



Subject: 3x3x3 Rule Exemption Process

Applicability: Guidance

1. Any feasibility study with a Chief's Report scheduled after December 2014 and scoped for greater than three years completion or for more than \$3 million requires a Senior Leader's panel review and DCG-CEO approval to proceed. The Senior Leaders Panel that will consider requests for exemptions from the 3x3x3 rule and make recommendations to the DCG-CEO includes Headquarters, U.S. Army Corps of Engineers (HQUSACE) Chiefs of Planning and Policy Division, Engineering and Construction, Real Estate, and Civil Works Program Integration Division. The Director of Civil Works will participate in the Senior Leaders Panel at his or her discretion. Approval of requests for exemptions is anticipated to be a small percentage of the time.

2. Exemptions will be requested in writing by the district Commander and endorsed to HQUSACE by the MSC Commander. The exemption package will be provided to the Regional Integration Team (RIT) and includes the following:

i. A brief report synopsis that describes the effort taken to reduce the scope and schedule, discusses the tasks that are the high risk schedule and budget drivers, identifies the vertical team that participated, and acknowledges the vertical team involvement (not to exceed 10 pages);

ii. A scoping plan that describes the path to completion of the study;

iii. A table that displays the original study budget (by work breakdown structure) and the current rescoped study budget;

iv. A table that displays the original study milestones and the current rescoped study milestones;

v. An electronic copy of the presentation that the district Commander will use to brief the Senior Leader Panel. The presentation is expected to be succinct, give a short background on the need for the study, sponsor support, and the factors driving the request for relief: project type, size, cost, and/or complexity.

3. Requests for exemptions will be logged with the Office of Water Project Review (OWPR) as a means of tracking exemption requests programmatically. The RIT Planner will be the review manager for the exemption request. After ensuring the completeness of the exemption request package, the RIT will schedule a meeting of the Senior Leader Panel at the earliest possible opportunity. The exemption request package will be circulated to HQUSACE members of the

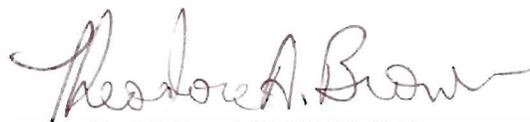
vertical team that were involved in the rescoping and provided concurrently to the Senior Leader Panel. HQUSACE vertical team members will concur with the MSC endorsement or non-concur with MSC endorsement and indicate additional measures that could be taken within acceptable risk to lower study costs and/or shorten the study schedule.

4. The Senior Leader Panel will be convened virtually. Expected participants include the district Commander, the project manager, the district Chief of Planning, the MSC Director of Programs, the MSC Chief of Planning and Policy, and HQUSACE members of the vertical team that were involved in the rescoping. Other functional Chiefs at the district and MSC levels will also participate as necessary. Following the district Commander's presentation, the Senior Leader Panel will ask questions of the district Commander and the vertical team as needed to ensure that the study is focused and scoped to the appropriate level of detail, utilizes rigorous management controls, and takes full advantage of existing and readily available information.

5. Based on the exemption package and the outcome of the Senior Leader Panel meeting, the Senior Leader Panel Members will either concur with the MSC endorsement or non-concur with MSC endorsement and indicate additional measures that could be taken within acceptable risk to lower study costs and/or shorten the study schedule. The Panel findings are not required to be unanimous and will be provided via a Staff Action Summary to the DCG-CEO for consideration. If the exemption is denied, the study must be rescoped in accordance with the SMART Planning procedures.

6. The DCG-CEO will indicate on the Staff Action Summary either concurrence with the MSC endorsement or provide other direction. The RIT will use this information to develop a Memorandum from the DCG-CEO to the MSC Commander with actions as required. An electronic copy of the DCG-CEO Memorandum will be provided to the Chief, OWPR to close the action in the review database.

7. Point of contact for the exemption process is Mr. Wesley Coleman, 202-761-4102.



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