout. This is the date where the contractor has completed all of the contractual requirements (to include As-Builts, testing, and all items due to the Stakeholder, etc.) and all efficiencies have been corrected and the final payment may be prepared. Monitoring/ Adaptive Management is also complete, if required. Note: the contract may be considered Physically complete even if there is a claim outstanding.</p> <p><b>There should be ONLY one (1) CW450 milestone per PROMIS project.</b></p>	X			X	
<b>CW451</b>	Complete Project Monitoring/Adaptive Management	Complete Project Monitoring/Adaptive Management	F	<p>The date when the last Feature of Work or Element for the project has been completed and Monitoring and Adaptive Management is complete. The last Construction Contract associated with the Feature of Work or Element has been completed (CW450), final OMRR&amp;R manual(s) have been provided to the non-Federal sponsor, and all Features of Work or Elements have been turned over to the non-Federal sponsor (CW480).</p> <p><b>There should only be one (1) CW451 milestone per PROMIS project.</b></p>				X	

Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
<b>CW470</b>	Project Fiscally Complete	Project Fiscally Complete	F	This provides the finish date for finalizing all cost sharing allocations, returning, or receiving final sponsor cash, and closing out escrow agreements. When this milestone is actualized, project is officially closed.  <b>There should only be one (1) CW470 milestone per P2 project.</b>	X			X	
<b>CW480</b>	Notice of Project Completion/ Assumption of OMRR&R	Notice of Project Completion/ Assumption of OMRR&R	F	This provides the date that the District Engineer notifies the project sponsor in writing that the feature of work, element, and/or project is complete and furnishes the non-Federal sponsor with an interim or final OMRR&R manual. This milestone can be used multiple times in a single project.	X			X	
<b>CW500</b>	Shared Vision	Shared Vision Meeting	F	Applicable to watershed studies. The overall shared vision is defined for the watershed, water and related resources as developed by the partners involved in the watershed study, and the coordinated study framework and associated activities that clearly support the shared vision are presented.		X			
<b>CW501</b>	Recommendations	Recommendations Meeting	F	Applicable to watershed studies. Meeting to ensure vertical team concurrence on recommended strategies that meet the study goals and objectives.		X			
<b>CC800</b>	Contract Award	Contract Award	F	This provides the finish date for the award of the construction contract.	X			X	X

Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
<b>CC800_1</b>	Contract Mods	Construction Contract Modifications	F	This provides the finish date for issuance of a modification to the construction contract, resulting in a cost increase to the overall contract.	X			X	X
<b>CW801</b>	A/E Contract Award	A/E Contract Award	F	This provides the finish date for award of an Architect/Engineer contract. This milestone can be used multiple times in a single project.	X		X	X	X
<b>CW802</b>	Other Contract Award	Other Contract Award	F	This provides the finish date for award of an option or task order on any contract type or award of a non-construction type contract or an Architect/Engineer contract. This milestone can be used multiple times in a single project.				X	X
<b>CW803</b>	Initiation of Non-Contract Services	Initiation of Non-Contract Services	S	This provides the start date for work performed internally to USACE as part of an agreed upon scope between CW organizations including Functional Divisions, Districts, Offices, Fleet, etc. that will be physically undertaken and accomplished by the supporting organization, in lieu of a construction type contract.					X
<b>CC820</b>	Contract Completion	Construction Contract Complete	F	Final/Acceptance inspection of construction contract complete. The date the Contracting Officer (KO)/Administrative Contracting Officer (ACO) informs the contractor that liquidated damages will not be, or no longer will be, assessed. The warranty period begins on the contract. This can be with or without deficiencies.				X	X

Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
<b>CW825</b>	Monitoring/Adaptive Management Feature	Initiate Monitoring/ Adaptive Management for a Feature	S	The date when Construction on a Feature of Work or Element has been completed and Monitoring and Adaptive Management is beginning. The Construction Contract associated with the Feature of Work or Element has been completed (CC820), interim or final OMRR&R manual(s) have been provided to the non-Federal sponsor.				X	

Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
CC850	Beneficial Occupancy Date (BOD)	BOD	F	BOD is the current date the stakeholder or non-Federal sponsor can expect to receive useful occupancy of the facility or construction work. Although all construction efforts at the facility construction site may not be completed (for example, punch-list items and other relatively minor construction activities may still be required for facility construction to be considered complete), and USACE may need to continue administering the final stages of the project construction contract until such completion, the user may begin to occupy all or agreed upon parts of the facility and use it for its intended purpose. <b>For Civil Works</b> , it's the date when a Feature of Work or Element has been completed and is beginning Monitoring and Adaptive Management, if required. The Construction Contract associated with the Feature of Work or Element has been completed (CC820), interim or final OMRR&R manual(s) have been provided to the non-Federal sponsor, and the District Engineer notifies the project sponsor in writing that the feature of work or element is complete and furnishes the non-Federal sponsor with an interim OMRR&R manual (CW480). This milestone can be used multiple times in a single project.				X	
CC895	Contract Transfer Document Date	Contract Transfer Document Date	F	This provides the finish date for the contract transfer documentation. Commander signs the letter to transfer the feature of work, element, and/or project to the O&M authority or non-Federal sponsor.				X	



Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
<b>DS110</b>	Project Data Report Complete	Project Data Report Complete	F	Dam Safety Issue Evaluation Study (IES) project data report complete'		X			
<b>DS130</b>	Draft SQRA/IES Report Submittal	Draft SQRA/IES Report Submittal		Once the draft Semi-Quantitative Risk Assessment (SQRA)/Issue Evaluation Study (IES) Report is complete, including District Quality Control (DQC), the report is submitted for ATR.		X			
<b>DS140</b>	Final IES Report Approval	Final IES Report Approval		After the Issue Evaluation Study (IES) is presented to the Dam Senior Oversight Group (DSOG) and revised with any DSOG comments it is recommend for approval by the District and MSC Dam Safety Officer, Risk Management Center Director, Dam Senior Oversight Group Chair with final approval by USACE DSO or designee.		X			
<b>DS220</b>	Future Without Action Condition/Existing Condition Risk Assessment	Future Without Action Condition/Existing Condition Risk Assessment		As part of a Dam Safety Modification Study (DSMS), the assessment of risk for the existing condition of the dam or future condition without implementation of a dam modification.		X			
<b>DS240</b>	Tentatively Selected Plan (TSP)	Tentatively Selected Plan (TSP) Milestone	F	This is the second decision milestone in the SMART Planning process. The milestone is met when the PDT has concurrence on the tentatively selected plan and the path forward from the vertical team representing District, Division, and Headquarters decision-makers. This milestone is the trigger for public release of the draft Integrated Feasibility/NEPA Report for concurrent agency and public reviews.		X			
<b>DS280</b>	Final DSM Report Approval by USACE DSO	Final DSM Report Approval by USACE DSO	F	This represents the approval date of the final Dam Safety Modification Report by the USACE Dam Safety Officer		X			

Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
ENF1	Completion of Preliminary Assessment	Completion of Preliminary Assessment	F	Represents the finish date of the Preliminary Assessment		X			
ENF2	Remedial Investigation Start	Remedial Investigation Start	S	Represents the start of the Remedial Investigation-Feasibility Study Phase		X			
ENF3	Remedial Investigation Complete	Remedial Investigation Complete	F	Represents the completion of the Remedial Investigation		X			
ENF4	Record of Decision (ROD)	Record of Decision (ROD)	F	This provides the finish date that the Record of Decision is approved/signed for the project and the documentation is inserted in the report or project files		X			
ENF5	Award Remediation Contract	Award Remediation Contract	F	This provides the finish date for the awarding of the remediation contract				X	
ENF6	Remediation Physically Complete	Remediation Physically Complete	F	Finish date for all physical contract work				X	
ENF7	Return Site to DOE	Return Site to DOE	F	This provides the finish date for finalizing all cost sharing allocations, returning, or receiving final sponsor cash, and closing out escrow agreements				X	
OP065	Major Rehabilitation Evaluation Report (MRER) Initial Concept Charrette	Major Rehabilitation Evaluation Report (MRER) Initial Concept Charrette	F	Initial team meeting to scope components to be investigated					X
OP050	Major Rehabilitation Decision Milestone (MRDM)	Major Rehabilitation Decision Milestone (MRDM)	F	Major Rehabilitation Decision Milestone (MRDM)					X

Milestone Code	Recommended Activity Name	Milestone Name	Start or Finish	Milestone Description	Phase/Type of Work				
					CAP	Feasibility	PED*	Construction	O&M SWNCP & Dredging**
<b>OP250</b>	Release of Draft MRER for Concurrent Public Review	Release of Draft MRER for Concurrent Public Review	S	Concurrent policy and NEPA review initiated					X
<b>OP160</b>	District Submit Final MRER	District Submit Final MRER	F	DE signs and submits final report for USACE final review and Director's Memo development					X
<b>OP260</b>	MSC Transmittal Letter with Final MRER	MSC Transmittal Letter with Final MRER	S	MSC Commander approves and transmits final report to support Director's Memo					X
<b>OP269</b>	Director of Civil Works (DCW) Implementation Decision	DCW Implementation Decision	F	DCW signs Director's Memo					X

Notes:

\* PED = Preconstruction Engineering and Design.

\*\* SWNCP = Specific Work not Commonly Performed Phase of Work or Dredging Activities in the O&M appropriation.

## Appendix G

### Construction Project Partnering Playbook

The purpose of the USACE Construction Project Partnering Playbook (EP 34–1–1) is to establish actionable guidance based on the core partnering principles detailed in Command Policy Notice CECG 34–1–5, Command Partnering Philosophy, which sets a consistent standard for how USACE should implement partnering on all construction projects.

a. The Construction Project Partnering Playbook (Playbook) applies to the delivery of any project administered by USACE that constructs, renovates, refurbishes, demolishes, and/or modifies a structure or infrastructure, hereinafter referred to as a “construction project.” This includes projects executed directly by USACE or through a third party such as a foreign nation or other federal or non-federal partner. A construction project begins when it is conceived. In this Playbook, “Construction Project Partnering” and “Life-Cycle Partnering” refer to the period from construction project inception through turnover to the end user and warranty period. Although the Playbook is specific to construction project delivery, the concepts detailed in the Playbook are applicable to any project that relies on people and organizations working together to achieve a common objective.

b. Developed in the late 1980s as a construction industry best practice, USACE became an early adopter and champion of partnering as a means of promoting a more cooperative working relationship among project stakeholders. Partnering was employed as a proactive management approach during construction to reduce the potential for contractor claims and disputes and to avoid unnecessary cost and time growth. While initial partnering efforts focused specifically on alternative dispute resolution, partnering agreements, and total quality management, additional programs and strategies evolved over time to capitalize on the demonstrated value of partnering as a means to drive successful project delivery. These strategies, governed by their own discreet set of formal and informal processes and practices, expanded beyond construction to include other phases of project delivery and other USACE mission areas.

c. The partnering processes outlined in the Playbook build on and adapt construction industry partnering knowledge and experience over the past 30 years to establish guidance that aligns with USACE business process.

d. For more information, please see EP 34–1–1 at <https://www.publications.usace.army.mil/USACE-Publications/Engineer-Pamphlets/>.

## **Glossary of Terms**

### **Section I Abbreviations**

The purpose of this abbreviations section is to aid users of the Project Delivery Business Process (PDBP) Manual and PROMIS (the supporting AIS), by providing a quick reference to the acronyms used in the PDBP Manual.

#### **A-E**

Architect-Engineer

#### **AAR**

After Action Review

#### **ABS**

Amended Budget Submission

#### **AC**

Actual Cost (earned value term)

#### **ACC**

At Completion Cost

#### **ACES**

Air Force Civil Engineering System

#### **ACO**

Administrative Contracting Officer (may also be known as AKO)

#### **ACOM**

Army Commands

#### **ACSIM**

Assistance Chief of Staff for Installation Management

#### **ACWP**

Actual Cost of the Work Performed (earned value term)

#### **ADA**

Anti-Deficiency Act

#### **AEA**

Army Electronic Archive

#### **AF**

Air Force

#### **AFARS**

Army Federal Acquisition Regulation Supplement

#### **AFCEC**

Air Force Civil Engineer Center

#### **AFI**

Air Force Instruction

**AFRC**

Air Force Reserve Command

**AIS**

Automated Information System

**AMC**

Army Materiel Command

**AMSCO**

Army Management Structure Code

**AOR**

Area of Responsibility

**APIC**

Army Performance Improvements Criteria

**AR**

Army Regulation

**ARC**

Annual Report to Congress

**ARIMS**

Army Records Information Management System

**ARLOC**

Army Location Code

**ASA (CW)**

Assistant Secretary of the Army for Civil Works

**ASA (FM&C)**

Assistant Secretary of the Army for Financial Management and Comptroller

**ASCC**

Army Service Component Command

**ATR**

Agency Technical Review

**ATSDR**

Agency for Toxic Substances and Disease Registry

**AWP**

Annual Work Plan

**BA**

Budget Analyst

**BAC**

Budget at Completion (earned value term)

**BAC-EV**

Budget at Completion – Earned Value

**BCD**

Basic Change Document

**BCE**

Base Civil Engineer

**BCOES**

Biddability, Constructability, Operability, Environmental, and Sustainability

**BES**

Budget Estimate Submission

**BIM**

Building Information Modeling

**BLM**

Business Line Manager

**BMD**

Business Management Division

**BOD**

Beneficial Occupancy Date

**BRAC**

Base Realignment and Closures

**BY**

Budget Year

**BY+1**

The Budget Year plus one year

**BY-2**

Guidance Year (Military Programs)

**C**

Construction; previously CG, Construction General

**CA**

Construction Agent

**CA**

Cost Analysis

**CAD**

Computer Aided Design

**CADD**

Computer Aided Design Drafting

**CAP**

Continuing Authorities Program

**CAPCES**

Construction Appropriation Programming, Control And Execution System

**CBD**

Commerce Business Daily (effective January 2, 2002, replaced with Federal Business Opportunity (FBO))

**CC**

Compliance Cleanup

**CCS**

Category, Class, Subclass

**CDO**

Consolidate Departmental Overhead

**CEFMS**

Corps of Engineers Financial Management System

**CEGS**

Corps of Engineers Guide Specifications

**CEMRS**

Corps of Engineers Manpower Reporting System

**CEMRS**

Corps of Engineers Manpower Requirements System

**CERAMMS**

Corps of Engineers Resource and Manpower Management System

**CERCLA**

Comprehensive Environmental Restoration Compensation Liability Act

**CFY**

Current Fiscal Year

**CFY+1**

Current Fiscal Year plus one

**CFY+2**

Current Fiscal Year plus two

**CG**

Construction General

**CI**

Command Inspection

**CIC**

Command Indicator Code

**CIP**

Construction in Progress

**CMI**

Corporate Management Information



**CMP**

Change Management Plan

**CMR**

Command Management Review

**COB**

Command Operating Budget

**COE**

Chief of Engineers

**CONUS**

Continental United States

**COR**

Contracting Officer Representative

**CPI**

Cost Performance Index (earned value term)

**CR**

Continuing Resolution

**CRA**

Continuing Resolution Authority

**CRRC**

Construction Requirements Review Committee

**CSA**

Cost Share Agreements

**CSCM**

Cost Share Control Manager

**CSRA**

Cost and Schedule Risk Analysis

**CT**

Contracting Division

**CTC**

Cost to Complete

**CV**

Cost Variance (earned value term)

**CVO**

Chief Value Officer

**CW**

Civil Works

**CWE**

Current Working Estimate

**CWIN**

Civil Works Identification Number

**CX**

Center of Expertise

**CYF**

Current Year Funds

**CZM**

Coastal Zone Management

**DA**

Department of the Army

**DCA**

Design Construction Agent

**DCF**

Discounted Cash Flow

**DCG-CEO**

Deputy Commanding General for Civil and Emergency Operations

**DCMO**

Defense Contracting Management Office

**DCS-G9**

Deputy Chief of Staff, G-9 Installations

**DCW**

Director of Civil Works

**DDC**

Deputy District Commander

**DDR**

Design Document Report

**DE**

District Engineer

**DERP**

Defense Environmental Restoration Program

**DFARS**

Defense Federal Acquisition Regulation Supplement

**DFAS**

Defense Financial Accounting Service

**DHA**

Defense Health Agency

**DHCA**

Defense Health Care Agency

**DM**

Design Manager

**DMP**

Data Management Plan

**DNPPP**

Deactivated Nuclear Power Plant Program

**DNRP**

Defense National Relocation Program

**DoD**

Department of Defense

**DPG**

Defense Planning Guidance

**DPM**

Deputy for Programs and Project Management

**DPR**

Detail Project Report

**DPW**

Directorate of Public Works

**DQC**

District Quality Control

**DRB**

Defense Resources Board

**DRU**

Direct Reporting Units

**DSAC**

Dam Safety Action Classification

**DSMOA**

Defense-State Memorandum of Agreement

**DSMS**

Dam Safety Modification Study

**DSOG**

Dam Senior Oversight Group

**DTO**

Daily Tasking Order

**DVO**

District Value Officer

**E&D**

Engineering and Design

**EA**

Environmental Assessment

**EAC**

Estimate at Completion

**EBS**

Environmental Baseline Study

**EC**

Engineer Circular

**ECB**

Engineering and Construction Bulletin

**ED**

Engineering Division

**EDW**

Enterprise Data Warehouse

**EE/CA**

Engineering Evaluation and Cost Analysis

**EIS**

Environmental Impact Statement

**EM**

Engineer Manual

**ENV**

Environmental

**EOY**

End of Year

**EPA**

Environmental Protection Agency

**EPS**

Enterprise Project Structure (Primavera application term)

**EQ**

Environmental Quality

**ER**

Engineer Regulation

**ERDC**

Engineering Research and Development Center

**EROC**

Electronic Reporting Organization Code

**ESFO**

Environmental Support for Others

**ETC**

Estimate to Complete

**EUL**

Enhanced Use Leasing

**EV**

Earned Value

**EVM**

Earned Value Management

**EVMS**

Earned Value Management System

**FAD**

Funding Authorization Document

**FAR**

Federal Acquisition Regulation

**FASAB**

Federal Accounting Standards Advisory Board

**FBO**

Federal Business Opportunity (formerly Commerce Business Daily)

**FCCE**

Flood Control and Coastal Emergencies

**FCSA**

Feasibility Cost Sharing Agreement

**FDD**

Funding Distribution Documents

**FE**

Facilities Enterprise

**FF**

Finish to Finish

**FID**

Federal Interest Determination

**FIG**

Facility Investment Guidance

**FIP**

Facilities Improvement Program

**FIS**

Facility Investment Strategy

**FMR**

Financial Management Regulation

**FMS**

Foreign Military Sales

**FOA**

Field Operating Activities

**FONSI**

Finding of No Significant Impact

**FRC**

Federal Records Centers

**FS**

Feasibility Study

**FTE**

Full-Time Equivalent

**FUDMIS**

Formerly Used Defense Sites Management Information System

**FUDS**

Formerly Used Defense Sites

**FUSRAP**

Formerly Utilized Sites Remedial Action Program

**FY**

Fiscal Year

**G**

General; previously General Investigation

**G&A**

General and Administrative

**GAO**

General Accounting Office

**GI**

General Investigation

**GI&S**

Geospatial Information and Services

**GIS**

Geographic Information System

**GOPR**

Government Order Purchase Request

**GRR**

General Re-evaluation Report

**GT&C**

General Terms and Conditions

**HAF**

Headquarters Air Force

**HAP**

Homeowners Assistance Program

**HCA**

Head of Contracting Activity

**HFPA**

Health Facility Planning Agency

**HLT**

Hazard Tracking List

**HMTF**

Harbor Maintenance Trust Fund

**HN**

Host Nation

**HNFC**

Host Nation Funded Construction

**HNFCP**

Host Nation-Funded Construction Program

**HQ**

Headquarters

**HQDA**

Headquarters, Department of the Army

**HQUSACE**

Headquarters, USACE

**HQUSAF**

Headquarters United States Air Force

**HTL**

Hazard Tracking List

**HTRW**

Hazardous, Toxic, and Radioactive Waste

**IAA**

Interagency Agreement

**ICA**

Intergovernmental Cooperation Act

**ICO**

International Contingency Operations

**ICW**

Inspection of Completed Works

**IDIQ**

Indefinite Delivery, Indefinite Quantity

**IEPR**

Independent External Peer Review

**IES**

Issue Evaluation Study

**IFB**

Invitation for Bid

**IGE**

Independent Government Estimate

**IGT**

Intergovernmental Transactions

**IH**

In-House

**IIS**

Interagency and International Services (formerly known as Support for Others)

**IMCOM**

Installation Management Command

**IR**

Installation Readiness

**IRA**

Interim Removal Action

**IRD**

Installation Readiness Division

**IRP**

Installation Restoration Program

**IRZM**

Initial Red Zone Meeting

**IT**

Information Technology

**ITR**

Independent Technical Review

**ITRT**

Independent Technical Review Team

**IWTF**

Inland Waterway Trust Funds



**JRFP**

Joint Recruiting Facilities Program

**KO**

Contracting Officer

**LCA**

Local Cooperation Agreement

**LCC**

Life-Cycle Cost

**LCP**

Life-Cycle Plan

**LE**

Lead Engineer

**LERRDS**

Lands, Easements, Rights-of-Way, Relocations, and Disposals Area

**LGH**

Leased Government Housing

**LHC**

Landholding Command Level

**LIR**

Line-Item Reviews

**LOA**

Line of Accounting

**LRR**

Limited Re-evaluation Report

**LTM**

Long-Term Monitoring

**M2S2**

Military Munitions Support Service

**MAFR**

Military Construction Air Force Reserve

**MATOC**

Multiple Award Task Order Contract

**MCA**

Military Construction, Army

**MCAF**

Military Construction Air Force

**MCAR**

Military Construction, Army Reserves

**MCO**

Marine Corps Order

**MCX**

Mandatory Center of Expertise

**MDEP**

Management Decision Package

**MDEPS**

Military Decision Packages

**MDM**

MSC Decision Meeting

**METT-T**

Mission, Enemy, Terrain and weather, Troops and support available – Time available

**MILCON**

Military Construction

**MIPR**

Military Interdepartmental Purchase Request

**ML**

Most Likely costs

**MMAF**

Minor Military Construction Air Force

**MOA**

Memorandum of Agreement

**MOU**

Memorandum of Understanding

**MP**

Military Program

**MRDM**

Major Rehabilitation Decision Milestone

**MRER**

Major Rehabilitation Evaluation Report

**MSC**

Major Subordinate Command

**MW**

Minor Works

**MX**

Medical Facilities Center of Expertise and Standardization

**NAD**

North Atlantic Division

**NALEMP**

Native American Lands ENV Mitigation Program

**NARA**

National Archives and Records Administration

**NAS**

Network Analysis System

**NASA**

National Aeronautics Space Administration

**NEPA**

National Environmental Policy Act

**NFIP**

National Flood Insurance Program

**NID**

National Inventory of Dams

**NLD**

National Levee Database

**NMCS**

National Military Command System

**NPDES**

Nation Pollution Discharge Elimination System

**NSIP**

NATO Security Investment Program

**O&M**

Operation and Maintenance

**OASA(CW)**

Office of the Assistant Secretary of the Army for Civil Works

**OASD(MRA&L)**

Office of the Assistance Secretary of Defense (Manpower, Reserve Affairs, and Logistics)

**OBS**

Organizational Breakdown Structure

**OC**

Office of Counsel

**OCONUS**

Outside the Continental United States

**ODUSD (I&E)**

Office of the Deputy Undersecretary for Installations and Environment

**OEW**

Ordinance Explosive Waste

**OHPP**

Oracle Hyperion Planning Plus

**OMA**

O&M, Army

**OMAF**

O&M, Air Force

**OMB**

Office of Management and Budget

**OMRI**

Operations and Maintenance Remaining Items

**OMRR&R**

Operation, Maintenance, Repair, Replacement, and Rehabilitation

**OPNAVINST**

Chief of Naval Operations Instruction

**ORL**

Office Records List

**OSBP**

Office of Small Business Programs

**OSD**

Office of the Secretary of Defense

**P&D**

Planning and Design

**P&DMP**

Planning and Design Management Plan

**P3**

Public, Private Partnership

**PA**

Program Analyst, Periodic Assessment, or Preliminary Assessment

**PA/BA**

Program or Budget Analyst

**PAB**

Project Advisory Board

**PAX**

Programming Administration and Execution System

**PB**

President's Budget

**PBAC**

Program and Budget Advisory Committee

**PBAS**

Program Budget Accounting System

**PCA**

Project Cooperation Agreement

**PCO**

Project Closeout

**PD**

Planning Division

**PD2**

Procurement Desktop – Defense

**PDA**

Planning and Design Analysis

**PDBP**

Project Delivery Business Process

**PDCA**

Plan-Do-Check-Act

**PDM**

Program Development Manual

**PDR**

Parametric Design Report

**PDT**

Project Delivery Team

**PE**

Project Engineer

**PED**

Preconstruction Engineering and Design

**PEG**

Program Execution Group

**PFM**

Project Financial Manager

**PgDT**

Program Delivery Team

**PGI**

Procedures, Guidance, and Information

**PgM**

Program Manager

**PgMP**

Program Management Plan

**PHL**

Preliminary Hazard List

**PI**

Periodic Inspections

**PIE**

Post Implementation Evaluation

**PIF**

Project Information Form or Project Initiation Form

**PIK**

Payment-In-Kind

**PIR**

Project Information Report

**PLT**

Program Leadership Team

**PM**

Project Manager

**PMB**

Performance Measurement Baseline

**PMBP**

Project Management Business Process

**PMD**

Project Manager District

**PMP**

Project Management Plan

**PMR**

Program Management Review

**POC**

Point of Contact

**POCA**

Performance Oriented Construction Activity

**POD**

Pacific Ocean Division

**POM**

Program Objective Memorandum

**POTUS**

President of the United States

**PPA**

Project Partner Agreement

**PPBE**

Planning, Programming, Budgeting, and Execution

**PPM**

Programs and Project Management

**PPMD**

Program and Project Management Division

**PR&C**

Purchase Request and Commitment

**PRB**

Project Review Board

**PRIP**

Plant Replacement and Improvement Program

**PROMIS**

A rename of P2, Project Management Information System

**PRP**

Potential Responsible Party

**PV**

Planned Value

**PY**

Program Year

**PYF**

Prior Year Funds

**QA**

Quality Assurance

**QAP**

Quality Assurance Plan

**QC**

Quality Control

**QCP**

Quality Control Plan

**QMP**

Quality Management Plan

**QMR**

Quality Management Representative

**QMS**

Quality Management System

**QRA**

Quantitative Risk Assessment

**R&D**

Research and Development

**RA**

Remedial Action or Removal Action

**RAB**

Regional Acquisition Board

**RA-C**

Remedial Action, Construction

**RAC**

Risk Assessment Codes

**RA-O**

Remedial Action, Operations

**RBC**

Regional Business Center

**RC**

Records Coordinator

**RCRA**

Resource Conservation and Recovery Act

**RD**

Remedial Design

**RDT&E**

Research, Development, Testing and Evaluation

**RE**

Real Estate

**REMIS**

Real Estate Management Information System

**REP**

Real Estate Plan

**RFMIS**

Rental Facilities Management Information Systems

**RFP**

Request for Proposal

**RHA**

Rivers and Harbors Act

**RI**

Remedial Investigation

**RIDM**

Risk Informed Decision Making



**RIMS**

Records and Information Management Specialist

**RIT**

Regional Integration Team

**RM**

Resource Management

**RMB**

Regional Management Board

**RMC**

Risk Management Center

**RMO**

Resource Management Office

**RMP**

Risk Management Plan

**RMS**

Resident Management System

**ROD**

Record of Decision

**ROKFC**

Republic of Korea Funded Construction

**RP**

Resource Provider

**RPAO**

Real Property Accountability Officer

**RPMP**

Real Property Master Plan

**RPUID**

Real Property Unique Identification Designation

**RRS-A**

Records Retention Schedule – Army

**RSC**

Regional Support Commands

**RTA**

Ready to Advertise

**RVO**

Regional Value Officer

**S&A**

Supervision and Administration

**SA**

System Administrator or Site Assessment

**SACCR**

Schedule and Cost Change Request

**SAG**

Sub-Activity Group

**SAR**

Safety Assurance Review

**SATOC**

Single Award Task Order Contract

**SCO**

Senior Contracting Official

**SERG**

Senior Executive Review Groups

**SF**

Start to Finish

**SFO**

Support for Others (now known as Interagency and International Services or IIS)

**SI**

Site Investigation

**SME**

Subject Matter Expert

**SOH**

Safety and Occupational Health

**SOHP**

Safety and Occupational Health Plan

**SOP**

Standard Operating Procedure

**SOS**

Scope of Services

**SOW**

Scope of Work

**SPI**

Schedule Performance Index (earned value term)

**SPIRIT**

Sustainable Project Rating Tool

**SPS**

Standard Procurement System

**SQRA**

Semi-Quantitative Risk Assessment

**SRM**

Sustainment, Restoration, and Modernization or Safety Risk Management

**SS**

Start to Start

**SV**

Schedule Variance (earned value term)

**TA**

Technical Assistance

**TAC**

Total at Completion (earned value term)

**TCPI (BAC)**

To-Complete Performance Index within budget amount (earned value term)

**TCPI (EAC)**

To-Complete Performance Index within projected estimate to complete (earned value term)

**TI**

Technical Indirect

**TIM**

Transformation of Installation Management

**TLM**

Total Labor Multiplier

**TMA**

TRICARE Management Activity

**TSP**

Tentatively Selected Plan

**TTC**

Time to Complete

**U.S.C.**

United States Code

**UAI**

USACE Acquisition Instruction

**UCG**

USACE Command Guidance

**UDF**

User-Defined Field

**UFC**

USACE Finance Center

**UMMC**

Unspecified Minor Military Construction

**URC**

User Requested Changes

**USACE**

U.S. Army Corps of Engineers

**USAR**

U.S. Army Reserve

**USARC**

U.S. Army Reserve Command

**VE**

Value Engineering

**VECP**

Value Engineering Change Proposal

**VEP**

Value Engineering Proposal

**VEO**

Value Engineering Officer

**VM**

Value Management

**VMP**

Value Management Plan

**VTC**

Video Teleconference

**WAD**

Work Authorization Document

**WBS**

Work Breakdown Structure

**WCC**

Work Category Code

**WCE**

Work Category Element

**WCF**

Working Capital Fund

**WFO**

Work for Others

**WI**

Work Item

**WIK**

Work in Kind

**WPBAC**

Working Program Budget Advisory Committee

**WRDA**

Water Resource Development Act

**Section II**  
**Terms**

The purpose of this terms section is to aid users of the PDBP Manual and PROMIS (the supporting AIS), by providing common definitions of terms as they relate to business processes and PROMIS.

**Acquisition Plan**

The process by which the efforts of all personnel responsible for acquisition activities are coordinated and integrated through a comprehensive plan for fulfilling the agency needs in a timely manner and at a reasonable cost. It includes the development of the overall contracting strategy for managing the execution and closeout of assigned projects.

**Activity**

PROMIS defines an activity as the lowest level of detail of a project. They are the lowest level of a work breakdown structure and, as such, are the smallest subdivision of a project that communicates how work will be accomplished. The primary resource assigned to the activity is typically responsible for tracking the progress of an activity, while the project manager is typically responsible for managing and tracking the progress of the overall project.

**Activity Code**

Codes that enable the user to efficiently filter, group, sort, and report on activities in the Primavera module of PROMIS.

**Activity Type**

Activity types control how the Primavera module of PROMIS calculates an activity's duration and dates. Primavera provides six activity types: task dependent, resource dependent, level of effort, start milestone, WBS summary and finish milestone. Each activity must be assigned an activity type.

**Actual Cost**

The realized cost incurred for the work performed during a specific time period. In order for EVM to be reliable, AC must be recorded in the same time period as EV and for the same activity or work breakdown structure component as EV. The Actual Total Cost for the activity, including labor resources, nonlabor resources, material resources, and project expenses. EDW reports pull the Actual Cost data from CEFMS to obtain costs per accounting period. PROMIS software spreads the Actual Cost according to its Resource Curve between the Start and Finish Dates of an activity.

**Approval Authority**

Individuals who can approve a product.

**Approved PMP**

A Project Management Plan that has been approved per local guidelines.

**Area of Responsibility**

The recognized boundaries within which a District or Center is the primary executing agent for USACE.

**Asset**

An item of economic value owned by a Federal Agency. The item may be physical in nature (tangible) or have a right to ownership (intangible) that is expressed in terms of costs or some other value.

**Assumptions**

In the PMP, these are items that are considered true at the time they are documented.

**Automated Information System**

A combination of computer hardware and software, telecommunications information technology, and other resources that collect, record, process, store, communicate, retrieve, and display information.

**Base Methodology**

A base methodology in the Primavera module of PROMIS provides the basic infrastructure of activities performed during a project. A base methodology can include a life cycle, work breakdown structure, organizational breakdown structure, and work product and document assignments. A project plan uses one base methodology.

**Baseline PMP**

The original approved and signed PMP, free of any modifications.

**Branch Function Chief**

Individual (usually a supervisor) above the first-line supervisor of the function/Community of Practice. This person would generally have multiple subordinate sections/organizations.

**Budget at Completion (BAC)**

The sum of all the budgets established for the work to be performed. The BAC can be represented at all levels of the project from Activity, WBS, Feature, EVM V Code, and Project. It is the same amount as the Baseline Total Cost. At USACE upon the baseline being taken and assigned the At Completion Cost becomes the BAC.

**Budget Estimate Submission (BES)**

Each service's two-year budget proposal based on PDM. The Program Objective Memorandum's (POM) first two budget years programs are the service's budget estimate submission, although all other POM years' fiscal data are summarized and included.

**Budget Year (BY) Annual Work Plan (AWP)**

CEMP-CED, DoD Environmental Programs Branch's draft work directive for BY execution. The draft quarterly obligation or execution plan of the President's Budget (BY program of the FYDP) is the initial draft BY AWP. This BY AWP will be updated each time POM and BES are updated. Upon HQDA approval in October after Congressional authorization/appropriation and the President's signing of the appropriations bill, this becomes the approved CFY AWP.

**Business Process**

The overarching process by which USACE supplies products and services to its stakeholders; includes ER 5–1–11, the PDBP and PROMIS. Also known as the Project Delivery Business Process (PDBP). The series of defined steps that guide USACE through the process of initiating, planning, executing, and closing out work for a stakeholder. The over-arching process recognizes that product-related process exists below this level.

**Business Management Directorate**

The BMD serves as the Program Manager for the Regional Management Board and Command Council. As the PgM, it is responsible for near- and long-term planning, developing strategies and methods of institutionalization and sustainment for new and developing programs. In this role it determines the MSC's collective strategy in areas that affect fiscal health, future roles, and the planning environment. The BMD is the “working arm” for the RMB. It devises appropriate metrics, assesses performance, advises leaders, and develops and implements solutions as required by the RMB. Office of Strategic Affairs is the counterpart to the Division BMD.

**Center**

USACE activity having no geographic area of responsibility, handling programs requiring specialized expertise and/or management. These programs include research and development as well as non-traditional military construction and foreign construction. The Centers also provide assistance to Districts in resolving unique construction-related problems.

**Center of Expertise**

Designated USACE organizations or individuals who have a demonstrated capability and expertise in a specialized area. They improve capabilities and management, eliminate redundancy, and optimize the use of specialized expertise and resources. They also enhance USACE-wide consistency, facilitate technology transfer, help maintain institutional knowledge in key areas, and improve service to stakeholders.

**Charette**

A planning group which brings together the key stakeholders to come up with the scope for the facility, based on the long term.

**Continuing Authorities Program**

Civil Works projects not specifically authorized by Congress.

**Constraints**

Imposed date restrictions used to reflect project requirements that cannot be built into the logic of the project schedule in the Primavera module of PROMIS.

**Coordination Account**

Funds for the Coordination Account are provided by the CAP account. See ER 1105–2–100 for additional information.

**Corporate Board**

A group of District or Center leaders who make resource decisions based on what is best for the mission, while considering impacts to all stakeholders.

**Corrective Action**

Action taken to eliminate the causes of an existing nonconformity, defect, or other undesirable situation in order to prevent recurrence.

**Cost Performance Index**

A gauge of how cost efficient the PDT is in using its resources. As such, it is a measure of the efficiency of the dollar value earned for the actual cost of work performed. It indicates how many dollars of earned effort were accomplished for every dollar spent.

A value less than 1.0 indicates more money is being spent than was earned (over budget). A value greater than 1.0 indicates less money is being spent than was planned (under budget).

$$\text{CPI} = \text{EV} / \text{AC}$$

**Cost to Complete**

An estimate of current and future costs of a project derived by using the appropriate cost-estimating tool, such as RACER or MCACES.

**Cost Variance**

A measure which shows whether a project is in an over-budget or under-budget condition. (This variance relates the amount of the BAC which the PDT claims they have accomplished to their actual consumption of resources.)

$$\text{CV} = \text{EV} - \text{AC}$$

$$\text{CV (\%)} = \text{CV} / \text{EV}$$

**Critical Path**

In a schedule, the longest continuous path of activities thru a project that determines the project completion date.

**Current Fiscal Year (CFY) Annual Work Plan**

CEMP-CED, DoD Environmental Programs Branch official work directive based on the CFY appropriated budget for Divisions/Districts to execute. It consists of all CFY line items in the official Life Cycle Plan (LCP).

**Current Working Estimate**

Total cost of construction of a project, including contract, S&A, etc.

**Customer**

See **Stakeholder**

**Customer Order**

A CEFMS term used to denote funding authority for work for others. Any work a District receives on a reimbursable basis.

**Defense Planning Guidance**

It contains Secretary of Defense's long-range goals and fiscal guidance. It is a major link between Planning and Programming.

**Deputy for Programs and Project Management (DPM)**

The civilian deputy to the District Commander; this includes Center (formerly Huntsville and Transatlantic Divisions) positions such as Deputy for Programs and Technical Management and Deputy for Programs and Project Management/Project Delivery Team.

**Design Charrette**

The design charrette is an intensive process where designers, users, and installation decision-makers team together to focus their input on the design of a specific project. The process involves the gathering of information and the definition of project requirements both in written and visual form. Reference: <http://www.hnd.usace.army.mil/techinfo/ECB/ECB%202002-13.pdf>



**Design Manager**

The Design Manager administers the technical product delivery of engineering studies and designs produced by Architect-Engineer (A-E) firms and serves as the point of contact to A-E firms, answering questions, identifying, and resolving problems, and conveying information amongst the project team and with the A-E. The DM works with the PM to establish budget and schedule leading up to the A-E award and management thereafter. The DM coordinates with stakeholders to confirm project requirements. The DM prepares documentation leading up to award of an A-E contract and reviews deliverables for contract for compliance and completeness of work. The DM coordinates design reviews on submittal packages and ensures A-E responses and actions are aligned with contracted services. The DM provides input to CPARS evaluations and completes contract closeout documentation after requirements have been fulfilled.

**Discounted Cash Flow**

Discounted cash flow (DCF) is a valuation method used to estimate the value of an investment based on its expected future cash flows. DCF analysis attempts to figure out the value of an investment today, based on projections of how much money it will generate in the future.

**District Program Manager**

Individual with authority to manage a program at the District/Center level.

**Earned Value**

The measure of work performed at a specific point in time, expressed in terms of the approved budget authorized for that work.

$EV = BAC \times \text{Performance \% Complete}$

**Empowerment**

Having authority to exercise judgment and take action, with the responsibility for resultant positive or negative consequences.

**Engineering Manager**

The Engineering Manager is the design team lead and point of contact for projects designed in-house. The EM works with the PM to ensure a project schedule is developed and the design team is properly resourced. The EM works with the stakeholder to validate project scope. The EM initiates and oversees weekly design team meetings and coordinates all deliverables for completeness and quality. The EM coordinates packaging of drawings, design analysis, and specifications for each submittal phase.

**Enterprise Project Structure (EPS)**

In PROMIS, the Enterprise Project Structure (EPS) forms the hierarchical structure of the USACE database of projects. Each EPS node (or folder) can be subdivided into multiple levels to represent the work that needs to be done in each organization. USACE EPS first level is HQUSACE; second level is MSCs, labs and Centers; third level is Districts; fourth level is mission areas.

**Estimate at Completion (EAC)**

The expected total cost of a control account, work package, or the project when the defined scope of work will be completed. The formal EAC for a project should be estimated by the PDT; however, EACs may also be calculated based on performance to date.

$EAC = AC + ETC$

$EAC = BAC/CPI$

Standard Method:  $AC + (BAC - EV)$

CPI Method:  $AC + ((BAC - EV) / CPI)$   
SPI/CPI Method:  $AC + ((BAC - EV) / (CPI * SPI))$

### **Estimate to Complete**

The expected cost needed to complete all of the remaining work for a control account, work package, or the project.

The setting in PROMIS to determine the method of calculation is on the WBS View, Earned Value tab, "Technique for computing Estimate to Complete (ETC)." At USACE the ETC is set to "remaining cost for activity."

### **Four Step Approach**

Capture, gatekeeping, use, and sunseting.

### **Functional Organization**

Organization structure in which staff are grouped by technical specialty or mission area.

### **Government Order**

A reimbursable order from a USACE entity issued as payment to another USACE entity or government agency for goods and services received.

### **Headquarters (HQ) Leaders**

Individuals with programmatic responsibility of all work within the command; communicates philosophy and strategic vision through policy allowing subordinates to tailor services on a case-by-case basis. HQUSACE and MSCs employ vertical teaming such as Regional Integration Teams and District Support Teams to address work coordination and policy issues. HQUSACE interacts with national stakeholders, other agencies, and private industry regarding programmatic issues.

### **Host Nation**

A country that supports DoD personnel or programs (for example, Korea, Japan, Germany).

### **Host Nation-Funded Construction Project (HNFCP)**

Any construction project that is included in a host nation-funded construction program.

### **In-Kind Services**

The services, materials, supplies, or other non-monetary contributions made by a non-Federal sponsor toward the required items of work for a project. The value of in-kind services is based on negotiation of a detailed government estimate and a sponsor proposal and must be established and approved prior to the initiation of the in-kind services. Credit for the value of in-kind services is applied toward the required sponsor's cash contribution to the project, per applicable study or project authorization and policy.

### **Independent Technical Review (ITR)**

A review by a qualified person or team, not affiliated with the development of a project/product or the supervision of such, for the purpose of confirming the proper application of clearly established criteria, regulations, laws, codes, principles, and professional procedures.

### **Independent Technical Review Team (ITRT)**

An interdisciplinary group formed to perform the ITR.

### **Legacy System**

An existing automated information system.

**Life Cycle Cost**

An estimate of the total life cycle costs of a project derived by using the appropriate cost-estimating tool, such as RACER or MCACES.

**Life Cycle Plan**

It contains all historical project costs (FY84 through prior fiscal year actual obligations), CFY work plan data, and all future programming data (project estimate from BY through time to complete (TTC)).

**LCM**

See **Project Initiator**

**Local Division Function Chief**

Individual responsible for the function/Community of Practice in the District.

**Lowest Organization Level**

The lowest level as identified by the PA Organizational Code. In most cases this will be a Section. However, some Districts may establish a unique code for a Unit. This is based on a hierarchical structure.

**Major Subordinate Command (MSC) Leaders**

Individuals who manage the RBCs, facilitating results-focused operations, utilizing appropriate technical resources and innovative practices. MSCs remove encumbrances to regional excellence. MSCs ensure that stakeholders whose work crosses RBC boundaries receive seamless service and are responsible for vertical and horizontal coordination and integration. MSCs perform quality assurance of the RBC quality processes through periodic evaluations using an integrated approach consistent with the USACE business process.

**Matrix Organization**

An organizational structure in which individuals share responsibility within their organization and as responsible members assigned to project delivery teams.

**Matrix Team**

Group of people working across organizational boundaries for a common purpose.

**Mentoring**

Guiding and assisting in development of individual and group skills to enhance performance, by freely giving the benefits of one's knowledge and experience to others.

**Methodology Manager**

Methodology Manager is a portion of the Primavera module of PROMIS that enables organizations to improve project management processes by learning from their experiences and applying the resulting insight to new projects. Methodology Manager can be used to establish methodologies, or templates, as the basis for project plans and help USACE continually refine the project planning and management process throughout the entire project life cycle.

**Mid-Level Leaders**

Work together at the operational level of the organization, with a focus on executing the current year's mission and planning for the next year. They provide adequate resources and delegate authority commensurate with responsibilities to subordinates to facilitate success and maintain a quality workforce. By working as a team, mid-level leaders can help ensure selection of optimal execution strategies and maintain technical expertise across the RBC.

## **Middle Management Team**

Provides USACE resource solutions to facilitate successful PDT operations.

## **Milestone**

In PROMIS, milestone activities are defined as zero duration activities, which are indicators of starting or completing events and show up as a diamond in the Gantt chart. They may drive the critical path in the schedule in Primavera module of PROMIS.

Activities may also have milestone activity codes so that users can find and group activities easily and report on activities according to milestone (along with the other activity codes).

## **OMB Passback**

OMB maintains 10-year planning estimates, or ceilings, for each appropriation account of the Civil Works Program. The ceilings reflect the long-term effects of the President's policies for the various programs, projects and activities funded by each account. In late November to early December of each budget year, OMB reacts to the initial budget justification material submitted by USACE and provides a "passback" with recommended budget amounts and assumptions. USACE may, in turn, negotiate (reclama) with OMB on the guidance and amounts to be used in finalizing the President's Program and Budget submission to Congress.

## **Operating Budget**

A formal, written plan that aligns the operating/mission requirements with the funding sources of an organization. Reflects the missions and specific command objectives of the organization, as well as any limitations and controls (for example, constraining targets, available funds) imposed upon it. Provides the command with the means to control obligations and expenditures against approved funding levels. The objective of the operating budget is to provide managers with the ability to direct and control their resources to accomplish their mission and the ability to plan, organize and staff their operations.

## **P2**

See **PROMIS**

## **Project Management**

Primavera Project Planner for the Enterprise. Project management software that will integrate with other modules of PROMIS.

## **Planned Value**

The authorized, time-phased budget assigned to accomplish the scheduled work. At any given point on a timeline, PV describes how much of the project work was planned to be performed. PV is the portion of the BAC of the activity that is scheduled to be completed as of the project data date, according to the baseline.

## **Planning and Design (P&D)**

Used to identify funds authorized for pre-construction activities; however, for the host nation program, P&D funds are authorized for construction surveillance activities. Generally, this term is used in conjunction with Military Construction, Army (MCA) funds.

## **Planning and Design Management Plan (P&DMP)**

Monthly Military Construction, Army (MCA) planning and design (P&D) estimates of in-house (IH) and Architect-Engineer (A-E) requirements. This plan is usually requested at the beginning of each fiscal year by HQUSACE.

**Portfolio**

Collection of projects and programs that are managed as a group to achieve strategic objectives.

**President's Budget**

BES will be updated based on the PBD. The first budget year program of the updated BES is the PB. OMB assembles the one-year PB to be submitted to Congress.

**Primary Stakeholder**

An individual, group(s), or organization(s) providing funding for the project, program, or portfolio and is affected by a decision, activity, or outcome of the project, program, or portfolio.

**Process Document**

The main component of the USACE PDBP Manual, including any document required by an employee to perform his/her job effectively; process documents reflect actual practice, are audited regularly, are kept up to date, and are distributed to all affected employees.

**Product**

End result of activities for which funds can be received.

**Program**

A collection of related projects, services, routine administrative and recurring operational processes, or some mixture of these, which are managed in a coordinated way to obtain benefits and control not available from managing them individually. Programs may be categorized by funding source (type), stakeholder, similarity of scope, or other common criteria for which resources are allocated and collectively managed.

**Program Budget Decision**

Comptroller driven appropriation-oriented decisions upon review and analysis of the services' BES.

**Program Decision Memorandum**

DoD's decision document designed to provide each service feedback on how closely its POM meets the DPG; to provide each service a baseline for developing the Budget Estimate Submission (BES) and the President's Budget (PB).

**Program Delivery Team (PgDT)**

Refer to the definition for **Project Delivery Team**. The PgDT operates in a similar fashion, only at the program level instead of the project level.

**Program Leadership Team**

Group of individuals leading a program, analogous to PDT for a project, led by an organization's senior leader or program manager. PLT have many different names (for example, steering committee, senior leaders' group)

**Program Management**

The centralized, coordinated management of programs within available resources, in line with applicable laws, policies, and regulations, to achieve strategic benefits and objectives. Under program management, programs, projects, and non-project activities are aggregated for oversight and direction by the organization's senior leadership.

**Program Manager**

Assigned to manage unique stakeholder requirements for a set of related projects, services, or activities. Program managers include Operations Project Managers responsible for the overall O&M of one or more multi-purpose water resource development sites, leading teams that execute the projects or recurring work activities at these sites. For example, the District MILCON program manager can manage all the installation MILCON program managers. The Chief of Logistics as the Program Manager can manage the program for that support services office.

**Program Objective Memorandum (POM)**

The memorandum that documents each service's proposals for resource allocation for six program years to meet fiscal constraints contained in the DPG and to meet DPG goals and each service's objectives.

**Progressing**

A Primavera term – progressing (or “statusing”) a project schedule is the process of entering actual start and/or finish dates, percent completes and/or remaining durations, resource usage and cost against an activity within a schedule.

**Project**

A temporary endeavor undertaken to create a unique product, service, or result. Internal services are discrete projects when they are non-recurring or of special significance.

**Project Architect**

A wizard that walks users through the project initiation process in the Primavera module of PROMIS. Using Project Architect, users can select, tailor, and import USACE-configured methodologies as project plans from the Methodology Manager.

**Project Delivery Business Process (PDBP)**

The fundamental subset of the USACE business process used to deliver quality projects. It reflects the USACE corporate commitment to provide “stakeholder service” that is inclusive, seamless, flexible, effective, and efficient. It embodies communication, leadership, systematic and coordinated management, teamwork, partnering, effective balancing of competing demands, and primary accountability for the life cycle of a project.

**Project Delivery Team (PDT)**

Project Delivery Team is a cross-functional matrixed team that includes all the necessary functional and support personnel with the requisite skills and expertise, from the District, Divisions, Centers of Expertise and/or labs, in order to deliver the project. They are responsible and accountable for ensuring that effective, coordinated actions combine to deliver the completed project according to the PMP. The PDT must consist of everyone necessary for successful development and execution of all phases of the project. PDT members will include the stakeholder, the PM, representatives from various technical disciplines and support services within USACE, stakeholders, representatives from other federal or state agencies, vertical members from Division and HQs, and others necessary to effectively develop and deliver a successful project. The team composition can vary greatly, depending on the specific goals and expectations of the stakeholder. The USACE team members may come from any functional area or geographic location and are selected solely on their ability to successfully plan and execute their portion of the project. They may be on the team full time or only on a temporary basis.

**Project Initiator**

The USACE employee who will be responsible for initiating the project in the PROMIS AIS.

## **Project Management**

The application of knowledge, skills, tools, and techniques to project activities in order to meet or exceed project requirements.

### **Project Management Plan (PMP) (PgMP for Programs)**

A formal, approved, living document used to define requirements and expected outcomes and guide project execution and control. The PMP is the 'umbrella' process for completion of project planning phase; it is performed after the work has been accepted and the Project Manager assigned. The primary uses of the PMP are to facilitate communication among participants, assign responsibilities, define assumptions, and document decisions to establish baseline plans for scope, cost, schedule, and quality objectives against which performance can be measured, and to adjust these plans as actuals dictate. The PMP is developed by the project delivery team, including the stakeholder. The approval of the PMP should be delegated to the lowest appropriate supervisory level in order to maintain a minimal level of management control.

### **Project Manager**

Assigned to achieve the project objectives, the person who manages scope, schedule, budget, and quality while leading a project delivery team (PDT). Project managers may be assigned to any organizational or geographic element.

### **Project Review Board (PRB)**

Established at District level to monitor current year execution.

### **Project Scheduler PDT Member**

As members of the PDT, develop and manage schedules for projects. They assist project managers with schedule planning, coordinate tasks, and monitor the timelines of scheduled assignments. They may also identify potential scheduling delays and facilitate remedial action.

### **Project Scope**

The agreed upon definition of the project USACE is to execute. It is either the product of a synergistic effort between the stakeholder and the USACE or the Congressionally authorized project or study. The scope becomes the basis for the PMP.

### **PROMIS**

Formally known as P2. Project Management Information System (PROMIS) application is a commercial-off-the-shelf enterprise software suite that enables program and project management in all USACE mission areas including: Civil Works, Military, Environmental, IIS, Research and Development, and support for others. PROMIS allows USACE to manage all projects in a similar, yet mission-specific manner, providing the ability to:

- a. Link mission and strategic goals/objectives to projects
- b. Link budgets to performance
- c. Link performance to goals/objectives
- d. Manage project delivery

### **Quality**

The totality of features and characteristics of a product or service that bear on its ability to meet the stated or implied needs and expectations of the stakeholder as well as address applicable laws, regulations, and professional standards. The degree to which a set of inherent characteristics fulfills requirements. The quality requirements applicable to a given project are negotiated among the PDT members (which includes the stakeholder) and are documented in the PMP.

**Quality Assurance (QA)**

That part of quality management focused on providing confidence that quality requirements of a project, product, service, or process will be fulfilled. QA includes those processes employed to ensure that QC activities are being accomplished in line with planned activities and that those QC activities are effective in producing a product that meets the desired end quality. An integrated system of management activities involving planning, implementation, assessment, reporting, and quality improvement to ensure that a process, item, or service is of the type and quality needed to meet project requirements defined in the PMP.

**Quality Control (QC)**

That part of quality management focused on fulfilling quality requirements of a project, product, service, or process. It includes those processes used to ensure performance meets agreed upon stakeholder requirements that are consistent with law, regulations, policies, sound technical criteria, schedules, and budget. The overall system of technical activities that measures the attributes and performance of a process, item, or service against defined standards to verify that they meet the stated requirements established in the PMP; operational techniques and activities that are used to fulfill requirements for quality.

**Quality Management**

Processes required to ensure the project will satisfy the needs and objectives for which it was undertaken, consisting of quality planning, quality assurance, quality control, and quality improvement.

**Quality Management Plan**

A formal document describing in comprehensive detail the necessary QA, QC, and other technical activities that must be implemented to ensure that the results of the work performed satisfy the stated performance criteria.

**Quality System**

A structured and documented management system describing the policies, objectives, principles, organizational authority, responsibilities, accountability, and implementation plan of an organization for ensuring quality in its work processes, products (items), and services. The quality system provides the framework for planning, implementing, and assessing work performed by the organization and for carrying out required QA and QC.

**Reference Document**

A document used to convey guidelines or parameters required to complete a task or activity – for example, checklists, tables, and charts.

**Region**

The Division office (and staff) and associated District offices (and staff), and potentially geographic area.

**Regional Business Center (RBC)**

An MSC and its Districts acting together as a regional business entity. This vertical and lateral integration of organizational capabilities, resource sharing, technical expertise, project management, and project delivery broadens and enhances the range of services and quality within the region. Represents an integrated and strategically focused approach to customer service and mission execution. The concept employs a corporate approach to efficiently and effectively managing available resources. All assets within the Division are an integral part of the RBC.



**Regional Function Chief**

Individual responsible for the function/Community of Practice for the MSC/Division Office.

**Regional Management Board (RMB)**

A group of Division and District senior leaders whose purpose is to stimulate the development and execution of plans, using the resources to accomplish the goals and objectives of the Regional Business Center (RBC).

**Reputational Risk**

Risk that a failure to manage risk, external events, and external media or to fail to fulfill the agency's role (whether such failure is accurate or perceived) could diminish the stature, credibility, or effectiveness of the agency. It can arise either from actions taken by the agency or third-party partners including service providers and agents, as well as from negative events in one of the other risk categories such as Legal and Compliance risks.

**Resource**

Any USACE or non-USACE personnel with expertise to facilitate successful completion of a project by the PDT, including the stakeholder.

**Resource Provider**

A functional chief responsible for mentoring, training of PDT members, assigning work, balancing workload, and resolving resource and priority conflicts on an ongoing basis. Any organization, or part of an organization, which is responsible for determining the availability of resources for project delivery teams or program delivery teams utilizing resource information in PROMIS. Resource providers can be first line supervisors, middle managers, chiefs of design branch, chiefs of hydraulics branch, etc.

**Responsible Charge**

Accountability for performing analysis and review to ensure the adequacy of professional products, (such as, agreement with current criteria, policies, professional standards), and directives. See ER 415–14, paragraph 7, “Biddability, Constructability, and Operability” for examples.

**Responsible Employee**

In PROMIS, responsible employee defines the person who has system permissions and authorities to enter data, update data, etc. The PROMIS responsible employee may not be the same as a responsible employee for other legacy systems (for example, CEFMS).

**Risk Appetite**

Amount of risk USACE is willing to accept on a broad level in pursuit of its strategic objectives, given consideration of the costs and benefits of the risks and actions taken to mitigate them. Risk appetite, also called risk guideline, is a key concept for guiding USACE risk management decisions at the enterprise, mission, program, and project levels. Risk appetite is scaled to the appropriate level of risk management. The enterprise-level risk appetite (guideline) is established at the highest level of USACE management.

**Risk Management**

A systematic process of identifying, analyzing, and responding to risk for the life cycle of the project.

**Risk Manager**

Individual who is responsible for selecting the risk management options to treat project risks and must accomplish this in consultation with the risk assessors.

**Risk Owner**

The individual who is ultimately responsible for ensuring a risk is managed appropriately that may include selecting and implementing an appropriate risk response strategy. There may be multiple personnel who have direct responsibility for, or oversight of, activities to manage each identified risk, and who collaborate with the accountable risk owner in his/her risk management efforts.

**Rolling Wave Planning Technique**

The resource in the near term is planned in detail while resource in the future is planned at a higher level.

**Safety**

Freedom from injury, damage, or hazards, reducing risk a project attribute integral with project quality.

**Schedule Performance Index**

A gauge of how cost efficient the PDT is in using its time. It indicates how the PDT is working compared with the plan. A value less than 1.0 indicates less work is being accomplished than was planned (behind schedule). A value greater than 1.0 indicates more work is being accomplished than was planned (ahead of schedule).

$$SPI = EV / PV$$

**Schedule Variance**

Schedule variance is very often misinterpreted as a time-based indicator, for example, are we early or late and by how much? It is not a time-based indicator, but rather an indication of the physical status (how much of the work has been accomplished). The schedule variance (SV) determines whether a project is ahead of or behind schedule in accomplishing work. A positive value indicates more work has been accomplished than planned; a negative value indicates that less work has been accomplished than planned.

$$SV = EV - PV$$

$$SV (\%) = SV / PV$$

**Scope (Also known as Scope of Work)**

A description of the desired work. The first time through the PMP Development, the scope need only contain sufficient information to determine required PDT membership. In future iterations, the PDT will develop a more complete project scope.

**Senior Leaders**

Working as a corporate team, create the conditions necessary for success through actions and behavior consistent with the USACE business process. The corporate team promotes the long-term success of the organization through strategic planning. District senior leaders within the RBC evaluate workload projections, staffing, technical expertise, and market conditions to ensure that we will be able to support our stakeholders in the future.

**Senior Project Manager**

A Project Manager possessing sufficient depth of experience that they are recognized as having a leadership role within their organizational element. Having successfully delivered projects of varying types, degrees of complexity, and dollar values, they are able to draw upon experience and expertise not necessarily held by a less experienced project manager.

## **Stakeholders**

Stakeholder as used in this regulation may be a number of people/organizations. In general, the stakeholder is any individual or organization for which USACE delivers projects, or services to meet specific needs. Stakeholders may be either external or internal to USACE. For example, Engineering Branch should consider the PM a stakeholder when they are performing design preparation or design review activities. Contracting Branch should consider the PM a stakeholder when they are reviewing or executing the contract acquisition activities.

## **Support Services Offices**

Support services are organizations that perform activities in support of the major business lines (for example, Resource Management, Public Affairs, History, Human Resources, Office of Counsel, Occupational Health and Safety)

## **Template**

A set of activities and associated information that serves as a framework for a project plan or part of a project plan. Templates can be generic or more detailed and can include one or an unlimited number of activities, a work breakdown structure, organizational breakdown structure (OBS) definitions, predecessor and successor relationships between activities, activity role and resource assignments, expenses, work products and documents, activity codes, and estimation data. Templates are also known as “methodologies” in the Primavera module of the PROMIS suite.

## **Testimony Preparedness Review**

The compilation of project and program budgetary information, along with subsequent meetings and briefings to prepare USACE personnel for Congressional testimony.

## **Thresholds**

A project management technique in which the user specifies a threshold parameter and a lower and/or upper threshold value against which project data can be evaluated to identify issues that the project manager wants to track. An issue is automatically generated when a threshold parameter is equal to or less than the lower threshold value, or equal to or more than the upper threshold value.

## **Thomas Amendment**

Section 211 of Water Resource Development Act of 2000 that governs USACE’s ability to accept work from non-Federal entities.

## **To-Complete Performance Index (TCPI) BAC**

The ratio of cost efficiency that must be achieved between the remaining baseline not earned and the remaining baseline not spent. The ratio shows how much performance must improve to complete the remaining work in order for the project to achieve the BAC.

$$TCPI_{BAC} = \frac{(BAC - EV)}{(BAC - AC)}$$

## **To-Complete Performance Index (TCPI) EAC**

The ratio of cost efficiency that must be achieved between the remaining baseline not earned and the Estimate to Complete. The ratio shows how much performance must improve to complete the remaining work in order for the project to achieve the EAC.

$$TCPI_{EAC} = \frac{(BAC - EV)}{(EAC - AC)}$$

## **Total Labor Multiplier (TLM)**

Multiplier applied to base labor cost to determine total unit cost of labor resources.

**Unfunded Work**

Work which is planned and/or authorized but for which funds have not yet been appropriated.

**Unknown Program Level Work**

Work not identifiable as specific projects, but foreseen, projected, unassigned, program level work that is expected to occur in the outyears.

**USACE Activity**

All organizations under the command of the Chief of Engineers. The organizations include HQUSACE; Field Operating Agencies; MSCs (Division Headquarters, Centers), and subordinate commands (Districts).

**Virtual Team**

Team working across geographic or organizational boundaries without physical co-location.

**Work Breakdown Structure (WBS)**

The WBS specifies a hierarchy of tasks and activities necessary to fulfill the objectives of the project. The WBS is structured in levels of work detail, beginning with the deliverable itself, and is then separated into identifiable work elements. The WBS templates provide the basic minimum structure needed to begin defining a project in PROMIS to allow upward reporting requirements to be a natural by-product of the project management process.

**Workload**

Everything that is done by the organization utilizing In-House or contractual resources. Workload involves anything for which the organization incurs costs (accrued expenditures) for a given fiscal year for both direct and reimbursable stakeholder. It includes all funds expended including current year appropriated funds, funds carried over from prior years, reimbursable funds from other agencies, supplemental appropriations, transfer accounts, trust funds and local cash contributions. Workload includes expenditures for construction placement, design, operation and maintenance, real estate, overhead, etc. The performing USACE activity receives the credit for all workload it performs.