

INTERNAL CONTROL EVALUATION CHECKLIST
NATURAL RESOURCES MANAGEMENT BRANCH
OPERATIONS, CONSTRUCTION AND READINESS DIVISION

This checklist was developed to assist Major Subordinate Commands and District Commands in evaluating key management controls in the following program areas of the Natural Resources Management Branch:

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Internal Control test questions are keyed specifically to the requirements of the above Engineer Regulations (ER) and ER paragraph citations are identified where applicable. Associated Engineer Pamphlet (EP) language should also be reviewed to ascertain full compliance of each test question.

FUNCTION. Natural Resources Management Program, Civil Works Operations, Construction and Readiness Division.

PURPOSE. To assist Natural Resources Management elements in USACE, Major Subordinate Commands, District Commands and Operation Projects in evaluating various key management controls in the **Outdoor Recreation, Natural Resource/Environment Stewardship, and Work Management Functions** at Water Resources Development Projects. It is not intended to cover all controls.

INSTRUCTIONS. Become thoroughly familiar with the contents of ER/EP 1130-2-550, Chapters 2, 6, 8, and 9; ER/EP 1130-2-540, Chapters 2, 3, 4; and ER/EP 1130-2-500, Chapters 10, 14.

Recreation Management, ER 1130-2-550, Chapter 2

1. Are programs and activities being implemented within the framework of the Corps Natural Resources Management (NRM) Mission Statement and Recreation Program Objectives? (ER 1130-2-500, Chapter 2, para. 2-2.a.)

Response: YES____ NO____ NA
Remarks:

2. To accomplish program objectives, is the project being managed in cooperation with other Federal, state, and local agencies, quasi-public organizations and the private sector supplemented by volunteers, contributions and challenge cost sharing programs? (para 2-2.b.)

Response: YES____ NO____ NA
Remarks:

3. Have a master plan and operational management plan been developed in accordance with ER 1130-2-550, Chapter 3? (para 2-2.c.)

Response: YES____ NO____ NA
Remarks:

4. Are use of project lands and waters available on a first-come, first serve basis except where approved local or national reservation programs are in place? (para 2-2.d.)

Response: YES____ NO____ NA
Remarks:

5. At Corps operated campsites, is camping being permitted only at areas designated by the district commander and is it restricted to the 14-day limit during any 30 consecutive-day period? (para 1-2.d.(2))

Response: YES____ NO____ NA
Remarks:

6. Are Corps-operated beaches and concentrated swimming areas being maintained in a

physically safe and efficient manner in accordance with Engineer Manual 1110-1-400?
(para 2-2.d.(4))

Response: YES___ NO___ NA
Remarks:

7. Is a multi-disciplinary resource based approach to project personnel hiring being executed to insure that a wide range of technical expertise is present to effectively manage the full range of project resources? (para 2-2.e.)

Response: YES___ NO___ NA
Remarks:

8. Have in-service training and career progression opportunities been provided to all NRM personnel in accordance with EP 690-2-2, Career Development Guide for Natural Resources Management Team Members? (para 2-2.e.)

Response: YES___ NO___ NA
Remarks:

9. Are alcoholic beverages being sold in compliance with state and local laws and only at facilities where alcohol sales are not the primary purpose of the business? (para 2-2.g. (1))

Response: YES___ NO___ NA
Remarks:

10. For projects with a visitation over 20,000 visitor hours, has a project assessment been made regarding the need to restrict alcohol consumption/possession in all or a portion of the project? (para 2-2.g.(2))

Response: YES___ NO___ NA
Remarks:

11. Have cigarette vending machines (where accessible to minors) been removed from all Federal buildings and lands including leased property to government agencies, private organizations and businesses? (para 2-2. h.)

Response: YES___ NO___ NA
Remarks:

12. Has gambling, including state-sponsored lotteries, been prohibited on all Corps-operated and

leased premises? (Note: Special Use permits may be issued to nonprofit organizations to conduct some games of chance, such as raffles, games or sporting events if permissible by state and local laws and regulations). (para 2-2.i.)

Response: YES ___ NO ___ NA
Remarks:

13. Has an effective program been established to increase public awareness, involvement and support in accordance with ER 1130-2-550, Chapter 4, Interpretive Services and Outreach Program? (para 2-2.j.)

Response: YES ___ NO ___ NA
Remarks:

14. Has a project sign management program been established in accordance with EP 310-1-6a and 6b of the USACE Sign Standards Manual? (para 2-2.k.)

Response: YES ___ NO ___ NA
Remarks:

15. Are lifeguard services being provided at Corps-administered public use areas? (para 2-2.n.)

Response: YES ___ NO ___ NA
Remarks:

16. Are the provisions of EM 385-1-1, Safety and Health Requirements Manual, being applied to all functions except outgrant activities and disposals of timber? (para 2-2.o.)

Response: YES ___ NO ___ NA
Remarks:

17. Do all facilities and equipment comply with Occupational Safety and Health Administration standards? (para 2-2.o.)

Response: YES ___ NO ___ NA
Remarks:

18. Has a member of the project staff been appointed as the project safety officer and has the

officer developed plans and programs to carry out the provisions of EM 385-1-1 including the presentation of safety education programs to project personnel? (para 2-2.o.(1))

Response: YES___ NO___ NA

Remarks:

19. Is proper safety equipment being maintained in public-use areas and have restricted areas been properly marked by appropriate buoys, signs, markers and barricades in accordance with EP 1130-2-550, Chapter 2, paragraph 2-4 b? (para 2-2.n.& o.)

Response: YES___ NO___ NA

Remarks:

20. Have water safety councils been established and have project personnel been developing, promoting and maintaining a public interest in safety through water safety campaigns/programs and by participating in other local water safety education opportunities? (para 2-2.o.(2))

Response: YES___ NO___ NA

Remarks:

21. Have commercial telephones been provided in public use areas? (para 2-2.o.(3))

Response: YES___ NO___ NA

Remarks:

22. Have adequate security lights been provided at all Corps managed boat launching ramps or, when electrical service is not readable available, are reflective signs and markings installed to identify ramp location? (para 2-2.o.(4))

Response: YES___ NO___ NA

Remarks:

23. Are unattended Corps-managed day-use areas closed at night (or other alternatives taken) where necessary to provide adequate visitor safety and resource protection? (para 2-2.o.(5))

Response: YES___ NO___ NA

Remarks:

24. Have project fee project lines been properly surveyed and monumented in a clear and obtrusive manner? (para 2-2.q.)

Response: YES___ NO___ NA

Remarks:

25. Has the project entered into a reciprocal agreement with responsible fire organization (s) and have waivers of all claims for compensation for any loses, damage personal injury or death been incorporated in all fire protection agreements? (para 2-2.v.)

Response: YES___ NO___ NA

Remarks:

26. Have unattended roads been closed (except for public roads maintained by another government entity or roads used by Corps/outgrantees)? (para 2-2.w.)

Response: YES___ NO___ NA

Remarks:

See also **EP** 1130-2-550, Chapter 2, Recreation Management for further program guidance.

Visitor Assistance Program, ER 1130-2-550, Chapter 6.

1. Has an effective Visitor Assistance (VA) Program been implemented according with the policy and procedures set forth in ER/EP 1130-2-550, Chapter 6? (ER 1130-2-550, Chapter 6)

Response: YES___ NO___ NA
Remarks:

2. Are visitor assistance personnel working under their authorized defined role (a regulation enforcer with full citation authority of 36 CFR Chapter III, Part 327 (Title 36) and available use of force options of visual presence, verbal persuasion/detention and unarmed self defense)? (para 6-2.c.)

Response: YES___ NO___ NA
Remarks:

3. Are any rangers working outside of the above role definition (including such activities as enforcing state and local laws, physically detaining, arresting, search or seizing individuals or their property, conducting hot pursuits against alleged violators, carrying weapons (firearms, stunguns, nightstickes, etc.), or being deputized by a law enforcement agent while on duty or while on project lands)? (para 6-2.e.)

Response: YES___ NO___ NA
Remarks:

4. Is the lowest level of enforcement being employed in response to visitor problems as evidence by at least a 2-to-1 ratio of warnings to written citations? (para 6-2.f.)

Response: YES___ NO___ NA
Remarks:

5. Have alternative management techniques, as identified in EP 1130-2-550, been employed where necessary to resolve or reduce visitor problems? (para 6-2.f.)

Response: YES___ NO___ NA
Remarks:

6. Has a forfeiture schedule in accordance with EP 1130-2-550, Chapter 6, para 6-3.i. been

established with the applicable Districts Courts and Central Violations Bureaus? (para 6-2.f.)

Response: YES___ NO___ NA
Remarks:

7. Have all visitor assistance employees who enforce Title 36 been issued an ENG 5036-R, Certificate of Authority to Issue Citations? (para 6-2.g.)

Response: YES___ NO___ NA
Remarks:

8. Have all permanent and temporary personnel been properly trained and certified for citation authority in HQUSACE proponent-sponsored Visitor Assistance Courses within two years of employment? (para 6-2.g.)

Response: YES___ NO___ NA
Remarks:

9. Are temporary visitor assistance rangers receiving the same VA training (including medical training as per Recreation Policy Letter 97-03) provided to permanent rangers? (para 6-2.g.)

Response: YES___ NO___ NA
Remarks:

10. Has a Division/District level Citation Authority Course been developed and approved by HQUSACE? (para 6-2.g.)

Response: YES___ NO___ NA
Remarks:

11. Has a Division/District level Refresher Course been developed and are rangers receiving this training on a timely basis? (para 6-2.g.)

Response: YES___ NO___ NA
Remarks:

12. Are rangers receiving 24 hours of personal protection training within two years of employment? (para 6-2.g.)

Response: YES___ NO___ NA
Remarks:

13. Are rangers receiving appropriate medical and other training necessary to safely and effectively perform visitor assistance duties? (para 6-2.g.)

Response: YES___ NO___ NA
Remarks:

14. Are Law Enforcement Agreements being used to the the maximum extent practical in accordance with ER 1130-2-550, Chapter 7? (para 6-2.i.)

Response: YES___ NO___ NA
Remarks:

15. Is proper coordination and liaison being maintained with Federal, state, and local law enforcement, fire, and rescue agencies in order to provide maximum visitor assistance to the public? (para 6-2.i.)

Response: YES___ NO___ NA
Remarks:

16. Are visitor assistance personnel wearing the proper uniform and badge as authorized in ER 1130-2-550, Chapter 8 and is this requirement identified in their TAPES? (para 6-2.k.)

Response: YES___ NO___ NA
Remarks:

17. Are all badges properly accounted for under an appropriate property management system? (para 6-2.k.)

Response: YES___ NO___ NA
Remarks:

18. Are all visitor assistance vehicles identified with the proper color and markings (color *white* as per Recreation Policy Letter 94-01) and are they equipped with the proper communication and safety equipment as identified in EP 1130-2-550, Chapter 6, paragraph 6-7 & 6-8? (para 6-2.l.)

Response: YES___ NO___ NA
Remarks:

19. Are permanently mounted light bars or conspicuous-located public address system, siren or external grill-mounted lights being used on any Corps vehicle? (para 6-2.1.)

Response: YES___ NO___ NA
Remarks:

20. Has an effective public information program been implemented to ensure visitor understanding/support of the visitor assistance program to include news releases, interpretive/outreach programs; and are copies of Title 36 being made available to the public and posted on project bulletin boards? (para 6-2.m.)

Response: YES___ NO___ NA
Remarks:

21. Are preventive vaccinations for blood-borne pathogens being carried out appropriately. Note: Vaccination is not a condition of employment (Recreation Policy Letter 97-02). (para 6-2.n.)

Response: YES___ NO___ NA
Remarks:

22. Is proper liaison in accordance with EP 1130-2-550, Chapter 6, para 6-3.i. being maintained with the local U.S. Magistrates and U.S. Attorney's offices and are specific procedures or instructions issued by local magistrates being kept on file at the project offices?

Response: YES___ NO___ NA
Remarks:

23. Are statistical data on citations and Title 18 cases and other database reporting requirements under "LAW_ENF" being reported in the Natural Resource Management System in accordance with EP 1130-2-550, Chapter 6, para 6-15?

Response: YES____ NO____ NA
Remarks:

See also **EP** 1130-2-550, Chapter 6, Visitor Assistance Program for further program guidance.

Uniforms for Natural Resource Mgmt Program Staff, ER 1130-2-550, Chapter 8

1. Are authorized personnel wearing the prescribed uniform in accordance with ER/EP 1130-2-550, Chapter 8? (ER 1130-2-550, Chapter 8, para 8-2.a. & b.)

Response: YES___ NO___ NA

Remarks:

2. Are uniforms being worn in their entirety without any unprescribed articles or accessories of clothing and in a professional manner that commands respect for the individual and the agency? (para 8-2.d.)

Response: YES___ NO___ NA

Remarks:

3. Are employees wearing unauthorized uniform components that are outside their uniform Class and/or from other uniform programs such as the Operations and Maintenance uniform program or from other outside sources? (para 8-2.d. & g.)

Response: YES___ NO___ NA

Remarks:

4. Has an ENG Form 4891-R been completed (and sent to the uniform contractor) for each authorized employee and have the appropriate uniform Class and associated allowance category been designated? (para 8-2.e.)

Response: YES___ NO___ NA

Remarks:

5. Are shorts being worn only for the prescribed special duty assignments of boat-beach-bike patrols and boat-beach interpretive programs along with the authorized head and foot wear in accordance with Recreation Policy Letter 97-04?

Response: YES___ NO___ NA

Remarks:

6. Is the proper wearing of the uniform a condition of employment and a performance evaluation

element for all personnel required to wear the uniform? (para 8-2.i.)

Response: YES____ NO____ NA

Remarks:

7. Has a district uniform coordinator been designated and is the coordinator performing all required contractual functions including careful monitoring of employee uniform classes and authorized allowance categories, reviewing and responding to all contract-furnished reports (EP 1130-2-550, Appendix L, paragraph L2), resolving employee uniform problems, and collecting and furnishing program suggestions to the Uniform Committee?

Response: YES____ NO____ NA

Remarks:

See also **EP** 1130-2-550, Chapter 8, Uniforms for NRM Staff for further program guidance.

Recreation Use Fees; ER 1130-2-550, Chapter 9

1. Has a proper Recreation Use Fee Program been implemented at all applicable Civil Works projects? (ER 1130-2-550, Chapter 9)

Response: YES___ NO___ NA
Remarks:

2. Are appropriate fees being charged for specialized recreation sites, facilities and services? (para 9-2.)

Response: YES___ NO___ NA
Remarks:

3. Are annual fee schedules being based on the guidance and criteria contained in EP 1130-2-500, Chapter 9 (for researching and evaluating fees at other local recreation sites) in order to assure that comparable fees are being charge for comparable facilities and services? (para 9-2.)

Response: YES___ NO___ NA
Remarks:

4. Has all income derived from fee collection been properly accounted for and deposited into the Special Receipt Account and reported in accordance with ER 37-2-10 and ER 1130-2-414? (para 9-2.)

Response: YES___ NO___ NA
Remarks:

5. Has a Golden Access/Age program been implemented at all applicable Civil Works projects? (para 9-2.f.)

Response: YES___ NO___ NA
Remarks:

6. Are the Golden Access/Age passports securely stored and properly accounted for? (para 6-2.f.)

Response: YES___ NO___ NA
Remarks:

7. Has an ENG Form 4468-R, or approved alternate documentation been maintained at each participating office in accordance with requirements of ER 1130-2-414? (para 6-2.f.(6))

Response: YES____ NO____ NA
Remarks:

See also **EP** 1130-2-550, Chapter 9, Recreation Use Fees for further program guidance.

Natural Resources Stewardship, ER 1130-2-540, Chapter 2

1. Have Level I (basic) inventories been completed covering all project lands? (ER 1130-2-540, Chapter 2, para 2-2.c.(1) (a))

Response: YES___ NO___ NA
Remarks:

2. Is an information management system being used to record inventory data? (para 2-2.c.(1))

Response: YES___ NO___ NA
Remarks:

3. Has a screening list of “special status” species which may occur on project lands, been prepared/updated? (para 2-2.c.(1) (a) & (2))

Response: YES___ NO___ NA
Remarks:

4. Has a map of project lands been prepared/ updated which indicates the broad habitat type where a “special status” species is known to occur, or where its habitat requisites are readily known to be met? (para 2-2.c.(2))

Response: YES___ NO___ NA
Remarks:

5. Has the Master Plan been completed/updated and approved to document and organize congressionally authorized natural resources management activities (i.e., established by project specific authorities, as well as general authorities for stewardship responsibilities) which are to be conducted on the project? (para 2-2.c.(3))

Response: YES___ NO___ NA
Remarks:

6. Have Level II inventories been completed where necessary to support approved natural resources management objectives on Corps project lands? (para 2-2.c.(1) (b); 2-2.c.(4))

Response: YES___ NO___ NA
Remarks:

7. Have copies of existing final Fish and Wildlife Service/ National Marine Fisheries Service endangered species recovery plans, which target Corps project lands and waters in a species recovery effort, been obtained/ accessed and reviewed for potential Corps action implementation. (para 2-2.c.(1) (a))

Response: YES ___ NO ___ NA

Remarks:

8. Has an OMP been prepared to document: a summary of natural resources inventories and evaluations, the inventory methodologies used, resource objectives, and site specific prescriptions for the management of the resources. (para 2-2.c.(4))

Response: YES ___ NO ___ NA

Remarks:

9. Have General Plans been completed as appropriate on existing Corps fish and wildlife purpose lands which, either, will be administered by other State or Fish and Wildlife Service agencies, or in the case of fish and wildlife mitigation lands will be managed by the Corps? (para 2-2.c.(5))

Response: YES ___ NO ___ NA

Remarks:

See also EP 1130-2-540, Chapter 2, Natural Resources Stewardship further program guidance.

Pest Control Program for Civil Works Projects, ER/EP 1130-2-540, Chapter 3

1. Have all Corps personnel who apply or handle either general use or restricted use pesticides and/or whose duties include supervision of pesticide applicators or administration of pesticide service contracts been trained and/or certified (include re-certified in 3 year increments) in accordance with state or Federal certification programs? (ER 1130-2-540, Chapter 3, para 3-3.a.)

Response: YES____ NO____ NA
Remarks:

2. Has the utilization of general use rather than restricted use pesticides been encouraged? (para 3-3.c.)

Response: YES____ NO____ NA
Remarks:

3. Have service contracts for pest control responsibilities been established where practicable? (para 3-3.d.)

Response: YES____ NO____ NA
Remarks:

4. Have pesticide spills been contained and reported in accordance with the District and project Oil and Hazardous Materials Spill Plan? (para 3-3.f.)

Response: YES____ NO____ NA
Remarks:

5. Has the District reviewed its pest management programs to ensure they do not impact endangered species and their designated critical habitat? (para 3-3.g.)

Response: YES____ NO____ NA
Remarks:

6. Have stored pesticides been inspected on at least a quarterly basis? (para 3-3.j.)

Response: YES____ NO____ NA
Remarks:

7. Has consultation taken place with the responsible state and Federal agencies concerning proper pesticide storage and disposal methods, deteriorated container transfer, and current integrated pest management technology? (para 3-3.j. & 1 (1) (2))

Response: YES___ NO___ NA

Remarks:

8. Has each field office prepared and submitted an annual pest control plan to their District Office no later than 15 December of each year? (para 3-4.c.)

Response: YES___ NO___ NA

Remarks:

9. Does each new or renewed lease, license, easement, or permit contain a provision requiring the grantee to comply with all Federal, state, and local laws, rules and regulations related to the use of pesticides? (para 3-4.d.)

Response: YES___ NO___ NA

Remarks:

See also EP 1130-2-540, Chapter 3, Pest Control Program for further program guidance.

Forest Service Pest Suppression Assistance at CW Projects, ER/EP 1130-2-540, Chapter 4 (NOTE: Participation in This Program Is Optional)

1. Has the District POC requested assistance in a timely manner from the nearest Forest Service Regional Forest Pest Management Office, if the desire for forest pest or disease suppression assistance under this program is anticipated in the upcoming year? (ER 1130-2-540, Chapter 4, para 4-2.b.(2))

Response: YES ____ NO ____ NA

Remarks:

2. Have requests for Forest Service funding assistance complied with the milestones for forest pest suppression projects established by the Armed forces Pest Management Board? (para 4-3.a.)

Response: YES ____ NO ____ NA

Remarks:

See also **EP 1130-2-540**, Chapter 4, Forest Service Pest Suppression Assistance for further program guidance.

The Corps of Engineers Volunteer Program, ER 1130-2-500, Chapter 10

1. Are volunteers being utilized in unauthorized capacities such as making policy decisions or enforcing laws and regulations? (para 10-2.a.)

Response: YES____ NO____ NA
Remarks:

2. Are volunteers being used in a manner as to not displace any employee of the Corps of Engineers? (ER 113-2-500, Chapter 10, para 10-2.b.)

Response: YES____ NO____ NA
Remarks:

3. Has a *district* Volunteer Coordinator been designated and has the designee been performing all program requirements? (para 10-c.(2))

Response: YES____ NO____ NA
Remarks:

4. Has a *project* Volunteer Coordinator been designated and has the designee been performing all program requirements? (para 10-c.(4)).

Response: YES____ NO____ NA
Remarks:

5. Are volunteers receiving proper orientation and training necessary to perform services safely and effectively? (para 10-2.c.(4).d.)

Response: YES____ NO____ NA
Remarks:

6. Is necessary personal safety equipment being provided by the government or being provided by the volunteer on a reimbursable basis? (para 10-2.j. & k.)

Response: YES____ NO____ NA
Remarks:

7. Are volunteers properly identified by name tags, volunteer emblem patches, caps, etc? (para 10-2.m.)

Response: YES___ NO___ NA
Remarks:

8. Are volunteers being properly recognized through appropriate award programs? (para 10-2.n.)

Response: YES___ NO___ NA
Remarks:

9. Are volunteers being reimbursed for actual out-of-pocket expenses incurred in performing volunteer service. (para 10-2.l.)

Response: YES___ NO___ NA
Remarks:

10. Are proper volunteer records being maintained at the project and is required statistical data being furnished to the Natural Resources Management System data base? (para 10-2.o.)

Response: YES___ NO___ NA
Remarks:

11. Is the project a participant in the Corps National Volunteer Clearinghouse?

Response: YES___ NO___ NA
Remarks:

See also **EP** 1130-2-550, Chapter 10, COE Volunteer Program for further program guidance.

Aquatic Plant Control Program, ER 1130-2-500, Chapter 14

1. Have the applications of all herbicides been performed in compliance with applicable Federal and State laws, including the Federal Insecticide, Fungicide and Rodenticide Act of 1972, as amended and the Occupational Safety and Health Act of 1970? (EP 1130-2-500, Chapter 14, para 14-4.b.)

Response: YES____ NO____ NA
Remarks:

2. Have Detailed Study Reports, Feasibility Studies, NEPA Documents, Local Cooperative Agreements, and Annual Work Plans been finalized for management sites targeted for 50/50 cost shared actions? (para 14-3.a. & b. (1) (2) (3) (4))

Response: YES____ NO____ NA
Remarks:

3. Have APC funds (Construction General) been used to fund cost sharing aquatic plant actions on reservoirs, channels, harbors, and other water areas not under the jurisdiction of the Corps of Engineers or other Federal Agencies (less Corps or other Federal jurisdiction areas used for aquatic plant experimental purposes)? (para 14-2.a. & c.)

Response: YES____ NO____ NA
Remarks:

See also EP 1130-2-550, Chapter 14, Aquatic Plant Control Program for further program guidance.

