

DEPARTMENT OF THE ARMY
Office of the Chief of Engineers
Washington, D. C. 20314

DAEN-CWB

Regulation
No. 11-2-220

29 July 1977

Army Programs
CIVIL WORKS ACTIVITIES
GENERAL INVESTIGATIONS
(RCS DAEN-CWB-12)

1. Purpose. This regulation furnishes guidance and establishes procedures pertaining to programming and budgeting of Civil Works functions under the General Investigations appropriations title and for the General Investigations function under the Flood Control, Mississippi River and Tributaries title.

2. Applicability. This regulation applies to all OCE elements and all field operating agencies having Civil Works responsibilities.

3. Reference.

- a. ER 11-2-201
- b. ER 11-2-240
- c. ER 18-2-1
- d. ER 18-2-2
- e. ER 37-2-10
- f. ER 70-1-5
- g. ER 1105-2-10
- h. ER 1105-2-14
- i. ER 1105-2-81
- j. ER 1105-2-82
- k. ER 1105-2-210
- l. EM 1110-2-8201

This regulation supersedes Chpt. 2 and that portion of Chpt. 6, ER 11-2-101 pertaining to General Investigations function under the Flood Control, MR&T Title, 1 August 1964 and cancels RCS DAEN-CWP-6 (R2) and RCS DAEN-CWB-9.

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4. Reports Control Symbols. RCS numbers assigned for the reporting of the data required by this ER are:

a. Budgetary Justification Data. RCS DAEN-CWB-12 is assigned to the submission of Civil Works budgetary data needed to support and justify budget requests. These data cover the requirements for the initial submission of field recommendations, the formulation of the Corps of Engineers budget recommendations to the Secretary of the Army and the Office of Management and Budget (OMB), and the defense of the President's Budget before Congress.

b. Current Fiscal Year Reporting. Separate RCS numbers have been assigned to the reports pertaining to the submission of data concerning the execution of the current year program. The RCS numbers assigned for these reports are:

<u>Report</u>	<u>RCS Number</u>
Schedules of Obligations and Expenditures	DAEN-CWB-8
Report of Civil Works Expenditures by State	DAEN-CWB-3

5. Appropriation. The General Investigations appropriation title provides funds for:

a. Investigations authorized by general or specific Congressional legislation or by resolution of the Committee on Environment and Public Works of the U.S. Senate or the Committee on Public Works and Transportation of the House of Representatives, including interim reports thereon. The purpose is to determine the advisability of adopting new or modifying existing Federal projects for navigation, flood damage prevention, shoreline protection, and solutions for related water resources needs including those for which there is no Corps of Engineer implementation role. Planning assistance to and coordination with other Federal agencies, States, and other non-Federal public interests are also funded under this appropriation.

b. Activities in the collection and study of basic data not chargeable directly to authorized surveys or projects, performed by other Federal agencies with funds budgeted for and transferred by the Corps of Engineers under the cooperative programs of observing and compiling basic data on streamflow, rainfall, and the Corps participation in the various boards to study and control international streams and watersheds which mutually affect the United States and bordering nations.

c. Research and development activities which assist in the solution of continuing and recurring water resource development problems affecting the planning, construction and operation of projects, but not directly chargeable to authorized surveys or projects, nor covered by cooperative programs for which funds are transferred to other agencies.

6. Appropriation Structure. The Corps of Engineers Civil Works budget request for appropriation of funds for General Investigations is submitted to the Secretary of the Army, OMB, and to the Congress in accordance with the categories and classes shown in Appendix A.

7. Study Classifications, Accounts and Definitions. Appendix A contains the data indicating the General Investigations study classifications, accounts, uniform cost account numbers and definitions required for study management and accounting.

8. Cost Estimates. Realistic and accurate cost estimating is essential to dependable programming, budgeting and study management to achieve scheduled milestone dates and assure timely completion of funded studies.

a. Study Cost Estimate (PB-6), ENG Form 2204 (RCS DAEN-CWB-12). The Study Cost Estimate is the detailed breakdown of the total estimated Federal cost of the study by study accounts and subaccounts and, if applicable, the justification of specific changes from the previous approved estimate. It provides basic cost data required for preparation of budget requests and justification to OMB and the Congress. The Study Cost Estimate (PB-6) is used for Navigation Studies, Flood Damage Prevention Studies, Shoreline Protection Studies, Special Studies, Authorization studies derived from Level B Studies, and Review of Completed Projects (Section 216, P.L. 91-611). Appendix B provides the details for preparation and submission of the PB-6.

9. Budgetary Submissions. The Corps of Engineers annually furnishes the Secretary of the Army, OMB, and the Congress with sufficient information upon which to base a decision for inclusion of a study in the President's Budget and the appropriation of funds for continuing studies and programs and new start recommendations under the General Investigations appropriations title. Guidance for preparations and submissions of required data by Division and District Engineers and other responsible officers are provided below and in the referenced appendixes.

10. Formulation of Budget Recommendations. The formulation of budget recommendations is initiated each spring in OCE by the issuance of an Engineer Circular which outlines specific guidance and criteria to be

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observed in the preparation and submission of funding recommendations for continuing activities and new start recommendations under the General Investigations appropriations title. With this background, the District Engineer or responsible officer prepares his request for funds, detailing the proposed programming of studies with accompanying supporting justification and submits his request for review to the Division Engineer or OCE as appropriate. After review of the District Engineer's programs, the Division Engineer submits his program to OCE.

a. After review of the overall General Investigations program in OCE and the Office of the Assistant Secretary of the Army for Civil Works, it is incorporated in the yearly Civil Works Budget Memorandum and submitted to the Secretary of the Army for transmittal to OMB.

b. After OMB has reviewed and acted on the General Investigations program, it furnishes a "passback" of specific allowances and the overall program. OCE then advises the Division Engineers of their allocations within these specific allowances to studies and program activities and may permit field adjustments for individual studies. After final adjustments have been made, the Districts prepare a Statement of Justification for each study and submit them to the Division for review, consolidation and preparation of the final Justification of Estimate at the Division level for submission to the Congress in January.

c. After appropriations of funds by Congress and apportionment by OMB, OCE issues General Investigations work allowances by applicable classes to the Districts and operating elements in accordance with the instructions of Congress and OMB. The Districts and operating elements then adjust their General Investigation program to conform with these work allowances and prepare a revised Schedule of Obligations and Expenditures.

11. Preauthorization Feasibility Studies (Surveys) - Continuing.

a. Initial Submission - (RCS DAEN-CWB-12). Based on guidance contained in the annual Engineer Circular, District Engineers, utilizing the Study Program Schedule, ENG Form 2205a (PB-5a) and Statements of Justification, prepare their recommendations for funding. On completion, these documents are forwarded to the Division Engineer in sufficient time to allow thorough review and approval by the Division Engineer prior to submission to OCE. Submission dates and any data required to be submitted for any alternative program or level of funding will be specified annually by DAEN-CWB. Instructions for preparation of the PB-5a and Statement of Justification are contained in Appendices C and D respectively.

(1) Study Program Schedule (PB-5a) ENG Form 2205a-(RCS DAEN-CWB-12). The PB-5a presents the total study cost estimate, past allowances, allowance for current fiscal year, and the proposed funding schedule annually for the budget year plus the four following fiscal years and the balance to complete thereafter. It is the basic document for initial study programming and annual budgetary recommendations.

(2) Statement of Justification - (RCS DAEN-CWB-12). A Statement of Justification for each study recommended for inclusion in the President's Budget will be prepared as concisely as possible and will contain the necessary information for a complete and logical presentation by OCE to the Secretary of the Army and to OMB.

b. Final Submission - (RCS DAEN-CWB-12). After OMB has furnished final budget allowances for the budget fiscal year, DAEN-CWB will notify the Division Engineer of these amounts. The Division Engineer will then prepare the Justification of Estimate based on data supplied by the District Engineers and submit this document to OCE for inclusion in the justification data presented to Congress in defense of the President's Budget. Instructions for preparation of the Justification of Estimate are contained in Appendix D.

c. Statement of Justification - (RCS DAEN-CWB-12). The District Engineer revises the Statement of Justification prepared for the initial submission to conform with the final budget allowances for the budget year and submits these documents to the Division Engineer for review and approval. After approval by the Division Engineer the Statements of Justification are submitted to DAEN-CWB as supporting justification data for those studies contained in the President's Budget.

12. Preauthorization Feasibility Studies (Surveys) - New Starts.

a. Initial Submission. Division Engineers may recommend for initiation of investigation, in the budget fiscal year, those studies which are of high priority and are contained in the five-year investment program.

(1) Five-Year Investment Program. Each year Division Engineers will prepare a Five-Year Survey Investment Program for each region or portion of region within the division, based on a regional investment allocation provided annually by DAEN-CWB. The Five-Year Investment Program should contain all active authorized studies available for initiation in the five-year period. The priority ranking of these surveys should be based in part on an analysis of the water resource

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needs and Corps of Engineers objectives within each water resource region, as contained in the Five-Year Construction Investment Program, Needs Data Base. (Also referred to as the Planning, Programming and Budgeting System - PPBS). A thorough analysis of the backlog of studies for recommendations regarding reclassification should be conducted in accordance with ER 1105-2-10 prior to formulation of the investment program. Detailed instructions for the data required in this submission are provided in Appendix E.

(2) Budget Fiscal Year Data. Extreme care should be exercised to assure that studies recommended for initiation are of high priority and have the support of local interests. District Engineers prepare the PB-5a, Statement of Justification, and study area maps for each study being recommended, in accordance with instructions contained in Appendix D. These will then be submitted to the Division Engineer for review. Based upon the District Engineers submittal, Division Engineers prepare the summary table illustrated in Appendix E and forward all data to OCE.

b. Final Submission. Upon notification by OCE of the studies which have been included in the President's Budget as new starts, the District Engineer will update and revise as necessary the Statement of Justification for each study in the budget. These will be submitted to the Division Engineer for review and use as Data for Testifying Officers at the Congressional budget hearings. The Division Engineer will also use them in preparing the Congressional Justification of Estimate. The new start Statement of Justifications and Justification of Estimates will be transmitted to OCE with the continuing program in accordance with instructions contained in Appendix D.

13. Framework and River Basin Studies. Coordinated Federal inter-agency budgets for Framework Studies and Assessments (Level A) and Water Resources Council Comprehensive Basin Studies (Level B) including supporting justification are prepared and submitted in accordance with instructions from the Water Resources Council and OCE. (ER 1105-2-14).

14. Review of Authorized Projects. Submissions for the subclasses "Review of Completed Projects" and "Restudy of Deferred Projects" shall be prepared in accordance with instructions provided by Appendix D for preauthorization feasibility studies. Submissions for "Project Deauthorization Reviews" shall be prepared in accordance with ER 1105-2-82 and instructions given in Appendix F. Submissions on "Detailed Economic Studies" shall be prepared in accordance with specific instructions from DAEN-CWB, as required.

15. Coordination with Other Federal Agencies, States, and non-Federal Public Interests; International Water Studies; and Hydrologic Studies - (RCS DAEN-CWB-12). The preparation and submission of budget recommendations and supporting justification data for these classes are the same as for Preauthorization Feasibility Studies (Surveys) - Continuing, except that the Statement of Justification will be prepared in the format of Illustration D-3, Appendix D. There is no requirement for inclusion of these classes in the Justification of Estimate.

16. Stream Gaging (U. S. Geological Survey). Budgetary requirements and preparation of justification data for this class are consolidated and prepared in OCE based on data submitted by the Division Engineer in accordance with the provisions of EM 1110-2-8201. Coordination with U.S. Geological Survey is accomplished at the OCE level.

17. Precipitation Studies (National Weather Service). Budgetary requirements and justification data required for this class are prepared in OCE after coordination with the National Weather Service.

18. Flood Plain Management Services. Budgetary requirements and justification data required for this class are prepared in OCE based on data submitted by the Division Engineer in accordance with instructions issued by DAEN-CWP-F and DAEN-CWB in an annual Engineer Circular.

19. Scientific and Technical Information Centers. Budgetary requirements and justification data required for this class are prepared in OCE based on data submitted by the Director, Waterways Experiment Station and the Director, Coastal Engineering Research Center. The data submitted by WES and CERC is the same as that required for Preauthorization Feasibility Studies (Surveys) - Continuing, except that the Statement of Justification will be prepared in the format of Illustration D-3, Appendix D and there is no requirement for preparation of a Justification of Estimate.

20. Coastal Data Collection. Budgetary requirements and justification data required for this class are prepared in OCE based on data submitted in accordance with requests from DAEN-CWE.

21. Research and Development. Budgetary requirements and justification data required for this class are prepared in OCE by the Research and Development Office in accordance with the provisions of ER 70-1-5.

22. Capabilities (RCS DAEN-CWB-12) and Disclosure of Budgetary Information.

a. The President's Budget is the appropriate amount consistent with the Administration's assessment of national properties and objectives.

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All elements of the Corps are expected to support the President's Budget decisions. However, for individual studies, the Congress has at times increased budget amounts on the basis of the amount in addition to the budget which could be efficiently utilized in the budget fiscal year. To this end, it is the practice of the Corps to provide local interests and the Congress, upon request, with capability amounts for individual studies. For each active authorized study which has not yet been funded for completion, the Division Engineer will establish a budget fiscal year capability in accordance with the directives and guidance contained in Appendix L or ER 11-2-240. The capability of each study is the amount which can be efficiently utilized during the budget fiscal year without regard to fiscal constraints but with full recognition of personnel restraints and sound engineering practice. Establishment of capabilities should be based on the assumption that capability amounts will be available on or about 1 October of the budget fiscal year. Tabulations of capabilities will be submitted, in accordance with Appendix L of ER 11-2-240 to HQDA (DAEN-CWB-S) WASH DC 20314 not later than the first Monday in January.

b. All budgetary data, such as the recommendations of District and Division Engineers, the Chief of Engineers, and the Secretary of the Army are not to be disclosed outside of the Department of the Army. Specific instructions on disclosure and mailing of budgetary documents are contained in Appendix L of ER 11-2-240.

23. Funding, Apportionment, Work Allowances and Transfers. The appropriation by Congress, apportionment by OMB, issuance of work allowances by OCE and any subsequent necessary adjustments for General Investigations funds are discussed in ER 11-2-201.

24. Current Year Program Management. It is imperative that: schedules of study activities be logical and orderly; schedules of obligations and expenditures be established and maintained; and accurate cost accounting and performance reporting methods be followed.

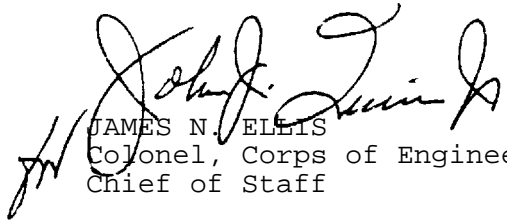
a. Schedules of Obligations and Expenditures ENG Form 2101 (RCS DAEN-CWB-8). Schedules of Federal obligations and expenditures for all classifications in the General Investigation appropriation title are prepared separately on ENG Form 2101. Information as to format and submission is contained in ER 11-2-240.

b. Intensive Management Program Monitor System (RCS DAEN-CWR-3). Policies, procedures, and reporting requirements for intensive management of the survey program are contained in ER 18-2-2 and ER 1105-2-10.

25. Report of Civil Works Expenditures by State - (RCS DAEN-CWB-3).
General Investigations funds are to be included in the report as outlined in ER 11-2-240.

26. Classifications for Active, Inactive and Deferred Studies.
Definitions and procedures for these recommendations are contained in ER 1105-2-10.

FOR THE CHIEF OF ENGINEERS:


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Chief of Staff

6 Appendixes
APP A - General Investigations
Accounting System
APP B - Study Cost Estimate (PB-6)
APP C - Study Program Schedule
(PB-5a)
APP D - Justification Data
APP E - New Survey Start Budget
Data
APP F - Deauthorization Review