

APPENDIX E

NEW START LEVEL C STUDY BUDGET DATA

1. Purpose. A sound, reliable Level C study program is dependent upon initiation of high priority new starts which will lead to satisfying the water resources needs and objectives of the Nation. In accordance with this appendix and annual criteria supplied by the Chief of Engineers, Division Engineers prepare a recommended 5-year new-start investment program which will best fulfill the needs and objectives of the water resource region. Realistic budgetary constraints are applied, and, based upon priorities established, new survey starts are recommended for inclusion in the President's fiscal year budget.

2. General Criteria for New Survey Start Eligibility.

a. Prior to recommending a Level C study new start, the following should be determined: The needs and desires of local interests; and the adequacy of the authority to address the anticipated problems. Current program emphasis will be provided by DAEN-CWB in an annual budget circular.

b. In analyzing new start recommendations, consider the total study program capability that is necessary to effectively manage continuing, as well as new start surveys. The Division Engineer may choose to place emphasis on the continuing program and defer any potential new starts. In contrast, it may be necessary for Division Engineers to recommend high priority new start Level C studies and recommend deferral or termination of low priority continuing studies because of funding or management constraints.

c. Recommendations for new start Level C studies may be based on the use of consultants. There should, however, be sufficient in-house capability for overall management and integration of planning done by others.

d. For purposes of scheduling recommended new starts, consider completing Level C feasibility reports, or interim reports, within 3-4 years.

e. A study which has not been funded for 5 years or more and is to be resumed, is to be considered the same as a Level C study new start.

f. Authorizations from Level B studies are to be considered as continuing studies under the Level C classification regardless of whether the budget year request is for initiation or continuation.

3. Preparation Format and Submission.

a. The 5-Year Survey Investment Program will be prepared by the Division Engineer for all water resource regions or portions of regions in his Division as defined in ER 18-2-1. Use the table identified as Illustration No. E-1 to list all active authorized studies within the region available for initiation or resumption within the five-year period. Division Engineers having more than one region or parts of regions within their Division should rank all studies in a continuous division priority sequence without regard to region. As a result, regions in such divisions may have discontinuous priority sequences. For regions which overlap division boundaries DAEN-CWB will interweave the separate division submissions and assign new regional priority numbers. The assignment of priority numbers should be based on consideration of regional water resource needs, Corps objectives, an appropriate balance of studies which focus on traditional Corps implementation roles and those which focus on problems for which solutions have been traditionally the responsibility of state and local governments and current program emphasis and guidance as set out in annual budget circulars. Regional resource needs are contained in the Five-Year Construction Investment Program Needs Data Base (or PPB System). The five-year regional investment allocation will be furnished annually by DAEN-CWB. Put a dashed line above the first study on the five-year program list whose cost when added to the cumulative total exceeds the regional allocation. This does not apply to submissions for part of a region. The studies above the line are those within the five-year investment program eligible for recommendations as new starts. Regions which have a total cumulative backlog cost smaller than the regional allocation will have surplus allocations. This surplus will be distributed to other regions by DAEN-CWB and the dashed lines adjusted accordingly. You may wish to recommend some surveys below the dashed line in the event such adjustments would make them eligible. Each major region should reflect a continued concern for ongoing studies oriented to solution of urban problems; this does not mean that such a study is automatically classed as an urban study. Consideration should be given to combining outstanding studies that relate to urban areas as part of an overall urban type study. The due date (usually in July) will be furnished by the Chief of Engineers in the annual budget circular. The data should be submitted to HQDA (DAEN-CWB) WASH DC 20314.

b. Budget Year Data will be based upon the Division Engineer's recommended 5-Year Survey Investment program. Statements of Justification and PB-5a's will be prepared by District Engineers and submitted to Division Engineers for review. Following this review, Division Engineers will submit PB-5a's and justification data to DAEN-CWB in early August.

(1) All new surveys recommended for the budget year will be listed by District on PB-5a's showing the budget year plus the four following fiscal years and balance to complete. PB-5a's submitted for this program will be marked "New Starts" in the lower right hand corner.

(2) Statements of Justification will be prepared in the format shown as Illustration No. D-1 in Appendix D. Justification data submitted for budget year must present explicitly and objectively the merits of the recommended study, including any factual data that may make it unwise or impractical for OCE to recommend the study for inclusion in the budget. The justification data for each recommended study should include specific information on how, when, and to what extent, each will contribute to meeting local, basin, and regional water resource development needs. The justification will indicate size and proximity to urban areas and identify existing water related needs. A narrative description of any potentially significant or controversial issue associated with the survey will be included. Study area maps reduced to 8" x 10 1/2" will accompany the justification sheets.

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Division Recomm'd Priority <u>2/</u>	Total Program Priority <u>3/</u>	District Name	Study Status <u>4/</u>	Study Name	Estimated Fed Study Cost	Cumulative Program Fed Study Cost	Year	
							Available To Initiate	Year
<u>Name of Region</u>								

- 1/ Do not include studies previously funded for completion.
- 2/ Priorities are those which the Division Engineer recommends for new starts within this region. Studies should be listed in priority order. In the case where more than one Division has jurisdiction in a region, QCE will consolidate the Division submissions.
- 3/ Enter the priority of the proposed study relative to Division continuing program. For example, if the program has 10 studies, and the new start would fall between 7 and 8 of the continuing program, enter 7A.
- 4/ Use one of the following symbols: AS - Available for initiation in Budget Year
 NA - Unauthorized--with strong potential for authorization
 US - Authorized but unavailable for initiation in Budget Year
 AR - Available for resumption in Budget Year (not funded for five years)