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| | Management STRATEGIC MANAGEMENT SYSTEM | |
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Regulation
No. 5-1-15

31 May 2016

Management
U.S. ARMY CORPS OF ENGINEERS
STRATEGIC MANAGEMENT

1. This Change 2 to ER 5-1-15, dated 1 December 2009, issues newly dated title page, makes revision to table of contents, updates the responsibilities for the USACE Management Action Group (UMAG) in the Governance section as part of Appendix A, updates the existing charter for the USACE Command Council and adds a new charter for UMAG, both as part of Appendix D for Governance Bodies.

2. The changed information is annotated as follows:

| Chapter | Page(s) |
|-------------------------------|--|
| Title Page | |
| Table of Contents | i – ii (Revising Appendix D) |
| Appendix A, Pages A-8 and A-9 | Revising Paragraph 7c and 8b |
| Appendix D | Revising Paragraph D-2b Revising Paragraph D-4c (1) |
| Appendix D | Adding Pages D-1 thru D-10 |

FOR THE COMMANDER:


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U.S. Army Corps of Engineers
Washington, DC 20314-1000

ER 5-1-15
Change 1

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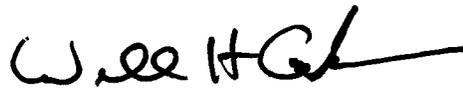
Management
U.S. ARMY CORPS OF ENGINEERS
STRATEGIC MANAGEMENT

1. This Change 1 to ER 5-1-15, dated 1 December 2009, deletes series title Strategy and Integration and inserts Management and adds Appendix C, Internal Control Evaluation Checklists as well as Appendix D, and Governance Bodies.

2. The changed information is annotated as follows:

| Chapter | Page(s) |
|-------------------|---------------|
| Title Page | |
| Table of Contents | i - ii |
| Appendix C | C-1 thru C-18 |
| Appendix D | D-1 thru D-4 |

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No. 5-1-15

31 May 2016

Management
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STRATEGIC MANAGEMENT

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CHAPTER 1

Introduction

1-1. Purpose. The Strategic Management regulation establishes a formal, documented set of processes by which the U.S. Army Corps of Engineers (USACE) Strategic Management System (SMS) operates throughout USACE. The SMS defines terms, prescribes policy and concept of operations, and aligns the processes and activities associated with the SMS. Further, it assigns formal responsibilities to Headquarters (HQ), major subordinate commands (MSCs) and districts for the SMS for planning, programming, budgeting, execution and control while ensuring compliance to mandates, directives and circulars.

1-2. Applicability. This regulation applies to Headquarters, U.S. Army Corps of Engineers (HQUSACE), all MSCs (divisions and centers), districts, laboratories and field operating activities (FOA) responsible for SMS processes. It is also applicable to the production of guidance, plans, reviews and reports associated with these processes and its activities. This regulation does not apply to the 249th Engineer Battalion.

1-3. Distribution Statement. Approved for public release, distribution is unlimited.

1-4. References.

a. Public Law 101-576, Chief Financial Officer's Act of 1990 (CFOA), United States Congress.

b. Public Law 103-62, Government Performance Results Act of 1993 (GPRA), United States Congress.

c. Public Law 103-356, Government Management and Reform Act of 1994 (GMRA), United States Congress.

d. Public Law 104-106, Clinger-Cohen Act of 1996 (CCA), United States Congress.

e. Public Law 104-208, Federal Financial Management Improvement Act of 1996 (FFMIA), United States Congress.

f. Public Law 97-255, Federal Managers' Financial Integrity Act of 1982 (FMFIA), United States Congress.

g. OMB Circular No. A-123 (2004), Management Accountability and Control, Office of Management and Budget, Executive Office of the President, Annually.

h. OMB Circular No. A-11 (2008), Preparation, Submission and Execution of the Budget, Office of Management and Budget, Executive Office of the President, Annually.

i. OMB Circular No. A-136 (2009), Management's Responsibility for Internal Control, Office of Management and Budget. Executive Office of the President, Annually.

j. AR 11-32, Army Long Range Planning System, 10 January 1989.

k. DoD and Army planning and strategy guidance to include Defense Planning Guidance, National Defense Strategy, National Security Strategy, National Military Strategy, Total Army Plan, Army Campaign Plan, Army Long Range Planning Guidance, and others.

l. ER 5-1-11, U.S. Army Corps of Engineers Business Process, 01 November 2006.

m. ER 5-1-13, U.S. Army Corps of Engineers Policy on Regional Business Centers (RBCs), 25 January 2008.

n. USACE 2012 Report, Aligning the U.S. Army Corps of Engineers for Success in 21st Century, October 2003.

1-5. Definitions. For specific definitions about plans, reports, reviews, acts, abbreviations, and other related documents not listed, see the Glossary.

a. The USACE Strategic Management System (SMS). The SMS defines the inter-related outputs that emerge from the processes and activities used to systematically and strategically manage USACE. It prescribes guidance, responsibilities, plans, reports, and reviews required at each step and at various organizational levels and offers commanders and staff at all levels a basis for making performance-based decisions. The SMS particularly applies to the two major programs of USACE – Civil Works and Military Programs – and to the separate offices in their program support roles and responsibilities.

b. The USACE Strategic Management Process (SMP). The SMP represents the underlying process and operational activities of the SMS. It depicts the flow of key work activities and its associated outputs. These outputs allow the entire system to operate in an integrated and consistent manner.

c. The USACE Strategic Management Cycle (SMC). The SMC is the annual, recurring cycle that shows the operational schedule and activities to produce plans, reports and reviews for various reporting authorities.

1-6. Responsibilities. Appendix A defines command and field element responsibilities.

CHAPTER 2

Strategic Management System (SMS), Process (SMP) and Cycle (SMC)

2-1. Strategic Management Policy.

a. The USACE Commander is responsible for providing executive leadership, corporate direction, necessary resources and guidance. Other responsibilities of the commander, together with those of subordinate commanders and other staff, are defined in Appendix A. They will carry out these responsibilities in the operation of the strategic management.

b. The Strategic Management System (SMS) (Figure 1) is the operating framework that links all HQ and MSC elements in their planning, programming, budgeting, execution, and control activities. The SMS will furnish outputs – guidance, plans, reports and reviews – associated with the system elements. These are shown in Appendix B.

c. The Strategic Management Process (SMP) (Figure 2) depicts the workflow of the macro level processes and activities that yield major outputs.

d. The MSCs adhere to PMBP 6000-6003 as the standard regional business operating procedure (Figure 3), ensuring that the MSC Implementation Plans (IPlans) and District Operations Plans (Appendix B) are in alignment.

e. In accordance with the SMS and SMC, HQ directorates and separate offices as well as MSC's and Districts (Figure 4) are responsible for the production and coordination of guidance, plans, reviews and reports.

f. The Strategic Management Cycle (SMC) depicts the recurring and integrated schedule of outputs – plans, reports and reviews – as well as activities associated with the SMS. USACE conducts its program integration cycles in adherence with established schedules (Figures 5a-5c).

2-2. Strategic Management System (SMS).

a. The SMS formalizes the process for establishing the long term direction of USACE as well as providing guidance for short-term activities. As a system of systems, it consists of structure, linkages and relationships, with underlying phases, processes, and activities, and their outputs. The SMS diagram in Figure 1 depicts these elements. The strategic management phases appear at the bottom of Figure 1.

b. The SMS serves to initiate, coordinate, integrate and formalize management activities and to align future program area plans to budgets. In so doing, the SMS incorporates assessments of risk and uncertainty and balances resource availability and affordability with workload requirements.

c. The SMS integrates the requirements of the headquarters program and functional area managers with MSC input (See Appendix B). Specifically, the SMS:

(1) Empowers managers with the support of long range scenarios to formulate their respective strategies as well as forecast future workload, budget and manpower requirements.

(2) Provides the framework for formulating baseline planning, programming, budgeting, and execution guidance for the mid and near-term.

(3) Assists managers in prioritizing projects and initiatives and provides a foundation for program development including the Program Objective Memorandum (POM), prepared by HQDA for the Military Programs directorate and budget guidance for the Civil Works directorate.

(4) Establishes a benchmark for gauging the level of success through results-based performance management to be achieved based on previously established goals, objectives and metrics.

(5) Identifies results at each level so that senior leaders, managers, and staff are held accountable for their performance.

d. The SMS consists of four major phases: planning, programming and budgeting, execution, and control. These produce four key outputs at each phase at the HQ and MSCs: guidance, plans, reviews and reports. The SMS phases are described below, and the SMP is discussed later (paragraph 2-3).

(1) The planning phase establishes guidance and policies as well as develops plans and estimates that form the basis for strategic decisions about resource allocation and capital investment. The HQ staff and MSC IPlans establish actions/tasks that are linked to the goals, objectives and strategies in the Campaign Plan and Program Area Strategic Plans.

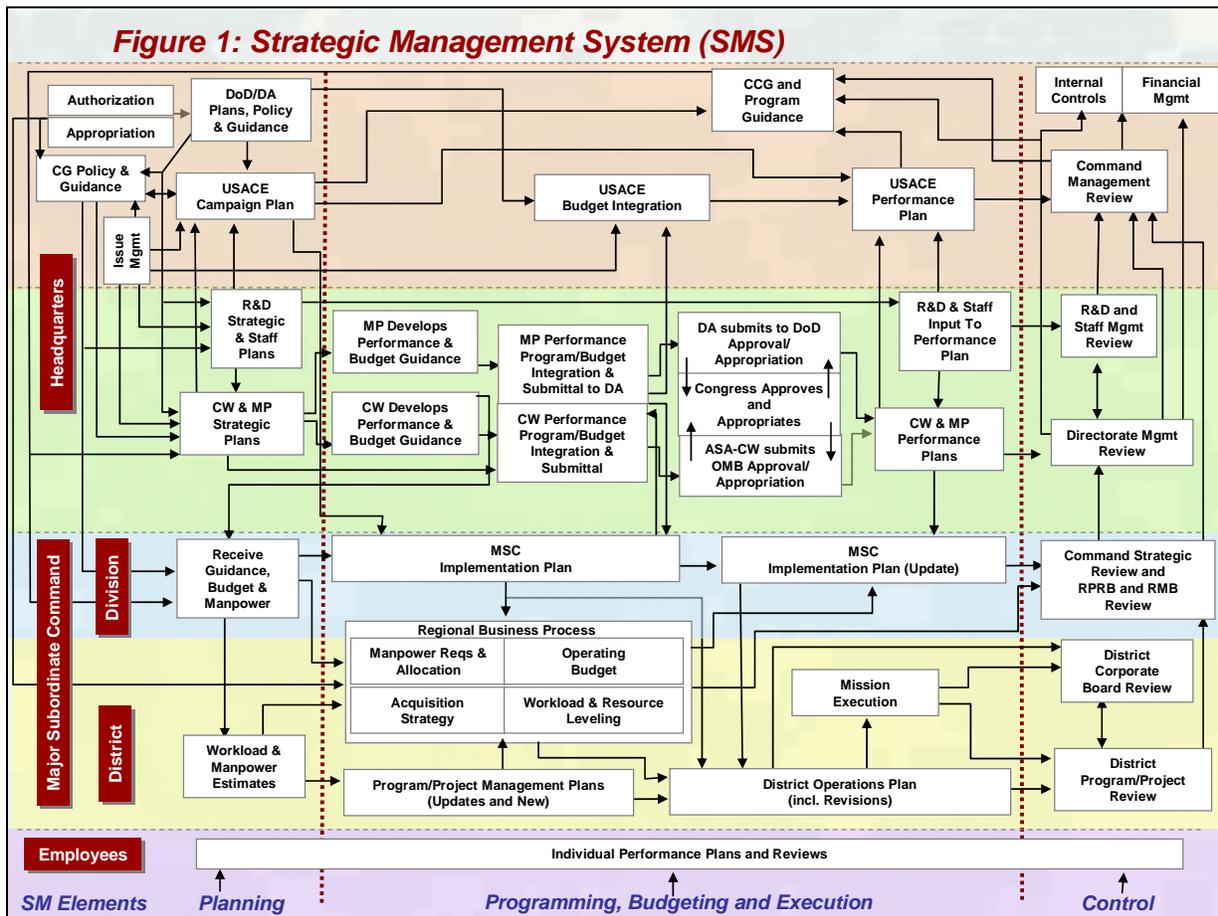
(2) The programming and budgeting phase provides for development of program and operating budgets, preparation of the performance and budget guidance, and development of the performance plan. The HQ staff and MSC IPlans establish actions, measures and targets.

(3) The execution phase is focused on delivering our commitment to customers and achieving our targets provided in the Program Area Strategic Plans and the Campaign Plan. The Program Area Strategic Plans and the Campaign Plan advance primarily, but not exclusively by implementing aligned HQ staff and MSC IPlans. The HQ staff and MSC commanders incorporate updates or modifications on a regular basis in the IPlans as conditions change.

(4) The controls phase provides information about the performance evaluation and reporting functions of the program and functional areas. During this phase all commanders assess performance progress in relation to the Campaign Plan and USACE Performance Plan. District commanders conduct performance assessments during the Program Review Board and District Corporate Board; MSCs do so during the Regional Management Board and Regional

Command Council; and headquarters staff do so during the Directorate Management Review (DMR) and Command Management Review (CMR). HQ staff conducts performance reviews during the Command Strategic Review (CSR). The strategic controls process enables the commander as well as program and functional staff to identify opportunities to improve efficiency and effectiveness. These evaluations will yield information to:

- (a) Revise long term strategies or near term objectives;
- (b) Adjust capabilities to meet future requirements in an uncertain environment;
- (c) Change methods of conducting command business;
- (d) Plan responses to disruptive events; and
- (e) Adopt approaches to embracing and infusing lessons from past experiences.



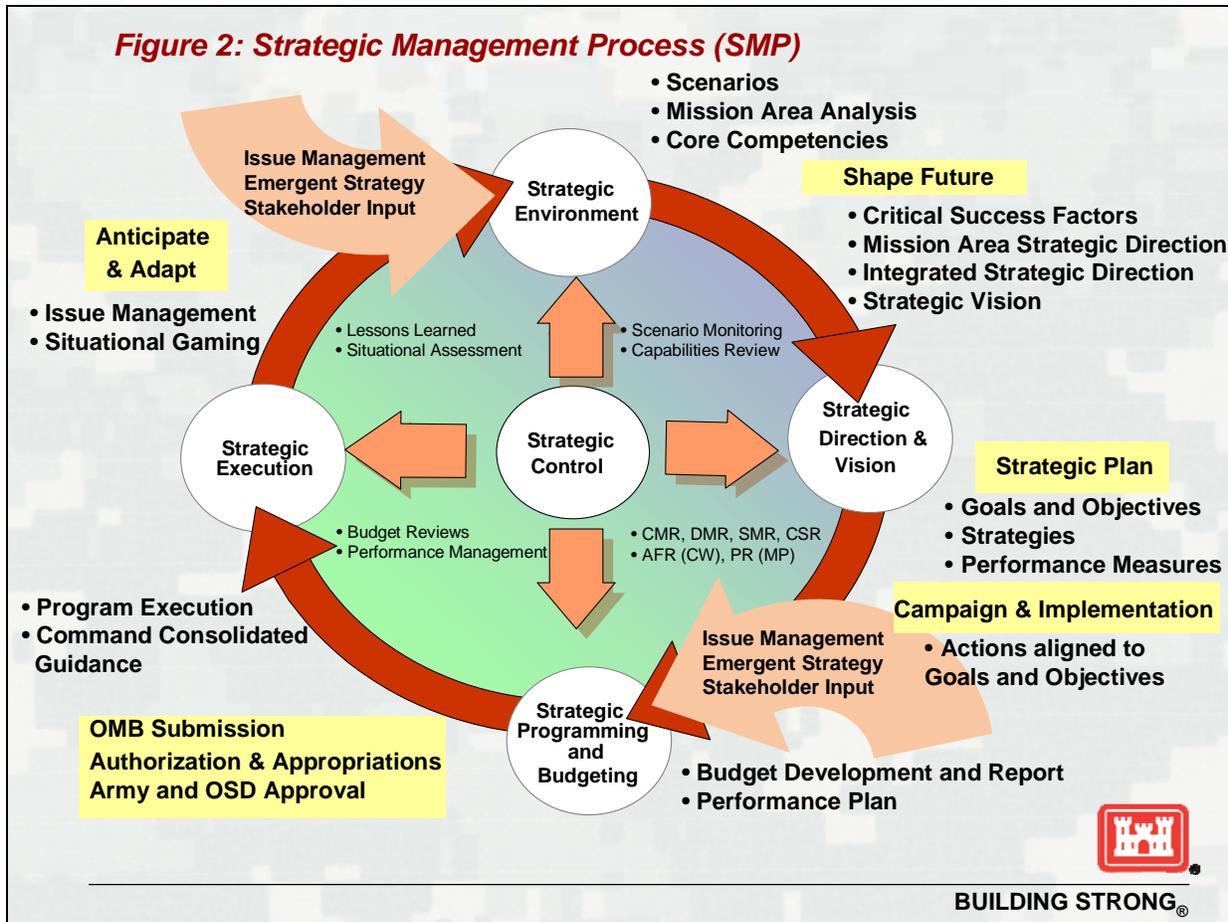
2-3. Strategic Management Process (SMP).

a. The Strategic Planning Process. The disciplined process of strategic planning enables the commander to provide direction and intent while establishing the framework for decision-making about the management of resources. The strategic planning process defines the mission statement, vision, goals, objectives and strategies and operational policies within the context of the mission for both external and internal environments. Implementation actions of the Campaign Plan are consistent and flow from the program area (CW, MP and R&D) strategic plans and staff IPlans.

b. The Programming and Budgeting Processes. Programming and budgeting represent both cyclical and ongoing sets of activities that flow from the strategic planning process and command guidance activities. The programming and budgeting processes produce the annual program, the guidance document, the budget, the five-year development plan (Civil Works), the future-year defense plan (Military Programs) and the annual performance plan. The intent of these processes is to accomplish the missions and the staff (functional area) goals and objectives and to align budgets to performance plans. MSC IPlans contain the key implementation actions, measures and targets in support of the Campaign Plan. The MSCs align their IPlans with the execution process as part of their performance planning function.

c. The Execution Process. The execution process launches key actions in the USACE Campaign Plan (to include Staff IPlans), Program Area Strategic Plans and MSC IPlans as well as the budget execution process that are incorporated in the Consolidated Command Guidance (CCG) and operational orders.

d. The Strategic Control Process. The strategic control process involves evaluating and assessing implementation actions and results as well as monitoring the changes in the external environment. There are evaluations of the Strategic, Implementation, and Performance Plans on a regular basis during the CMR, DMR, SMR and CSR. Other critical aspects of the control process that are conducted on a regular basis include financial management and internal controls.



2-4. Strategic Management Concept of Operations. The interactions and operations of the guidance, plans, reviews and reports that occur throughout USACE (see Figure 1) involve:

a. Shaping strategic planning through:

(1) Formulation of the USACE Campaign Plan by synthesizing the program area strategic plans. Activities include formulating the strategic vision, commander's intent, mission statement, goals, objectives, strategies and measures for the command.

(2) Development of program area strategic plans by preparing mission area scenarios, analyzing mission areas, assessing core competencies/capabilities, and identifying critical success factors (future capabilities). These activities enrich the development of the mission statement, strategic direction, goals, objectives and strategies for each program area strategic plan.

(3) Issuance of command policy and guidance that synchronizes with higher authority policy and guidance as well as assessing impacts of emergent issues.

(4) MSC receipt and review of policy, guidance, budget and manpower.

(5) Development of Region (Division and District) workload and manpower estimates using HQ issued budget and manpower guidance.

(6) Formulation of the HQ directorate and separate office IPlans. These IPlans specify actions that HQ staff undertakes to successfully achieve Program Area Strategic Plans and the Campaign Plan.

b. Conducting programming and budgeting activities through:

(1) Formulation of Future Year Defense Plan (Military Programs) and Five-Year Development Plan (Civil Works) containing program and operating budgets.

(2) Issuance of Program Area Performance and Budget Guidance used in developing the Civil Works and the Military Programs.

(3) Formulation and issuance of the USACE and Program Area Performance Plan as well as the issuance of CCG and Program Area Guidance.

(4) Formulation of the HQ directorate and separate offices input to the programmatic performance plans and USACE performance plan. These HQ directorate and separate office IPlans specify and align performance measures and targets to the budget in order to deliver successful results.

(5) Development of the MSC IPlans. The MSC IPlans link the actions to measures and targets as well as to the Campaign Plan and Program Area Strategic Plans.

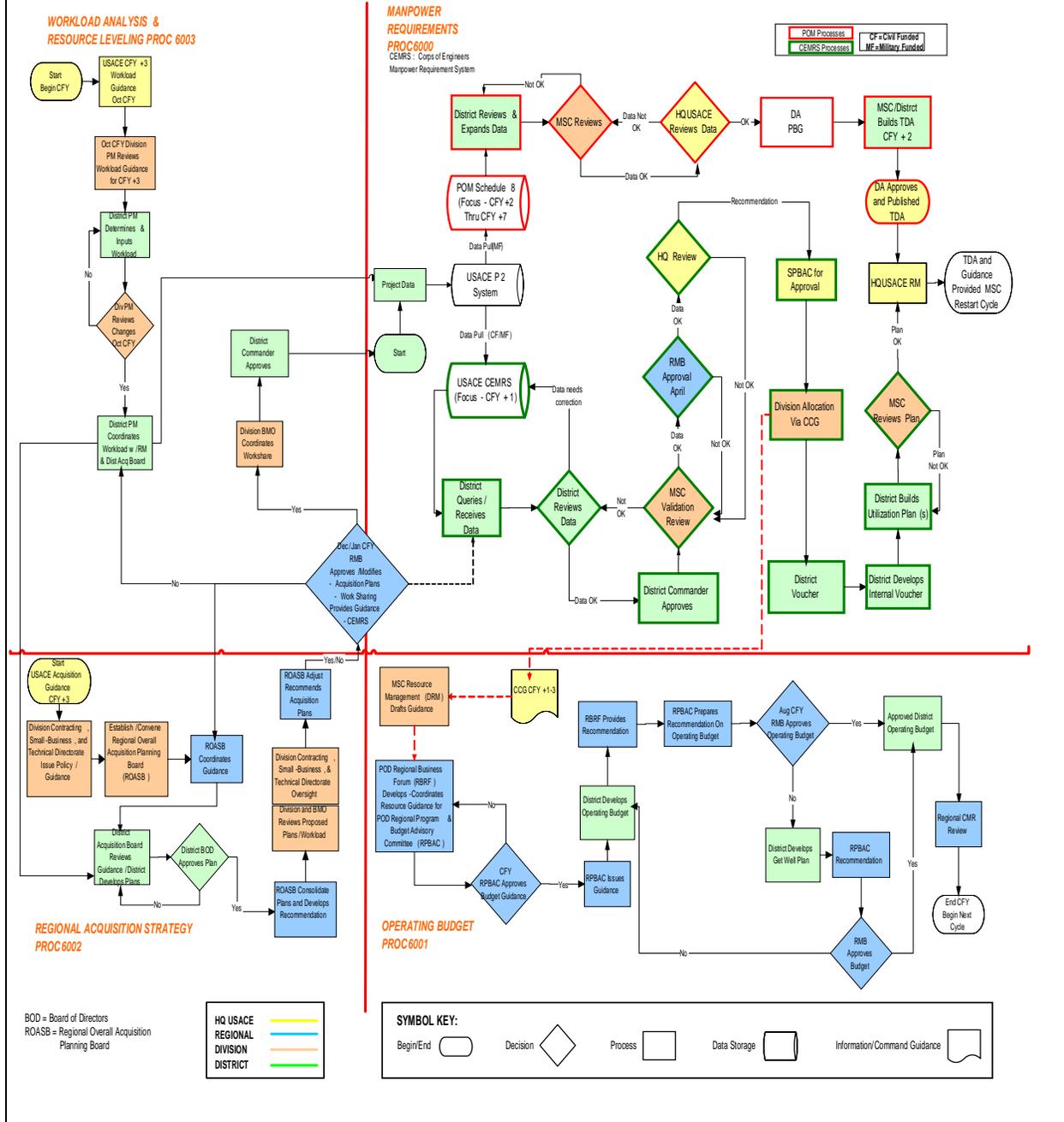
c. Performing execution activities through:

(1) Execution and updates on a regular basis of the HQ directorates and separate office IPlans as well as MSC IPlans. The execution of MSC IPlans aligns with the appropriate regional requirements and allocations in manpower, budget, workload and acquisition in the regional business process while the HQ IPlans align with the Campaign Plan and Program Area Strategic Plans.

(2) Execution of the Regional Business Process 6000-6003 so that regional work requirements and allocations are met. Existing and proposed project lists serve as input to Districts' Operations Plans (Figures 2 and 3).

(3) Execution of the proposed and existing program/project plans and district operations plans. Each District's Operations Plan (including its revisions) is linked to the program/project management plan for capturing results of mission execution.

Figure 3: Regional Business Process



d. Accomplishing strategic control activities through:

(1) Recurring management control reviews and independent financial audit activities while facilitating continuous improvement. These activities ensure the integrity and accuracy of the program and accountability reports as well as the implementation of management controls that align with all applicable federal financial management control standards included in the CFOA, FFMIA, FMFIA and OMB Circulars A-11, A-123 and A-136 (Figure 1).

(2) Oversight of the financial management systems. The Directorate of Resource Management collaborates with all program and functional organizations to ensure that financial management systems align with the enterprise information architecture and provide capabilities to produce reliable program level management information using modern technology in accordance with the CCA.

(3) Administration of the CMR. This activity involves conducting USACE-wide strategic and performance management assessments through strategic dialogue that creates organizational learning, fosters strategic thinking and promotes an innovative culture.

(4) Administration of the Directorate Management Reviews (DMR) and Staff Management Reviews (SMR). The directorates and staff offices conduct the DMRs and SMRs. The directorates and separate offices may have third parties conduct external assessments. The variance between actual results and performance targets are discussed at the DMR and if the variance is of strategic import, it may be discussed at the CMR as well. The results of staff offices' performance are discussed during the SMR. These assessments permit program directors and office chiefs to identify problem areas and identify opportunities for improving overall management and organizational effectiveness.

(5) Administration of Regional Program Review, Regional Management Review and Command Strategic Reviews (CSR). While MSCs conduct their reviews of annual performance results through the Regional Program Review Board (RPRB) and the Regional Management Board (RMB), HQ staff conducts the CSR to assess and learn about regional performance based on the Campaign Plan, Program Area Strategic Plans and IPlans, as well as to identify and exploit innovations and best practices developed by the MSC.

(6) Administration of operational review and project performance. The District Corporate Board conducts performance reviews of mission execution. The Project Review Board in each district assesses each project's performance. The District Commander provides input to the Regional Business Center and discusses performance at RPRB and RMB reviews.

e. Undertaking individual performance reviews. Supervisors and employees meet to establish, manage and administer personal annual performance plans which are linked to organizational planning documents. These documents serve as appropriate references for the annual performance appraisals for all employees, supervisors and senior executives (see Glossary definition for Individual Performance Plan).

f. Responsibility for outputs. Figure 4 identifies participants who are responsible for producing required SMS guidance, plans, reviews and reports. Figure 4 also shows the responsible HQ directorates and separate offices as well as MSCs and Districts with whom these outputs will be coordinated to effectively manage internal operations and comply with applicable laws; executive orders and circulars; and departmental directives, policies, plans and regulations. Appendix B, SMS Outputs, is a summary table by USACE activities, including responsibility for producing guidance, plans, reviews and reports.

Figure 4: Plans, Reviews and Reports In Context of Responsibility & Coordination

| | | <u>Plans</u> | <u>PM</u> | <u>Coordination</u> |
|--------------------------|-----|---|-------------------|-------------------------|
| Command | | USACE Campaign Plan | SI | CW, MP, R&D, RM, HR, CC |
| | | USACE Performance Plan | RM | SI, CW, MP, R&D, HR, CC |
| Program & HQ | HQ | Program Area Strategic Plan | CW, MP, R&D | SI, RM, CC, Staff |
| | | Program Area Performance Plan | CW, MP, R&D | SI, RM, Staff |
| | | Program Area IPlan | CW, MP | SI, RM, Staff |
| Staff Elements | | Staff Implementation Plan | All | CW, MP, SI, RM |
| | | Staff Area Input To Performance Plan | All | CW, MP, SI, RM |
| | | Human Capital Management Plan | HR | All |
| | | | | |
| Division MSC | MSC | MSC Implementation Plan | RBD & PD | HQs Champions, SI |
| | | Regional Business Process | RMB (RBD & PD) | RM, PARC, RBD & PD |
| District | | District Operations Plan | DCB, DPRB | RCC |
| Employees | | Individual Performance Plan | Individuals | Supervisors |
| | | <u>Reviews & Reports</u> | <u>PM</u> | <u>Coordination</u> |
| Command HQ | HQ | Command Management Review (CMR) | RM | CW, MP, SI, Staff |
| | | Command Strategic Review (CSR) | SI | RM, CW, MP, Staff |
| | | USACE Budget Integration | RM | CW, MP |
| Program & Staff Elements | HQ | Directorate Management Review (DMR) | Directorate Staff | SI, Staff |
| | | Annual Financial Report | CW, RM | Army |
| | | Staff Management Review (SMR) | HQ Staff Elements | SI |
| Division MSC | MSC | Regional Program Review Board (RPRB) | MSC | MSC |
| | | Regional Management Board Review (RMB) | MSC | MSC |
| District MSC | MSC | District Corporate Board Review (DCB) | District | Staff |
| | | District Program/Project Review Board (PRB) | District | Staff |

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2-5. Strategic Management Cycle (SMC). There are three integration cycles. One provides the schedule of outputs and milestones for Civil Works Programs (Figure 5a) and a second does the same for Military Programs (Figure 5b). The R&D Program efforts for USACE Civil Works and Military Programs are essentially embedded within the integration cycles of these two respective clients, while the substantial R&D Program efforts USACE performs for other stakeholders, such as the Department of the Army and the larger Department of Defense, are treated within those respective integration cycles. The third, the USACE Strategic Integration Cycle, identifies the schedule of outputs and milestones involved in producing command plans and reports, conducting management reviews, and issuing command guidance (Figure 5c).

a. The activities shown in the Civil Works Programs Integration Cycle (Figure 5a) include:

(1) Civil Works Strategic Plan. The plan contains the mission statement, strategic direction, goals, objectives and strategies for the Civil Works business lines including the identification of unpredictable elements and assumptions that affect the overall program.

(2) HQUSACE Program Development Budget and Submission CFY+1 (Budget Year). This is based on OMB and Army guidance for developing the detailed instructions to the MSCs (divisions and districts). These instructions include the policies, procedures and metrics to be used in developing and defending the Civil Works budget that will be proposed to OMB and the Congress. The budget includes the president's performance expectations for each business line to achieve with the funds contained in president's annual budget submission each February.

(3) Civil Works Performance Plan. This plan captures the expectations of what each business line is to achieve following the annual appropriation. The annual appropriation – normally received in October, later if a continuing resolution is in effect – assigns funds to specific projects. The MSC program chiefs further allocate these project fund assignments to specific business lines for achievement of national and regional objectives. The division program chiefs, as soon as practical after funds are received, provide HQ business line managers with the expected performance level and the funds allocation for each business line. Throughout the fiscal year, MSCs track expenditures and performance by business line and report results as requested.

(4) Civil Works Five Year Development Plan (FYDP). The Civil Works Five Year Development Plan (FYDP) provides five-year program estimates that are based on two scenarios: budget (base) and appropriations (enhanced). It presents the future outlook of programs by business line and includes an accounting of the project backlog.

(5) Civil Works Annual Financial Report (AFR). The Director of Civil and Emergency Operations supports the Director of Resource Management in developing the Management's Discussion and Analysis (MD&A) for the Annual Financial Report (AFR) each year as part of the Army's Annual Financial Statement. The Civil Works Annual Performance Plan is the base document for this report. When the Civil Works Annual Performance Plan (abbreviated) is updated to include actual performance levels versus actual expenditures by business line, a short narrative is added to explain the results of the program with respect to the targets. The MSC data collection begins in August. The report is normally completed by October when USACE submits it to HQDA for printing. HQ staff will conduct the performance reporting function during the DMRs. HQUSACE also conducts a stakeholder assessment of Civil Works performance annually.

(6) HQUSACE Budget Defense for CFY. This HQ activity involves defending the Civil Works budget upon its submission to the Office of Management and Budget (OMB) and includes finalizing the budget through the OMB pass-back process. The budget defense also includes providing Congressional testimony at budget Appropriations Bill hearings in response to staff and Member questions and other support in developing the House and Senate Appropriations Bills and Reports and the final conference Bill and Report for the upcoming appropriation year.

(7) HQUSACE Budget Execution for CFY+1. This activity involves apportioning the final appropriation by the Administration, delivering funding to the field for execution, and tracking the execution throughout the fiscal year. Civil Works conducts monthly performance reviews (PRB/DMR) and quarterly reviews at the CMR. The HQ staff conducts this performance assessment during the DMR on a quarterly basis.

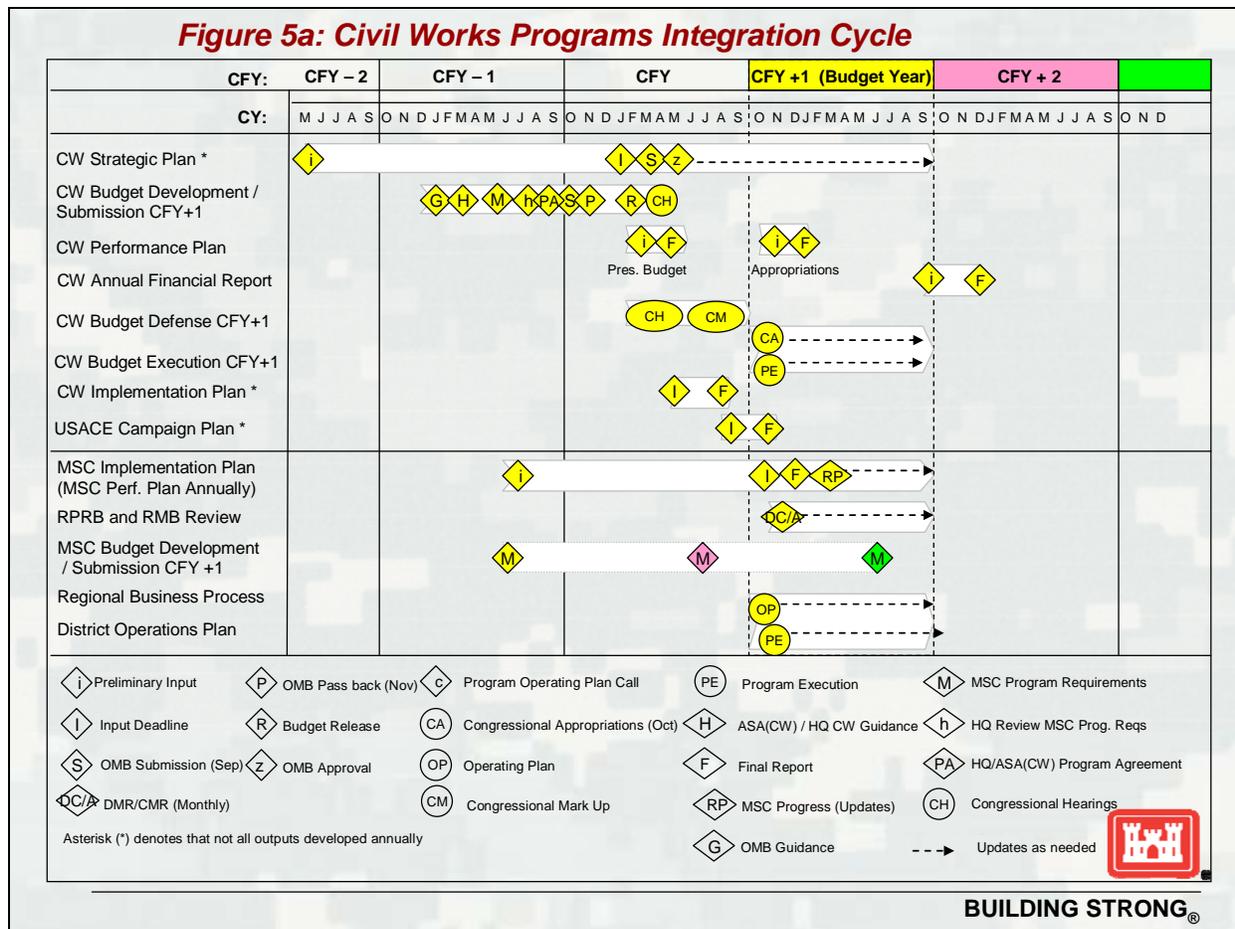
(8) HQ and MSC IPlans Formulation. This activity involves formulating implementation sets of actions with outcome-based measures for performance. Each MSC aligns and executes its IPlan in accordance with the Campaign Plan and consistent with the Program Area Strategic and Performance Plans. Its aim is to achieve specific actions, budgets, measures and targets to achieve results. The HQs directorates and separate offices also develop and align specific IPlans with the Campaign Plan. Each District executes its District Operations Plan to achieve specific results that adhere to the MSC IPlan.

(9) Regional Program Review Board and Regional Management Board Review. This activity involves the region leadership and staff meeting regularly to assess the performance of regional program and management matters in terms of their status and results.

(10) MSC Budget Development / Submission CFY +1. The MSC follows HQ directions for packaging the field requests, developing the regional budgets and submitting them to HQUSACE for review. This action also involves discussing the final budget with interested Congressional members, including the needs and requests that are made by the Administration and Congressional members.

(11) Regional Business Process. The MSC identifies and recommends optimal business practices to improve efficiency, enhance the delivery of products and services for greater effectiveness, and maximize customer satisfaction. To accomplish these objectives the MSCs promote workload sharing between districts and between other MSCs; shape and train the regional workforce; establish regional rates; maintain oversight over regional operating budget; and maintain regional acquisition strategy.

(12) District Operations Plan. The district specifies the execution actions of various projects/programs/initiatives contained in the MSC IPlan and USACE Campaign Plan. The District Operations Plan has at least a two-year outlook, although there is no preclusion from incorporating a three-to-five year horizon. This plan's focus is to identify execution actions aimed to achieve certain desired effects or outcomes stated for efficient and effective running of the district's business.



b. The activities shown in the Military Programs Integration Cycle (Figure 5b) follow:

(1) **Military Programs Strategic Plan.** This plan contains the mission statement, strategic direction, goals, objectives and strategies for military program mission areas across all business lines, including the identification of unpredictable elements and assumptions that affect the overall program.

(2) **Executive Direction and Management (ED&M) Budget Development and Submission CFY+1 (Budget Year).** This HQ activity involves providing program operating budget input to the Army Budget Office by: interpreting Army guidance; developing and issuing operational and fragmentary orders that take into account the results of the prior-year planning cycle; and considering new guidance issued by the HQDA and DoD on any significant changes in the external and/or internal environment that affects Military Programs.

(3) **Program Budget Development and Submission CFY+1 (Budget Year).** As the construction agent for DoD and under various applicable authorities, USACE executes many programs for the Army, the other military services, and DoD agencies across all the business lines (Major Construction, Real Estate, Environment, Installation Support, Interagency and International Services). The proponent services and agencies are responsible for program budget development and submission. Consistent with the processes of the proponent service or agency,

USACE may have a role in budget development as a service provider through definition of scope and cost estimates, development of programming documentation, environmental studies, and development of designs. For example, USACE supports the Office of the Assistant Chief of Staff for Installation Management (ACSIM) in developing the Army military construction (MILCON) budget by: conducting planning charettes on projects for future budget years; completing parametric designs and validating scope and cost for the budget year plus-one program; providing information on planning and design requirements for future year programs; and, advising ACSIM of issues that arise during project design that may impact budget development.

(4) Military Programs Performance Plan. This plan captures USACE expectations for program achievements across all the business lines for each annual appropriation. Upon receipt of annual appropriation, the HQUSACE program managers and Regional Military Integration Division managers finalize the programmatic performance plans. For example, MILCON construction contract award schedules and associated programmatic obligation plans establish the baseline plan against which USACE performance is measured. HQ managers conduct this assessment within the context of the CCG metrics, goals and objectives, as articulated in the annual Military Programs OPORD. Managers across USACE monitor program performance against the award and obligation plans and related goals and metrics. The HQ assesses MSC and corporate performance against the established performance plan (consisting of the award forecast, obligation plan, OPORD objectives, and CCG metrics) at periodic (at least quarterly) DMRs. Following the end of the fiscal year, the HQ conducts an after action review in collaboration with MSCs and key customers to evaluate corporate performance and assess actions required to improve future performance.

(5) Military Programs Performance Report. This activity involves identifying and monitoring performance integral to the Army's Annual Financial Statement and Department of Defense (DoD) Performance and Accountability Report. The performance and accountability information falls under the purview of the DoD and Army organization reporting structure and process. The Army Comptroller produces the consolidated financial statements with management assessments that contain the reports of this activity. The HQ staffs conduct the performance reporting function during the DMRs and CMRs. The HQ also conducts a customer survey assessment of Military Programs performance annually.

(6) HQUSACE Budget Defense for CFY. The HQ formulates requirements and submits funding and manpower requests associated with the Operations and Maintenance (Army) appropriation. Requirements are provided to HQDA elements associated with the Program Objective Memorandum process. This activity also includes supporting the Army Budget Office in the preparation of final budget requests and justification statements for DoD and Congress.

(7) HQ Budget Execution for CFY+1. During this activity, HQ requests appropriations from customer/appropriate managers to execute the current year's program in accordance with the HQ Execution Plan. This activity also involves managing contingency funds for Army construction projects.

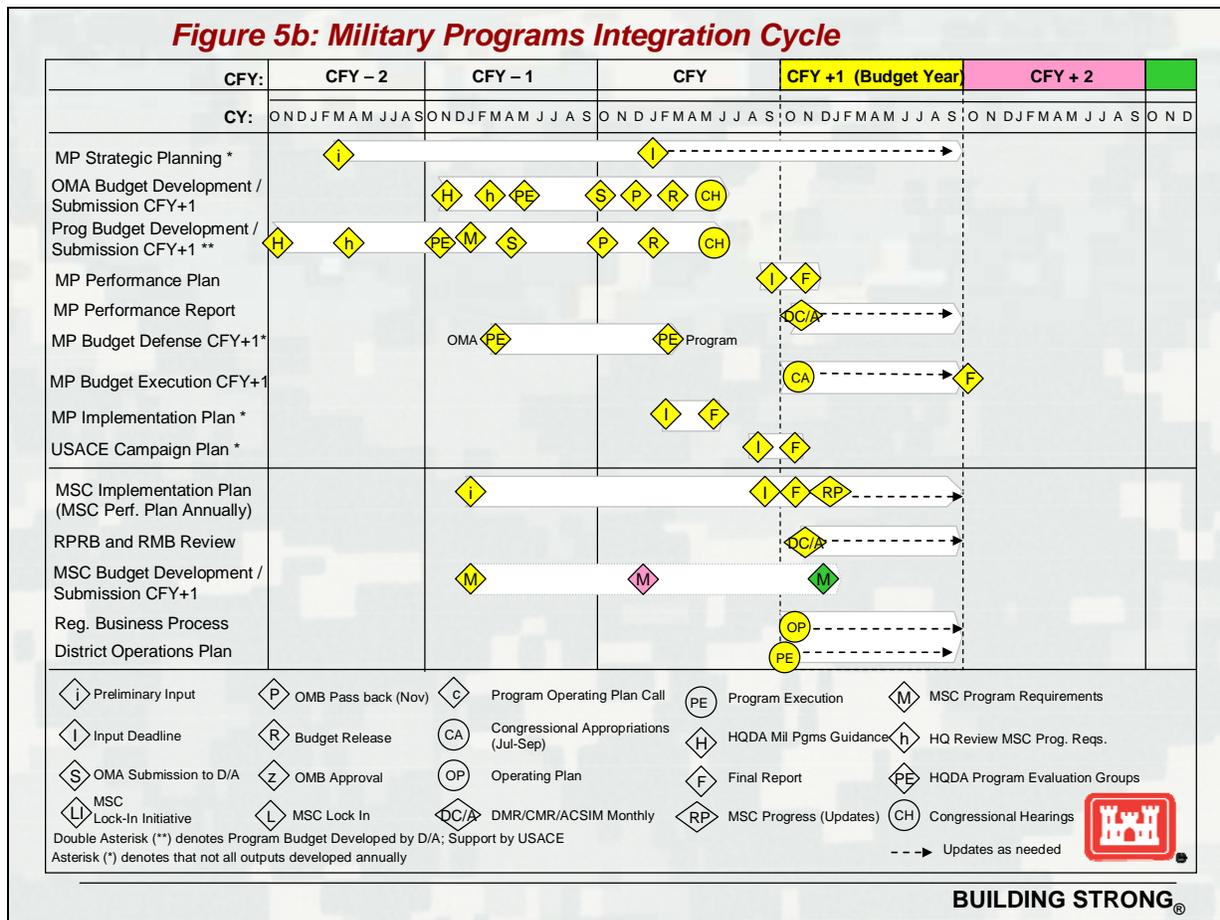
(8) HQs and MSC IPlan Formulation. HQ and MSC staffs develop IPlans that consist of implementation sets of actions with outcome-based measures for performance. Each MSC aligns its IPlan to the Campaign Plan and consistent with Program Area Strategic and Performance Plans. Each Division Commander executes the MSC IPlan with the aim of achieving specific actions, measures and targets to achieve results. HQs program offices and separate offices also develop and align IPlans to the Campaign Plan. Each district executes its District Operations Plan with the aim of achieving specific results in adherence to the MSC IPlan.

(9) Regional Program Review Board and Regional Management Board Review. This activity involves the regional leadership and staff meeting regularly to assess the performance of regional program and management matters in terms of their status and results.

(10) MSC Budget Development / Submission CFY +1. MSCs follow HQ directions in packaging the field requests, developing the regional operating budgets, and submitting them to the HQ for review. The MSCs oversee the final execution of the appropriations through the many and diverse funded projects, programs and activities and systems.

(11) Regional Business Process. MSCs identify and recommend optimal business practices in order to improve efficiency, enhance the delivery of products and services for greater effectiveness, and maximize customer satisfaction. To accomplish these objectives, the regions promote workload sharing between districts and other MSCs; shape and train the regional workforce; establish regional rates and maintain oversight over regional operating budget; and maintain regional acquisition strategy.

(12) District Operations Plan. Districts specify the execution actions of various projects/programs/initiatives contained in the MSC IPlan and USACE Campaign Plan. District Operations Plans have a three-to-five year execution horizon. The plan identifies execution actions that will help achieve certain desired effects or outcomes stated for efficient and effective running of the district's business.



c. The activities shown in the Command Strategic Integration Cycle (Figure 5c) are:

(1) **USACE Campaign Plan.** A HQ/MSC team, under commanders' and directors' direction, develops the USACE Campaign Plan. This plan contains the mission statement, strategic vision, integrated goals, objectives and strategies. The team, in order to develop this plan, integrates program and functional strategic plans into the Campaign Plan. The commanders and directors also discuss and consider key uncertainties as well as risks and assumptions within the context of the Defense Planning Scenarios and National Planning Scenarios as well as other documents to shape policy and guidance issued by the USACE Commander, HQDA and DoD. All HQ and MSC staff principals participate in developing the Campaign Plan.

(2) **USACE Budget Integration.** The program area budgets are integrated for the USACE Budget. This performance planning function requires integration and alignment of the budgetary and performance requirements from Civil Works and Military Programs.

(3) **USACE Performance Plan.** This plan contains the performance targets that are linked to the annual appropriations passed by Congress for the Civil Works and Military Programs

areas. The commander and staff track performance results vis-à-vis the command budget throughout the fiscal year.

(4) Command Management Review. The command area conducts strategic and operational reviews of performance at quarterly CMRs.

(5) Staff Management Review. The deputy commander conducts the staff management review of the HQ performance at regular intervals.

(6) Command Strategic Review. The deputy commander conducts command strategic review of MSC performance at regular intervals.

(7) Consolidated Command Guidance: The CCG contains guidance on strategic direction, resources and performance measures. Guidance is issued annually and updated periodically throughout the year. HQ directorates and separate offices provide direct input into the CCG.

(8) Performance Program / Budget Integration. Each program area (Civil Works and Military Programs) performs its budgeting activities to align with performance requirements.

(9) Program Performance Plan. Each program area produces a performance plan that captures the expectations for each business line with outcomes based achievements that are aligned to program budget.

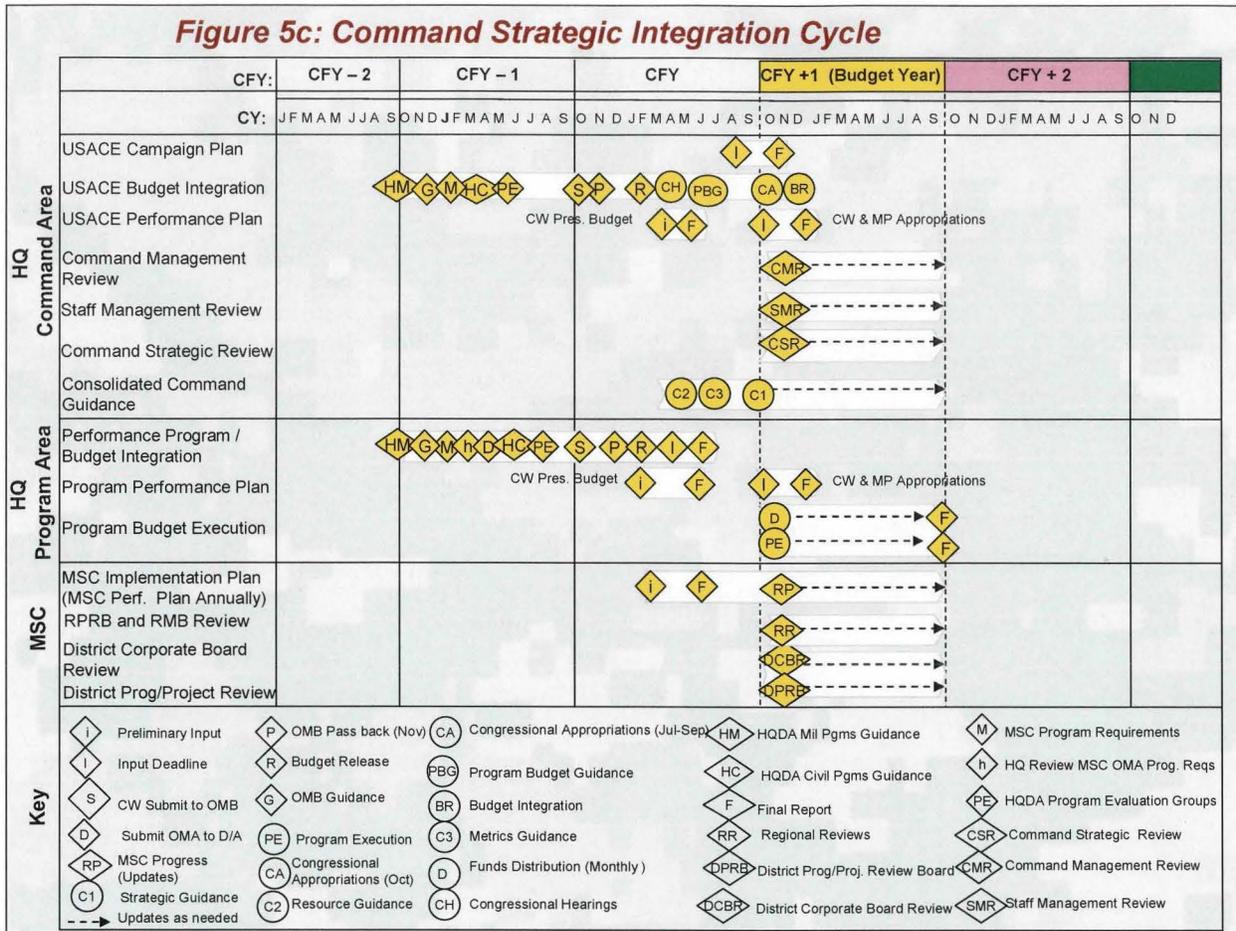
(10) Program Budget Execution: Each program area requesting and apportioning the final appropriations to the appropriate managers for executing and tracking the current year's program.

(11) MSC Implementation Plan. Each MSC formulating its implementation actions with outcome-based performance measures in alignment with both the Campaign Plan and the Program Area Strategic and Performance Plans. All MSC IPlans are updated annually.

(12) Regional Program Review Board and Regional Management Board Review. This activity involves the region leadership and staff meeting regularly to assess the performance of regional program and management matters in terms of their status and results.

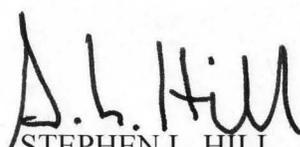
(13) District Corporate Board Review. Each district discusses operational issues and reviews resource management matters aimed at improving the District's performance and customer satisfaction.

(14) District Program/Project Review. Each district reviews and evaluates program/project performance issues with the aim of improving cost and schedule variance and addressing customer issues.



FOR THE COMMANDER:

- 2 Appendices
- Appendix A – Responsibilities
- Appendix B – SMS Outputs


 STEPHEN L. HILL
 Colonel, Corps of Engineers
 Chief of Staff

APPENDIX A

Responsibilities

1. The USACE Commander is responsible for providing executive leadership, corporate direction and senior management supervision. The commander:
 - a. Defines and establishes the strategic vision for USACE. The USACE Strategic Vision is the view of what the Command should achieve on a long range basis given the Nation's public engineering needs and challenges. It takes into consideration the legal and regulatory framework of authorized missions.
 - b. Communicates the USACE Strategic Vision and Strategic Intent as well as corporate policy and guidance.
 - c. Establishes corporate direction and allocates resources. Input for such decisions comes from a variety of sources including higher authorities.
 - d. Evaluates the management results produced by senior leaders in various HQ Program and Functional Areas and MSCs (Divisions, Laboratories, Centers and Districts) by using the Campaign Plan and other strategic and performance plans to assess the results-based management agenda.
2. The Deputy Commanding General exercises leadership and general supervision over the formulation and evaluation of the Campaign Plan and coordination and evaluation of the HQ and MSC IPlans. Working with the USACE Deputy Commander, the Strategy and Integration Office:
 - a. Synthesizes, refines, manages and coordinates the USACE Campaign Plan. This function synthesizes the program areas and supporting staff plans for USACE. Included in the USACE Campaign Plan formulation process is the requirement to stress test the command's goals, objectives and strategies with the Defense Planning Scenarios and National Planning Scenarios for robustness and validity.
 - b. Coordinates with all the HQ principals and separate office chiefs to integrate the Program Area Strategic and IPlans as well as HQ Staff IPlans into the comprehensive USACE Campaign Plan.
 - c. Formulates the Campaign Plan to ensure its strategic fit with The Army Plan (TAP), The Army Campaign Plan, National Military Strategy (NMS), National Defense Strategy (NDS) and National Security Strategy (NSS) and other governing higher level documents. In addition, coordinate with the HQ and MSC staffs on their IPlans.
 - d. Provides technical consultation to the program and staff areas on the development of their respective Strategic Plans and HQ IPlans.

e. In coordination with the HQ Program and Staff Areas, conducts periodic assessments through CSRs of all the MSC to monitor and assess:

- (1) Performance results on corporate goals, objectives and strategies;
- (2) Learning in the field through various forums; and
- (3) Innovation by MSCs.

f. Prepares white papers on significant strategic and/or topical issues to prepare the USACE Commander and Deputy Commander for engagement and development. Conduct research, analysis and synthesis of emerging issues (long and short range) that may challenge USACE in the future.

g. Serves as the executive secretary for the Command Council (CC); advises members of the Senior Review Group (SRG), Senior Prioritization Budget Advisory Committee (SPBAC), Program Advisory Working Group (PAWG) and the Headquarters Prioritization Group (HPG).

h. In coordination with the Director of Resource Management (DRM), prepares the strategy chapter of the Consolidated Command Guidance (CCG) and reviews appropriate sections affecting corporate strategy.

i. In coordination with DRM, frames and facilitates the discourse about strategic and emerging issues at the CMR and co-participates to conduct strategic analysis for the CMR.

j. Co-sponsors with DRM the formulation, facilitation and consolidation of the USACE Annual Performance Plan that is submitted to the commander.

k. Engages in the Staff Management Review (SMR) discourse about the results of HQ Staff IPlans.

l. Reviews specific scenarios and reports from higher authorities; assists as appropriate in coordination, contacts and briefings for the Office of Chief of Engineers and Directorates of Civil Works, Military Programs and Research & Development; and recommends strategic and futures activities to these programs and the Strategic Management Community of Practice (SM CoP).

m. Sponsors content development for various forums for senior leadership to engage in strategic discussions. Forums include the winter and summer leader conferences and Command Council Sessions.

n. Provides USACE representation at inter-agency, Army, inter-service, academic and select external institutional strategic management conferences and forums.

o. Serves as the HQ lead for long-range and emerging issues facing the Command.

p. Manages the update of this regulation as required.

3. The Deputy Commanding General for Civil and Emergency Operations exercises staff leadership and supervision over formulation, implementation and evaluation of the Civil Works Strategic Plan, Five-Year Development Plan, Civil Works Annual Performance Plan, and the formulation support of the Civil Works Management Discussion and Analysis (MD&A) of the Annual Financial Report (AFR) as well as provides staff support to formulate the Campaign Plan in conjunction with the staff within the Business Management Division from each MSC. The Directorate of Civil Works:

a. Develops a Strategic Plan reflecting requirements at a minimum of five years into the future with long range scenarios peering into the future about water resources and its infrastructure. The cycle of Civil Works Strategic Plan shall be set at least one cycle in advance of the current Administration cycle in order to be compliant with the OMB guidance and GPRA. At a minimum, the Civil Works Strategic Plan will reflect:

(1) Appropriate (program and/or support) requirements for the long range period including the mission of the program;

(2) Strategic direction of the program;

(3) Goals and objectives for accomplishing mission requirements;

(4) Strategies or alternatives to achieve the goals and objectives; and

(5) Identification of unpredictable elements including assumptions that affect the program.

b. Develops a Civil Works Five-Year Development Plan reflecting the program's budget five years into the future and its related annual performance goals. As a minimum, this plan, submitted annually, will reflect:

(1) Budget amounts and five year projections of funding expectations based on OMB budget ceilings and planning estimates.

(2) Measurable goals that have been defined and reviewed about what is to be accomplished during the five-year period. The goals are to reflect a level of accomplishment commensurate with budgeted resources; and

(3) Five year performance targets by business lines. This five-year plan is prepared is to reflect budget, policy and programmatic guidance with project-by-project decisions and is to be consistent with the President's annual budget submission to Congress and OMB guidance on out-year ceilings.

c. Develops a Civil Works Annual Performance Plan that reflects the program's annual target level of performance based on appropriations received and distributed among business units. This plan shall serve as the foundation document for the Civil Works MD&A as part of the AFR.

d. Participates in the development of the USACE Campaign Plan in conjunction with HQ entities. The Civil Works Directorate will formulate a Civil Works IPlan. This plan shall discuss implementation of specific actions that the directorate needs to execute in alignment with the Campaign Plan.

e. Prepares paper on significant programmatic issues for directorate leadership engagement and development. Conduct research, analysis and synthesis of emerging issues (long and short range) that may challenge the program.

f. Develops and issues program guidance (CW Budget Engineer Circular) taking into account the results of the prior-year planning cycle, new guidance from OMB and Congress, and any significant changes in the external and/or internal environment that affects the Civil Works. This includes any budget guidance from the Assistant Secretary of the Army (Civil Works) and the Commander.

g. Develops and issues guidance on implementation of appropriations (CW Budget Execution Engineer Circular). The Budget Execution EC provides detailed guidance to the field offices on implementing funding and other instructions contained in the appropriations bill and accompanying reports.

h. Develops the Civil Works MD&A as part of the AFR. This section provides an analytical discussion about the objectives and performance so that management can gain insight about improving the achievement of performance at all levels in relation to annual program appropriations. Each business line sets annual performance targets, evaluates annual performance against those targets, and reports on results annually relative to the budget. The Civil Works AFR, developed by Directorate of Resource Management and as part of the Department of Army's Annual Financial Statement:

(1) Assures public and elected federal officials that appropriations requested and received have been, and will continue to be, spent judiciously, efficiently, and effectively for relevant goals and missions. The Civil Works MD&A will include a discussion of plans accomplished and results achieved during the past fiscal year; and

(2) Enables the diverse range of stakeholders and higher authorities to observe the program's annual performance. In this way diverse communities may better understand the varied nature of challenges facing the Nation's water resources program and may observe progress in meeting them. Through the external sources of input Civil Works may, upon validation, make adjustments to its course(s) of action and strategic direction.

i. Orchestrates the CW DMR to track and review execution and performance results.

j. Engages in the SMR discourse about the results from the HQ Staff IPlans.

k. Distributes the Civil Works Strategic Plan, Five-Year Development Plan and Annual Performance Plan to all HQ staff elements, the Office of the Assistant Secretary of the Army (Civil Works), OMB and others as appropriate.

4. The Deputy Commanding General for Military and International Operations exercises staff leadership and supervision over the formulation, implementation and evaluation of the Military Programs Strategic Plan, Annual Performance Plan, Future Years Defense Plan, and support of the Army's Annual Financial Statement as well as providing staff support for formulating the USACE Campaign Plan in conjunction with the staff belonging to the Regional Business Directorate and/or Programs Directorate from each region. The Directorate of Military Programs:

a. Develops a Military Programs Strategic Plan reflecting requirements at a minimum of five years into the future with long range scenarios peering into the future for global military installations and their environments. The cycle for this plan shall be set at least one cycle in advance of the current Administration cycle in order to be compliant with GPRA. At a minimum, the plan will reflect:

(1) Appropriate (program and/or staff) requirements for the long-range period, including the missions;

(2) The strategic direction of the program;

(3) Goals and objectives for supporting the accomplishment of mission requirements of DA, DoD and other agencies;

(4) Strategies or alternatives to achieve the goals and objectives; and

(5) Identification of unpredictable elements including assumptions that affect the program.

b. Participates with Assistant Chief of Staff for Installation Management (ACSIM), Installation Management Command (IMCOM) and others (w/ budget proponents and customers) in developing the Future Years Defense Plan to reflect the requirements at a minimum of five years into the future.

c. Develops a Military Programs Annual Performance Plan reflecting the program's performance and budgetary requirements. This plan serves as a foundation document for the Army's Annual Financial Statement. This plan reflects the first year's targets from the Military Programs Future Years Defense Plan with expected levels of performance and cost to achieve those levels. The directorate adjusts these targets upon receipt of the annual appropriations.

d. Participates in the development of the USACE Campaign Plan in conjunction with HQ entities. The Military Programs Directorate will formulate a Military Programs IPlan. This plan shall discuss implementation of specific actions that the directorate needs to undertake in alignment with the Campaign Plan.

e. Prepares paper on significant programmatic issues for directorate leadership engagement and development. Conduct research, analysis and synthesis of emerging issues (long and short range) that may challenge the program.

f. Develops and issues Operational Plans, Orders and Concept Plans taking into account the results of the prior-year planning cycle, new guidance issued by DA and DoD and any significant changes in the external and/or internal environment that affects Military Programs. The plans include budget guidance from the commander, the Office of the Assistant Secretary of the Army for Installations and Environment, other DA offices and DoD.

g. Identifies and monitors Military Programs performance measures and results integral to the Army's Annual Financial Statement and the DoD Performance and Accountability Report. DoD is one of the 26 agencies required to perform: (a) formal performance and accountability reporting under the Chief Financial Officer's Act; and (b) formal assessment of standards for systems and controls under the Federal Financial Management Improvement Act of 1996. Military Programs performance and accountability information is developed and reported within the DoD and Army organization reporting structure and process. In addition, the Army Comptroller produces consolidated financial statements with management assessments. As a minimum, the Army and DoD Performance and Accountability Report:

(1) Assures public and elected federal officials that appropriations requested and received have been, and will continue to be, spent judiciously, efficiently, and effectively for approved goals and missions. The performance and accountability report on its fiscal operations of the past fiscal year must include discussion of plans accomplished and results achieved. In addition, the annual budget formulation and justification process requires the linkage of performance plans to requested budgets as well as justification for the acquisition of capital assets; and

(2) Enables the diverse range of stakeholders and higher authorities to collaboratively contribute to the establishment of the performance measures and targets and evaluating the annual performance, and support innovative solutions to facilitate improved performance. By soliciting external sources of information, the Military Programs directorate can make adjustments to its course(s) of action and strategic direction.

h. Conducts the MP DMR to review and assess the performance against the performance plan and established set of CCG metrics.

i. Engages in the SMR discourse about the results from the HQ Staff IPlans.

j. Distributes the Strategic Plan, Future Years Defense Plan and Annual Performance Plan to all HQ elements, the Office of the Assistant Secretary of the Army (Installations and Environment), and other DoD proponents.

5. The Director of Research and Development (R&D) exercises staff leadership and supervision over the formulation, implementation and evaluation of the R&D Strategic Plan. This cycle occurs in advance of the current Administration cycle in order to comply with OMB guidance and the GPRA mandate. The R&D Directorate:

a. Develops a Research and Development Strategic Plan that reflects requirements at a minimum of five years into the future. At a minimum, the R&D Strategic Plan contains:

(1) Appropriate long-range functional requirements synchronized with the Army as well as the Civil Works Program and Military Programs;

(2) Strategic direction of the R&D Program, ensuring alignment with the Army Science and Technology Program and the Civil Works Program and Military Programs;

(3) Goals and objectives for a funded R&D program that accomplish the mission requirements of the Army Science and Technology Program and Civil Works and Military Programs directorates; and

(4) Strategies or alternatives to achieve specific R&D program goals and objectives in concert with the Army Science and Technology Program and Civil Works Program and Military Programs.

b. Provides input with the Annual Performance Plan to the program area performance and budgetary requirements.

c. Participates in the development of USACE Campaign Plan in conjunction with the Directorates of Civil Works, Military Programs, Strategy and Integration Office and MSCs. The Research and Development Directorate will also formulate Staff IPlan that shall discuss the implementation of specific actions, measures and targets.

d. Prepares paper on significant programmatic issues for directorate leadership engagement and development. Conducts research, analysis and synthesis of emerging issues (long and short range) that may challenge the program.

e. Conducts the DMR to discuss performance of R&D programs.

f. Engages in the SMR discourse about the results from the HQ Staff IPlans.

g. Distributes the R&D Plan(s) – strategic and implementation – to the HQ Elements.

6. The HQ staff directors and separate office chiefs provide leadership and supervision over the formulation, implementation and evaluation of their respective HQ staff IPlans. The HQ staff IPlans are synchronous with the Campaign Plan and the Program Area Strategic Plans as well as higher authority guidance and plans. HQ staff may be required to develop and report separate functional strategic or operational plans in order to comply with a higher authority requirements – e.g., the USACE Human Capital Plan or the USACE Safety Strategic Plan. Such plans are not the purview of this regulation, but must synchronize and align with the goals and objectives in the USACE Campaign Plan and be validated with the Defense Planning Scenarios as well as the National Planning Scenarios. The HQ staff IPlans are synchronized with the program area Strategic Plans, program area IPlans, program area annual performance plans and USACE

Performance Plan. The HQ directorates and separate offices also provide support to the Strategy and Integration Office in formulating the USACE Campaign Plan. The HQ directorates and staff offices:

a. Develop HQ staff IPlans, reflecting requirements up to five years into the future. At a minimum, these plans reflect supporting actions to achieve the specific goals and objectives of the Program Area Strategic Plans and USACE Campaign Plan.

b. Develop input for program area performance plans and the USACE Performance Plan reflecting each function's annual performance and budgetary requirements. At a minimum this HQ staff input reflects the first year's targets for the HQ directorates and separate offices with expected levels of performance and cost to achieve that level. The various offices adjust these targets upon receipt of their annual appropriations from Civil Works and Military Programs.

c. Participate in developing the Campaign Plan in conjunction with the Directorates of Civil Works, Military Programs, Strategy and Integration Office and MSCs.

d. Develop the HQ staff IPlans by participating in the Civil Works Programs and Military Programs scenario-based strategic planning process.

e. Conduct the Directorate Management Reviews (DMR) / Staff Management Reviews (SMR) to discuss the status of the HQ Staff IPlans.

f. Coordinate with directors and office chiefs to integrate staff area performance measurement into the DMR/SMR. Develop analysis and present results at DMR/SMR that enables substantive discourse of staff area specific issues and resolutions.

7. The Director of Resource Management is the principal advisor to the USACE Commander on organizational management and Planning, Programming, Budgeting and Execution System (PPBES); and has broad responsibility to exercise staff supervision over the formulation, distribution and execution over the USACE funds and distribution, management and control of manpower resources. The Directorate of Resource Management:

a. Facilitates the PPBE process and establish schedules and milestones.

b. Ensures that governing bodies are properly supported so that their missions and functions can be effectively executed.

c. Provides oversight and support to the USACE Management Action Group (UMAG).

d. Coordinates and collaborates with the CW and MP Program Integration Divisions to develop the budget and manpower requirements that are used for formulating workload and workforce projections. Collects, analyzes and utilizes Future Year Defense Plan (Military Programs) and Five-Year Development Plan (Civil Works) workload information for the purpose of long range forecasting of budget and manpower. Defends the resources-based program on

availability (funds and manpower), mission or workload changes, and higher headquarters objectives, priorities and decisions.

e. Facilitates the budget integration activity to achieve a coordinated, unified USACE resource position that is incorporated into the USACE Performance Plan and evaluated in the CMR.

f. Co-sponsors with the Strategy and Integration Office the formulation and consolidation of the USACE Performance Plan annually for the commander and coordinates with the Civil Works and Military Programs directorates.

g. Conducts assessments related to budget, manpower and execution in preparation for the CMR.

h. Collaborates with the Strategy and Integration Office on conducting operational assessments for the CMR by performing analysis, evaluation and consolidation of management results from the program areas and staff elements.

i. Attends and participates in the SMR to discuss the results of HQ Staff IPlans.

j. Provides resources related guidance and issues policy about strategic and program matters through the Consolidated Command Guidance. The Director, Resource Management will forward the guidance to all HQ elements and MSCs.

k. Collaborates and coordinates with the Civil Works directorate in the production of the MD&A of the AFR as part of the Army's Annual Financial Statement, summarizing financial execution and resource information to demonstrate compliance with the GPRA, the CFO Act and the FFMIA. Furnishes financial information for compilation in the Army's Annual Financial Statement.

8. The Governance Bodies serve as approval and oversight authorities to implement the following responsibilities related to strategic management. The governance charters that guide the mission of these groups include:

a. The Command Council (CC) serves as the corporate guiding body of the Command, engaging in strategic dialogue and furthering learning about major issues. It discusses corporate and regional matters as well as their implications, reviews and decides on robust goals, objectives and strategies that are valid in multiple plausible futures; and makes assessments as well as evaluations about performance, including the Command's progress towards the strategic vision.

b. The USACE Management Action Group (UMAG) serves as an analytical assessment forum, focusing on enterprise-level strategy and policies that influence USACE organization, management and performance cutting across all organizational elements and activities. Its scope crosses functional and regional boundaries.

c. The Headquarters Prioritization Group (HPG) is an advisory body that promotes consensus building through the collaborative process including affordability, legality, future effects and strategic and performance plans. The HPG also provides feedback and corporate recommendations for the USACE Commander during the Senior Program Budget Advisory Committee (SPBAC).

d. The Headquarters Senior Review Group (SRG) establishes command guidance and priorities (budget, funding and manpower) for USACE that complements the strategic vision and direction.

e. The Headquarters Senior Program Budget Advisory Committee (SPBAC) makes final recommendations to the CG on planning, programming, budgeting and manpower resource matters.

f. The Headquarters Program Advisory Working Group (PAWG) assists the HPG by performing and providing a detailed assessment of requirements, available resources and command effects as well as provides USACE activities with an opportunity to reclama, review, validate, study and make recommendations on issues that need additional consideration.

g. The Regional Command Council (RCC) serves as the regional decision making body for the division and its districts. It is chaired by the MSC commander with membership including the regional business director, regional program director, deputy MSC commander and the district commanders. The RCC is involved in making decisions about the region's operating issues, establishment of regional business center boards and committees, knowledge management, region business processes, master events calendar and other management changes based upon recommendations made by the regional management board (RMB). The RCC provides direction, as needed, to the RMB for changes necessary to best posture the RBC for the future.

h. The Regional Management Board (RMB), acting through the RBC, regularly engages the districts and functional offices to improve regional effectiveness and efficiency. The RMB has the responsibility and authority to decide on workload and workforce management and adjustments, on standard business practices and organizations within the RBC (and across districts), and on other common regional business issues. The RMB makes recommendations to the RCC for those changes necessary to best posture the region for the future. The RCC reserves the right to review, alter and finalize recommendations for RBC activities. The RMB shall also participate in the analysis and development of the MSC IPlan as well as its updates. Its work is to improve the regional business processes so that the region optimizes its use of MSC resources. Regional business processes used by the RBC include the Regional Workforce Planning (PMBP Regional Process 6000), Regional Rates and Regional Operating Budget (PMBP Regional Process 6001), Regional Acquisition Planning (PMBP Regional Process 6002), and Regional Workload Planning (PMBP Regional Process 6003). The RMB identifies and recommends business practices and initiatives to improve efficiencies, enhance the delivery of products and services, and maximize customer satisfaction. The RMB develops, implements, and evaluates performance measures. These measures assess performance accomplishment. The RMB

participates in assessing MSC progress towards achieving actions, measures and targets identified in the MSC IPlan.

i. The Regional Acquisition Strategy Board (RASB) assesses regional acquisition matters and reports findings and recommendations to the RMB. Their assessments identify division-wide shared needs, facilitate development of overall acquisition strategy plans, and identify opportunities for small businesses. This includes assessing division wide technical capabilities and competencies needed to meet regional mission requirements and statutory mandates. The RASB also addresses contracting methods and capabilities to enhance mission execution, improve customer support, and cover other items relevant to the acquisition mission of the RBC.

j. The Regional Program and Budget Advisory Committee (RPBAC) provides the backbone for setting appropriate overhead rates, establishing affordable and appropriate objectives and operating within those parameters. PRBAC provides a forum to determine regional solutions to fiscal challenges and ensure that the RBC operates as a single regional business entity. The RPBAC acts as resource business forum that focuses on the development and issuance of planning, programming and operating budget execution guidance, and aligns the regional budgeting formulation to the regional objectives.

k. The Regional Program Review Board (RPRB) serves the RBC by reviewing the Civil Works and Military Programs projects, and providing current year workload management and advice to the division commander on regional issues. The RPRB formulates and implements initiatives concerning mission development and execution across the region, except those requiring RMB and RCC approval.

l. The District Corporate Board (DCB) serves to communicate USACE values, including strategic vision and direction for executing missions. The DCB discusses operational issues and conducts resource management reviews aimed at improving the District's performance and customer satisfaction.

m. The District Program/Project Review Board (DPRB) reviews and evaluates program/project performance with the aim of improving cost and schedule variance and addressing customer issues.

9. The MSC Commanders and Center Directors are directly responsible to the USACE Office of the Commander for supervising missions as well as ensuring and approving alignment of the MSC IPlan with all HQ planning and performance documents. The Regional Business Director reports to and is responsible for advising the MSC commander. The Regional Business Director provides executive leadership and direction for the regional business operations. The Regional Business Directorate also works on planning, implementation and control activities that relate to the USACE Campaign Plan, Program Area Strategic Plan, the MSC IPlan, and regional management reviews through the Regional Program Review Board and Regional Management Board. The Regional Business Directorate activities include:

- a. Leading the development, analysis and implementation of the MSC IPlan. The launch of the MSC IPlan needs to be synchronized across Districts so that the results can be effectively captured for the key program areas and USACE.
 - b. Improving the regional business processes to optimize the use of regional and district resources.
 - c. Incorporating corporate and program guidance, budget and manpower as well as district workload and manpower estimates into regional business operations for the Project Management Business Process 600X series.
 - d. Developing operating budget formulation guidance for the region and implementing policies and procedures governing budget execution, financial management and administrative control of funds.
 - e. Performing evaluations of regional workload and promoting workload sharing between Districts and with other MSCs, shaping and training the regional workforce, establishing regional rates and maintaining oversight over regional operating budget, and leveraging regional acquisition strategies. Through PMBP 6000–6003 regions identify and recommend optimal business practices to improve efficiency and enhance the delivery of products and services for greater effectiveness and to maximize customer satisfaction.
 - f. Developing, implementing and evaluating performance measures to assess mission accomplishment, making specific recommendations for continuous improvement, and participating in regional and district progress reviews relating to the achievement of actions, measures and targets identified in the MSC IPlan.
 - g. Formulating MSC IPlans by ensuring proper linkages and alignment between regional performance [metrics] and regional budget [known as regional performance-based budgeting].
 - h. Ensuring proper updates are incorporated into the MSC IPlan with targets and/or results for metrics or budgetary actions, especially as circumstances change.
 - i. Performing periodic regional management reviews and evaluations including each District's performance through command assistance visits and other regional forums. These forums are conducted via the Regional Governing Boards (Regional Program and Budget Advisory Committee, Regional Program Review Board, Regional Management Board, Regional Command Council and Regional Acquisition Strategy Board).
10. The district commanders are responsible for executing their assigned mission. District commanders are responsible for ensuring and approving alignment of district plans with MSC plans. District responsibilities include:
- a. Achieving the strategic vision through execution of the District Operations Plan.

b. Formulating a District Operations Plan that informs management about execution of projects/programs that align with the MSC IPlan. Ensures the District Operations Plan is aligned with the MSC IPlan. While the District Operations Plan must show at least a two-year outlook, it does not preclude this plan from incorporating a three-to-five year horizon for meeting the staffing, resourcing and management requirements in line with the out-year forecasts. The focus of this plan also includes issues of project/program time, quality, budget, mission completion, milestones, manpower, and other related matters.

c. Using commonly approved improvement methods to effect operational efficiency and effectiveness.

d. Gaining a better understanding about emerging business sectors, potential clients, teaming relationships with other Districts, and the needs for new or emerging contract tools and/or internal business processes to handle future workload requirements.

e. Incorporating the corporate and program guidance, directives, and memoranda into project assignments and performance.

f. Maintaining fiscal accountability and the financial efficiency of District operations.

g. Providing advice and assistance to MSC leadership on workload planning and associated resource needs, and serves on the RMB to provide business and financial perspectives in regional decision-making.

h. Conducting comparisons with other federal agencies and private industry to improve performance.

i. Coordinating financial and business management decisions associated with managing the District operating budget.

j. Performing program review and analysis functions, including the preparation for the RPRB and RMB and the CMR.

k. Implementing policies and procedures governing budget formulation and budget execution, financial management, and administrative control of funds.

l. Developing financial reporting for budget management and developing the budgetary statistics for budget and program purposes.

m. Working with the staff and operating officials on management and administration of the military and civilian manpower programs in accordance with DA and HQUSACE policy and guidance; preparing and consolidating the manpower usage plans and utilization reports and maintaining military and civilian manpower strength and workload data.

APPENDIX B

SMS Outputs

| | Guidance | Plans | Reviews | Reports |
|--------------|--|--|---|---|
| Command Area | - Consolidated Command Guidance | - USACE Campaign Plan - USACE Performance Plan | - Command Management Review - Command Strategic Review | - Annual Financial Report for Civil Works |
| Program Area | - Program Guidance - Operational Orders - Fragmentary Orders | - Program Area Strategic Plans - Future Year Defense Plan (MP) - Five Year Development Plan (CW) - Program Area Performance Plans | - Directorate Management Review | - Management Discussion and Analysis (CW) |
| Staff Area | | - Staff IPlans - Staff input to Program Area Performance Plans | - Staff Management Review | |
| Division | | - MSC IPlan - MSC IPlan Updates | - Regional Program Review Board - Regional Management Board - Command Assistance Visits | |
| District | | - District Operations Plan | - District Project/Program Review - District Corporate Board Review | |

APPENDIX C

Internal Control Evaluation Checklists

C-1. Part I. Items (ENG Forms 6061, 6061-1 through 6061-8) are to be evaluated and completed by the Assessable Unit Manager on an annual basis.

C-2. Part II. Items (ENG Forms 6061-9 through 6061-13) are to be evaluated and completed by the Assessable Unit Manager every four years.

| U.S. Army Corps of Engineers (USACE) INTERNAL CONTROL EVALUATION CHECKLIST USACE STRATEGIC MANAGEMENT: SUMMARY WORKSHEET For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
|--|--------------------------|--------------------------|--------------------------|---------|
| INSTRUCTIONS | | | | |
| 1. The Internal Controls Administrator (ICA) of Headquarters, USACE, Strategy and Integration Office (CESI), will use and complete this form. The Assessable Unit Manager (AUM) will sign this form as directed in Army Regulation 11-2, Managers' Internal Control Program. 2. Complete this form by checking YES, NO, or NOT APPLICABLE to identify the status of all USACE Elements (HQ, Divisions and Districts) named below in terms of whether their respective submission is complete or incomplete. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To summarize whether USACE elements have fully completed and submitted their ENG 6061 series form. | | | | |
| HAS THE USACE ELEMENT COMPLETED THE ENG 6061 SERIES FORM? | YES | NO | NOT APPLICABLE | REMARKS |
| SECTION I – HEADQUARTERS DIRECTORATES/OFFICE ELEMENTS | | | | |
| 1. CECW/CECO | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2. CEMP | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 3. CECC | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 4. CERM | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 5. CERD/CEERD | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 6. CEHR | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 7. CECI | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 8. CESI | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 9. CESO | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 10. CELD | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 11. CEPA | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 12. CEHO | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 13. CEEO | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 14. CEIR | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 15. CESB | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 16. CEIG | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION II – DIVISIONS AND DISTRICTS | | | | |
| 17. CELRD | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 18. CELRB | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 19. CELRC | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 20. CELRE | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 21. CELRH | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 22. CELRL | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 23. CELRN | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 24. CELRP | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 25. CEMVD | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 26. CEMVM | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 27. CEMVN | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 28. CEMVR | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

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| HAS THE USACE ELEMENT COMPLETED THE ENG 6061 SERIES FORM? | YES | NO | NOT APPLICABLE | REMARKS |
|--|--------------------------|--------------------------|--------------------------|---------|
| SECTION II – DIVISIONS AND DISTRICTS <i>(Concluded)</i> | | | | |
| 29. CEMVS | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 30. CEMVP | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 31. CEMVK | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 32. CENAD | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 33. CENAB/CEWAD | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 34. CENAU | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 35. CENAE | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 36. CENAN | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 37. CENAO | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 38. CENAP | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 39. CENWD | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 40. CENWK | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 41. CENWO | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 42. CENWP | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 43. CENWS | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 44. CENWW | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 45. CEPOD | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 46. CEPOH | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 47. CEPOA | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 48. CEPOF | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 49. CEPOJ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 50. CESAD | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 51. CESSPA | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 52. CESPL | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 53. CESPCK | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 54. CESPND | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 55. CESWD | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 56. CESWF | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 57. CESWG | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 58. CESWL | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 59. CESWT | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 60. CETAD | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 61. CETAA | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 62. CETAM | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION III – CENTERS | | | | |
| 63. CEAGC | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 64. CEHNC | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

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SECTION IV – ADDITIONAL REMARKS

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SECTION V – AUTHENTICATION

| | |
|-----------------------------------|--|
| 1. ACCESSIBLE UNIT MANAGER'S NAME | 2. OFFICE SYMBOL |
| | CESI |
| 3. DATE | 4. ACCESSIBLE UNIT MANAGER'S SIGNATURE |
| | |

| U.S. Army Corps of Engineers (USACE) INTERNAL CONTROL EVALUATION CHECKLIST – PART I DIRECTORATE OF CIVIL WORKS For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
|--|--|--------------------------|--------------------------|--------------------------------------|
| INSTRUCTIONS | | | | |
| 1. Become familiar with the contents of ER 5-1-15, Chapter 2, Appendix A: Responsibilities, and Appendix B: Outputs. 2. The specific point of reference for each output or activity is provided in the bracketed space. 3. The items are to be evaluated and completed in this checklist and DA Form 11-2 and signed by the Assessable Unit Manager in accordance with Army Regulation 11-2, Managers' Internal Control Program. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To assist the Headquarters, USACE (HQUSACE), Directorate of Civil Works, in evaluating various key management controls in the <u>Strategic Management Function</u> . It is not intended to cover all controls. This evaluation is to be conducted and completed on an <u>annual basis</u> . | | | | |
| SECTION I - HAS THE DIRECTORATE OF CIVIL WORKS IMPLEMENTED ITS OUTPUTS AND/OR ACTIVITIES WITHIN THE FRAMEWORK OF THE CIVIL WORKS INTEGRATION CYCLE AS IDENTIFIED BELOW? | YES | NO | NOT APPLICABLE | REMARKS ON OUTPUTS AND/OR ACTIVITIES |
| 1. HQUSACE Program Budget Development/Submission CFY+1 (page 2-10/Item 2). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2. Civil Works Performance Work Plan (page 2-10/Item 3). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 3. Civil Works Five-Year Development Plan (page 2-10/Item 4). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 4. Civil Works Budget Defense CFY+1 (page 2-10/Item 6). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 5. Civil Works Budget Execution CFY+1 (page 2-11/Item 7). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 6. Civil Works IPlan (page 2-11/Item 8). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 7. Directorate Management Review (page 2-9/Figure 4; page A-4/Item (I)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 8. Annual Financial Report (page 2-10/Item 5). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 9. Individual Performance Plan (page 2-8/Item (e)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION II – AUTHENTICATION | | | | |
| 1. ACCESSABLE UNIT MANAGER'S NAME | 2. OFFICE SYMBOL | | | |
| | CECW | | | |
| 3. DATE | 4. ACCESSABLE UNIT MANAGER'S SIGNATURE | | | |

| U.S. Army Corps of Engineers (USACE) INTERNAL CONTROL EVALUATION CHECKLIST – PART I DIRECTORATE OF MILITARY PROGRAMS For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
|--|--|--------------------------|--------------------------|--------------------------------------|
| INSTRUCTIONS | | | | |
| 1. Become familiar with the contents of ER 5-1-15, Chapter 2, Appendix A: Responsibilities, and Appendix B: Outputs. 2. The specific point of reference for each output or activity is provided in the bracketed space. 3. The items are to be evaluated and completed in this checklist and DA Form 11-2 and signed by the Assessable Unit Manager in accordance with Army Regulation 11-2, Managers' Internal Control Program. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To assist the Headquarters, USACE (HQUSACE), Directorate of Military Programs, in evaluating various key management controls in the <u>Strategic Management Function</u> . It is not intended to cover all controls. This evaluation is to be conducted and completed on an <u>annual basis</u> . | | | | |
| SECTION I - HAS THE DIRECTORATE OF MILITARY PROGRAMS IMPLEMENTED ITS OUTPUTS AND/OR ACTIVITIES WITHIN THE FRAMEWORK OF THE MILITARY PROGRAMS INTEGRATION CYCLE AS IDENTIFIED BELOW? | YES | NO | NOT APPLICABLE | REMARKS ON OUTPUTS AND/OR ACTIVITIES |
| 1. Operation and Maintenance, Army (OMA) Budget Development/Submission CFY+1 (page 2-12/Item 2). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2. Program Budget Development/Submission CFY+1 (page 2-12/Item 3). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 3. Military Programs Performance Plan (page 2-13/Item 4). | SUSPENDED UNTIL FURTHER NOTICE. | | | |
| 4. Military Programs Performance Report (page 2-13/Item 5). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 5. Military Programs Budget Defense CFY+1 (page 2-13/Item 6). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 6. Military Programs Budget Execution CFY+1 (page 2-13/Item 7). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 7. Military Programs IPlan (page 2-14/Item 7). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 8. Directorate Management Review (page 2-9/Figure 4; page A-6/Item (h)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 9. Individual Performance Plan (page 2-8/Item (e)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION II – AUTHENTICATION | | | | |
| 1. ACCESSIBLE UNIT MANAGER'S NAME | 2. OFFICE SYMBOL | | | |
| | CEMP | | | |
| 3. DATE | 4. ACCESSIBLE UNIT MANAGER'S SIGNATURE | | | |

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| U.S. Army Corps of Engineers (USACE) INTERNAL CONTROL EVALUATION CHECKLIST – PART I DIRECTORATE OF RESEARCH & DEVELOPMENT/ENGINEER RESEARCH AND DEVELOPMENT CENTER For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
|--|--|--------------------------|--------------------------|--------------------------------------|
| INSTRUCTIONS | | | | |
| 1. Become familiar with the contents of ER 5-1-15, Chapter 2, Appendix A: Responsibilities, and Appendix B: Outputs. 2. The specific point of reference for each output or activity is provided in the bracketed space. 3. The items are to be evaluated and completed in this checklist and DA Form 11-2 and signed by the Assessable Unit Manager in accordance with Army Regulation 11-2, Managers' Internal Control Program. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To assist the Directorate of Research & Development/Engineer Research and Development Center, in evaluating various key management controls in the <u>Strategic Management Function</u> , it is not intended to cover all controls. This evaluation is to be conducted and completed on an <u>annual basis</u> . | | | | |
| SECTION I - HAS DIRECTORATE OF RESEARCH & DEVELOPMENT/ENGINEER RESEARCH AND DEVELOPMENT CENTER IMPLEMENTED ITS OUTPUTS AND/OR ACTIVITIES WITHIN THE FRAMEWORK OF THE STRATEGIC MANAGEMENT SYSTEM AS IDENTIFIED BELOW? | YES | NO | NOT APPLICABLE | REMARKS ON OUTPUTS AND/OR ACTIVITIES |
| 1. Directorate Management Review (page 2-8/Item 4; page A-7/Item (e)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2. Annual Performance Plan (page A-7/Item (b)). | SUSPENDED UNTIL FURTHER NOTICE. | | | |
| 3. Individual Performance Plan (page 2-8/Item (e)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION II – AUTHENTICATION | | | | |
| 1. ACCESSIBLE UNIT MANAGER'S NAME | 2. OFFICE SYMBOL CERD/CEERD | | | |
| 3. DATE | 4. ACCESSIBLE UNIT MANAGER'S SIGNATURE | | | |

ENG FORM 6061-3, MAR 2015

| U.S. Army Corps of Engineers (USACE) INTERNAL CONTROL EVALUATION CHECKLIST – PART I DIRECTORATE OF RESOURCE MANAGEMENT For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
|--|--|--|--------------------------|--|
| INSTRUCTIONS | | | | |
| 1. Become familiar with the contents of ER 5-1-15, Chapter 2, Appendix A: Responsibilities, and Appendix B: Outputs. 2. The specific point of reference for each output or activity is provided in the bracketed space. 3. The items are to be evaluated and completed in this checklist and DA Form 11-2 and signed by the Assessable Unit Manager in accordance with Army Regulation 11-2, Managers' Internal Control Program. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To assist the Headquarters, USACE (HQUSACE), Directorate of Resource Management in evaluating various key management controls in the <u>Strategic Management Function</u> . It is not intended to cover all controls. This evaluation is to be conducted and completed on an <u>annual basis</u> . | | | | |
| SECTION I - HAS THE DIRECTORATE OF RESOURCE MANAGEMENT IMPLEMENTED ITS OUTPUTS AND/OR ACTIVITIES WITHIN THE FRAMEWORK OF THE COMMAND STRATEGIC INTEGRATION CYCLE AS IDENTIFIED BELOW? | YES | NO | NOT APPLICABLE | REMARKS ON OUTPUTS AND/OR ACTIVITIES |
| 1. USACE Budget Integration (page 2-15/Item c(2); page A-9/Item (e)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2. USACE Performance Plan (page 2-15/Item c(3); page A-9/Item (f)). | SUSPENDED UNTIL FURTHER NOTICE. | | | |
| 3. Command Management Review (page 2-16/Item c(4); page A-9/Item (h)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 4. Consolidated Command Guidance (page 2-16/Item c(7); page A-9/Item (j)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 5. Annual Financial Report (page 2-15/Item c(2); page A-9/Item k)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | | | | REMARKS ON RESPONSIBILITIES OF APPROVAL AND OVERSIGHT |
| 6. National Management Board (Page A-8/Item 7c; PAGE a-9/Item 8b; Page 2-9/Figure 4). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 7. HQ Prioritization Group (page A-10/Item 8c). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 8. HQ Senior Review Group (page A-10/Item 8d). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 9. HQ Senior Program Budget Advisory Committee (page A-10/Item 8e). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 10. HQ Program Advisory Working Group (page A-10/Item 8f). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 11. Individual Performance Plan (page 2-8/Item (e)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION II – AUTHENTICATION | | | | |
| 1. ACCESSIBLE UNIT MANAGER'S NAME | | 2. OFFICE SYMBOL | | |
| | | CERM | | |
| 3. DATE | | 4. ACCESSIBLE UNIT MANAGER'S SIGNATURE | | |
| | | | | |

| U.S. Army Corps of Engineers (USACE) INTERNAL CONTROL EVALUATION CHECKLIST – PART I STRATEGY AND INTEGRATION OFFICE For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
|--|--|--------------------------|--------------------------|--|
| INSTRUCTIONS | | | | |
| 1. Become familiar with the contents of ER 5-1-15, Chapter 2, Appendix A: Responsibilities, and Appendix B: Outputs. 2. The specific point of reference for each output or activity is provided in the bracketed space. 3. The Items are to be evaluated and completed in this checklist and DA Form 11-2 and signed by the Assessable Unit Manager in accordance with Army Regulation 11-2, Managers' Internal Control Program. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To assist the Strategy and Integration Office in evaluating various key management controls in the <u>Strategic Management Function</u> . It is not intended to cover all controls. This evaluation is to be conducted and completed on an <u>annual basis</u> . | | | | |
| SECTION I - HAS THE STRATEGY AND INTEGRATION OFFICE IMPLEMENTED ITS OUTPUTS AND/OR ACTIVITIES WITHIN THE FRAMEWORK OF THE STRATEGIC MANAGEMENT SYSTEM AS IDENTIFIED BELOW? | YES | NO | NOT APPLICABLE | REMARKS |
| 1. Command Strategic Review (page 2-16/Item 6; page A-2/Item (g)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | OUTPUTS AND/OR ACTIVITIES |
| 2. Command Council (pages A-2 and A-9). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | RESPONSIBILITIES OF APPROVAL AND OVERSIGHT |
| 3. Individual Performance Plan (page 2-8/Item (e)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | OUTPUTS AND/OR ACTIVITIES |
| SECTION II – AUTHENTICATION | | | | |
| 1. ACCESSIBLE UNIT MANAGER'S NAME | 2. OFFICE SYMBOL CESI | | | |
| 3. DATE | 4. ACCESSIBLE UNIT MANAGER'S SIGNATURE | | | |

| U.S. Army Corps of Engineers (USACE) INTERNAL CONTROL EVALUATION CHECKLIST – PART I HEADQUARTERS STAFF ELEMENTS For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
|--|--|--------------------------|--------------------------|--------------------------------------|
| INSTRUCTIONS | | | | |
| 1. Become familiar with the contents of ER 5-1-15, Chapter 2, Appendix A: Responsibilities, and Appendix B: Outputs. 2. The specific point of reference for each output or activity is provided in the bracketed space. 3. The items are to be evaluated and completed in this checklist and DA Form 11-2 and signed by the Assessable Unit Manager in accordance with Army Regulation 11-2, Managers' Internal Control Program. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To assist Headquarters Staff Elements (Directorates or Separate Offices) in evaluating various key management controls in the <u>Strategic Management Function</u> . It is not intended to cover all controls. This evaluation is to be conducted and completed on an <u>annual basis</u> . | | | | |
| SECTION I - HAS THE RESPECTIVE HEADQUARTERS STAFF ELEMENT (Directorate/Separate Staff Office) IMPLEMENTED ITS OUTPUTS AND/OR ACTIVITIES WITHIN THE FRAMEWORK OF THE COMMAND STRATEGIC INTEGRATION CYCLE AS IDENTIFIED BELOW? | YES | NO | NOT APPLICABLE | REMARKS ON OUTPUTS AND/OR ACTIVITIES |
| 1. Staff Area IPlan (page 2-16/Item c(4)); page A-8/Items (a and d)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2. Staff Management Review (page 2-16/Item c(5); page A-8/Item (e)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 3. Individual Performance Plan (page 2-8/Item (e)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION II – AUTHENTICATION | | | | |
| 1. ACCESSIBLE UNIT MANAGER'S NAME | 2. HQ STAFF ELEMENT OFFICE SYMBOL | | | |
| 3. DATE | 4. ACCESSIBLE UNIT MANAGER'S SIGNATURE | | | |

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| U.S. Army Corps of Engineers (USACE) | | | | |
|--|--------------------------|--|--------------------------|--------------------------------------|
| INTERNAL CONTROL EVALUATION CHECKLIST – PART I | | | | |
| DIVISION OFFICES | | | | |
| For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
| INSTRUCTIONS | | | | |
| 1. Become familiar with the contents of ER 5-1-15, Chapter 2, Appendix A: Responsibilities, and Appendix B: Outputs. | | | | |
| 2. The specific point of reference for each output or activity is provided in the bracketed space. | | | | |
| 3. The Items are to be evaluated and completed in this checklist and DA Form 11-2 and signed by the Assessable Unit Manager in accordance with Army Regulation 11-2, Managers' Internal Control Program. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To assist our Division Offices in evaluating various key management controls in the <u>Strategic Management Function</u> . It is not intended to cover all controls. This evaluation is to be conducted and completed on an <u>annual basis</u> . | | | | |
| SECTION I - IS EACH MAJOR SUBORDINATE COMMAND (MSC) COMMANDER OR CENTER DIRECTOR IMPLEMENTING AND FULFILLING THEIR RESPONSIBILITIES IN TERMS OF MISSION SUPERVISION AS WELL AS ENSURING AND APPROVING ALIGNMENT WITH REQUIRED DOCUMENTS AS THEY RELATE TO STRATEGIC MANAGEMENT IN ACCORDANCE WITH ER 5-1-15? | YES | NO | NOT APPLICABLE | REMARKS ON OUTPUTS AND/OR ACTIVITIES |
| 1. Regional Command Council (page A-10/Item 8g). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2. Regional Management Board (page A-10/Item 8h). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 3. Regional Acquisition Strategy Board (page A-11/Item 8i). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 4. Regional Program and Budget Advisory Committee (page A-11/Item 8j). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 5. Regional Program Review Board (page A-11/Item 8k). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 6. MSC Implementation Plan (page A-12/Items 9a, 9f, 9g, and 9h). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 7. Regional Business Process (page A-12/Items 9b-c and 9e). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 8. Individual Performance Plan (page 2-6/Item (e)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION II – AUTHENTICATION | | | | |
| 1. ACCESSABLE UNIT MANAGER'S NAME | | 2. DIVISION OFFICE SYMBOL | | |
| 3. DATE | | 4. ACCESSABLE UNIT MANAGER'S SIGNATURE | | |

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| U.S. Army Corps of Engineers (USACE) | | | | |
|--|--|--------------------------|--------------------------|--------------------------------------|
| INTERNAL CONTROL EVALUATION CHECKLIST – PART I | | | | |
| DISTRICT OFFICES | | | | |
| For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
| INSTRUCTIONS | | | | |
| 1. Become familiar with the contents of ER 5-1-15, Chapter 2, Appendix A: Responsibilities, and Appendix B: Outputs. 2. The specific point of reference for each output or activity is provided in the bracketed space. 3. The items are to be evaluated and completed in this checklist and DA Form 11-2 and signed by the Assessable Unit Manager in accordance with Army Regulation 11-2, Managers' Internal Control Program. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To assist our District Offices in evaluating various key management controls in the <u>Strategic Management Function</u> . It is not intended to cover all controls. This evaluation is to be conducted and completed on an <u>annual basis</u> . | | | | |
| SECTION I - HAS YOUR DISTRICT IMPLEMENTED ITS OUTPUTS AND/OR ACTIVITIES WITHIN THE FRAMEWORK OF THE COMMAND STRATEGIC INTEGRATION CYCLE (Figure 5c) AND THE PLANS, REVIEWS AND REPORTS (Figure 4)? | YES | NO | NOT APPLICABLE | REMARKS ON OUTPUTS AND/OR ACTIVITIES |
| 1. District Operations Plan (page 2-11/item 12; page 2-14/item 12; page A-13/item 10(b)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2. District Corporate Board Review (page 2-16/item 13; page A-11/item 8(1)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 3. District Program/Project Review Board (page 2-16/item 14; page A-11/item (m)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 4. Individual Performance Plan (page 2-8/item (e)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION II – AUTHENTICATION | | | | |
| 1. ACCESSIBLE UNIT MANAGER'S NAME | 2. DISTRICT OFFICE SYMBOL | | | |
| 3. DATE | 4. ACCESSIBLE UNIT MANAGER'S SIGNATURE | | | |

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| U.S. Army Corps of Engineers (USACE) INTERNAL CONTROL EVALUATION CHECKLIST – PART II DIRECTORATE OF CIVIL WORKS For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
|--|--|--------------------------|--------------------------|--------------------------------------|
| INSTRUCTIONS | | | | |
| 1. Become familiar with the contents of ER 5-1-15, Chapter 2, Appendix A: Responsibilities, and Appendix B: Outputs. 2. The specific point of reference for each output or activity is provided in the bracketed space. 3. The items are to be evaluated and completed in this checklist and DA Form 11-2 and signed by the Assessable Unit Manager in accordance with Army Regulation 11-2, Manager's Internal Control Program. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To assist Headquarters, USACE (HQUSACE), Directorate of Civil Works, in evaluating various key management controls in the <u>Strategic Management Function</u> . It is not intended to cover all controls. This evaluation is to be conducted and completed at the <u>end of every 4 years</u> (based on the Presidential Election Cycle). | | | | |
| SECTION I - HAS THE DIRECTORATE OF CIVIL WORKS IMPLEMENTED ITS OUTPUTS AND ACTIVITIES WITHIN THE FRAMEWORK OF THE CIVIL WORKS INTEGRATION CYCLE? | YES | NO | NOT APPLICABLE | REMARKS ON OUTPUTS AND/OR ACTIVITIES |
| Civil Works Programs Strategic Plan (page 2-9 (Figure 4; page 2-10 (Item 1; Appendix A, page A-3)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION II – AUTHENTICATION | | | | |
| 1. ACCESSIBLE UNIT MANAGER'S NAME | 2. OFFICE SYMBOL | | | |
| | CECW | | | |
| 3. DATE | 4. ACCESSIBLE UNIT MANAGER'S SIGNATURE | | | |

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| U.S. Army Corps of Engineers (USACE) INTERNAL CONTROL EVALUATION CHECKLIST – PART II DIRECTORATE OF MILITARY PROGRAMS For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
|--|--------------------------|--|--------------------------|--------------------------------------|
| INSTRUCTIONS | | | | |
| 1. Become familiar with the contents of ER 5-1-15, Chapter 2, Appendix A: Responsibilities, and Appendix B: Outputs. 2. The specific point of reference for each output or activity is provided in the bracketed space. 3. The items are to be evaluated and completed in this checklist and DA Form 11-2 and signed by the Assessable Unit Manager in accordance with Army Regulation 11-2, Managers' Internal Control Program. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To assist the Headquarters, USACE (HQUSACE), Directorate of Military Programs, in evaluating various key management controls in the <u>Strategic Management Function</u> . It is not intended to cover all controls. This evaluation is to be conducted and completed at the <u>end of every 4 years</u> (based on the Presidential Election Cycle). | | | | |
| SECTION I - HAS THE DIRECTORATE OF MILITARY PROGRAMS IMPLEMENTED ITS OUTPUTS AND ACTIVITIES WITHIN THE FRAMEWORK OF THE MILITARY PROGRAMS INTEGRATION CYCLE? | YES | NO | NOT APPLICABLE | REMARKS ON OUTPUTS AND/OR ACTIVITIES |
| Military Programs Strategic Plan (page 2-9 (Figure 4; page 2-12 (Item 1; Appendix A, Page A-5)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION II – AUTHENTICATION | | | | |
| 1. ACCESSIBLE UNIT MANAGER'S NAME | | 2. OFFICE SYMBOL | | |
| | | CEMP | | |
| 3. DATE | | 4. ACCESSIBLE UNIT MANAGER'S SIGNATURE | | |
| | | | | |

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| U.S. Army Corps of Engineers (USACE) INTERNAL CONTROL EVALUATION CHECKLIST – PART II DIRECTORATE OF RESEARCH & DEVELOPMENT/ENGINEER RESEARCH AND DEVELOPMENT CENTER For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
|---|--|--------------------------|--------------------------|--------------------------------------|
| INSTRUCTIONS 1. Become familiar with the contents of ER 5-1-15, Chapter 2, Appendix A: Responsibilities, and Appendix B: Outputs. 2. The specific point of reference for each output or activity is provided in the bracketed space. 3. The items are to be evaluated and completed in this checklist and DA Form 11-2 and signed by the Assessable Unit Manager in accordance with Army Regulation 11-2, Managers' Internal Control Program. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To assist the Directorate of Research & Development/Engineer Research and Development Center, in evaluating various key management controls in the <u>Strategic Management Function</u> , it is not intended to cover all controls. This evaluation is to be conducted and completed at the <u>end of every 4 years</u> (based on the Presidential Election Cycle). | | | | |
| SECTION I - HAS DIRECTORATE OF RESEARCH & DEVELOPMENT/ENGINEER RESEARCH AND DEVELOPMENT CENTER IMPLEMENTED ITS OUTPUTS AND ACTIVITIES WITHIN THE FRAMEWORK OF THE STRATEGIC MANAGEMENT CYCLE? | YES | NO | NOT APPLICABLE | REMARKS ON OUTPUTS AND/OR ACTIVITIES |
| CERD/ERDC Programs Strategic Plan (page 2-9, (Figure 4; page 2-12, Item 1; page A-7, Item (a)). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION II – AUTHENTICATION | | | | |
| 1. ACCESSIBLE UNIT MANAGER'S NAME | 2. OFFICE SYMBOL | | | |
| | CERD/CEERD | | | |
| 3. DATE | 4. ACCESSIBLE UNIT MANAGER'S SIGNATURE | | | |

ENG FORM 6061-11, MAR 2015

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| U.S. Army Corps of Engineers (USACE) | | | | |
|--|--|--------------------------|--------------------------|--------------------------------------|
| INTERNAL CONTROL EVALUATION CHECKLIST – PART II | | | | |
| STRATEGY AND INTEGRATION OFFICE | | | | |
| For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
| INSTRUCTIONS | | | | |
| 1. Become familiar with the contents of ER 5-1-15, Chapter 2, Appendix A: Responsibilities, and Appendix B: Outputs. 2. The specific point of reference for each output or activity is provided in the bracketed space. 3. The items are to be evaluated and completed in this checklist and DA Form 11-2 and signed by the Assessable Unit Manager in accordance with Army Regulation 11-2, Managers' Internal Control Program. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To assist the Strategy and Integration Office in evaluating various key management controls in the Strategic Management Function. It is not intended to cover all controls. This evaluation is to be conducted and completed at the end of every 4 years (based on the Presidential Election Cycle). | | | | |
| SECTION I - HAS THE STRATEGY AND INTEGRATION OFFICE IMPLEMENTED ITS OUTPUTS AND ACTIVITIES WITHIN THE FRAMEWORK OF THE COMMAND STRATEGIC INTEGRATION CYCLE? | YES | NO | NOT APPLICABLE | REMARKS ON OUTPUTS AND/OR ACTIVITIES |
| USACE Campaign Plan (page 2-5, paragraph 2-4(1); page 2-9, paragraph 2-4(f), Figure 4; page 2-15, paragraph 2-5c(1) and Figure 5c; page A-1, paragraph 2a-c; page A-8, paragraph 6c). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION II – AUTHENTICATION | | | | |
| 1. ACCESSIBLE UNIT MANAGER'S NAME | 2. OFFICE SYMBOL | | | |
| | CESI | | | |
| 3. DATE | 4. ACCESSIBLE UNIT MANAGER'S SIGNATURE | | | |

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| U.S. Army Corps of Engineers (USACE) INTERNAL CONTROL EVALUATION CHECKLIST – PART II HEADQUARTERS STAFF ELEMENTS For use of this form, see Engineer Regulation (ER) 5-1-15, Appendix C; the proponent is CESI-P. | | | | |
|--|--------------------------|---|--------------------------|--------------------------------------|
| INSTRUCTIONS | | | | |
| 1. Become familiar with the contents of ER 5-1-15, Chapter 2, Appendix A: Responsibilities, and Appendix B: Outputs. 2. The specific point of reference for each output or activity is provided in the bracketed space. 3. The Items are to be evaluated and completed in this checklist and DA Form 11-2 and signed by the Assessable Unit Manager in accordance with Army Regulation 11-2, Managers' Internal Control Program. | | | | |
| FUNCTION: Strategic Management (Planning, Programming, Budgeting, Executing, and Controlling). | | | | |
| PURPOSE: To assist Headquarters Staff Elements (Directorates or Separate Offices) in evaluating various key management controls in the <u>Strategic Management Function</u> . It is not intended to cover all controls. This evaluation is to be conducted and completed at the <u>end of every 4 years</u> (based on the Presidential Election Cycle). | | | | |
| SECTION I - HAS THE HEADQUARTERS STAFF ELEMENT (Directorate or Separate Office) IMPLEMENTED ITS OUTPUTS AND ACTIVITIES? | YES | NO | NOT APPLICABLE | REMARKS ON OUTPUTS AND/OR ACTIVITIES |
| Human Capital Management Plan (page 2-9, paragraph 2-4f, Figure 4; page A-7, item 6). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| SECTION II – AUTHENTICATION | | | | |
| 1. ACCESSABLE UNIT MANAGER'S NAME | | 2. HEADQUARTERS STAFF ELEMENT OFFICE SYMBOL | | |
| 3. DATE | | 4. ACCESSABLE UNIT MANAGER'S SIGNATURE | | |

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APPENDIX D

Governance Bodies: Charters

US ARMY CORPS OF ENGINEERS COMMAND COUNCIL CHARTER

D-1. PURPOSE. The Command Council is ultimately responsible for the stewardship of the US Army Corps of Engineers. It is the primary forum for achieving corporate synergy and strategic direction between and across our Headquarters, Major Subordinate Commands, and Centers.

D-2. ROLES AND MISSIONS.

a. The Command Council will:

(1) Approve and quarterly review a strategic planning process and strategic directions arising from that process, taking into account, among other things, the opportunities and risks of the command.

(2) Review quarterly a critical assessment of strategic directions, of the actions taken to achieve them and the results of such actions.

(3) Engage in strategic dialogue and further command understanding of enterprise wide issues, including critical factors and their impacts on the strategic directions of the command.

(4) Review and decide strategic directions for addressing enterprise wide issues.

b. A substantial portion of the analysis and work of the Command Council is done by other subordinate governance structures. The primary forum for analytical assessment of enterprise wide issues is the USACE Management Action Group (UMAG). The Command Council may, from time to time, establish or maintain additional governance forums as necessary or appropriate.

D-3. STRUCTURE.

Executive Committee

| | |
|------------|---|
| Chair | Commanding General |
| Vice Chair | Deputy Commanding General |
| Executives | Deputy Commanding General – Civil and Emergency Operations Director, Civil Works Deputy Commanding General – Military and International Operations Director, Military Programs Director, Research and Development |

Members

Major Subordinate Command and Center Commanders

At-Large -- 2x MSC SES leaders (1x Program Director, 1x Business Director, biennially) to be selected at the discretion of the Chairman.

Non-voting Members

| | |
|---------------------|--|
| Executive Secretary | Chief, Strategy and Integration Office |
| Ex officio | Chief of Staff |
| | Chief Counsel |
| | Director, Human Resources |
| | Director, Resource Management |
| | Director, Contracting |
| | Director, Corporate Information |

D-4. OPERATION AND ADMINISTRATION.

a. Frequency: The Command Council will meet periodically (at least once per quarter) typically in conjunction with the quarterly Executive Governance Meetings. The Strategy and Integration Office will provide administrative support for all Command Council requirements.

b. Decisions: All Command Council members will have an equal voice and are encouraged to openly present and defend their position on enterprise-wide issues. The goal of the discussions, wherever possible, is to reach a consensus. However, whether or not the Council reaches a consensus, the Chairman is the ultimate decision authority for this governance forum. In order to promote free and open discussion with no retribution, Command Council deliberations will not be discussed outside the forum. Once the Chairman makes a decision, all members will support the decision. All decisions will be enumerated and documented in the meeting minutes signed off by the Chairman and posted in an appropriate electronic location. For decisions requiring more formal documentation, such as a policy memo or regulation, the Chairman will assign the action to the appropriate proponent office.

c. Ground Rules:

(1) No enterprise-wide issue(s) will come before the Command Council for decision without prior deliberation within the USACE Management Action Group.

(2) The Chairman will establish the agenda for each Command Council meeting. At the beginning of the year the Chairman will establish a schedule of agenda subjects to be discussed during the year (to the degree this can be foreseen). Each Council Member (Voting and Non-voting) is free to suggest the inclusion of items on the agenda. In addition, each Council Member is free to raise at any Council meeting subjects that are not on the agenda for that meeting. The Executive Secretary will provide a detailed agenda and, to the extent feasible, supporting documents and proposed issues to the Council Members approximately one week prior to each Council meeting. Council Members should review these materials in advance of the meeting. Subject to any applicable notice requirements, Council Members having items to

suggest for inclusion on the agenda for future Council meetings should advise the Chairman well in advance of such meetings.

(3) The Chairman or Vice Chairman may call a Command Council (face-to-face, paper, or virtual) between scheduled quarterly meetings.

(4) The Chairman or Vice Chairman may from time to time invite other US Army Corps of Engineers senior leaders, other employees and advisors to attend Command Council meetings whenever deemed appropriate.

(5) The Executive Secretary has enterprise-wide tasking authority for all matters related to the presentation of materials before the Command Council and the implementation of decisions.

(6) The Executive Secretary is responsible for keeping the records of Command Council activities, meetings, etc.

D-5. SUNSET PROVISION. The Command Council stands at the discretion of the Commander, U.S. Army Corps of Engineers. The charter shall be established for a nominal 48-month period, i.e., roughly coinciding with the tenure of each Commanding General. This charter may be adjusted at the discretion of the Commanding General to meet the changing environment of the missions and function of the US Army Corps of Engineers.

US ARMY CORPS OF ENGINEERS
MANAGEMENT ACTION GROUP CHARTER

PURPOSE. This charter defines the mission, roles, responsibilities, composition and operating principles for the U.S. Army Corps of Engineers (USACE) Management Action Group (UMAG).

BOARD COMPOSITION.

a. Chairman: Deputy Commanding General.

b. Vice Chairman: Representative from the MSC Commands. Appointment approved by the Commanding General, for a term not to exceed two years. The main duty of a Vice Chairman is to help the Chairman in any way possible. This can include preparing for meetings or communicating directives to the other action group members. In addition, the Vice Chairman should be ready to fill in for the chairman if he/she is unable to attend or carry out his/her duties. In consultation with the Chairmen, the Vice Chairman has the authority to call ad hoc meetings and adjudicate internal deliberations.

c. Members.

(1) Nine (9) Major Subordinate Command (MSC) Regional Business or Programs Directors: Division Commanders have the authority to appoint one representative at their discretion for attendance at each UMAG. The attendee will have the inherent responsibility to represent the perspective of the geographic MSC to include both Regional Business and Programs equities, within the context of the broader USACE enterprise. Commanders are encouraged to alternate their representatives periodically to ensure a broad mix of experiences is available to provide issue assessments.

CESI accommodated recommendation.

Northwestern Division (NWD)
South Pacific Division (SPD)
Great Lakes & Ohio River Division (LRD)
North Atlantic Division (NAD)
Mississippi Valley Division (MVD)
South Atlantic Division (SAD)
Southwestern Division (SWD)
Pacific Ocean Division (POD)
Transatlantic Division (TAD)

(2) Three (3) USACE Functional Representatives: Appointed one each by the Directors of Civil Works, Military Programs, and Research & Development.

d. Adjunct Members (non-voting): The advice, counsel, and perspective of staff principals and key representatives is essential for the UMAG to appreciate and understand the consequences and feasibility of actions. Therefore, the Adjunct Members will participate fully

in assessment and discussion of matters before the UMAG. In particular, the Chairman will include explanations of dissenting opinions on any decision package before presentation to either the UMAG or Command Council for approval. The Adjunct Members are:

- Director, Resource Management
- Director, Human Resources
- Director, Contracting
- Director, Contingency Operations
- Director, Corporate Information
- Director, Logistics
- Chief, Engineering and Construction Community of Practice
- Chief, Office of Counsel
- Chief, Business Management Office, Huntsville Engineering and Support Center

e. The Chairman may invite non-voting subject matter and knowledge experts, as well as USACE functional leaders to participate depending upon the agenda.

f. The Chief, Strategy and Integration Office shall serve as the Executive Secretary for the UMAG.

PURPOSE, AUTHORITIES, ROLES AND RESPONSIBILITIES.

a. Purpose. The UMAG is the analytical assessment forum that supports the USACE Command Council. It focuses on enterprise-level strategy and policies that influence USACE organization, management and performance cutting across all organizational elements and activities. Its scope crosses functional lines and regional boundaries. The UMAG provides a forum for national level discussion of enterprise-wide issues and recommends decisions to the Command Council. The USACE Military Programs and Civil Works Directorates remain responsible for establishing and promulgating policies within their authorities.

b. Authorities. When there is clear consensus, the UMAG is empowered with decision authority to formulate and direct implementation of approved initiatives with respect to USACE strategies and policies. The UMAG Chairman has the authority to direct subject matter and knowledge experts to appear at UMAG meetings to meet UMAG requirements. For issues that are highly sensitive, those of a political nature (i.e. of concern to Congress, Department of Defense, Commands, public, unions, etc), those directed by the Chairman, or those requiring Program Budget Advisory Committee (PBAC) resourcing, the UMAG provides recommendations, including minority opinions, if any, to the Command Council.

c. Additional Roles. In addition to serving as the primary forum for analytical assessment of enterprise-wide issues, the UMAG also has secondary functions.

(1) Serves as a forum for sharing and evaluating best practice initiatives throughout USACE, generally presented as “Information Only” topics.

(2) The appropriate USACE staff proponent will oversee the implementation of initiatives

or strategies. However, the UMAG will maintain situational awareness during implementation to ensure consistency across the enterprise.

(3) The UMAG may also develop and recommend strategic initiatives that could be considered outside of its defined role and provide the recommendations to the Command Council.

d. Responsibilities.

(1) As an agent of the Command Council, the UMAG is a national forum with cross functional applications whose focus is to address and resolve, within its authorities, USACE enterprise-wide issues. It will also serve as an important strategic filter to ensure initiatives considered are important to the Command, and are sensible, practical, process-driven and consistently applied. Through informed debate and analysis, the UMAG will reduce risks to capabilities, resources or methodology of operations prior to policy or guidance implementation USACE-wide. In the execution of its duties, the UMAG shall conduct assessments through the lens of process efficiencies, delivery of products and services, fiscal stewardship, customer satisfaction, and impact on the viability of the workforce.

(2) UMAG members are expected to think and act corporately. Although UMAG members should identify and present functional/regional interests or issues, they should participate in resolving issues and problems with an enterprise perspective. UMAG members are also responsible for representing the whole of their constituencies, assuring consistent communication and requesting input for deliberation of the board.

D-4. DIRECTION AND CONTROL. The Deputy Commander, U.S. Army Corps of Engineers, will serve as the Chairman and exercise overall direction and control of the UMAG. The Vice Chairman serves as the principal advisor to the Chairman on all UMAG matters. The Executive Secretary will facilitate all routine UMAG business and has enterprise-wide tasking authority for all matters related to the presentation of materials before the UMAG and the implementation of decisions.

OPERATION AND ADMINISTRATION.

a. Meeting Schedule. The Executive Secretary will typically schedule face-to-face UMAG meetings to coincide with USACE Executive Governance meetings. When appropriate, virtual UMAG meetings are acceptable. The objective will be to meet virtually or face-to-face at most twice a quarter. UMAG ad hoc meetings may occasionally be necessary. The Executive Secretary will provide a schedule of UMAG meetings annually on the UMAG SharePoint site and notify members of changes to the schedule as they occur.

b. Meeting Attendance. UMAG attendance is mandatory for all UMAG voting members unless excused by the Chairman or Vice Chairman. In the case where a voting member is unable to attend a UMAG meeting, a non-voting representative may be substituted. In the case of a long term absence of a voting member such as for deployment, illness, sabbatical, etc, the member's immediate supervisor must submit a nomination and justification, in writing, to the Chairman

seeking approval for an official “acting” member to be accorded the rights of a voting member.

Note: UMAG meetings are generally open, and MSCs are encouraged to invite emerging leaders and others to attend/observe the meetings. The Chairman has the right to conduct “closed sessions,” as required.

c. Meeting Location. Meeting locations will generally be co-located with approved USACE Executive Governance Meetings. Ad hoc face-to-face meetings will most likely be held at HQUSACE (for consistency of logistics). However, the Chairman may designate alternative locations, possibly Major Subordinate Commands, if appropriate to the issue or initiative under consideration.

d. Meeting Agenda. The UMAG Executive Secretary will prepare and distribute an agenda for each meeting at least one week prior to the scheduled meeting date. The agenda will include objectives and specific topics. Sponsors of enterprise-wide issues will provide read-ahead material for agenda items at least ten working days in advance to allow adequate time for review and discussion at MSC Command levels.

e. Activities. UMAG members may propose initiatives and agenda topics. For an initiative to be launched, one UMAG member must volunteer to be the lead sponsor for the effort. The UMAG has the authority to task appropriate personnel to accomplish its work through multiple organizations. Examples include UMAG chartered organizations, Business Management Division Committee, Programs Integration Chiefs, Project Delivery Teams, staff elements and subject matter experts. The UMAG sponsor leads will advise and guide these teams and ensure work is consistent with the board’s intent, is thorough and accurate, and completed in a timely fashion.

f. Terms of Reference. The Chairman will approve a “Terms of Reference” that provides scope, organization, intent, timeline, and deliverables for issues under consideration by the UMAG.

g. Decisions. The lead sponsor of enterprise-wide issues will identify whether there is a recommended decision for the UMAG’s consideration. The intent is to promote open discussion for all topics. The format that will frame the discussion will be a modified version of the Military Decision Making Process (MDMP) that clearly identifies courses of action, decision criteria, pros and cons, risks and recommendations. The Executive Secretary will maintain the record of decisions, documented in the meeting minutes and signed off by the Chairman, and post them electronically. Decisions requiring more formal documentation such as a policy memo or regulation will be assigned to the appropriate staff proponent office for action.

Note: UMAG members unfamiliar with the MDMP process may seek assistance from the Executive Secretary.

h. Meeting Minutes. The Executive Secretary will record the minutes and publish a record

of the meeting. The record should include the objectives, attendance, topics and significant points discussed, actions taken, recommendations and decisions made, and taskings along with the responsible party and a suspense date for completion. The draft record should be distributed within 10 working days of the meeting and coordinated with all board members and officially approved by the UMAG Chairman before official distribution. The Executive Secretary will distribute UMAG minutes to all UMAG voting and non-voting members, MSC Commanders, Deputy Commanding Generals for Civil and Emergency Operations, Military Programs, and USACE, non-member Senior Executive Service leaders, Regional Business Management Division Chiefs, and briefers. The record of each meeting will be posted on the UMAG SharePoint site: <https://kme.usace.army.mil/ciUMAG/default.aspx>

i. Special Requirements. Any member may request that the Chairman convene an ad hoc meeting under special circumstances. The request must be in writing and address the reason for the meeting and the proposed topics for discussion. The Chairman will approve or reject the request and determine the type of meeting (in person or virtual) required.

COMMUNICATION.

a. Correspondence. Communication with the UMAG will be by written or electronic means and may be directed to the Chairman or Vice Chairman.

b. Electronic Workspace. The UMAG will use the UMAG SharePoint site: <https://kme.usace.army.mil/ci/UMAG/default.aspx> for archiving information, for managing work and for communicating ideas and comments. Each UMAG member is expected to communicate regularly with their constituents prior to meeting to gather input on topics to be discussed, and after meetings to convey decisions and/or other pertinent information.

c. Communication of Activities. UMAG members will inform and back-brief their respective Commanders or Supervisors on the outcomes of UMAG meetings. Prior to the UMAG providing a recommendation to the Command Council for approval, UMAG members should ensure they fully inform their respective Command Council representatives. UMAG members may also provide updates to their respective communities, as appropriate. In addition, the Executive Secretary will post a summary of UMAG discussions and decisions on the UMAG SharePoint site: <https://kme.usace.army.mil/ci/UMAG/default.aspx>.

REFERENCES.

a. Engineer Regulation No. ER 5-1-10, U.S. Army Corps of Engineers Corps-wide Areas of Work Responsibility, dated 1 April 2009.

b. Engineer Regulation No. ER 5-1-11, U.S. Army Corps of Engineers Business Process, dated 1 November 2006.

c. Engineer Regulation No. ER 5-1-13, U.S. Army Corps of Engineers Policy on Regional Business Centers (RBCs), dated 25 January 2008.

- d. Engineer Regulation No. ER 25-1-8, The Community of Practice in the U.S. Army Corps of Engineers, dated 31 March 2011.
- e. Engineer Regulation No. ER 1110-1-8158, Corps-wide Centers of Expertise Program, dated 15 April 2011.
- f. USACE 2012, Aligning the U.S. Army Corps of Engineers for Success in the 21st Century, dated October 2003.
- g. USACE Memorandum, CEMP-ZA, Subject: USACE 2012, dated 8 May 2012.
- h. USACE Memorandum, CECG, Subject: Delegation of Authority for Conference Approval, dated 28 October 2011.

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GLOSSARY

Action: The process or state of getting something done through an act or deed.

Agency Mission Statement: A mission statement is brief, defining the basic purpose of the agency, and corresponds directly with the agency's core programs and activities. An agency's program goals should flow from the mission statement.

http://www.whitehouse.gov/omb/circulars/a11/current_year/s210.pdf

Army Campaign Plan: A joint operation plan for a series of related major operations aimed at achieving strategic or operational objectives within a given time and space. See also campaign; campaign planning (JCS Pub 1-2, JP 5-0).

Business Line: USACE assigns mission areas as specific lines of business – i.e., business programs. These programs provide a framework for planning, programming, budgeting execution and control to generate public benefits. These business programs and activities are no longer managed in isolation or confined in scope, but instead are interconnected. Business line managers run the business programs. For example, the Civil Works mission includes eight lines of business: navigation, flood risk management, environment, hydropower, regulatory, recreation, emergency management, and water storage for water supply. The military mission includes five lines of business: major construction, installation support, real estate, contingency operations, environmental, and interagency and international affairs.

Chief Financial Officer's Act of 1990: The Chief Financial Officer's Act of 1990 (Public Law 101-576) establishes expectations for agencies to develop and deploy modern financial management systems to routinely produce accurate, reliable, and timely program cost information; and to develop results-oriented reports on the government's financial condition. Enacted November 15, 1990, this act was directed at correcting long-standing shortcomings in financial systems, internal controls, and the use of assets. The principal provisions of the Act include establishing CFO organizations in the Office of Management and Budget (OMB) and each agency; improving accounting, reporting, and auditing practices; improving financial systems; and improving asset management policies. The act establishes a centralized financial management structure within OMB and in major departments and agencies. It strengthens financial management internal controls by requiring (a) preparation of five-year financial management systems improvement plans, both government-wide and in the 23 agencies covered by the act; (b) preparation of financial statements and audits of selected activities of agencies to hold agency heads accountable for their operations; and (c) annual reporting to the President and Congress on the status of general and financial management in the federal government. The act also lays out a strategy for producing audited financial statements. In addition, the act mandates the establishment of a government-wide CFO Council to support the CFO Act by providing a forum for achieving consensus on financial management policies and priorities.

<http://govinfo.library.unt.edu/npr/library/misc/cfo.html>

Clinger-Cohen Act of 1996: The Clinger-Cohen Act of 1996 (formerly the Information Technology Management Act of 1995) (Public Law 104-106) repeals Section 111 of the Federal

Property and Administrative Services Act of 1949 (40 USC 759), often referred to as the Brooks Act, which gave the General Services Administration (GSA) exclusive authority to acquire computer resources for all of the federal government. Clinger-Cohen assigns overall responsibility for the acquisition and management of information technology (IT) in the federal government to the Director, Office of Management and Budget (OMB). It also gives authority to acquire IT resources to the head of each executive agency and makes them responsible for effectively managing their IT investments. Among other provisions, the act requires agencies to (a) base decisions about IT investments on quantitative and qualitative factors associated with the costs, benefits, and risks of those investments; (b) use performance data to demonstrate how well the IT expenditures support improvements to agency program; and (c) appoint CIOs to carry out the IT management provisions of the act and the broader information resources management requirements of the Paperwork Reduction Act. The Act also encourages agencies to evaluate and adopt best management and acquisition practices used by private- and public-sector organizations. The focus of this Act is on requiring agencies to develop and maintain an integrated, systems architecture. Such a cohesive architecture can help (1) ensure an agency invests only in integrated, enterprise-wide business solutions and (2) move resources away from non-value added legacy business systems and nonintegrated system development efforts.

Civil Works Program Five-Year Development Plan (FYDP): This plan presents projections of discretionary budget authority (funding) for the Army Civil Works program for Fiscal Years five years post-budget. These are estimates and are usually presented based on two scenarios for overall funding. One is a base plan scenario, constrained by beginning with the budget level of the president and growing at OMB formula-driven funding levels over the five-year period, holding the mix of accounts at the same percentage as the budget over the period. These are OMB estimated account data for the out-years and do not represent the President's proposed levels for these individual agencies, accounts, or programs. The enhanced plan scenario begins with the expected appropriations prior to the budget year (FY-1), and grows for projected changes in the Gross Domestic Product (GDP) price index. Within the overall funding amount provided under the enhanced plan, the percentage allocation of funding among accounts, that is, the funding mix, is permitted to vary from the base budget mix. For each plan, subsequent year's budget requests will be made in the future and therefore the out-year numbers with each plan represent placeholders, pending decisions in future years.

Civil Works Program Strategic Plan: See Program Area Strategic Plan.

Civil Works Program Performance Plan: See Program Area Performance Plan.

Civil Works Management Discussion and Analysis: See Management Discussion and Analysis.

District Operations Plan: The District Operations Plan executes the projects/programs to accomplish the objective stated by the MSC in the MSC IPlan. The execution has a three-five year outlook of projects/programs. The type of execution is direct, linear and sequential. While the focus of the plan is on time, cost, quality control, mission completion, project/program milestone and workforce issues, it also addresses other measures of performance called for in the MSC IPlan that demonstrates efficiency and effectiveness (USACE Campaign Plan, 14 March 1997).

Federal Financial Management Improvement Act (FFMIA) of 1996: The Federal Financial Management Improvement Act (Public Law 104-208) requires agencies to adopt standards for financial management and reporting systems that will ensure an adequate level of financial accountability and timeliness and consistency of financial information reported. Agency CFOs are responsible for ensuring agency financial systems comply with standards published by OMB.

Fragmentary Order: An abbreviated form of an operation order issued as needed after an operation order to change or modify that order or to execute a branch or sequel to that order. Also called FRAGORD and FRAGO (JCS Pub 1-2, JP 5-0).

Goal: A goal is a statement of aim or purpose included in a strategic plan (required by GPRA). In the campaign plan and the performance plan, strategic goals are used to group multiple programs. Each program goal should relate to and in the aggregate be sufficient to influence the strategic goals or objectives and their performance measures. A performance goal is comprised of a performance measure with targets and timeframes.

Government Management and Reform Act (GMRA) of 1994 (Public Law 103-356): This Act provides a more effective, efficient, and responsible government. This mandate's statutory requirements for reports to Congress, the use of electronic funds transfers for payments, the establishment of a franchise fund in each of the four executive agencies, and the submission of annual audited financial statements to the Director of the Office of Management and Budget (OMB). http://www.whitehouse.gov/omb/financial/fin_report.html

Government Performance Results Act of 1993: In 1993, Congress passed and the President signed into law a bipartisan initiative designed to fundamentally change the way government works. Known as the GPRA or Results Act for short, this law dramatically changes the federal government's budgeting and policymaking mechanisms. The act shifts managerial emphasis to actual program execution and comparison of results with desired outcomes. This legislation promotes a focus on results, service, quality, and customer satisfaction. The GPRA has become the primary legislative framework through which agencies are required to set strategic goals, measure performance, and report on the degree to which goals are met. The act requires the development of multi-year strategic plans based on long-term goals and annual performance plans with specific indicators to measure performance. The act also creates a process for agencies to use to measure their annual financial and program performance by identifying four key performance indicators: output, outcome, efficiency, and effectiveness. Such objective measurement means that funding decisions are based on program effectiveness rather than supposition, ultimately providing Congress with better information for allocating resources.

HQ Staff Implementation Plan (IPlan): HQ staff directors and chiefs formulate HQ Staff IPlans, when necessary and appropriate, to implement Program Area actions in support of the Campaign Plan, improve management and accountability, and respond to new strategic direction and/or strategic vision. Staff IPlans establish the overall purpose and strategic direction of the functional area support activities, including goals, objectives and performance metrics or indicators. The Command Council must receive presentations and concur with Staff IPlans,

followed by the commander's approval. The plans are updated, reviewed, and approved again as required by the commander.

Impact: An impact measure is a measure of the direct or indirect effects or consequences resulting from achieving program goals. An impact assessment is the comparison of actual program outcomes with estimates of the outcomes that would have occurred in the absence of the program; for example, by comparing the outcome for a randomly selected group receiving an agency service to a randomly selected group not receiving the service. The measurement of impact is generally done through special comparison-type studies and not simply by using data regularly collected through program information systems. Impact indicators are useful for understanding the eventual effects of government programs. OMB guidance for GPRA implementation discusses impact indicators, but GPRA itself does not. An input measure is a measure of what an agency or manager has available to carry out the program or activity to achieve an output or outcome. These can include employees, funding, equipment or facilities, supplies on hand, goods or services received, and work processes or rules. Services from a resource base (e.g., staff expertise and time) are defined as inputs to a program. Increments to a resource base (e.g., newly trained personnel) are defined as outputs or outcomes. (A program output or outcome could be negative; for example, net depletion of a resource base).

<http://govinfo.library.unt.edu/npr/library/resource/gpraprmr.html>

Individual Performance Plan: All employees, including managers and executives, are to operate under individual performance plans developed in coordination with their supervisors. These performance plans are to be specific, measurable (both in terms of quantity and quality), aligned, relevant/realistic and timed. When addressing alignment, the plan should directly link to the USACE Campaign Plan, Program Area Strategic Plans and Implementation Plans (and to Army and Defense goals and objectives to the extent possible). Each employee should be able to see how his or her work directly supports the organization's achievement of the USACE Campaign Plan goals and objectives.

Management's Discussion and Analysis (MD&A): The MD&A of the must be concise, easy to read and utilize visual references to present summary information. The MD&A should include a table/ chart displaying historical performance trend data for the entity's strategic goals, and selected key performance measures associated with those goals should be included in the MD&A. Agencies should present performance information that facilitates analysis of trends over time and provides the most comprehensive picture of a program's performance history. Performance trend data should provide the Congress, the public and other stakeholders with sufficient information on how a program is progressing compared to its past achievements and shortfalls.

Measures: See "impact" and "outcome measure" for definitions.

MSC Implementation Plan: The MSC IPlans contain the key implementation actions that are linked to funding requirements, measures and targets in support of the Campaign Plan and Program Area Strategic and Performance Plans. The work to be performed in developing the MSC IPlan is done by the MSC Implementation Planning Working Group.

MSC Implementation Planning Working Group: The MSC Implementation Planning Working Group consists of staff members from the MSC staff from the Regional Business Directorate and/or Regional Programs Directorate. Members of this working group collaboratively develop the MSC IPlan. The MSC IPlan develops a detailed set of implementation actions from the HQ IPlans, Program Area Strategic Plan and USACE Campaign Plan.

Military Programs Strategic Plan: See Program Area Strategic Plan.

Military Programs Performance Plan: See Program Area Performance Plan.

Military Programs Performance Report: For the Military Programs, the Department of the Army incorporates the financial and performance information to be more meaningful and transparent to the public in the Army's Annual Financial Statement.

Mission Area: See Program Area.

Mission Statement: A mission statement is a brief statement of purpose of the organization (program area, functional area or command) that answers the following questions: What do we do? For whom do we do it? Why do we do it? See Agency Mission Statement.

National Military Strategy: The National Military Strategy (NMS) is issued by the Chairman of the Joint Chiefs of Staff as a deliverable to the Secretary of Defense briefly outlining the strategic aims of the armed services. The chief source of guidance for the NMS is the National Security Strategy document. The NMS Report must provide a description of the strategic environment and the opportunities and challenges that affect United States national interests and United States national security. The Report must describe the most significant regional threats to US national interests and security as well as the international threats posed by terrorism, weapons of mass destruction, and asymmetric challenges. After describing the security environment in which military forces will operate, the NMS Report must specify the "ends", "ways", and "means" of the strategy. US national military objectives are the "ends", describing what the Armed Forces are expected to accomplish. The NMS report describes the relationship of those objectives to the strategic environment, regional, and international threats. Strategic and operational concepts are the "ways" of the strategy and describe how the Armed Forces conduct military operations to accomplish the specified military objectives. Finally, the NMS report must describe the adequacy of capabilities -- the "means"-- required to achieve objectives within an acceptable level of military and strategic risk.

National Defense Strategy: The National Defense Strategy is a strategy paper that is prepared every four years and which "provides the policy basis on which the armed services plan their research, development and acquisitions of weapons systems." The thrust of this document by DoD is to implement the President's commitment that has been articulated in the National Security Strategy. This document outlines the Nation's approach to dealing with challenges that the Nation is likely to confront, not just those that the Nation is best prepared to meet.

National Security Strategy: The National Security Strategy is a document prepared periodically by the executive branch for Congress which outlines the major security concerns of the Nation

and how the administration plans to deal with them. The document is purposefully general in content (contrast with the National Military Strategy) and its implementation relies on elaborating guidance provided in supporting documents (including the NMS).

Objectives: An objective is a specific, measurable target for accomplishing a goal which (a) describes a specific accomplishment; (b) focuses on a result to be achieved; (c) forms the foundation of strategies and actions; and (d) will be accomplished within the three-to-five year time period. An objective is a target level of performance over time expressed that is specific, measurable, attainable, realistic and tangible against which actual achievement can be compared.

Operation Order: A directive issued by a commander to subordinate commanders for the purpose of effecting the coordinated execution of an operation. An OPLAN becomes an OPORD when the commander sets an execution time. Also called OPORD (JSC Pub 1-2).

Outcome Measure: Outcomes describe the intended result of carrying out a program or activity. They define an event or condition that is external to the program or activity and that is of direct importance to the intended beneficiaries and/or the public. For a tornado warning system, outcomes could be the number of lives saved and the property damage averted. While performance measures must distinguish between outcomes and outputs, there must be a reasonable connection between them, with the outputs supporting (i.e., leading to) outcomes in a logical fashion.

Performance Goal: A performance goal is a target level of performance expressed as a tangible, measurable, objective against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate. The framers of the Government Performance Results Act of 1993 recognized that in rare instances it may not be feasible to measure the results of a federal program quantitatively. If an agency, in consultation with the Director of Office of Management and Budget, determines that it is not feasible to express performance goals for a particular program in an objective, quantifiable, measurable form, the Director of Office of Management and Budget may authorize an alternative form. Even with the alternative form, Government Performance Results Act of 1993 seeks clear statement of a program's goals and clear standards for identifying progress in meeting the goals. There may be several performance goals for any general goal in a strategic plan.

Performance Measures: For most performance goals, a number of performance indicators should be developed -- preferably a range of related performance indicators (such as quantity, quality, timeliness, cost, and outcome) so that managers can balance priorities among competing sub-goals. A performance measure is a particular value or characteristic used to indicate the program's output or outcome in relation to program goals. Under GPRA, an output measure is a tabulation, calculation, or recording of activity or effort and can be expressed in a quantitative or qualitative manner. Although the text of GPRA does not specify a distinction between outputs and activities, an important purpose of the Act is to focus attention beyond effort or activity in order to assess outputs and outcomes. Thus, OMB guidance differentiates between outputs (e.g., graduates) and production activities (e.g., teaching). An outcome measure is an assessment of the results of a program compared to its intended purpose.

Performance Plan: A performance plan links measurable goals to budget during a fiscal year. The goals should reflect a level of accomplishment commensurate with the resources requested and subsequently funded. This plan includes performance goals for each set of activities, a summary of the resources necessary to reach those goals, performance indicators that will be used to measure performance in the future, and identification of how the measured values will be verified. Performance Plans are developed by the HQ program area. The program area performance plans are integrated into the USACE Performance Plan.

Program Area: The program areas include Civil Works, Military Programs, and Research and Development. The program areas are mission-focused within USACE. These key mission areas receive authorizations from higher bodies that come from the Congress and Department of the Army. Activities of the program areas transcend multiple lines of business. While these program areas carry out specified missions in accordance with directives and mandates, the functional areas provide support to the missions.

Program Area Performance Plan: GPRAs require the submission of Program Area Performance Plans annually by every agency, following the transmittal to Congress of the President's budget. This plan links the program area's operations to its long-term goals. The program area performance plan is developed by each program area and submitted to the respective chain of command for approval. In the case of Civil Works, the Annual Performance Plan is submitted to the Office of the Assistant Secretary of the Army (Civil Works) for approval and is forwarded to the Office of Management and Budget. In the case of Military Programs, the Annual Performance Plan goes from the program area to USACE Commander.

http://www.whitehouse.gov/omb/circulars/a11/current_year/s220.pdf

Program Assessment/Evaluation: A program evaluation is an assessment, through objective measurement and systematic analysis, of the manner and extent to which Federal programs achieve intended objectives. A program evaluation can also track unintended effects.

http://www.whitehouse.gov/omb/circulars/a11/current_year/s200.pdf

Program Area Strategic Plans: The program area strategic plans contain the program area mission statement, program area strategic direction and goals and objectives that it needs to achieve. This plan also identifies specific strategies and performance measures for the program area. The plan is required to identify unpredictable elements that might affect the program. The program area strategic plans will elaborate on their respective mission. The program area strategic plans are to be created by the program director. To ensure that the program area strategic plan remains current, this plan is reviewed and updated, at least every three years.

http://www.whitehouse.gov/omb/circulars/a11/current_year/s210.pdf

Program Objective Memorandum: The Program Objective Memorandum (POM) is the primary document used by the military services to submit programming proposals. The POM includes an analysis of missions, objectives, alternative methods to accomplish objectives, and allocation of resources. With the implementation of a two-year budget cycle, a new document—the Program Change Proposal (PCP)—was introduced into the budgeting process to address urgent matters that need action during the off-budget year. The Military Services and Defense agencies use POM in the even-numbered on-budget years to develop proposed programs consistent with the

Joint Programming Guidance (JPG) and to submit proposed programming. In addition to the current budget year, the POM is a seven-year plan that is organized within program categories, such as conventional forces or special operations; and by type of resource, such as funding or manpower. POM is reviewed by program review teams comprising members from the military departments, Joint Chiefs of Staff (JCS), defense agencies, and OSD staff. The results of this review are presented to the Senior Level Review Group (SLRG) for discussion. In addition, the Joint Chiefs conduct a concurrent checks-and-balances review of POM, focusing on the balance and capabilities of the proposed forces levels. Both reviews are presented to the Secretary of Defense prior to his/her decisions in the Program Decision Memoranda (PDM).

Project Management Plan: See ER 5-1-11, U.S. Army Corps of Engineers Business Process, 01 Nov. 2006.

Purpose: See agency mission statement. The purpose statement defines the agency's mission and corresponds directly with the agency's core programs and activities. An agency's program goals should flow from the mission statement.

Staff Area: The functional areas are those Staff Areas that are Directorate and/or Separate Offices located in the HQs and MSCs (Divisions/Centers/Districts) and are responsible for supporting the key mission areas and/or their business programs. Their primary role is to support the missions of the command. In this case, the HQs staff areas include Directorate of Human Resources, Directorate of Resource Management, Directorate of Corporate Information, Directorate of Contracting, Safety and Occupational Health Office and Public Affairs Office. This same definition is applicable for functional areas in the MSC (divisions, centers and districts).

Staff Area Implementation Plan: See Staff Implementation Plan (Staff IPlan).

Staff Implementation Plan: See appropriate definitions for HQ Staff IPlan or MSC implementation plan.

Strategic Direction Statement: A strategic direction statement addresses the mission area's product and market scope, the supporting capabilities, how public value is created, and how the mission areas differentiates itself from other providers. The strategic direction statement is formulated by the various programs. The functional areas strategic direction statement must support of the program/mission area strategic direction statement and goals.

Strategic Vision Statement: A strategic vision statement is a compelling, conceptual image of the desired future that answers the question 'what do we want to be?' and is: (a) inspiring and challenges everyone to achieve that future and (b) brief, memorable, and idealistic. The strategic vision statement may be additionally supplemented with the command's intent and statement of purpose, answering the question "why do we exist?" It also contains the core values and beliefs that is a set of guiding principles and tenants for the command. There is one strategic vision statement and strategic intent for the command that is expressed by the commander.

Target: Quantifiable or otherwise measurable characteristic that tells us how well or what level a program aspires to perform.

USACE Campaign Plan: The USACE Campaign Plan articulates the command's vision and intent, mission, goals, and objectives as well as the command's strategies for achieving them. The Campaign Plan aligns with the strategic plans of USACE programs through a synthesis activity. In doing so, this plan gives a single and unified vision statement and thrust to the work for all USACE organizations and its employees. Strategic planning is a continuous process. The Campaign Plan is fully reviewed and updated every three or four years. Interim adjustments may be made, as needed, sometime in parallel with the various strategic plans, implementation plans and associated performance plans.

USACE Performance Plan: This document aligns command goals, objectives, strategies and metrics and budget to ensure performance-based budgeting. This document is to be developed and issued at a later date.

Values: Values are attitudes about the worth or importance of people, concepts, or things. Values influence behavior because people use them to decide between alternatives. Values, attitudes, behaviors and beliefs are cornerstones of who people are and how they do things. They form the basis of how people see themselves as individuals, how they see others, and how they interpret the world in general.