PCoP Webinar Series

Section 7001: Preparing the 2017 Annual Report to Congress on Future Water Resources Development

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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
2016 Report to Congress

- 61 proposals submitted
  - 25 were proposals for new feasibility studies,
  - 34 were proposals for modifications to existing projects or changes to legislation
  - 2 were proposals for a study modification.
- 30 of the 61 met the criteria and were included in the Report; 31 in the Appendix
- Re-evaluated 74 submissions from 2015 Appendix; 31 met the criteria (one-time review)
- Also includes 22 completed Chiefs Reports
How We’re Doing: Congressional Feedback

- The 1st Report to Congress did not meet Committees’ expectations
  - Evaluation criteria too exclusive
  - Not enough work with non-federal interests
- The 2nd Report to Congress better met the Committee’s expectations
  - Revised the evaluation criteria
  - Increased outreach and follow-up with non-federal interests
    - Created information website with online proposal form and email support services
After Action Review: Big Picture

- No significant changes needed to online proposal form or website
- Non-Fed interests need clarification on meaning of inclusion in Report /Appendix and perceived link to appropriations and authorization
- RITs need earlier involvement with the MSC/District on the evaluation process
- SharePoint technical issues related to proposal evaluations need addressing
  - Problems checking evaluations in-and-out
  - Editing, signing and saving form changes problematic at times
  - Adding summary text regarding reasons for inclusion in the report or appendix would be helpful for evaluators use

Office of Counsel Review Required – More to follow
Developing the 2017 Annual Report

- Federal Register Notice expected to be published 20 May 2016 and posted on HQUSACE website
- Online submission form for proposals (similar form as last year; very minor tweaks)
- Continuing the more inclusive and expansive approach used last year
- 7001 IG being revised and reissued to reflect the current schedule and changes from AAR
During the Proposal Period

Communicate, Communicate, Communicate

- **Districts**
  - Reach out to non-Federal interests you are expecting to submit
  - Reach out to non-Federal interests with proposals in the Report Appendix and invite to resubmit (if appropriate)

- **Leadership at Districts, MSCs, HQ & OASA(CW)**
  - Communicate process and timelines with national organizations and other interested parties
  - Support Districts – timely answers to questions about criteria
Information Each Submission Includes:

- Non Federal Interest 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
- NEW – Request for Map (Optional)

Costs and Benefits estimates are “to the extent practicable”
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.?
Evaluating Proposals

**Step 1** -- Determine what you’re evaluating.

Proposals are submitted as:

1. New study authorization needed
2. Modification to existing Study authority
3. Modification to existing construction authority

District Evaluator will review proposal and determine if it is being evaluated for:

1. New study authorization needed
2. Modification to existing Study authority
3. Modification to existing construction authority
4. New construction authorization
When do you Evaluate for Construction Authorization?

Evaluate a Proposal for construction authorization if it is a:

- Feasibility study with signed Chief’s Reports this past year
- Proposal that requested modifications to a Corps project already has study authorization (Section 216 – Review of Completed Projects)
- Ongoing study past the TSP Milestone
- Ongoing study performed by a non-Federal interest (WRDA ’86, Section 203)
Criteria For Inclusion in the Report Established by Congress

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

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 Overview

2. Required to have specific congressional authorization
   - Evaluating for Study Authorization
     • New Feasibility study proposals
     • Proposed modifications to USACE study authorizations
   - Evaluating for Construction Authorization
     • Proposed Modifications to USACE projects
     • Proposals for an ongoing study that is expected to result in a Chief’s Report
     • Sponsor lead study proposals expected to result in a Report submitted to ASA
   - 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)
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.

- Environmental Infrastructure
- Proposals that are not a request for a Corps project or study
  - Legislative Changes beyond changes to study or construction authorities
- Deauthorization
MSC and RIT 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
Processing Proposals

- Deadline for receipt of non-Federal Proposals is 19 Sept 2016 (exact date in Notice)
  - Can be submitted online or by mail
- USACE and ASA(CW) will process and assess proposals
  - SharePoint will be used to organize the proposal information - more updates on changes to the evaluation form and use of SharePoint to follow
  - 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)
Importance of the Corps Evaluation Role

- ASA(CW) certifies the Corps evaluation
- ASA(CW) and Chief of COE testify to Congress that the Report is accurate
- May lead to Corps authorizations or other Corps activities
- Creates an opportunity for communication with non-Federal interests
Anticipated 2016 Timeline

- **Federal Register Notice for Public Proposals**: 20 May
- **Deadline for Public Proposals**: 19 Sept
- **Proposals to Districts via RITs/MSCs**: 23 Sept
- **Districts Submit Criteria Review Lists to MSCs**: 21 Oct
- **MSCs Submit Reviewed List to RITs**: 4 Nov
- **RITs Submit QC’d Lists to CECW-P**: 18 Nov
- **CECW-P Submits HQUSACE Reviewed list to ASA(CW)**: 16 Dec
- **ASA(CW) Submits Report to Congress**: 1 Feb 2017
Section 7001 Webpage Resources

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

Click Here
Section 7001 Webpage Info


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

Annual Report to Congress page includes last 2 reports and last year’s submissions.
Instructions on Preparing and Submitting Proposals

Online Proposal Form for non-Federal Interests

Information on the Proposal Form

Will go live after the Federal Register Notice.
Updated FAQ

FAQ updated after 2016 Report and AAR.

Email address for questions available to non-Federal interests.
Section 7001 Evaluations SharePoint Resources


Folders for Report Proposals and Evaluations sorted by MSC, How-to help video, FAQs and Fact Sheets.
Summary
From 7001 Proposal to Initiation (Study or Construction)

- WRRDA 14 Section 7001 = Annual Report on Future Water Resources Development
- A non-Federal Interest should submit a 7001 proposal if the work they want done:
  - Is related to a Corps Mission, the Corps does not have authorization to do the work and it has not already been included in a 7001 Report.
- ASA(CW) and Chief of COE testify to Congress that the Report is accurate
- Congress decides what to authorize
- After receipt of a study authorization, an appropriation is needed to initiate Investigations (New Start process)
- After receipt of a construction authorization and after a cleared decision document, an appropriation is needed to initiate Construction (New Start process)
7001 Key Points

1. Corps Role
   - Communication with non-Federal interests – Planning and PM
   - Authorities - Primary piece of criteria
   - Status of Ongoing work – Critical PDT knowledge

2. When working with sponsors/potential sponsors, it is 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

3. Why Corps role is important
   - ASA(CW) certifies the Corps evaluation
   - ASA(CW) and Chief of COE testify to Congress that the Report is accurate
   - May lead to Corps authorizations or other Corps activities
   - Creates opportunities for communication with non-Fed interests
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
  - Questions? Email: wrrda7001proposal@usace.army.mil

- **For Districts:** WRRDA 7001 Implementation Guidance (expect this to be updated and reissued soon)
  - WRRDA 7001 SharePoint Site: [https://cops.usace.army.mil/sites/PLAN/2015%20WRRDA%207001%20Proposal%20Evaluation/Forms/AllItems.aspx](https://cops.usace.army.mil/sites/PLAN/2015%20WRRDA%207001%20Proposal%20Evaluation/Forms/AllItems.aspx)
Have a question?