



**US Army Corps
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PLANNING BULLETIN

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Subject: Application and compliance of SMART Planning and the 3x3x3 Rule

Applicability: Expands upon Planning Bulletin 2012-2, Planning SMART Guide

1. The purpose of this guidance is to describe the application of the 3x3x3 rule and SMART Planning for all planning studies.
2. There are two study categories in the active Planning Portfolio:
 - a. Legacy Studies. Legacy studies are being managed to completion without needing to transition to SMART Planning. 37 Legacy studies were identified in October 2013 by the Planning Advisory Board as studies funded to completion for a Chief's Report by 31 Dec 2014. Also included in this category are 8 studies that were identified as Legacy in Fiscal Year 2013, see the attached Legacy List (Table 1). If any of these studies do not complete by 31 Dec 2014 then permission to continue on a **specified** path recommended by the CECW-P Chief and MSC Commander is required from the DCG-CEO.
 - b. SMART Studies. If a study is not included in the attached Legacy List then it is a SMART study. This category includes all planning studies proceeding to complete a planning document, including but not limited to: Feasibility Report leading to a Chief's Report, Limited Re-Evaluation Report, General Re-Evaluation Report, Director's Report or Watershed Assessment.
3. SMART Planning Principles. These risk based principles or methodologies are to be utilized by all SMART studies, described above. This ability to think critically, identify risks, and move out on decisions allows for efficient execution of our planning program. Reference PB 2012-02 for more information on SMART Planning.
4. SMART Planning Framework. The framework or milestone structure is to be utilized by SMART studies leading to a Chief's Report, reference PB 2012-03. All other products will continue to follow the appropriate milestone structure as directed in existing guidance.
5. 3x3x3 Rule, Compliance, FCSA Amendment. The 3x3x3 rule applies to all SMART studies except watershed assessment studies.
 - a. 3x3x3 Rule. The 3x3x3 rule forces us to critically evaluate an appropriate scope and scale of our feasibility studies. If the vertical team agrees upon a specific scope for the SMART study that necessitates a cost and/or schedule beyond the \$3 million and/or 3 years is appropriate, then an exemption will be requested per reference PB 2012-04. The 3x3x3 rules are:
 - i. Maximum 3 million dollars total feasibility cost.

- ii. Maximum 3 years duration of feasibility study phase, time is calculated according to the time that full capability Federal funding is available.
- iii. 3 levels of vertical team alignment; District, MSC, HQUSACE.

b. 3x3x3 Compliance. Before proceeding with any feasibility work a study is required to have an approved exemption per PB 2012-04 or submit to the CECW-P Chief a 3x3x3 Compliance Memorandum that consists of the following:

- i. MSC Planning Chief endorsement of vertical alignment.
 - ii. Schedule including the scope and funding stream which demonstrates compliance.
- c. FCSA Amendments. Once an exemption is approved or a 3x3x3 Compliance Memorandum is submitted, the change to total study cost, based on the specifically approved scope, schedule and cost, is considered a non-substantive deviation when determining the amendment approval authority of the FCSA, reference ER 1165-2-502.

6. Watershed Assessment Studies. Given the unique nature of watershed assessment studies, as defined in EC 1105-2-411, we expect a variety in cost, scope, schedule and complexity. All watershed assessment studies will apply SMART Planning principles. Additional SMART Planning guidance is under development. Before proceeding with a watershed assessment study the Initial Watershed Assessment is required to be submitted to the CECW-P with a Watershed Memorandum that consists of the following:

- a. MSC Planning Chief endorsement of vertical alignment.
- b. Schedule including the scope and funding stream.

7. Point of contact for Planning Modernization Compliance is Ms. Susan B. Hughes, 202-761-4121.


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Table 1: Legacy Studies

37 Legacy Studies	MSC
Des Plaines River, IL (Phase II)	LRD
Green And Barren Rivers Navigation Disposition, KY	LRD
Mill Creek Watershed, Davidson County, TN	LRD
Calcasieu Lock, LA (GI)	MVD
Southwest Coastal	MVD
West Shore, Lake Pontchartrain (GI)	MVD
Lynnhaven River Basin, VA	NAD
Peckman River Basin, NJ	NAD
Portsmouth Harbor & Piscataqua River, Turning Basin, NH	NAD
Searsport Harbor, ME	NAD
Amazon Creek, OR	NWD
Cache La Poudre, CO	NWD
Kansas Citys, MO & KS	NWD
Manhattan, KS	NWD
Puget Sound Nearshore Marine Habitat Restoration, WA	NWD
Upper Turkey Creek, KS	NWD
Willamette River Environmental Dredging, OR	NWD
Willamette River Floodplain	NWD
Little Diomedes Harbor, AK (GI)	POD
Bogue Banks, NC	SAD
CEPP, Central Everglades Pilot Project	SAD
Edisto Island, SC	SAD
Flagler County, FL	SAD
Jacksonville Harbor, FL (Jax Harbor GRR)	SAD
John H Kerr Dam and Reservoir, VA & NC (Section 216)	SAD
Lake Worth Inlet, Palm Beach Harbor, FL	SAD
Port Everglades Harbor, FL	SAD
Princeville, NC	SAD
American Rvr Common Features GRR	SPD
LA River Ecosystem Restoration, CA	SPD
Solana Beach, CA	SPD
South San Francisco Bay Shoreline, CA	SPD
Sutter County, CA	SPD
Truckee Meadows, NV	SPD
West Sacramento, CA GRR	SPD
Brazos Island Harbor, Brownsville Channel, TX	SWD
Guadalupe And San Antonio River Basins, TX (Leon Creek)	SWD

8 Special Case Studies (FY 2013)	MSC
South Fork South Branch Chicago River (Bubbly Creek)	LRD
Upper Ohio Navigation Study, PA	LRD
Medium Diversion at Myrtle Grove	MVD
Upper Delaware River Watershed, Livingston Manor, NY	NAD
LA River Watercourse, Headworks Area, CA	SPD
Malibu Creek Watershed, CA	SPD
HGNC - Galveston Extension	SWD
Lower Guadalupe River, GSAR, FEA	SWD