

APPENDIX D

JUSTIFICATION DATA

1. Purpose. Justification data are prepared by District Engineers in support of their budget request. These data are reviewed at Division and OCE level and provide the source of information for presentation of the budget to the Secretary of the Army, OMB, and Congress. They are also used by Division Engineers as Data for Testifying Officers in hearings held by the Congress.

2. Definitions. Two types of justification data are required for budgetary presentations.

a. Statement of Justification. This statement is prepared by the District Engineer and is used primarily as a working document not submitted to Congress. The format is shown as Illustrations No. D-1 and D-3.

b. Justification of Estimate. This statement is prepared by the Division Engineer and is used as the document which is submitted to Congress in support of the budget request. The format is shown as Illustration No. D-2.

3. Data Required for Preauthorization Feasibility Studies (Surveys).

a. Preparation and Format. District Engineers are required to prepare a Statement of Justification for each study in the proposed budget for the fiscal year. This will be done for new starts as well as continuing studies. They are prepared in June and updated in January in the format shown as Illustration No. D-1. Based upon the President's budget and the updated Statement of Justification, the Division Engineer prepares the Justification of Estimate in January in the format shown as Illustration No. D-2. The Justification of Estimates are to be typed on 8"x12 1/2" paper with the 12 1/2" edge at top and bottom. Minimum margins at left and right are to be 1", at the bottom 1/2" and the top 3/4". The appropriation title at the top is to be typed on the first page only within the 3/4" margin. These statements will be typed in the order shown on Illustration No. C-2. The studies will be assembled by class and alphabetically by State. A sub-total for each class for each column will be shown at the end of each class. A grand total for all classes will be shown on the last page. Strict adherence to the size of paper and maximum size of typed material is required.

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b. Submission. The initial submission will be made in June to the Division Engineer as separate inclosures to the letter transmitting the PB-5a (Ref. APP C). The data should reach the Division Engineer in sufficient time to allow a thorough review and approval prior to transmittal to OCE. The Division Engineers will review the statements and transmit three (3) copies to HQDA (DAEN-CWB) WASH DC 20314. When final budget decisions are made, the Statement of Justifications will be revised and the Division Engineers will transmit three (3) copies to HQDA (DAEN-CWB) WASH DC 20314. The original and one copy of the Justification of Estimates in the format shown on Illustration No. C-2 will be furnished to DAEN-CWB for transmission to Congress.

Division:
District:

Date Prepared:

STATEMENT OF JUSTIFICATION
(For all Preauthorization Feasibility Studies (Surveys) and Special Studies)
GENERAL INVESTIGATIONS - F.Y. 19BY
SURVEYS - (Specify Subclass)

1. Name of study. (Identify as "New Start," "Resumption," "Reoriented" or "Continuing" after the name.)
2. Authorization. (Cite authority for study.) (For "Authorization from Level B Studies" cite Level B authority and also name of Level B study.)
3. Summarized Financial Data:
Total estimated cost 1/
Allocation thru FY (PY) 2/
Budget estimate FY (CY) or OCE allocation FY (CY) 3/
Proposed allocation FY (BY)
Balance required after FY (BY)

1/ Federal cost - Indicate in footnote cost of non-Federal study effort.

2/ PY - Past Fiscal Year; CY - Current Fiscal Year; BY - Budget Fiscal Year

3/ Use Budget estimate in July submission and OCE allocation in January submission

4. Description of study area and nature of problems. (Furnish a brief description of the study area, the water resource development problems inherent in the area and the scope and principal purposes of the study. Indicate how and to what extent this study may serve to meet the regions needs and priorities by relating the urgency or priority of the particular problem to be investigated to the overall development of the drainage area. Provide a tabulation of basin needs and potential accomplishments by benefit category, e.g:

Benefit Category	Physical Unit	Basin	
		Needs (1990)	River Accomplishments
Urban Flood Control	Acres	4,000	2,700
Rural Flood Control	Acres	19,800	19,800

Fully justify basis and need for reorientation of survey and include information on interest of other Federal and local agencies.)

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Illustration D-1

5. Current status and work to be performed in FY (CY). (Briefly describe the progress of survey studies to date and the anticipated progress with the FY (CY) allocation. Relate the progress to scheduled completion of definite phases of field and office work, to work on any interim reports contemplated, and to the overall schedule for conducting the survey. Where appropriate, include pertinent remarks regarding required progress to keep pace with work of other Federal and local agencies. Furnish a brief summary of the types of projects, and their general location, which are under active consideration. Where practicable, furnish comments on the prospect for finding such projects to be economically feasible and desirable. For "new starts," report "Not applicable." For "resumption," report on the earlier progress and furnish the reasons for suspension of the study, as well as the reasons for resumption.)
6. Application of proposed allocation for FY (BY). (The information requested should be presented in a manner which will permit establishment of approved allocations in amounts to accomplish useful increments of work. Accordingly, the description of the work on which funds will be utilized should relate to definite phases of work cited under paragraph 5 and a breakdown should be furnished with respect to the proposed allocation of funds to each phase of work.)
7. Change in scope or cost during past year. (Include justification for change.)
8. Other ongoing studies in the area. (Briefly describe all other studies underway in area including both Federal and non-Federal studies.)
9. Other pertinent information. (Specify type of area (i.e., rural, urban, industrial, etc.) which would benefit from proposed improvement and indicate the population of some of the cities in the general area; apparent attitude of local interests; and the results and timing of previous investigations in the area. Also, furnish the relationship of this report to any other outstanding reports and/or any authorized projects. If area is designated as a "redevelopment area," or "labor surplus area," so state. If a navigation study, provide tabulation of 5-year history on commerce. If a flood damage prevention study, tabulate the flood history and the damages that could have been prevented by the proposed project and the current average annual benefits.)

APPLICANT TITLE: General Investigation, Fiscal Year 19 (BY) Division

Study	Total Estimated Federal Cost	Allocation		Tentative Allocation FY 19 (BY)	Additional Allocation to Complete After FY 19 (BY)
		Prior to FY 19 (CY)	FY 19 (CY)		
1. Surveys-New and Reoriented	\$	\$	\$	\$	\$

a. Navigation Studies: The amount of _____ is requested for completion of _____ studies and continuation of _____ studies during Fiscal Year 19 (BY).

State A

Study A

(Furnish brief description of the study area, the water resource development problems and the scope and principle purposes of the study. It should also cite any matters known to be of concern to the Congress and the support of local interests. It should specifically explain any significant change in the cost of the survey due to changes in scope, content, or detail, and should cite the specific cost for each. Increases accounted for solely by pay raise legislation enacted since the last submission of the study to the Congress need not be explained.)

Study B (etc)

Total Navigation Studies

b. Flood Damage Prevention Studies: (etc)

c. Shoreline Protection Studies: (etc)

d. Special Studies: (etc)

e. Comprehensive Studies: (etc)

Total-New Starts

2. Surveys-Continuing

a. Navigation Studies:
(etc., as above for new starts)

Illustration D-2

District:
Division:

Date Prepared:

STATEMENT OF JUSTIFICATION

(To be used for all classifications other than preauthorization studies and special studies)

GENERAL INVESTIGATIONS - FY 19(BY)
(Specify Subclass)

SCOPE AND AUTHORITY: (Briefly describe scope of studies and authority for each study.)

SUMMARIZED FINANCIAL DATA:

Appropriation for FY 19(CY).

Estimated 5-year (Budget Year + 4) program cost. 1/

Appropriation Requested for FY 19(BY).

Balance to complete 5-year program.

Average Annual allocation for last 5 years.

JUSTIFICATION: (Furnish justification for program and extent of interagency and local coordination. Indicate amount of budget year request and purpose for which funds will be used.)

ACCOMPLISHMENTS: (Briefly describe accomplishments to date on programs currently budgeted and any conclusions or results of studies to date.)

FISCAL YEAR (Budget Year): (Indicate total request for budget year and justify need for amount requested. Tabulate amounts for individual studies and furnish individual justification for these amounts when appropriate.)

1/ Corps of Engineers estimate.

Illustration D-3