

Lesson 9

CIVIL WORKS PROGRAM
DEVELOPMENT AND EXECUTION COURSE
LESSON NUMBER 9

4. CIVIL WORKS PROGRAM DEVELOPMENT

TOPIC: b. Program Development Concepts and Guidance: Part I

TIME ALLOTTED: 2 hours, including time for questions and answers

HANDOUTS:

On Computer CD:

- H-9-1. Government Performance and Results Act (GPRA).
- H-9-2. President's Management Agenda (PMA)
- H-9-3. OMB Circular No. A-11 - Part 6
- H-9-4. Civil Works Strategic Plan
- H-9-5. Civil Works Program Performance Plan
- H-9-6. FY 07 Army Annual Financial Report
- H-9-7. FY 08 Score Card

In Course Binder:

- H-9-8. PART Questionnaire - Coastal Storm Damage Reduction Assessment

REFERENCES:

- 1. Government Performance and Results Act (GPRA).
- 2. President's Management Agenda (PMA)
- 3. Performance Assessment Rating Tool (PART)
- 4. Civil Works Strategic Plan
- 5. Civil Works Program Performance Plan
- 6. FY 07 Army Annual Financial Report

DETAILED OUTLINE

A. INTRODUCTION

1. Objective: To provide an understanding of Program Development Concepts and Guidance.
2. Points to be covered:
 - a. Government Performance and Results Act (GPRA).
 - b. President's Management Agenda (PMA)
 - c. Performance Assessment Rating Tool (PART)

B. GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

1. Vocabulary
2. Purpose
3. Basic Requirements
4. Corps Products that Meet the Basic Requirements
 - a. Strategic Plan
 - b. Annual Performance Plan
 - c. Annual Report on Performance
5. Quiz

C. PRESIDENT'S MANAGEMENT AGENDA (PMA)

1. President's Message
2. Initiatives
3. Budget and Performance Integration
 - a. Performance Measures
 - b. Performance Results
 - c. Scorecard
 - d. Corps Latest Ratings
4. Quiz

D. PERFORMANCE ASSESSMENT RATING TOOL (PART)

1. Questionnaire
2. Example: Coastal Storm Damage Reduction
3. Quiz

E. SUMMARY

Lesson 9

USACE

Civil Works

Direct Program

Program Development

Part I

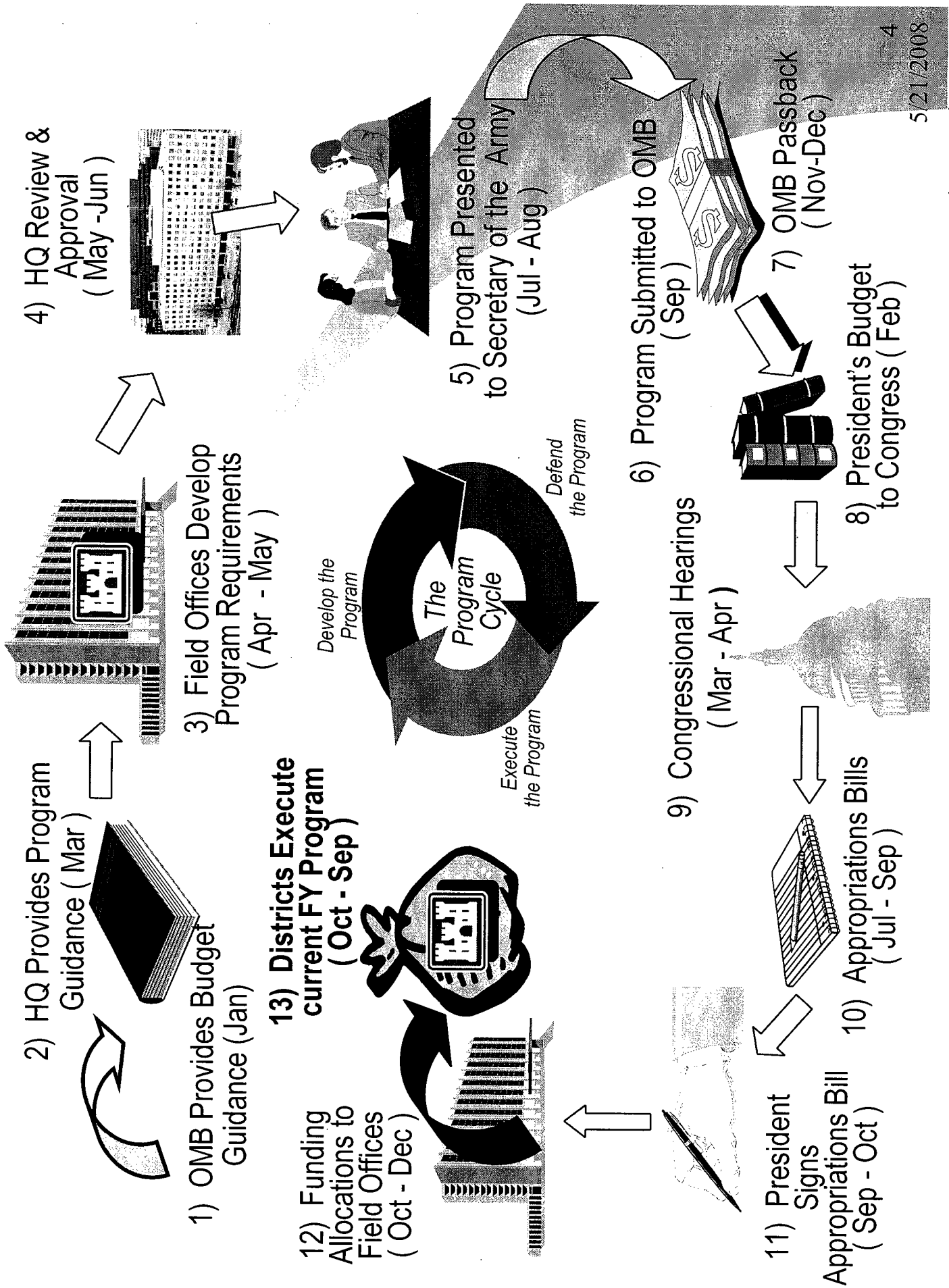
Introduction

- Program Development is the process by which work is defined and scheduled for execution.

(In this definition, “scheduled” means assignment of all necessary resources, including time, funding, manpower, land, plant, equipment, and material, for successful accomplishment of work.)

Agenda

- In this lesson we will cover:
 - what law governs program development by agencies of the United States Government;
 - what Presidential guidance further governs such development; and
 - what means are used by the Office of Management and Budget (OMB) to rate compliance with such guidance.



Overview

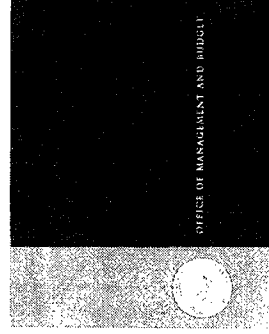
- Federal agency program development begins in the Executive Branch, with resolution of “passback” for PY-1
- Proceeds through the Legislative Branch, with congressional appropriations for PY
- Ends in both branches with mutual accommodation leading to the President’s signature of appropriations into law.

Overview (cont'd)

- We will focus on the Executive Branch part of the process, resulting in the “Budget of the United States Government,” or, more accurately, the “President’s Budget”



BUDGET
OF THE UNITED STATES GOVERNMENT



Vocabulary

- **Passback** – OMB’s critique of the recommended programs of agencies of the Federal Government for the PY, providing, not only answers for the PY, but also initial guidance for the PY+1.
- **PY** – Program Year – the year for which latest development of programs of the Federal Government has begun, currently Fiscal Year 2009 (FY09).

Vocabulary (cont'd)

- **PY+1** – the year following the PY, currently FY11.*

*(Note passback for the current PY will provide the initial guidance for development of the FY11 program)

Government Performance and Results Act (GPRA)

- Public Law (PL) 103-62, commonly called the Government Performance and Results Act of 1993 (GPRA) governs program development by agencies of the United States Government.
- Its principal purpose is to improve service of the Federal Government to the American people.

GPRA – Congressional Findings

(Underlining in all quotations of this lesson was added to highlight essence.)

- “waste and inefficiency in Federal programs undermine the confidence of the American people in the Government and reduces the Federal Government's ability to address adequately vital public needs;”

GPRO – Congressional Findings

(cont'd)

- “Federal managers are seriously disadvantaged in their efforts to improve program efficiency and effectiveness, because of insufficient articulation of program goals and inadequate information on program performance; and”

GPRA – Congressional Findings

(cont'd)

- “congressional policymaking, spending decisions and program oversight are seriously handicapped by insufficient attention to program performance and results.”

GPRO – Purposes

- “improve the confidence of the American people in the capability of the Federal Government, by systematically holding Federal agencies accountable for achieving program results.”
- “initiate program performance reform with a series of pilot projects in setting program goals, measuring program performance against those goals, and reporting publicly on their progress.”

GPRA – Purposes (cont'd)

- “improve Federal program effectiveness and public accountability by promoting a new focus on results, service quality, and customer satisfaction;”
- “help Federal managers improve service delivery, by requiring that they plan for meeting program objectives and by providing them with information about program results and service quality;”

GPPA – Purposes (cont'd)

- “improve congressional decision making by providing more objective information on achieving statutory objectives, and on the relative effectiveness and efficiency of Federal programs and spending; and”
- “improve internal management of the Federal Government.”

GPRO – Basic Requirements

- **Strategic Plan** – state mission & purpose, develop a 5-year program
- **Annual Performance Plan** – establish performance goals that are quantifiable & measurable, operational process, and performance indicators
- **Annual Report on Performance** – show the actual production under the annual performance plan.

OMB Guidance

• OMB Circular No. A-11

PART 6 — Preparation and submission of strategic plans, annual performance plans, and annual performance reports

CIRCULAR NO. A-11

PART 6

PREPARATION AND SUBMISSION OF
STRATEGIC PLANS, ANNUAL
PERFORMANCE PLANS, AND ANNUAL
PROGRAM PERFORMANCE REPORTS



EMILY O'BRIEN, Director
Office of Management and Budget
July 2007

http://www.whitehouse.gov/omb/circulars/a11/current_year/a_11_2007.pdf

GPRC – Corps Products That Meet the Basic Requirements

- Current Civil Works Direct Program (CWDP) Products Addressing Basic Requirements:

- **Strategic Plan**

(http://www.usace.army.mil/cw/hot_topics/ht_2004/cw_strat.pdf)



DEPARTMENT OF THE ARMY
CORPS OF ENGINEERS

CIVIL WORKS
STRATEGIC PLAN

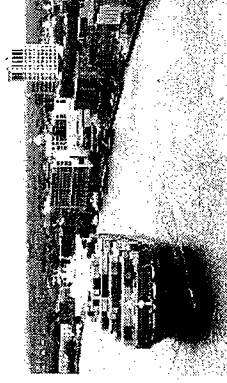
Fiscal Year 2004 – Fiscal Year 2009

March 2004

GPRA – Corps Products That Meet the Basic Requirements (cont'd)

– Annual Performance Work Plan

FY08 Civil Works Program
Performance Work Plan



Prepared By:
Programs Integration Division,
Directorate of Civil Works,
US Army Corps of Engineers

9 May 2008

GPRA – Corps Products That Meet the Basic Requirements (cont'd)

– Annual Report on Performance

(<http://www.asafm.army.mil/fo/fod/cfo/afr/afr.asp>)



GPRO – Effect

- GPRO is the foundation for present-day program development by all agencies of the United States Government.
- It suggests that any federal program will survive only if it is a benefit to the nation and is more efficient, effective, and timely.

GPRA – Quiz

- What does GPRA abbreviate?
- When was GPRA enacted?
- What is the principal purpose of GPRA?
- What are the basic requirements of GPRA for federal agencies?
- What are the GPRA Corps products?

GPRO — Quiz (cont'd)

- Where can the following be found:
 - the Civil Works Strategic Plan?
 - the Civil Works Annual Performance Plan?
 - the Civil Works Annual Performance Report?
- What is the effect of GPRO?

President's Management Agenda (PMA)

- PMA, promulgated in 2002, specifies 14 initiatives to implement GPRA – 5 government-wide and 9 agency-specific.
- The 5 government-wide initiatives, plus a 6th added later, are designed to improve management and performance of the federal government.
- Goal of initiatives is to enable the federal government to “make good on promises” to the American people.

PMA – President’s Message

- “I am pleased to send to the Congress a bold strategy for improving the management and performance of the federal government. Government likes to begin things - to declare grand new programs and causes. But good beginnings are not the measure of success. What matters in the end is completion. Performance. Results. Not just making promises, but making good on promises. In my Administration, that will be the standard from the farthest regional office . . . to the highest office in the land.”

PMA – Government-wide Initiatives

- Strategic management of human capital,
- Competitive sourcing,
- Improved financial management,
- Expanded e-government,
- Budget and performance integration, and
- Real property asset management.

(We'll focus on budget performance integration.)

PMA – Budget and Performance Integration (B&PI)

- Budget and Performance Integration means – performance-based budgeting.
- Whether work is funded depends on its benefit to the nation, with that work promising most needed, efficient, effective, and timely benefit funded first, etc.
- The other 5 initiatives affect efficiency, effectiveness, and timeliness of accomplishing all work, so, all 6 initiatives must be executed concurrently.

PMA – B&PI – Performance Measures

- Performance measures are written criteria used to gauge progress – actual or projected – in accomplishment of objectives, goals, and missions.
- They are used, not only as standards for judging performance based on project or program results, but also, to project performance contributions of competing investment increments.

(Currently defined performance measures – a set for each CWDP business line. Covered in Lesson 10.)

PMA – B&PI – Performance

Results

- Performance results are products of operation of programs/projects/activities (PPAs).
- They are determined through collection of data, by performance measure, describing the extent to which performance objectives, goals, or missions, were met through accomplishment or operation of PPAs.
- They are used, not only to evaluate program performance and judge program worthiness after the fact, but also, to evaluate the reasonableness of performance measures.

PMA –Score Card

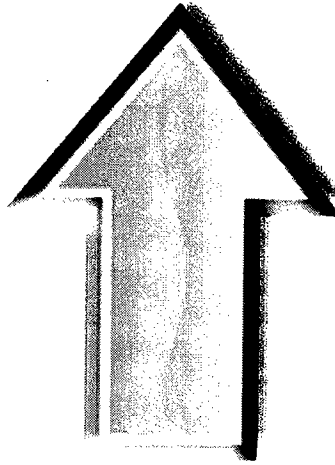
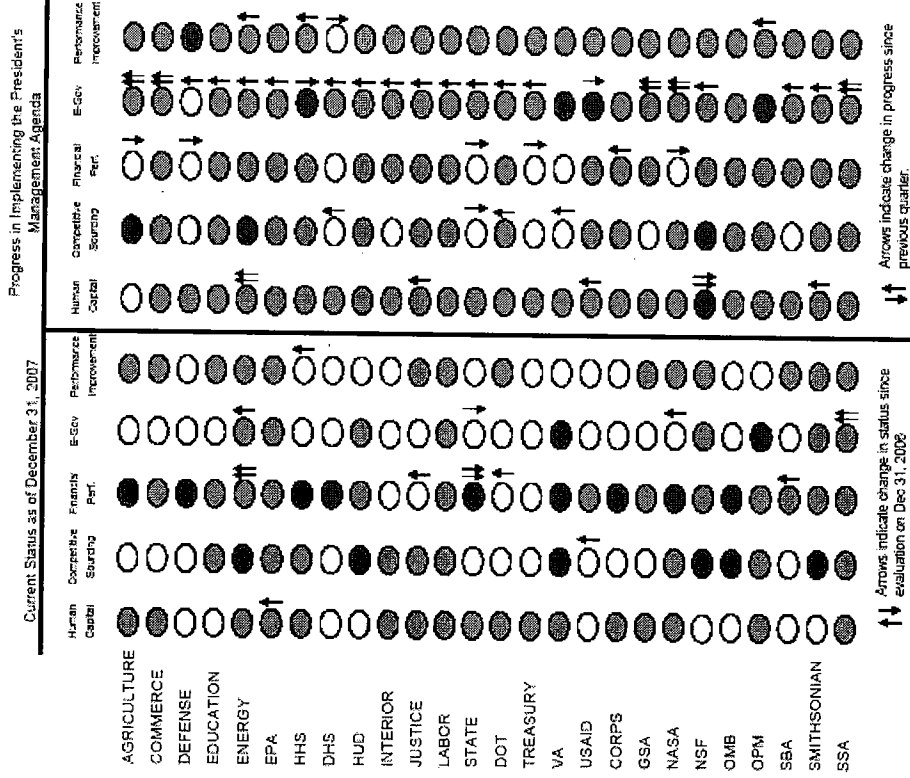
- The “score card” is designed for use in rating assessments of any agency’s status and progress in addressing the initiatives.
- “Status” is the degree to which, for any given initiative, any agency has addressed the initiative.

PMA – Score Card (cont'd)

- “Progress” is the degree to which, for any given initiative, any agency has succeeded in addressing the initiative since the last score card rating.
- The score card provides for three possible overall ratings – green, yellow, and red, from best to worst.

Score Card

Executive Branch Management Scorecard



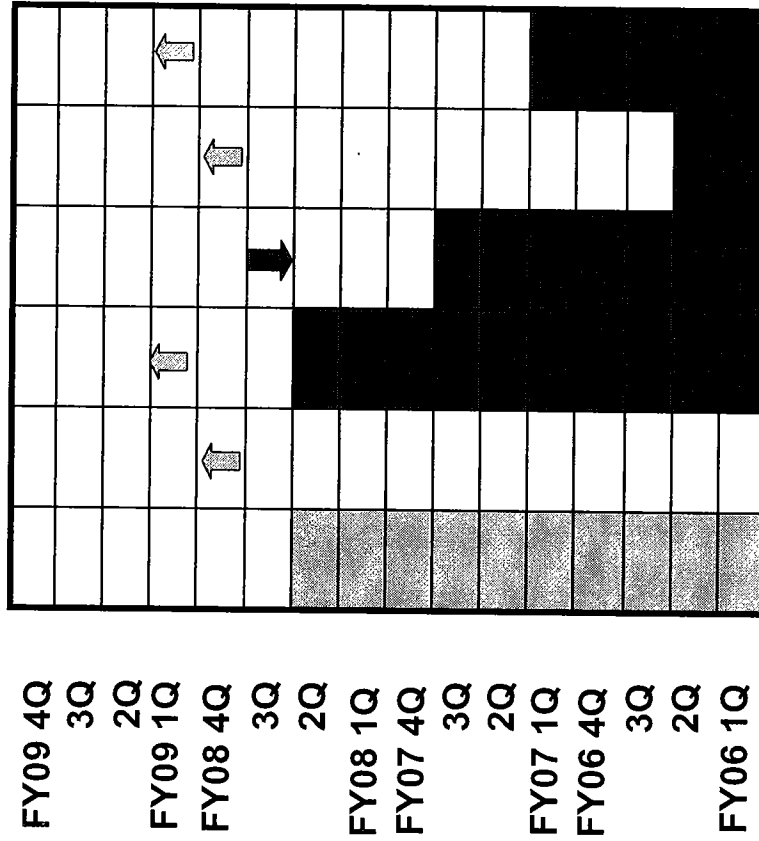
PMA – Corps' Latest Rating

- On its latest “status” score card the Corps received
 - 1 red Financial performance
 - 1 green Human capital
 - 3 Yellow Competitive sourcing, e-government, and Budget integration
- On the “progress” score card the Corps received
 - 5 Green Human capital, Competitive sourcing, Financial performance, e-government, and Budget integration

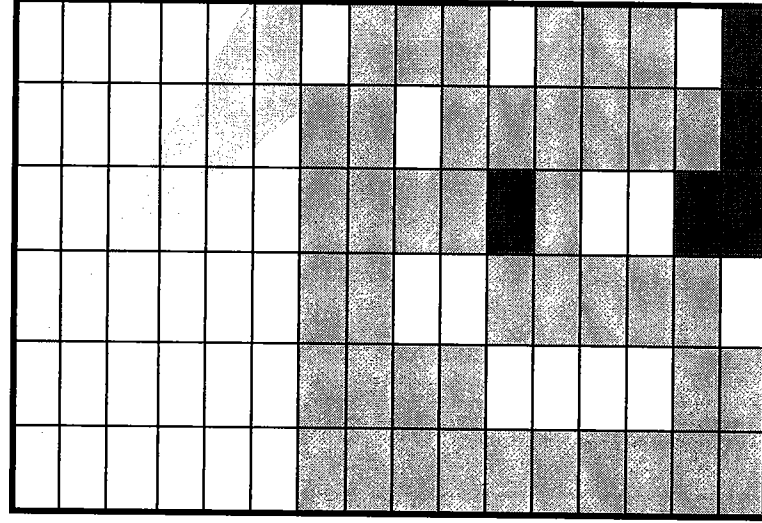
Score Card Status and Progress

Current as of 25 Apr 2008

Status



Progress



Projection Arrows



** lack definitive agreement if channels are to be considered assets and evidence to show use of Asset mgmt framework throughout Corps

PMA – Quiz

- What does PMA abbreviate?
- When was the PMA promulgated?
- What's the principal purpose of the PMA?
- What's the goal of the PMA?
- How many Government-wide initiatives does the PMA specify?
- What does “budget and performance integration” mean?

PMA – Quiz (cont'd)

- Which initiatives must be done to do the “budget and performance integration” initiative well?
- When did Corps first attempt to integrate budget and performance?
- What are performance measures?
- How many sets of performance measures do we have for the CWDP?

PMA – Quiz (cont'd)

- What are the two uses of performance measures?
- What are performance results?
- How are performance results determined?
- What are the two uses of performance results?

PMA – Quiz (cont'd)

- What are the two characteristics rated through use of the PMA score card?
- What are the three possible ratings under the PMA score card?
- What's the goal of agencies subject to the PMA score card?
- How has the Corps done under the PMA score card?

Performance Assessment Rating Tool (PART)

- PART is a “questionnaire process” developed by OMB to facilitate improvement of performance by all agencies of the Federal Government in addressing the PMA B&PI initiative.
- OMB uses the process to assess and rate all agencies in addressing the PMA B&PI initiative.

PART – Quiz

- What does PART abbreviate?
- What is PART?
- What's the principal purpose of PART?
- What two functions does PART employ?

Summary

- We've covered:
 - Public Law, and
 - Presidential initiatives governing program development by all agencies of the Federal Government; and
 - OMB's rating tool for rating compliance with the law, as specifically implemented by the BP&I initiative.

Summary (cont'd)

- For those of you involved in development of the CWDP, this lesson should help you make your programs more relevant to the nation. For those who are not, hopefully it will inspire you to improve performance in whatever role you play.
- Any further questions or comments?

H-9-8

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PROGRAM

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PROGRAM ASSESSMENT

Coastal Storm Damage Reduction

The program aims to protect lives and reduce damages resulting from hurricanes and storms. The Army Corps of Engineers partners with coastal communities to share the cost of placing sand on beaches or building structures such as jetties or groins. Most projects involve regular, recurring sand placement for up to 50 years.

NOT PERFORMING

Results Not Demonstrated

- **The program lacks necessary information on its success in reducing damages from hurricanes and storms in communities where the Corps has built projects or placed sand on beaches.** Additional funding may be needed to collect such performance information for completed projects. At this time only anecdotal evidence is available on the program's success.
- **The Administration does not support Federal funding for long-term beach renourishment (for up to 50 years); it supports a scaled back Federal role instead.** The Administration supports Federal funding for the initial placement of sand on beaches after which states and local communities would finance the long-term, periodic beach renourishment.
- **Greater coordination may be needed between the Army Corps of Engineers and other Federal, state and local entities to help prevent unwise future development in coastal communities, including those where the Corps has partnered to provide long-term beach renourishment.**

We are taking the following actions to improve the performance of the program:

- Collecting information on the economic and other benefits from completed projects that have reduced hurricane and storm damages. Additional funding may be needed for this data collection effort.
- Proposing funds in the budget for the initial sand placement, and long-term renourishment only if it is necessary to mitigate the impacts of operating and maintaining a Federal navigation project.
- Conducting two pilot projects to promote improved coordination among Federal and non-Federal programs that address damages from floods, storms and hurricanes.
- **[View Similar Programs.](#)**
- **[How all Federal programs are assessed.](#)**
- **[Learn more about Coastal Storm Damage Reduction.](#)**



DETAILED INFORMATION ON THE COASTAL STORM DAMAGE REDUCTION ASSESSMENT

- View this [program's assessment summary](#).
- Visit [ExpectMore.gov](#) to learn more about how Federal Government programs are assessed and their plans for improvement.
- [Learn more](#) about detailed assessments.

Program Code	10002454										
Program Title	Coastal Storm Damage Reduction										
Department Name	Corps of Engineers-Civil Works										
Agency/Bureau Name	Corps of Engineers-Civil Works										
Program Type(s)	Capital Assets and Service Acquisition Program										
Assessment Year	2004										
Assessment Rating	Results Not Demonstrated										
Assessment Section Scores	<table border="1"> <thead> <tr> <th>Section</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>Program Purpose & Design</td> <td>80%</td> </tr> <tr> <td>Strategic Planning</td> <td>44%</td> </tr> <tr> <td>Program Management</td> <td>62%</td> </tr> <tr> <td>Program Results/Accountability</td> <td>28%</td> </tr> </tbody> </table>	Section	Score	Program Purpose & Design	80%	Strategic Planning	44%	Program Management	62%	Program Results/Accountability	28%
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Program Funding Level (in millions)	<table border="1"> <tbody> <tr> <td>FY2007</td> <td>\$41</td> </tr> <tr> <td>FY2008</td> <td>\$75</td> </tr> <tr> <td>FY2009</td> <td>\$52</td> </tr> </tbody> </table>	FY2007	\$41	FY2008	\$75	FY2009	\$52				
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FY2009	\$52										

- [Ongoing Program Improvement Plans](#)
- [Completed Program Improvement Plans](#)
- [Program Performance Measures](#)
- [Questions/Answers \(Detailed Assessment\)](#)

Ongoing Program Improvement Plans

Year Began	Improvement Plan	Status	Comments
2005	Collecting performance information on the economic and other benefits from completed projects that have measurably reduced damages from hurricanes and storms. Additional funding may be needed later to conduct this data collection effort for completed projects.	Action taken, but not completed	Will be re-PARTed in 2008 Currently there is no dedicated funding to perform this task. However, during the FY08 Budget development a proposal will be developed. No funding available
2007	This program will be re-PARTed in 2008 and the Flood Damage Reduction and Coastal Storm Damage Reduction programs will be combined to provide a more comprehensive assessment of the Corps activities in flood risk management. New performance measures have been developed that include dam safety and population at risk and subject to final agreements will be incorporated in the re-PARTing		
2007	Subject to availability of funds, an improved data collection program will be initiated. Available data is being collected will be used to measure the performance as best as possible. An improved approach to collect actual damages	Action taken, but not completed	

prevented is being developed and is scheduled to be fielded in 2008.

Completed Program Improvement Plans

Year Began	Improvement Plan	Status	Comments
2005	Proposing funds in the budget for the initial sand placement, and long-term renourishment only if it is necessary to mitigate the impacts of operating and maintaining a Federal navigation project.	Completed	This is a budgetary policy and is not related to performance. Not part of this business line.
2005	Conducting a pilot projects to promote improved coordination among Federal and non-Federal programs that address damages from floods, storms and hurricanes. One team is currently working with a high priority community to develop a flood mitigation strategy. The plan is being developed under USACE's Planning Assistance to States (PAS) program and will follow FEMA's Flood Mitigation Assistance (FMA) guidelines. The resulting plan will be a comprehensive flood mitigation plan that will identify flood risks, assess what is vulnerable, prioritize potential flood damage reduction measures, and match agency programs to the measures in order to move towards the goal of reduced flood risk and more sustainable development. The other pilot is started with a meeting of 19 different agencies where 50 issues were identified. Some of the issues identified included more consistent agency communication, definition of roles and responsibility, and public flood risk education. The next steps are to finalize the team structure and prioritize issues.	Completed	Work on pilots has been successful and our work with FEMA is continuing. Will be re-PARTed in 2008

Program Performance Measures

Term	Type	
Long-term/Annual	Outcome	<p>Measure: Average annual flood damage reduction benefits attributable to projects recommended in completed project feasibility reports or pre-construction, engineering and design (PED) studies.</p> <p><i>Explanation:</i> Supports Strategic Plan Objective 1.1 (Seek water resources solutions that better balance economic, environmental, and quality of life objectives). NOTE: Have incomplete data - efforts underway to improve data collection.</p>
Long-term/Annual	Outcome	<p>Measure: Number of people benefited by potential projects identified in reconnaissance phase reports completed.</p> <p><i>Explanation:</i> Supports CW Strategic Plan Objective 1.1: Seek water resources solutions that better balance economic, environmental, and quality of life objectives. NOTE: Have incomplete data - efforts underway to improve data collection.</p>
Long-term/Annual	Outcome	<p>Measure: Average annual flood damage reduction benefits attributable to completed construction projects.</p> <p><i>Explanation:</i> The program does not have any data for this measure. Efforts to improve data collection are now underway. Data collection for projects that have completed the initial phase of construction may require additional funding.</p>
Long-term	Outcome	<p>Measure: Average annual flood damage reduction benefits attributable to completed (construction) projects.</p> <p><i>Explanation:</i> Supports CW Strategic Plan Objective 1.1: Seek water resources solutions that better balance economic, environmental, and quality of life objectives. NOTE: Have incomplete data - efforts underway to improve data collection.</p>
Long-term	Outcome	<p>Measure: Percent of time that Corps owned flood damage reduction infrastructure</p>

		maintained at design level.
		<i>Explanation:</i> Supports CW Strategic Plan Objective 3.1: Improve the efficiency and effectiveness of existing Corps water resources projects. NOTE: Have incomplete data - efforts underway to improve data collection.
Long-term/Annual	Output	Measure: Percent of projects exceeding facilities condition index (FCI) standard
		<i>Explanation:</i> This measure is under development as part of the Corps' real property asset management plan.
Long-term	Outcome	Measure: Percent of time that Corps owned flood damage reduction infrastructure maintained at design level.
		<i>Explanation:</i> Supports CW Strategic Plan Objective 3.1: Improve the efficiency and effectiveness of existing Corps water resources projects. NOTE: Have incomplete data - efforts underway to improve data collection.

Questions/Answers (Detailed Assessment)

Section 1 - Program Purpose & Design			
Number	Question	Answer	Score
1.1	Is the program purpose clear?	YES	20%
	<p><i>Explanation:</i> The purpose of the program is to reduce coastal erosion damages resulting from hurricanes and coastal storms. The program achieves this purpose primarily through cost-shared implementation of structural solutions such as jetties, seawalls, and long-term beach nourishment, mostly the latter. Nonstructural solutions, such as home buyouts and elevations are also employed but much less frequently. The largest and most controversial component of the program is its individually authorized long-term beach nourishment projects, which involve regular placement of sand on shorelines for up to fifty year terms.</p> <p><i>Evidence:</i> The program was first authorized in the 1936 Flood Control Act and modified in subsequent Flood Control, Rivers and Harbors, and Water Resource Development Acts over the years. Individual storm damage reduction projects may be authorized for additional purposes, which include ecosystem restoration or mitigation of damages from operating Federal navigation projects. Separate cost-share formulas are applied to non-storm damage reduction purposes.</p>		
1.2	Does the program address a specific and existing problem, interest or need?	YES	20%
	<p><i>Explanation:</i> There is a growing need to address the impacts of shoreline erosion on existing public infrastructure in coastal communities. Shoreline erosion is exacerbated by a range of factors, including coastal development, Federal navigation infrastructure, and upland dams. The Federal role in addressing these impacts, however, should be more limited than it is currently, as the long-term financial commitments associated with 50 years of periodic beach re-nourishment are extremely large and may, in some situations, even induce further development on the coastline.</p> <p><i>Evidence:</i> On the east and Gulf Coasts, coastal dynamics are heavily affected by Federal navigation projects such as channel stabilizing jetties which prevent the downdrift movement of sand. On the West coast upland dams prevent transport of sediment downstream where it can nourish beaches. While the East and Gulf coasts are more susceptible to hurricanes, the West coast faces strong winter storms (for example, El Nino) that occur every few years.</p>		
1.3	Is the program designed so that it is not redundant or duplicative of any other Federal, state, local or private effort?	YES	20%
	<p><i>Explanation:</i> There is some overlap between the Corps and FEMA efforts. The two agencies do not have a history of collaboration, yet both perform storm damage mitigation activities.</p>		

State and local governments also finance shore protection activities within their respective jurisdictions, but those efforts would either be in partnership with or independent of this program. Lastly, individual homeowners and businesses may protect their own property through structural or nonstructural measures, but the Corps' program does not provide funding for protection of private beaches.

Evidence: The following Federal agencies provide storm damage reduction assistance in the form of direct financial support, technical assistance, grants, or loans: Corps; Economic Development Administration (Dept of Commerce; FEMA; National Oceanic and Atmospheric Administration (Dept of Commerce); Dept of Housing and Urban Development. Various state and local governments participate in shore protection activities, and private entities may finance protection of their own property.

1.4	Is the program design free of major flaws that would limit the program's effectiveness or efficiency?	NO	0%
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Explanation: There are concerns about the unintended consequences of the long-term beach renourishment projects on coastal development, which is regulated at the state and local level. There are also concerns about the extent of Federal financing for 50-year renourishment projects whose benefits are largely localized. Further, many state and local project sponsors are not prepared to assume full financial responsibility for the continuing renourishment costs that remain after the Federally authorized project is 'complete'. The Corps' Regional Sediment Management program is exploring how to integrate the planning and management of the beach nourishment program with other water resources activities.

Evidence: The Corps' National Regional Sediment Management Program is exploring innovative strategies to better integrate the planning and management of water resources activities that affect or are affected by sediment systems and processes in order to more efficiently manage the Nation's sediment resources.

1.5	Is the program effectively targeted, so that resources will reach intended beneficiaries and/or otherwise address the program's purpose directly?	YES	20%
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Explanation: The intended beneficiaries for individual storm damage reduction projects are those communities whose residents, properties, economic and public sector activities and services are at risk of storm and hurricane damages. Beneficiaries are location specific, as are the delivered damage reduction products and services; thus there is a high degree of congruence between potential and actual beneficiaries. With the exception of some non-structural activities (evacuation), beneficiaries can only be protected on a defined hazards area basis.

Evidence: Project beneficiaries participate financially in the project feasibility study, and, if the project is Congressionally authorized, they participate as cost-sharing partners in the construction of the project. They assume financial responsibility for maintaining the project upon completion.

Section 1 - Program Purpose & Design		Score	80%
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Section 2 - Strategic Planning

Number	Question	Answer	Score
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2.1	Does the program have a limited number of specific long-term performance measures that focus on outcomes and meaningfully reflect the purpose of the program?	NO	0%
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Explanation: The Corps recently developed a few new long-term measures that reflect the purpose of the program, but not its outcomes. One measure tracks how well projects incorporate watershed principles in their study and design documents. Another measure tracks how well projects meet original cost estimates. Other long-term measures, such as the

facility condition index rating, are still under development at this time. One of the analytical strengths of this program is the benefit-cost analysis that is used to formulate individual projects.

Evidence: A benefit-cost ratio is developed for each authorized project, which showing the estimated return on the investment. Still lacking is an aggregate measure (such as the average or median benefit-cost ratio for the program) of the overall return on the investment in this program. Such a measure should be developed in collaboration with other Federal hazard mitigation programs. Newly developed long-term measures were included in the Corps GPRA Strategic Plan, released in March 2004.

2.2	Does the program have ambitious targets and timeframes for its long-term measures?	NO	0%
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Explanation: The Corps is still refining and collecting baseline data for the long-term measures listed above. When baseline data is available for the measures, however, that information will be used to set specific performance targets in the budget request.

Evidence: Baselines and targets for new measures are under development.

2.3	Does the program have a limited number of specific annual performance measures that can demonstrate progress toward achieving the program's long-term goals?	YES	11%
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Explanation: The Corps developed a measure to track the economic benefits realized from projects for which construction and design has been completed. However, the program still needs more outcome-oriented measures that are aligned with the its long-term goals, such as the percent reduction in annual storm damages attributable to Corps projects. The budget prioritizes funding for construction estimated to yield a higher return, per dollar invested.

Evidence: In developing the program budget and making funding allocation decisions, the Corps ranks competing projects in the initial phase of construction by their remaining benefits, relative to their remaining costs. This project ranking process is aimed at maximizing the return from the total program. Re-nourishment projects that are performed to mitigate the impacts of Federal navigation projects are given special consideration in funding decisions.

2.4	Does the program have baselines and ambitious targets for its annual measures?	NO	0%
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Explanation: Baseline program performance data is only available for a limited number of annual measures that were recently developed. The Corps will collect additional data in the upcoming year.

Evidence: For annual measures recently developed and approved, the Corps will begin collecting and organizing baseline data this year.

2.5	Do all partners (including grantees, sub-grantees, contractors, cost-sharing partners, and other government partners) commit to and work toward the annual and/or long-term goals of the program?	YES	11%
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Explanation: The Corps' primary partners are its non-Federal project cost-sharing partners, project contractors and FEMA. Cost-sharing project sponsors have a vested interest in ensuring that project costs do not exceed original estimates, and the Corps uses performance clauses in its construction contracts to help ensure further that cost and schedule goals are met. The Corps does not collaborate sufficiently with FEMA in its program execution, goal-setting, or performance measurement in order to reduce inefficiencies in the duplication of efforts.

Evidence: Greater collaboration is needed among the Corps and its program partners, especially FEMA, to track the results of Federal hazard mitigation efforts and reduce program

inefficiencies.

2.6	Are independent evaluations of sufficient scope and quality conducted on a regular basis or as needed to support program improvements and evaluate effectiveness and relevance to the problem, interest, or need?	NO	0%
<p><i>Explanation:</i> There has not been a comprehensive, independent evaluation of this program's effectiveness and relevance to the problem of coastal storm impacts, and there is not an institutional mechanism for conducting regular independent evaluations of the program. The National Academy of Science conducted an evaluation of the Civil Works planning and design program and recommended more independent review of individual projects and studies. In the past, independent external review of individual projects has been done on a limited basis, just for complex or controversial studies. The Corps has an Office of Water Project Review to oversee implementation of the NAS recommendation.</p> <p><i>Evidence:</i> The National Academy of Sciences reviewed the Corps planning program on a program-wide basis in 1999 and 2004 and recommended more independent, external review of individual project plans and proposals.</p>			
2.7	Are Budget requests explicitly tied to accomplishment of the annual and long-term performance goals, and are the resource needs presented in a complete and transparent manner in the program's budget?	NO	0%
<p><i>Explanation:</i> The 2006 Budget for Corps construction links funding to the estimated return on a project, but the Corps still needs to more improve the linkage between overall program performance goals and the associated funding request. The Corps is currently finalizing a strategy for full-cost budgeting, to account for and assign to specific programs all funding items.</p> <p><i>Evidence:</i> The 2006 Budget proposes a more explicit and transparent performance-based framework for ranking and funding storm damage reduction projects.</p>			
2.8	Has the program taken meaningful steps to correct its strategic planning deficiencies?	YES	11%
<p><i>Explanation:</i> The Corps is continuing to make progress in the development of long-term and annual performance measures that will support GPRA goals of more performance-based budgeting and program management. The Corps still needs to develop one or two key outcome-oriented measures that focus on improving the return from the overall program.</p> <p><i>Evidence:</i> The Corps released its GPRA strategic plan in 2004 and is continuing to refine its performance goals in consultation with OMB and program stakeholders.</p>			
2.CA1	Has the agency/program conducted a recent, meaningful, credible analysis of alternatives that includes trade-offs between cost, schedule, risk, and performance goals and used the results to guide the resulting activity?	YES	11%
<p><i>Explanation:</i> Underlying each authorized storm damage reduction project is a benefit-cost analysis that evaluates a range of alternatives and their associated tradeoffs and recommends the alternative yielding the greatest return on the investment. The recommended alternative also satisfies environmental and other regulatory constraints. The budget allocates funds among projects based on these estimates of projects' remaining benefits relative to their remaining costs,</p> <p><i>Evidence:</i> The Federal Principles and Guidelines and Corps Engineering Regulations provide the guidance on how the Corps conducts its analysis of alternatives.</p>			
Section 2 - Strategic Planning			Score 44%

Section 3 - Program Management

Number	Question	Answer	Score
3.1	<p>Does the agency regularly collect timely and credible performance information, including information from key program partners, and use it to manage the program and improve performance?</p> <p><i>Explanation:</i> Program and project managers carefully track the execution of appropriated funds primarily for reprogramming purposes. Currently, however, there are no mechanisms in place for the systematic collection and tracking of program performance data largely because performance measures are still under development or have only recently been developed. Part of the reason why data is not collected is because the program only this year began developing performance measures. The Corps is currently developing a more performance-based approach to reprogramming decisions --- a good first step to using integrated performance and financial data for improved program management.</p> <p><i>Evidence:</i> Currently, the Corps only regularly tracks and reviews the rate of expenditure of appropriated funds. Program managers review this data regularly in order to make fund reprogramming decisions.</p>	NO	0%
3.2	<p>Are Federal managers and program partners (including grantees, sub-grantees, contractors, cost-sharing partners, and other government partners) held accountable for cost, schedule and performance results?</p> <p><i>Explanation:</i> The Corps accomplishes much of its studies and all of its construction activities by fixed price contracts that tightly specify performance requirements. However, the Corps does not routinely perform an ex post facto comparison of estimated versus actual benefits and costs for completed construction projects.</p> <p><i>Evidence:</i> Corps accomplishes much of its studies and all of its construction activities by contract. Fixed price contracts tightly specify performance requirements. ER 4115-1-17 prescribes "Construction Contractor Performance Evaluations" and record of performance is recorded in the Construction Contractor Appraisal Support System (CCAS) AIS and used for future construction contract bidder qualification.</p>	YES	12%
3.3	<p>Are funds (Federal and partners') obligated in a timely manner and spent for the intended purpose?</p> <p><i>Explanation:</i> A major concern of the Corps is the efficient obligation and expenditure of funds, and the Corps is diligent in the tracking of such through Project Review Boards & Resource Management Boards that monitor the obligation and expenditure of project funds.</p> <p><i>Evidence:</i> The Corps of Engineers Financial Management System (CEFMS) is a distributed, real-time database that allows project managers to track work orders and their associated costs and funding streams.</p>	YES	12%
3.4	<p>Does the program have procedures (e.g. competitive sourcing/cost comparisons, IT improvements, appropriate incentives) to measure and achieve efficiencies and cost effectiveness in program execution?</p> <p><i>Explanation:</i> In the project study and design phase, each project undergoes value engineering analysis to identify ways to construct the project more inexpensively and efficiently. Further, cost-sharing agreements with non-Federal project sponsors results in a strong incentive to achieve cost efficiencies and an effective project.</p> <p><i>Evidence:</i> Various internal policies and engineering regulations prescribe analytical methodologies for cost-effective project design and construction.</p>	YES	12%
3.5	<p>Does the program collaborate and coordinate effectively with related programs?</p> <p><i>Explanation:</i> This is an area in need of much improvement. The Corps does not routinely</p>	NO	0%

