

# SPONSORS' GUIDE TO PROJECT DOCUMENTS

## Corps Models, Outlines and Forms Used In Project Development

### INTRODUCTION

A variety of different types of documents are prepared during the development of a Corps project, and you, the sponsor, will be involved in many of them. Some documents are reports about work that was done, some are agreements concerning responsibilities, and some serve other important purposes. Since most of these documents are required for every project, standardized models and outlines are used to make preparing them easier and ensure that all Corps offices are using similar documents. Where a certain document may have a somewhat different format and content for each project, examples of previous documents are available.

### TYPES OF DOCUMENTS

The types of standardized documents that you will encounter are generally characterized as follows:

- *Models* - These are standardized fill-in-the-blanks formats for documents where much of the information is the same for all projects. Some models are short forms, while others are more lengthy text. Model documents are available for the certificate of lobbying, disclosure of lobbying activities, escrow agreement, feasibility cost sharing agreement (FCSA), Project Cooperation Agreement (PCA), project executive summary, and statement of financial capability.

- *Outlines* - These are standardized checklists of the information to be included in various project reports. Outlines are

available for the chart of accounts cost estimate, design memorandum (DM), environmental impact statement (EIS), Feasibility report, financing plan, and reconnaissance report.

- *Examples* - Some documents are needed for every project, but their content and possibly their format differs from project to project. These documents include the study authority, project construction authority, budget authority, environmental assessment (EA), initial project management plan (IPMP), justification sheet, letter of credit, letter of intent, and project management plan (PMP).

Your Project Manager can provide you with examples of these documents, as well as examples of blank and complete models (such as a Project Cooperation Agreement) and report outlines (such as a feasibility report).

### DESCRIPTION OF DOCUMENTS

The following is a list of some of the generally standardized reports, agreements and other documents that you are likely to be involved with over the life of a project. This list presents the documents in the general chronological order in which they would be used. Not all of these documents are used in all cases, and the order of when they are needed may vary for any given study or project.

- Authority (Study)
- Justification Sheet
- Authority (Budget)

- Reconnaissance Report Certificate of Lobbying
- Disclosure of Lobbying Activities
- Escrow Agreement
- Letter of Credit
- Letter of Intent
- Chart of Accounts
- Initial Project Management Plan
- Feasibility Cost Sharing Agreement
- Project Executive Summary
- Feasibility Report
- Environmental Impact Statement (or Environmental Assessment)
- Project Master Plan
- Authority (Project Construction)
- Design Memorandum
- Financing Plan
- Statement of Financial Capability
- Project Cooperation Agreement

The following is an alphabetical listing and explanation of the generalized standardized reports, agreements and other documents listed above.

**Authority** - This is either a resolution of a committee of the U.S. Congress, or a Federal public law, which gives us approval to: conduct a study (study authority), construct a project (project construction authority), or spend Federal funds on an authorized study or project (budget authority). and is usually only a line, a sentence, or a paragraph in length. Your Project Manager can provide an example of each type of authority.

**Certificate of Lobbying** - This is your statement concerning lobbying of Congressional and other Federal officials. The certificate must accompany a feasibility cost sharing agreement and a Project Cooperation Agreement. A one-page model certificate is in Appendix Q of the "Planning Guidance Notebook" (Corps regulation number ER 1105-2-100).

**Chart of Accounts** - This is a list of detailed accounting categories for preparing study and project cost estimates. The accounts outline and cost estimate checklist are in Corps circular number EC 1110-2-538, including revisions provided by letter of 29 September 1989 to all Corps finance and accounting officers (subject: Life Cycle Project Management (LCPM) Chart of Accounts).

**Design Memorandum (DM)** - This report presents the results of detailed engineering studies needed to prepare a project's plans and specifications for construction. The format for a design memorandum is in Appendix C to Corps circular number EC 1110-2-265.

**Disclosure of Lobbying Activities** - This is a form (Standard Form LLL), completed by you, concerning lobbying of Congressional and other Federal officials. In certain circumstances it must accompany a certificate of lobbying (see above). A copy of the form is In Appendix Q of the "Planning Guidance Notebook".

**Environmental Assessment (EA)** - This report presents the results of the evaluation of environmental effects of the project and its alternatives. In certain circumstances, an environmental assessment may be adequate and an environmental impact statement (see below) may not be required. A finding of no significant impact (FONSI) must also be prepared for each environmental assessment. Your Project Manager can provide an example environmental assessment and finding of no significant impact.

**Environmental Impact Statement (EIS)** - This report presents the results of the evaluation of environmental effects of the project and its alternatives. Outlines for statements that are combined or integrated

with feasibility reports are in Appendix F of the "Planning Guidance Notebook". An outline for statements prepared for other reports or in other circumstances is in the Council on Environmental Quality's regulation titled "Regulations for Implementing the Procedural- Provisions of the National Environmental Policy Act" (40 CFR 1502.10). A record of decision (ROD) must also be prepared for each environmental impact statement Your Project Manager can provide an example record of decision.

**Escrow Agreement** - This is a written agreement among you, your financial Institution, and the Department of the Army in which the parties agree that your funds are to be deposited in an interest bearing account at the financial institution' and the Corps can withdraw those funds as needed for the study or project A four-page model escrow agreement is in Appendix H to Corps regulation number ER 1165-2-131.

**Feasibility Cost Sharing Agreement (FCSA)** - This is a written agreement between you and the Department of the Army, represented by the local District Engineer, to share the cost of a feasibility phase study. A seven page model agreement is in Appendix E of the 'Planning Guidance Notebook. The model is for both specifically authorized studies and studies under the Continuing Authorities Program.

**Feasibility Report** - This report presents the results of the formulation, evaluation and selection of project plans conducted during the feasibility phase of project planning. A report outline is in Table 23 of the "Planning Guidance Notebook". The outline is for both feasibility reports for specifically authorized studies and detailed project reports (DPR) under the Continuing Authorities Program.

**Financial Plan** - This report describes the sources and uses of your project funds as support for the statement of financial capability (see below). A plan outline is in paragraph 6-197 of the 'Planning Guidance Notebook.'

**Initial Project Management Plan (IPMP)** - This is a management document that describes the tasks, costs, and responsibilities, both yours and ours, required to conduct the feasibility phase of a study. It is appended to the FCSA (see above). Your Project Manager can provide an example plan.

**Justification Sheet** - This is a brief description of how funds are to be used for a study or project in an upcoming fiscal year. It is submitted to the Congress in support of a President's budget request for the upcoming fiscal year. Your Project Manager can provide an example justification sheet.

**Letter of Credit** - This is a letter from your financial Institution that guarantees to the Federal government that the funds are available to meet required cash outlays. Your Project Manager can provide an example letter.

**Letter of Intent** - This is a letter from you to the local District Engineer stating that you are ready, willing and able to execute the feasibility cost sharing agreement. Your Project Manager can provide an example letter.

**Project Cooperation Agreement (PCA)** - This is a written agreement between you and the Department of the Army that describes our financial and other responsibilities for construction, operation and maintenance of a project Model agreements are available for:

- Specifically authorized structural flood control projects - Nineteen-page model in

Appendix A to Corps regulation number ER 1165-2-131.

- Specifically authorized harbor projects - Twenty-page model in Appendix D to Corps regulation number ER 1165-2-131.
- Flood control projects under the Continuing Authorities Program ('Section 205 projects') - Twenty-four-page model, distributed by Corps Headquarters letter of 23 April 1990.
- Snagging and clearing for flood control projects under the Continuing Authorities Program ("Section 208 projects") - Twenty-four-page model, distributed by Corps Headquarters letter of 23 April 1990.
- Emergency streambank or shoreline erosion projects under the Continuing Authorities Program ("Section 14 projects") - Twenty-page model, distributed by Corps Headquarters letter of 21 May 1990.

**Project Executive Summary** - This is a form, completed monthly by your Corps Project Manager, which summarizes the status of a project's cost estimate, schedule and other important issues. A copy of the form is in Appendix E of Corps regulation number ER 5-2.1, which also describes other life cycle project management (LCPM) periodic reporting forms.

**Project Management Plan (PMP)** - This Is a continually- evolving collection of management documents that describe how a project will be designed and constructed, including a description of the project scope, cost estimate budget, and schedule. Your Project Manager can provide an example plan.

**Reconnaissance Report** - This report presents the results of the preliminary project analyses conducted during the

reconnaissance (first) phase of planning. A report outline is in Table 2-2 of the "Planning Guidance Notebook".

**Statement of Financial Capability** - This is your description of your capability to meet your project financial obligations In accordance with the project funding schedule. Your Project Manager can provide an example statement. A model bond consultant's letter in support of a statement is in paragraph 6-187 of the "Planning Guidance Notebook".

### NEED MORE INFORMATION?

Your Project Manager can provide copies of the models, outlines and examples described above, and answer any questions about their preparation and use. In addition, the following publications explain much of the Corps guidance about these documents:

- "Annual Program and Budget Request for Civil Works Activities, Corps of Engineers, Fiscal Year 19XX" (Corps circular number EC 11-2-XXX issued annually) - Provides guidance on the justification sheet.
- "Civil Works Project Cost Estimating - Chart of Accounts" (Corps circular number EC 1110-2538, dated 28 February 1989) - Provides guidance on the chart of accounts format for cost estimates.
- "Engineering and Design for Civil Works Projects" (Corps circular number EC 1110-2-265, dated I September 1989) - Provides guidance on the design memorandum.
- "Life Cycle Project Management System" (Corps regulation number ER 5-2-1, advance draft dated 31 July 1989) - Provides guidance on the project management plan, and the

project executive summary and other periodic reports for project management.

- "Project Cooperation Agreements for New Start Construction Project (Corps regulation number ER 1165-2-131, dated 15 April 1989) - Provides guidance on the escrow agreement an Project Cooperation Agreement
- "Planning Guidance" (Corps regulation number ER 1105-02-100, dated IS September 1990-, also called the "Planning Guidance Notebook', or PGN) - Provides guidance on the certificate of lobbying, disclosure of lobbying activities, environmental impact statement, feasibility cost sharing agreement, feasibility report, financing plan, initial project management plan, letter of intent, reconnaissance report, and statement of financial capability.
- "Procedures for Implementing NEPA' (Corps regulation number ER 200-2-2, dated 4 March 1988) - Provides guidance on the environmental assessment, finding of no significant impact, environmental Impact statement, and record of decision.
- "Regulations for Implementing the Procedural Provisions of the National Environmental Policy Act" (Federal regulations numbered 40 CFR 100-1508, dated November 29, 1978, issued by the Council on Environmental Quality) - Provides guidance on the environmental assessment, finding of no significant impact, environmental impact statement, and record of decision.