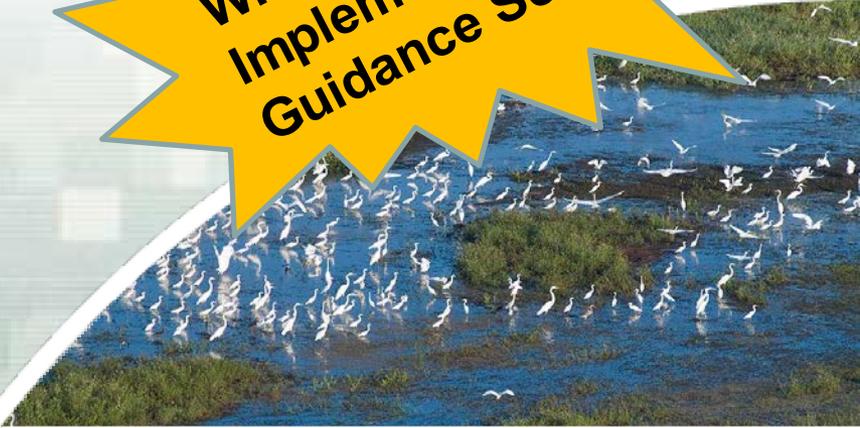


# PCoP Webinar Series

## Section 7001: Preparing the 2015 Annual Report to Congress

18 June 2015

Lisa Kiefel  
Planning Community of Practice



# WRRDA 2014 Section 7001 Overview:

## Annual Report on Future Water Resources Development

- Identifies proposals for new study authorizations, new project authorizations, and modifications to existing project or feasibility study authorities
- Based, in part, on annual requests from non-Federal interests
- Secretary certifies proposals meet five WRRDA criteria
- Proposals that don't meet criteria are included in an appendix



# An Important Note

When working with sponsors and potential sponsors, it is very important they understand:

- Inclusion in the Report does not provide authorization or appropriation for a study or project
- The Report does not replace the new start selection process for studies or projects
- The Report does not prioritize studies or projects



# Criteria For Inclusion in the Report Established by Congress

- Reports, proposed studies and modifications are related to USACE missions and authorities
- Require specific congressional authorization
- Have not been congressionally authorized
- Have not been included in the main table of a previous annual report
- If authorized could be carried out by USACE



# Congressional Feedback on 2014 Annual Report and Appendix

- The Report to Congress did not meet committees' expectations
- Requested ASA(CW) and USACE refinements to the preparation and submission of non-Federal interests proposals for potential congressional authorization of:
  - ▶ Completed feasibility reports
  - ▶ Proposed feasibility studies
  - ▶ Proposal modifications to authorized project or studies



# Developing the 2015 Annual Report

- FR Notice published 26 May and posted on HQUSACE website
- New online submission form for proposals
- Incorporating Lessons Learned from Inaugural Report to Congress, a more inclusive and expansive approach has been developed
- 7001 IG being revised and reissued to reflect changes to approach



# Section 7001 Webpage Resources

<http://www.usace.army.mil/Missions/CivilWorks/ProjectPlanning.aspx>

HEADQUARTER

 **US Army Corps of Engineers** Search HQ USACE

ABOUT BUSINESS WITH US MISSIONS LOCATIONS CAREERS MEDIA LIBRARY CONTACT

HOME > MISSIONS > CIVIL WORKS > PROJECT PLANNING

### Project Planning Links

- Civil Works Review Board
- Estuary Restoration Act
- Guidance Memos
- Legislative Links
- National Research Council of the National Academies
- Nonstructural Flood Proofing Committee
- Planning Community Toolbox
- Report to Congress on Future Water Resources Development**
- Review Plans

### Project Planning

Planning plays a vital role in supporting the Corps of Engineers Civil Works water resources development mission. Planning is a structured, rational approach to solving problems. It is also a creative process requiring experience, analysis, intuition and inspiration. Planner's help decision-makers identify water resources problems, conceive solutions to them and compare the importance of the inevitable conflicting values inherent in any solution. In accord with ER 25-1-8, following are the functional tasks:

- Oversee and develop the Civil Works planning mission.
- Develop and maintain policy doctrine.
- Promote a capable workforce.
- Build and maintain external relationships and coalitions.
- Promote PCoP communication.
- Enhance the learning organization.

Members of the planning team are professionals in the U.S. Army Corps of Engineers with expertise in water resources planning, including plan formulation, environmental evaluation, cultural resources evaluation, Civil Works Policy, and public involvement. Planning knowledge and skill is used to solve problems and inform decision making across Civil Works business lines and through the project development and implementation process.

For more information pertaining to policy, guidance, processes, and tools that are used every day in planning, please visit our Planning Toolbox.

### Useful Links

- Centers of Expertise
- Civil Works Policies
- Ecosystem Restoration Gateway
- Engineering Circulars
- Engineering Pamphlets
- Engineering Regulations
- Find a local Corps Office
- Institute for Water Resources
- Planning Guidance Notebook - EF 1105-2-100

### Products

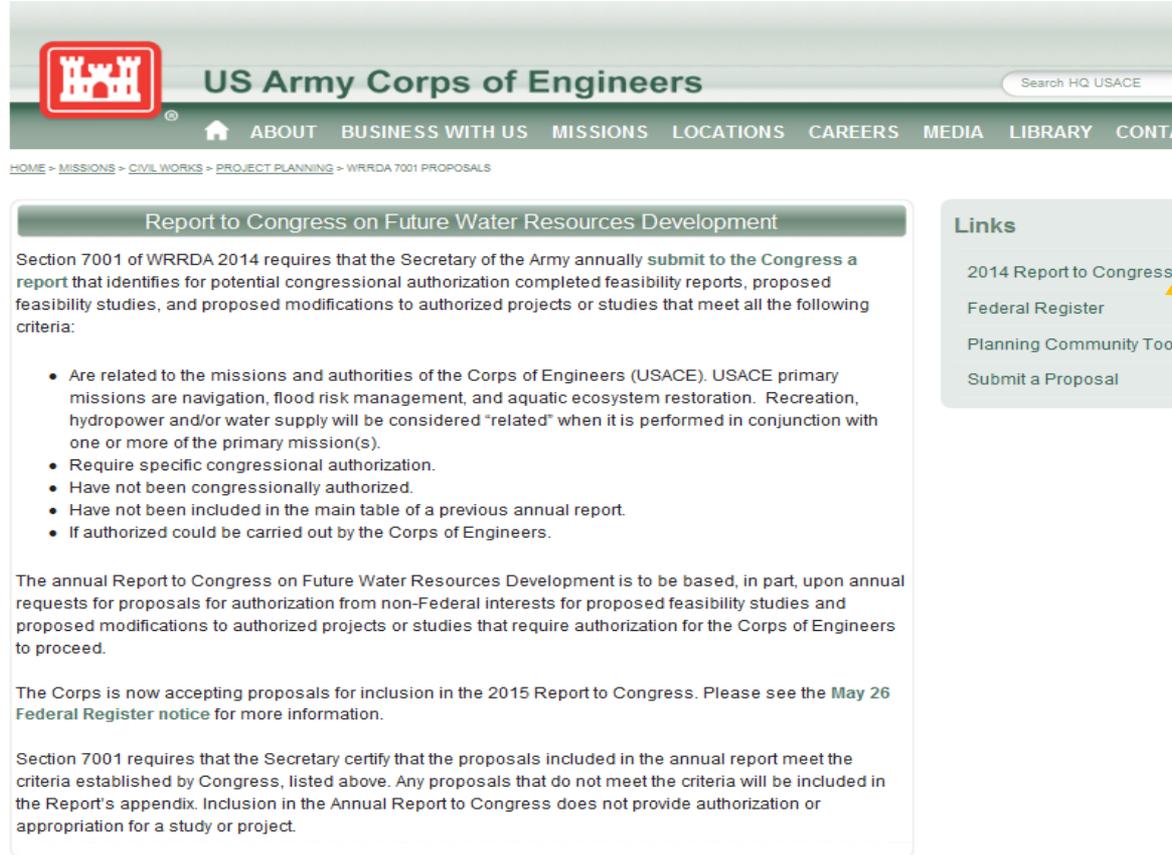
- Mitigation Status
- Peer Review
- Planner's Study Aid
- Project Partnership Agreement
- Signed Chiefs Reports

Click Here



# Section 7001 Webpage Info

<http://www.usace.army.mil/Missions/CivilWorks/ProjectPlanning/WRRDA7001Proposals.aspx>



**US Army Corps of Engineers**

Search HQ USACE

HOME → MISSIONS → CIVIL WORKS → PROJECT PLANNING → WRRDA 7001 PROPOSALS

### Report to Congress on Future Water Resources Development

Section 7001 of WRRDA 2014 requires that the Secretary of the Army annually submit to the Congress a report that identifies for potential congressional authorization completed feasibility reports, proposed feasibility studies, and proposed modifications to authorized projects or studies that meet all the following criteria:

- Are related to the missions and authorities of the Corps of Engineers (USACE). USACE primary missions are navigation, flood risk management, and aquatic ecosystem restoration. Recreation, hydropower and/or water supply will be considered "related" when it is performed in conjunction with one or more of the primary mission(s).
- Require specific congressional authorization.
- Have not been congressionally authorized.
- Have not been included in the main table of a previous annual report.
- If authorized could be carried out by the Corps of Engineers.

The annual Report to Congress on Future Water Resources Development is to be based, in part, upon annual requests for proposals for authorization from non-Federal interests for proposed feasibility studies and proposed modifications to authorized projects or studies that require authorization for the Corps of Engineers to proceed.

The Corps is now accepting proposals for inclusion in the 2015 Report to Congress. Please see the [May 26 Federal Register notice](#) for more information.

Section 7001 requires that the Secretary certify that the proposals included in the annual report meet the criteria established by Congress, listed above. Any proposals that do not meet the criteria will be included in the Report's appendix. Inclusion in the Annual Report to Congress does not provide authorization or appropriation for a study or project.

**Links**

- 2014 Report to Congress
- Federal Register
- Planning Community Tool
- Submit a Proposal

Top of page with general information and links to other resources, including Federal Register Notice.



# Instructions on Preparing and Submitting Proposals

## Preparing and Submitting Your Proposal

[Click here](#) to Submit a Proposal.

### Preparing a Proposal

Please see the [Federal Register Notice](#) for details on how the proposals will be reviewed. For inclusion in the 2015 Report, proposals must be received by **September 23, 2015**.

Submit proposals online at <http://www.wrrda7001proposals.us/>. Please submit one form for each study or modification to a study or project being proposed. We recommend completing the proposal form in one sitting and having all letters of support assembled before completing the form. You will need the following information:

1. The name of the proposal.
2. The name of all non-Federal interests planning to act as the study or project sponsor, including any non-Federal interests that have contributed or are expected to contribute toward the non-Federal share of the proposed feasibility study or modification.
3. Whether the proposal is for a feasibility study or a modification to an authorized USACE water resources development project or feasibility study and, if a modification, the name of the authorized water resources development project or study.
4. Clearly articulate the specific project purpose(s) of the proposed study or modification. Demonstrate that the proposal is related to USACE mission and authorities and specifically address why additional or new authorization is needed. USACE missions and authorities are primarily focused on flood and storm damage reduction, commercial navigation, or aquatic ecosystem restoration. Following long-standing USACE practice, related proposals such as for recreation, hydropower, or water supply will be considered for inclusion if undertaken in conjunction with a such a project or effort.
5. An estimate, to the extent practicable, of the total cost, and the Federal and non-Federal share of those costs, of the proposed study and, separately, and estimate of the cost of construction or modification.
6. A description, to the extent practicable, the anticipated monetary and non monetary benefits of the proposal including benefits to the protection of human life and property; improvement to transportation; the national economy; the environment; or the national security interests of the United States.
7. A description of local support for the proposal.
8. Confirmation of the non-Federal interest's financial ability to provide for the required cost share.
9. Letter or statement of support from each non-Federal interest.

All information submitted as part of the proposal may be included in the Annual Report to Congress. Please do not include information that is Confidential Business Information, information whose disclosure is restricted by statute, or other information that you would not want to appear in the annual report.

## Online Proposal Form for non-Federal Interests

Section 7001 of the Water Resources Reform and Development Act (WRRDA) 2014

Proposals from non-Federal interests to be included in the February 2016 U.S. Army Corps of Engineers Annual Report to Congress on Future Water Resources Development

Please do not include information that is Confidential Business Information, information whose disclosure is restricted by statute, or other information that you would not want to appear in the annual report.

1. Administrative details:

Name of the proposal:

Agency preparing the proposal:

FDC Name:  FDC Phone:  FDC Email:

Applicable States or Territories (Choose all that apply):

<input type="checkbox"/> AL	<input type="checkbox"/> FL	<input type="checkbox"/> LA	<input type="checkbox"/> NE	<input type="checkbox"/> OK	<input type="checkbox"/> VA
<input type="checkbox"/> AK	<input type="checkbox"/> GA	<input type="checkbox"/> ME	<input type="checkbox"/> NV	<input type="checkbox"/> OR	<input type="checkbox"/> VT
<input type="checkbox"/> AZ	<input type="checkbox"/> HI	<input type="checkbox"/> MD	<input type="checkbox"/> NH	<input type="checkbox"/> PA	<input type="checkbox"/> WA
<input type="checkbox"/> AR	<input type="checkbox"/> ID	<input type="checkbox"/> MA	<input type="checkbox"/> NJ	<input type="checkbox"/> RI	<input type="checkbox"/> WV
<input type="checkbox"/> CA	<input type="checkbox"/> IL	<input type="checkbox"/> MI	<input type="checkbox"/> NM	<input type="checkbox"/> SC	<input type="checkbox"/> WI
<input type="checkbox"/> CO	<input type="checkbox"/> IN	<input type="checkbox"/> MN	<input type="checkbox"/> NY	<input type="checkbox"/> SD	<input type="checkbox"/> WY
<input type="checkbox"/> CT	<input type="checkbox"/> IA	<input type="checkbox"/> MS	<input type="checkbox"/> NC	<input type="checkbox"/> TN	<input type="checkbox"/> GU
<input type="checkbox"/> DE	<input type="checkbox"/> KS	<input type="checkbox"/> MO	<input type="checkbox"/> ND	<input type="checkbox"/> TX	<input type="checkbox"/> PR
<input type="checkbox"/> DC	<input type="checkbox"/> KY	<input type="checkbox"/> MT	<input type="checkbox"/> OH	<input type="checkbox"/> UT	<input type="checkbox"/> VI

2. Provide the name of the primary sponsor and all non-Federal interests that have contributed or are expected to contribute toward the non-Federal share of the proposed feasibility study or modification.

Primary Sponsor:  Statement of Support:  Upload Letter:

Other Non-Federal Interests: (Optional)

3. State if the proposal is for a feasibility study, a modification to an authorized USACE feasibility study or a modification to an authorized USACE project. If it is a proposal for a modification, provide the authorized water resources development feasibility study or project name.

Feasibility Study  
 Modification to an Authorized USACE Feasibility Study  
 Modification to an Authorized USACE Project

4. Clearly articulate the specific project purpose(s) of the proposed study or modification. Demonstrate that the proposal is related to USACE mission and authorities and specifically address why additional or new authorization is needed.  
(2000 Character Maximum)

## Information on the Proposal Form



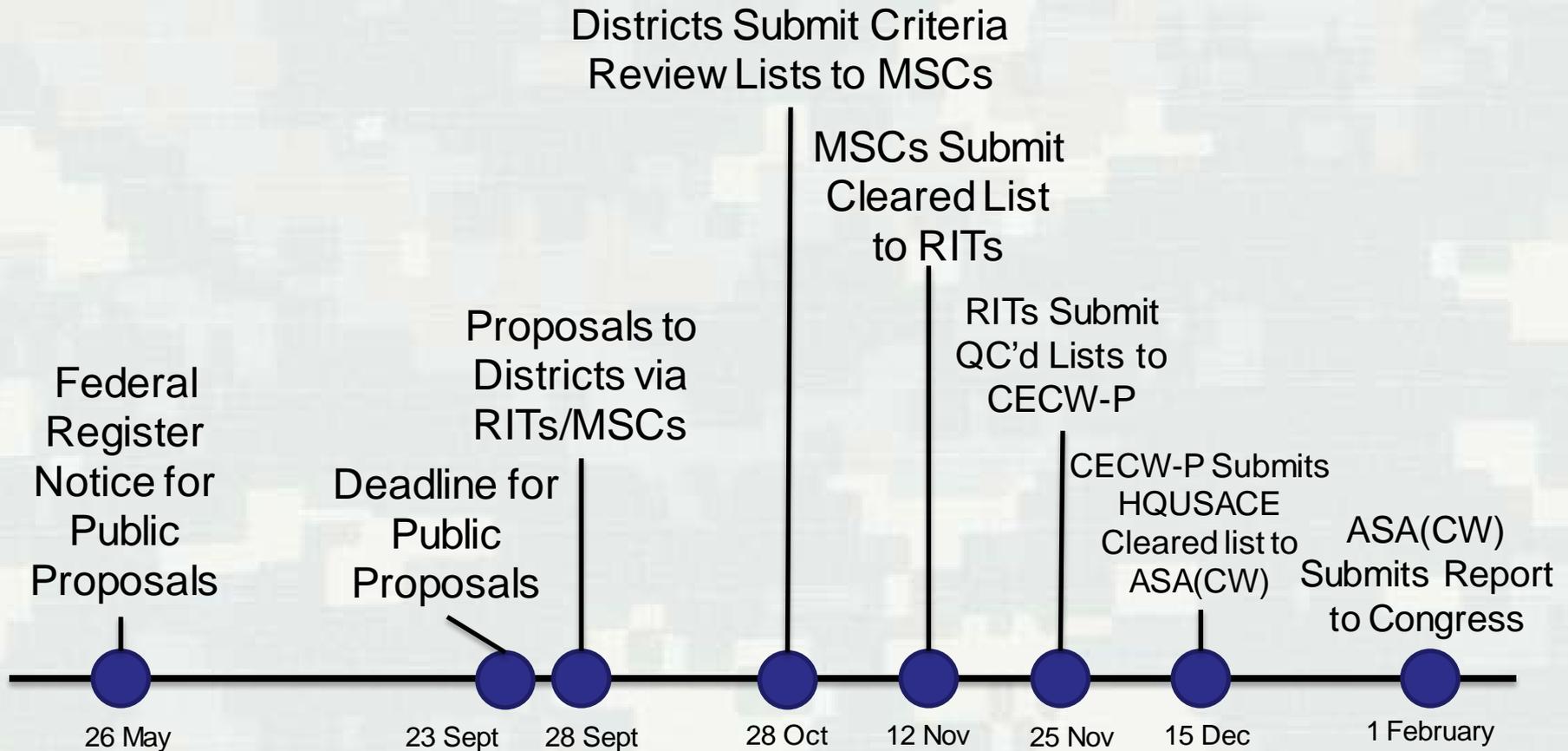
# Information Each Submission Includes:

- Sponsor Name(s)
- Study or Project Purpose
- Estimated cost (Fed and non-Fed)
- Anticipated monetary and nonmonetary benefits
- Letter or statement of support
- Financial capability of Sponsor

*Costs and Benefits estimates are "to the extent practicable"*



# Anticipated Timeline (2015)



# Before Proposals Come In

Communicate, Communicate, Communicate

- Districts
  - ▶ Reach out to non-Federal interests with proposals in 2014 Report Appendix and invite to resubmit (if appropriate)
  - ▶ Reach out to non-Federal interests you are expecting to Submit
- Leadership at Districts, MSCs, HQ & OASA(CW)
  - ▶ Communicate 2015 process and timelines with national organizations and other interested parties
  - ▶ Support Districts – answer questions timely about criteria



# Processing Proposals

- Deadline for receipt of non-Federal Proposals is 23 Sept 2015
  - ▶ Can be submitted online or by mail
- USACE and ASA(CW) will process and assess proposals
  - ▶ Database will be used to organize and evaluate proposal information
  - ▶ Districts are the lead in evaluating and documenting the 5 criteria
  - ▶ Districts, Divisions, RITs, HQUSACE, and OASA(CW) staff are involved in assessing proposals prior to providing final draft report and appendix to the ASA(CW)



# District Roles

- Provide a comprehensive, robust explanation for categorization (Report vs. Appendix)
  - ▶ Understand the proposals
  - ▶ Understand current authorities
  - ▶ Understand the five criteria and how to apply them
- If doesn't meet the 5 criteria, work with Sponsor / potential Sponsor on another solution:
  - ▶ Is there already an authority that addresses the request?
  - ▶ Is it not a USACE core mission?
  - ▶ Can it be addressed via another route – CAP, FPMS, Silver Jackets, other agencies, etc.?



# Criteria for Inclusion of a New or Modified Study or Project

1. Related to USACE authorities and one or more of the core missions
  - USACE primary missions are navigation, flood risk management, and aquatic ecosystem restoration. Recreation, hydropower and/or water supply will be considered “related” when it is performed in conjunction with one or more of the primary mission(s).



# Criteria for Inclusion of a New or Modified Study or Project

## 2. Required to have specific congressional authorization

- Seeking New Study Authorization
  - New Feasibility study proposals
  - Proposed modifications to USACE study authorizations
- Seeking Construction Authorization
  - Proposed Modifications to USACE projects
  - Proposals for an ongoing study that is expected to result in a Chief's Report
  - Section 203 study proposals
- Not Eligible
  - Proposals for construction authorization when a study has not been undertaken
  - Proposals to modifications where the USACE has provided technical assistance (Environmental Infrastructure)

**Caveat: Construction can not be recommended until a Chief's Report is signed and transmitted by the Secretary to Congress (EO 12322)**



# Criteria for Inclusion of a New or Modified Study or Project

3. Has not been previously congressionally authorized
4. Has not been included in a previous annual report (under 7001), **AND**
5. Able to be carried out by the USACE, if authorized
  - The decision document process must be followed and completed before a project or project modification can be recommended for construction



# The Appendix

Proposals that do not meet the criteria or do not contain all the required information will not be included in the Annual Report, but will be included in an appendix, citing which criteria were not met.



# MSC and RITs Roles

- Critically Evaluate / Review submissions for consistency
- QC / Backcheck with the Districts when necessary (e.g., verify authorities)
- Provide MSC cleared submissions to RITs (via consistent format)
- RITs – completeness check and QC lists by deadline



# Headquarters Planning Roles

- Ensures data integrity, consistency and completeness across all MSC submissions
- Engages with RITs on final backcheck
- CECW-P compiles RITs' lists for Report and Appendix
- Submits lists to ASA(CW)
- Works with ASA(CW) staff on final edits to report and appendix



# For the Latest Information

- **For sponsors and potential sponsors:** Report to Congress on Future Water Resources Development / WRRDA 7001 Webpage
  - ▶ Includes Links to Fed Register Notice and Proposal Form
  - ▶ FAQs on the Report to Congress on Future Water Resources Development (posted soon; Updated as additional questions arise)
  - ▶ Questions? Email: [wrrda7001proposal@usace.army.mil](mailto:wrrda7001proposal@usace.army.mil)
  - ▶ <http://www.usace.army.mil/Missions/CivilWorks/ProjectPlanning/WRRDA7001Proposals.aspx>
- **For Districts:** WRRDA 7001 Implementation Guidance (expect this to be updated and reissued soon)
  - ▶ [http://www.usace.army.mil/Portals/2/docs/civilworks/Project%20Planning/wrda/2014/2014\\_sec\\_7001.pdf](http://www.usace.army.mil/Portals/2/docs/civilworks/Project%20Planning/wrda/2014/2014_sec_7001.pdf)



# Have a question?

## Type 1 0 now.

When it's your turn, you'll hear:  
"Please ask your question after  
the tone."

We will answer as many  
as time allows.

*For more information:*  
<http://www.corpsplanning.us>



# Executive Order 12322— Water Resources Projects

**Source:** The provisions of Executive Order 12322 of Sept. 17, 1981, appear at 46 FR 46561, 3 CFR, 1981 Comp., p. 178, unless otherwise noted.

By the authority vested in me as President by the Constitution and laws of the United States of America, and in order to ensure efficient and coordinated planning and review of water resources programs and projects, it is hereby ordered as follows:

**Section 1.** Before any agency or officer thereof submits to the Congress, or to any committee or member thereof, for approval, appropriations, or legislative action any report, proposal, or plan relating to a Federal or Federally assisted water and related land resources project or program, such report, proposal, or plan shall be submitted to the Director of the Office of Management and Budget.

**Sec. 2.** The Director of the Office of Management and Budget shall examine each report, proposal, or plan for consistency with, and shall advise the agency of the relationship of the project to, the following:

- (a) the policy and programs of the President;
- (b) the Economic and Environmental Principles and Guidelines for Water and Related Land Resources Implementation Studies or other such planning guidelines for water and related land resources planning, as shall hereafter be issued; and
- (c) other applicable laws, regulations, and requirements relevant to the planning process.

[Sec. 2 amended by Executive Order 12608 of Sept. 9, 1987, 52 FR 34617, 3 CFR, 1987 Comp., p. 245]

**Sec. 3.** When such report, proposal, or plan is thereafter submitted to the Congress, or to any committee or member thereof, it shall include a statement of the advice received from the Office of Management and Budget.

**Sec. 4.** Executive Order No. 12113, as amended, is revoked.



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