FRAGO # 12 to OPERATIONS ORDER 2009-11 (USACE Execution of the American Recovery & Reinvestment Act 2009)

References:

   a. Memorandum Executive Office of the President, Office of Management and Budget (OMB), 18 February 2009, subject: Initial implementing guidance for the American Recovery and Reinvestment Act (ARRA) of 2009.

   b. Memorandum Executive Office of the President, Office of Management and Budget (OMB), 3 April 2009, subject: Updated implementing guidance for the American Recovery and Reinvestment Act (ARRA) of 2009.

   c. Headquarters Department of Army Field Manual number 5-19 (FM 5-19), Composite Risk Management (CRM), July 2006.

CLASSIFICATION: FOR OFFICIAL USE ONLY (FOUO)

Time Zone Used Throughout Order: Romeo

1. SITUATION.

General. The USACE ARRA Risk Management Plan builds on the existing USACE internal control program that ensures adequate controls are in place and operating effective to safeguard government assets. As part of the USACE internal control program, Division Commanders and Headquarters Staff heads are annually required to certify that they reviewed existing controls and verified that the controls are in place and effective. To augment this annual process, USACE will review all management areas to determine if controls are currently in place to manage ARRA funding. If additional controls are needed, they will be implemented and subordinate commands and headquarters staffs will provide additional certification to ensure ARRA unique requirements are being met.

This FRAGO provides:

   a. The USACE ARRA Risk Management Plan (Tab A).

   b. Guidance on implementing the ARRA specific management control requirements to include ARRA management control checklists and reporting schedule.

2. MISSION. No Change.

3. EXECUTION.
Commander's Intent: No Change.

FRAGO #12 to OPERATIONS ORDER 2009-11 (USACE Execution of the American Recovery & Reinvestment Act 2009)

    a. **Concept of Operations.** The Directorate for Resource Management (CERM) is responsible for the evaluation of management control systems to encompass ARRA requirements. The attached USACE Risk Management Plan is the framework under which the Corps of Engineers will evaluate risks and implement an ARRA management control program.

        1) HQUSACE functional proponents have completed an initial gap analysis on functions affected by ARRA and created checklists to validate that controls to execute ARRA programs are in place and operating effectively. The checklists and schedule for providing completed checklist to CERM-P are attached in Tabs B-K.

        2) HQUSACE functional proponents will continue to evaluate and update ARRA execution, implement controls, and update checklist as needed. Any changes or additions will be provided to CERM-P who will publish updates in future FRAGOs. Personnel administering ARRA checklist need to ensure the most recent checklists are being utilized during their evaluations.

    b. **Tasks to Divisions:** Provide completed Commander Certification indicating the effectiveness of existing oversight program to CERM-P within 10 workdays after the reporting period ends. Submission will include all completed ARRA checklist for the period. Commanders may include additional evaluation areas.

    c. **Tasks to HQUSACE:**
        1) All applicable staff elements: Provide completed HQUSACE Staff Certification indicating the effectiveness of existing oversight program to include copies of all completed ARRA checklist for the period within 10 work-days after the reporting period ends.

        2) All applicable staff elements: Perform risk assessment as outlined in Tab A, Paragraph 4b (to include the risk assessment Matrix) for all evaluation areas identified on pages A10-A12. Additional evaluations areas should be added if required. Submit risk assessments for all evaluation areas to CERM-P by COB 15 July 2009.

        3) All applicable staff elements: If completion of risk assessments from Paragraph 3c2 (above) results in "High" or "Extremely High" determination, management must implement additional controls. The control can take many forms, such as, but not limited to, guidance published in a FRAGO, training, or increased monitoring. At the same time when additional controls are established, the staff needs to update the current ARRA checklist for that evaluation area or create a new checklist. Provide updated or new checklists to CERM-P by 31 July 2009.

FRAGO #12 to OPERATIONS ORDER 2009-11 (USACE Execution of the American Recovery & Reinvestment Act 2009)

4) CERM/CEIR: Coordinate with staffs and each other to complete Agency Risk Templates from Appendix 6 of the 3 April 2009 OMB guidance for each "High" or "Extremely High" evaluation area identified. At some point in the future OMB will require agencies to report on these risk areas. Complete actions by 29 August 2009.

5) CERM/CEIR/CEIG: Review Material Weaknesses (CERM), Audits (CEIR) and Investigations (CEIG) for the past 2 years to determine if any potential risk areas can be identified. Provide results to CERM-P by 30 June 2009 who will distribute them to the appropriate staff for follow-up actions.

  d. Coordinating Instructions:

    1) Required schedule of quarterly evaluations is contained in Tab L.

    2) Direct questions pertaining to management oversight requirements to CERM-P, Mr. David Potts at (202) 761-4886 or by email at David.R.Potts@usace.army.mil.

4. SERVICE SUPPORT. No change.

5. COMMAND AND SIGNAL. No change.

  a. **Command**. No change.

  b. **Signal:**

    1) HQUSACE Recovery Act SharePoint Site is located: https://kme.usace.army.mil/CW/EO/default.aspx. HQUSACE will utilize this site as a knowledge center for historical documents, current orders, and reference material. Divisions have access to this site.

    2) USACE POC for Civil Works actions: Mr. Gary Loew, Gary.A.Loew2@usace.army.mil, 202-761-4100.

    3) USACE POC for Military Programs actions: Ms Patricia Rivers, Patricia.A.Rivers@usace.army.mil, 202-761-0858.

    4) HQUSACE POC for this order: COL Steven Roemhildt, Steven.J.Roemhildt@usace.army.mil, 202-761-0105.

R. L. VAN ANTWERP
Lieutenant General, U.S. Army
Commanding

3

FRAGO #12 to OPERATIONS ORDER 2009-11 (USACE Execution of the American Recovery & Reinvestment Act 2009)

OFFICIAL:

FRANK D. FORD
COL, EN
Deputy G-3

Attachments:
Tab A: USACE ARRA Risk Management Plan
Tab B CW Program Management Control Checklist
Tab C: Contracting Management Control Checklist
Tab D: Engineering and Construction Management Control Checklist
Tab E: HAP Management Control Checklist
Tab F: Human Capital Management Control Checklist
Tab G: Interagency and International Services Management Control Checklist
Tab H: Public Affairs Management Control Checklist
Tab I: Resource Management Control Checklist
Tab J: Safety Management Control Checklist
Tab K: Small Business Management Control Checklist
Tab L: ARRA Schedule Template

DISTRIBUTION:
ASA(CW)
Commanding General, USACE
Deputy Commanding General, USACE
Deputy Commanding General, Military and International Operations
Deputy Commanding General, Civil Works and Emergency Operations
Commander, 412th Theater Engineer Command
Commander, 416th Theater Engineer Command
Division Commanders
Deputy Division Commanders
Center Commanders
Deputy Center Commanders
Division/Center EOCs
412th TEC G3
416th TEC G3
Chief of Staff, HQUSACE
HQUSACE, Staff Principals
Deputy G-3, HQUSACE
USACE LNOs
G-3, GRD

Tab A: (USACE ARRA Risk Management Plan) to FRAGO #12

U.S. Army Corps of Engineers (USACE) ARRA Risk Management Plan

2 June 2009

1. References:

a. Memorandum Executive Office of the President, Office of Management and Budget (OMB), 18 February 2009, subject: Initial implementing guidance for the American Recovery and Reinvestment Act (ARRA) of 2009.

b. Memorandum Executive Office of the President, Office of Management and Budget (OMB), 3 April 2009, subject: Updated implementing guidance for the American Recovery and Reinvestment Act (ARRA) of 2009.

c. Headquarters Department of Army Field Manual number 5-19 (FM 5-19), Composite Risk Management (CRM), July 2006.

2. Intent: The USACE Risk Management Plan will support the Administration's intent of executing ARRA funding with transparency and accountability by identifying risk area and putting controls in place to ensure success. Additionally, USACE will strengthen internal control monitoring requirement to validate that the additional controls are working.

3. Background:

a. The U. S. Army Corps of Engineers (USACE) American Reinvestment and Recovery Act (ARRA) Risk Management Plan builds on the USACE internal control program to ensure adequate controls are in place and operating effective to safeguard government assets. As part of the USACE internal control program, Division Commanders and Headquarters Staff heads are annually required to certify that they reviewed existing controls and verified that the controls are in place and effective. To augment this annual process, USACE will review all management areas to determine if controls are currently in place to manage ARRA funding. If additional controls are needed, they will be implemented and subordinate commands and headquarters staffs will provide additional certification to ensure ARRA unique requirements are being met.

b. The USACE Risk Management process is a continuous five-step process. Each step is a deliberate effort designed to support the steps before and after. The steps and titles are provided below

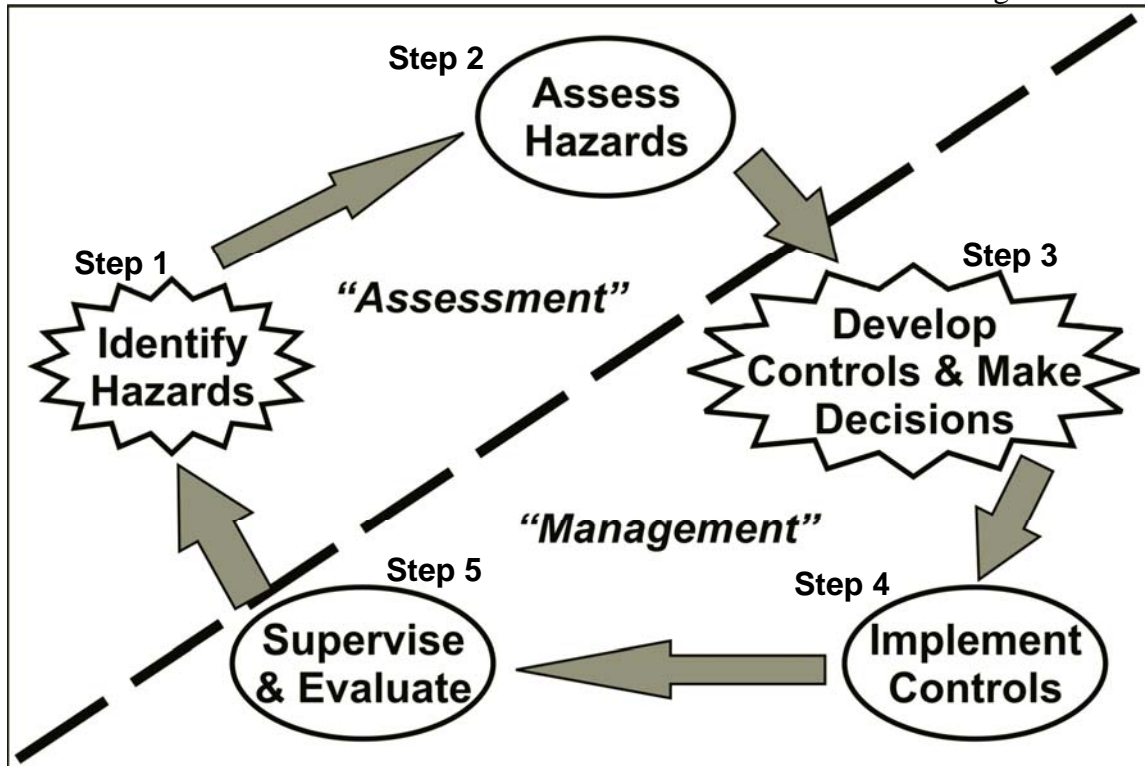**Step 1** – Identify hazards.

Step 2 – Assess hazards to determine risk.

Step 3 – Develop controls and make risk decisions.

Step 4 – Implement controls.

Tab A: (USACE ARRA Risk Management Plan) to FRAGO #12

Step 5 – Supervise and evaluate.

c. The USACE Risk Management process is graphically displayed below in figure 1:

Figure 1

Steps 1 and 2 are assessment steps, steps 3 through 5 are management.

4. Details on the execution of each step:

a. **Step 1** – Identify Hazards: Hazards will be identified in a variety of ways to include but not limited to:

(1) Staff review of OMB Guidance. To assist Staffs in this review, selected information from reference 1b has been included on pages A7-A9 at the back of this document.

(2) RM: Review of recent Material Weaknesses (Information provided to functional for their use in making/updating checklists)

(3) IR: Review of recent audits (Information provided to functional for their use in making/updating checklists)

(4) IG: Review of investigations (Information provided to functional for their use in making/updating checklists)

b. **Step 2** – Assess hazards to determine risk.

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Tab A: (USACE ARRA Risk Management Plan) to FRAGO #12

      (1) Hazards are assessed and risk is assigned in terms of probability and severity of adverse impact of an event/occurrence. This step considers the risk or likelihood of an event or incident adversely affecting mission, capabilities, people, equipment, or property. "What are the odds (probability) of something going wrong and what is the effect (severity) of the incident if it does occur?

      (2) There are three sub-steps in this step:
          - Assess the probability of the event or occurrence.
          - Estimate the expected result or severity of an event or occurrence.
          - Determine the specified level of risk for a given probability and severity using the standard risk assessment matrix in figure 2 (below.)

Figure 2

Risk Assessment Matrix					
	Probability				
Severity:	**Frequent**	**Likely**	**Occasional**	**Seldom**	**Unlikely**
Catastrophic	E	E	H	H	M
Critical	E	H	H	M	L
Marginal	H	M	M	L	L
Negligible	M	L	L	L	L
E - Extremely High		**H - High**		**M - Moderate**	**L - Low**

      (3) Staff should consider the following when assigning the probability and severity of risks:
          - Which programs are receiving the most funding?
          - Are program outputs and outcomes clear and measurable?
          - Are existing resources sufficient to achieve program objectives and proper award and management in accordance with statutory and regulatory requirements?
          - Who is (are) the final recipient(s) of funds (e.g., contractor, sub-contractor, state, locality, educational institution)?
          - Does the entity responsible for the program have a proven history of appropriately managing federal funds?
          - Is this a new program for which the recipient may not have an existing administrative structure?
          - Does the program typically stay within schedule and cost goals?
          - Are there current audit (e.g., financial statement audit, programmatic audits, GAO audits, single-audit) findings associated with this program?
          - Are existing internal controls sufficient to mitigate the risk of waste, fraud, and abuse adequately?
          - Are there performance issues with current or potential funding Recipients?
          - Are there leading indicators (e.g., history of not meeting schedule and cost goals, program audit findings) or lagging indicators (e.g., error measurements) to monitor ongoing program performance?

      (4) Staffs will consider the effects of ARRA funding and perform this assessment or every evaluation identified on pages A10-A12. The results of these reviews will be used to determine if additional controls are need. These results will also be provided to CERM-P.

A - 3

Tab A: (USACE ARRA Risk Management Plan) to FRAGO #12

c. **Step 3** – Develop controls and make risk decisions.

(1) In step 2, hazards were assessed and an initial risk level was determined. In this step, controls are developed and applied. If the results are High or Extremely High, staff must then determine if additional controls are needed.

(2) Controls can take many forms, but normally fall into one of three basic categories:

- Educational (awareness) Controls. These controls are based on the knowledge and skills of units, organizations, or individuals. It includes their awareness of the hazard and control. Effective educational control is implemented through individual and collective training that ensures performance to standard.

- Physical Controls. These take the form of barriers and guards or signs to warn individuals, units, or organizations that a hazard exists. Special controller or oversight personnel also fall into this category.

- Avoidance/Elimination Controls. These controls include positive action to prevent contact with an identified hazard or the total elimination of the hazard.

(3). To be effective, each control developed must meet the following criteria:

- Suitability. It must remove the hazard or mitigate (reduce) the residual risk to an acceptable level.

- Feasibility. The unit must have the capability to implement the control.

- Acceptability. The benefit gained by implementing the control must justify the cost in resources and time. The assessment of acceptability is largely subjective.

(4) All types of controls (Avoidance/Elimination, training and physical) should also be considered.

(5) The key to effective controls is that they reduce the effect of or eliminate the identified hazard.

(6) With controls applied, risk must be reassessed to determine the residual risk associated with each hazard and the overall residual risk for the mission. The process of developing and applying controls and reassessing risk continues until an acceptable level of risk is achieved or until all risks are reduced to a level where benefits outweigh potential cost.

(7) Controls should not be confused with the ARRA internal control checklists that the Corps will use to assess the effectiveness of the controls. For example, guidance to the field is a control; a completed checklist is an effectiveness measure of that control. If the fields' responses to the questions on the checklist indicate the control is not working, the control need strengthened. In addition to guidance, other examples of strengthening controls include additional training (an educational control), or automating the process (an avoidance control).

(8) For evaluation areas where additional controls are added, staffs are required to provide CERM-P new or updated ARRA internal control checklists that ask questions that allow

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Tab A: (USACE ARRA Risk Management Plan) to FRAGO #12

management to ensure required ARRA related actions are taking place. CERM-P will incorporate the checklist into the ARRA internal control program.

      d. **Step 4** – Implement controls.

        (1) Staffs must ensure that controls are integrated into business processes. The ARRA Checklists will be used to assess the effectiveness of those controls.

        (2) Headquarters staff will continue to develop and refine internal control checklist to validate implement controls are working. These checklists will be provided to CERM on an as required basis.

        (3) Staffs with the assistance of CERM/CEIR will complete Agency Risk Templates from Appendix 6 of the OMB guidance (reference 1b) for each evaluation area. This will include and assessment measure and a "trigger" for a contingency plan.

      e. **Step 5** – Supervise and evaluate.

        (1) Supervision is a form of control measure. An extraordinary degree of discipline is required to avoid complacency from boredom and overconfidence when personnel are performing repetitive tasks. Controls established and implemented for a prolonged period are especially "at risk" to be ignored due to overconfidence or complacency.

        (2) The evaluation process occurs during all phases of the operation. The evaluation process serves to accomplish the following:

        - Identify any hazards that were not identified as part of the initial assessment, or identify new hazards that evolved during the operation or activity. For example, any time that personnel, equipment, environment, or mission change the initial risk management analysis, the control measures should be reevaluated.
        - Assess effectiveness in supporting operational goals and objectives. Did the controls positively or negatively impact training or mission accomplishment? Did the controls support existing doctrine, techniques, tactics, and procedures?
        -Assess the implementation, execution, and communication of the controls. Assess accuracy of residual risk and effectiveness of controls in eliminating hazards and controlling risks.
        -Ensure compliance with the guiding principles of CRM. Was the process integrated throughout all phases of the operation? Were risk decisions accurate? Were they made at the appropriate level? Were there any unnecessary risks, and did the benefit outweigh the cost in terms of dollars, training benefit, and time? Was the process cyclic and continuous throughout the operation?

        (3) The evaluation will be completed at the appropriate level as indicated on each ARRA checklist and at the Headquarters level.

Tab A: (USACE ARRA Risk Management Plan) to FRAGO #12

(4) Completed checklist will be provided to CERM from all levels of the USACE. CERM will staff self-identified deficiencies with HQs staff for evaluation and resolution. CERM will also report results to the Executive Senior Assessment Team (ESAT).

(5) CEIR will spot check a sampling of completed checklist for accuracy and report the results to the ESAT.

(6) CEIG will perform audits or investigations as directed by the CG or DCG.

5. Execution: Specific guidance, directions, and requirement for the execution of the ARRA risk management plan will be based on this document and published in Fragmentation Orders (FRAGOs) to the ARRA Operational Order (OPORDER).

6. Conclusion: Implementation and constant reassessment of USACE Risk Management Process will assist ensuring accountability and transparency in executing the ARRA program.

Select Elements from the OMB Updated ARRA Implementing Guidance.

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Tab A: (USACE ARRA Risk Management Plan) to FRAGO #12

Para 3.7 (RM Analysis of responsible USACE element below):

a. Ultimately, agencies must determine what award method(s) will allow recipients to commence expenditures and activities as quickly as possible consistent with prudent management and statutory requirements. Agencies may consider obligating funds provided under the Recovery Act on an existing grant, including, but not limited to, a continuation or renewal grant. **(Contracting)**

b. To enable timeliness of awards, agencies should engage in aggressive outreach to potential applicants to begin application-planning activities, including the process for Central Contractor Registration (CCR) and obtaining a Dun and Bradstreet Universal Numbering System (DUNS) number. Outreach can also include efforts to update and validate existing CCR and DUNS registration data. **(Contracting)**

c. Consider weighting selection criteria to favor applicants for assistance with demonstrated ability to deliver programmatic result and accountability objectives included in the Recovery Act. **(Contracting)**

d. Adapt current performance evaluation and review processes to include the ability to report periodically on completion status of the program or activity, and program and economic outcomes, consistent with Recovery Act requirements. Establish procedures to validate the accuracy of information submitted on a statistical basis and/or risk based approach as approved by OMB. **(RM/IR/IG)**

e. Using other than fixed-price contracts requires agencies to pay special attention to ensuring that sufficient qualified acquisition personnel are available to perform contract administration to mitigate the government's risk. When riskier contract types are proposed, agencies should provide appropriate oversight so that all alternatives have been considered and that qualified staff is available for monitoring performance to mitigate risks. **(Contracting)**

f. Agencies should review their internal procurement review practices to promote competition to the maximum extent practicable. For instance, agencies might lower the dollar thresholds at which higher-level review is required when a non-competitive acquisition strategy is contemplated. **(Contracting)**

g. Agencies must ensure receipt of funds is made contingent on recipients meeting the reporting requirements in Section 1512 of the Act. **(Contracting)**

h. Agencies must structure acquisitions to result in meaningful and measurable outcomes that are consistent with agency plans and that promote the goals of the Recovery Act. The evaluation criteria for award should include those that bear on the measurement and likelihood of achieving these outcomes. **(Contracting/CW and MP Program Managers)**

i. Consider alternatives to contract financing, including structuring contract line items to allow invoicing and payments based upon interim or partial deliverables, milestones, percent-of-completion, etc. Ensuring consideration of contractor cash flow during acquisition planning will mitigate schedule and performance risks to the government and reduce costs to the contractor associated with financing in a tight credit market. **(Contracting)**

j. Evaluate workforce needs in order to appoint qualified Grants Officers, Contracting Officers, Contracting Officer Technical Representatives (COTRs), and Program Managers with certification levels appropriate to the complexity of Recovery Act projects. **(Contracting and CW and MP Program Managers)**

k. Identify mission-critical human capital needs for Recovery Act implementation, and assess the gap between their current workforce and Recovery Act human capital requirements. To identify their workforce needs and gaps, agencies must use competency-based workforce planning methodologies, drawing on existing data available in their human resource information systems,

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Tab A: (USACE ARRA Risk Management Plan) to FRAGO #12

learning management systems, competency assessment survey results and other data sources. **(HR/management)**

Figure 1 in Para 3.6:

Figure 1, Recovery Act Accountability Framework and Objectives

	Pre-Award	Performance Period		Post-Performance Period
Strategic	Program Outcomes and Economic Outcomes Achieved			
	Competitive (and Fixed Price) Opportunities Maximized			
	Wasteful Spending, Fraud, and Abuse Identified and Minimized			
Operations	Funds Obligated Timely	Funds Expended Timely	Undelivered Orders Minimized	Sunset of Recovery Requiremements
	Improper Payments Minimized			
	Timely and Accurate Data Reported to Recovery.gov			
Reporting Compliance	Agency and Program Plans Approved	Agency and Program Plan Milestones Completed by Estimated Dates		
	Spend-Plan Approved	Spend-Plan Milestones Completed by Estimated Dates		

Appendix 4:

Appendix 4 – Risk Considerations

PROGRAM RISK CONSIDERATIONS

1. OVERARCHING/PERFORMANCE
a. Are the programs under Recovery Act for my organization following the existing procedures or new procedures?
b. Are specific Recovery Act fund objectives and requirements incorporated into agency policies?
c. Does my organization have staff adequately trained to effectively implement Recovery Act requirements?
d. Has my organization provided new requirements, conditions, and guidance to the recipients regarding Recovery Act?
e. Does my organization have reporting mechanisms in place to collect the required data from recipients to meet Recovery Act transparency requirements?
f. Is there an agency-wide methodology for measuring performance? What are the key performance metrics?
g. Are there any process metrics, or are the metrics primarily outcome-oriented?
h. Does my organization have a corrective action plan process in place to promptly resolve the audit findings identified that may affect the ability to successfully implement Recovery Act?
i. Has my organization established a governance body to oversee / manage the overall implementation of Recovery Act?

2. REPORTING

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Tab A: (USACE ARRA Risk Management Plan) to FRAGO #12

a. Is the necessary reporting under Recovery Act in place?
b. Has my organization implemented communication vehicles to ensure Recovery Act data is promptly reported on the agency's website?
c. Are reports published under Recovery Act reviewed and approved?
d. Are reports issued accurate and have the data fields required under Recovery Act?
e. Do reports tell agency management what is happening on a timely basis?
f. Are issues identified through established reports addressed on a timely basis?
g. Are reports issued on the effectiveness of risk management strategies and tactics timely?
h. Are risk management strategies and tactics properly monitored?

3. HUMAN CAPITAL

a. Has my organization identified qualified personnel to oversee the Recovery Act funds?
b. Does my organization have sufficient level of personnel to manage the Recovery Act programs (for instance, Grant, Contracting, Financial Management, or IT personnel, etc.)?
c. Are they empowered to make decisions and administer the Recovery Act programs?
d. Are program officials trained in the performance management requirements?
e. Has my organization considered using alternative hiring methods allowed under the Recovery Act?

4. ACQUISITION

a. Do new Requests for Proposals issued under Recovery Act initiatives contain the necessary language to satisfy the requirements of the Recovery Act?
b. Are Contracts awarded in a prompt, fair, and reasonable manner?
c. Do new contracts awarded using Recovery Act funds have the specific terms and clauses required?
d. Are contracts awarded using Recovery Act funds transparent to the public? Are the public benefits of the funds used under these contracts reported clearly, accurately and in a timely manner?
e. Are funds used for authorized purposes and the potential for fraud, waste, error, and abuse minimized and/or mitigated?
f. Do projects funded under Recovery Act avoid unnecessary delays and cost overruns?
g. Are there any performance issues identified concerning (potential) contractor? Are there follow up actions to address the performance issues?

5. FINANCIAL

a. Has my organization established separate Treasury Account Fund Symbols to ensure Recovery Act funds are clearly distinguishable?
b. Are there controls in place to ensure that Recovery Act funds are not commingled with other agency funds?
c. Are existing internal controls sufficient to mitigate the risks of fraud, waste, and abuse?

6. SYSTEM

a. Are financial and operational systems configured to manage and control recovery funds?
b. Can financial and operational systems support the increase in volume of contracts, grants, and loans etc.?
c. Are the appropriate data elements identified that must be captured, classified and aggregated for analysis and reporting to meet Recovery Act requirements?

Management Control Evaluation Areas

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Tab A: (USACE ARRA Risk Management Plan) to FRAGO #12

USACE Org	Army/USACE Function	Evaluation Areas
CI	Info Mgmt	Army Info Resources Management Program
CI	Info Assurance	Information Assurance
CI	COMSEC	Communications Security Program
CW	Civil Works	Regulatory Programs
CW	Civil Works	Direct Program Dev--Annual Prog/Budget Req
CW	Civil Works	Engineering and Design
CW	Civil Works	Emergency Management Activities
CC	Legal	Claims Services
EO	EEO	EEO and Affirmative Action
EO	EEO	EEO Discrimination Complaints
EO	EEO	Nondiscrimination in Progs/Actvts Asst'd
HO	History	ARMY MUSEUMS, HISTORICAL ARTIFACTS, AND ART
HR	Personnel (Military)	Personnel Accounting & Strength Reporting
HR	Personnel (Military)	Monitoring Active Duty Service Obligations
HR	Personnel (Military)	Special Duty Pay
HR	Personnel (Military)	Personnel Info -- Indebtedness Remission
HR	Personnel	ACTEDS - Funding Control
IG	Inspector General	Training
IG	Inspector General	Inspections
IG	Inspector General	Intelligence Oversight
IG	Inspector General	Investigations
IG	Inspector General	Assistance
IG	Inspector General	Information Resources
IG	Inspector General	Legal
IR	Internal Review	Audits / Internal Controls
LD	Supply	ULA
LD	Transportation	ULA
LD	Facilities	ULA
LD	Maintenance	ULA
LD	Logistics	ULA
LD	Logistics	ULA
USACE Org	**Army/USACE Function**	**Evaluation Areas**

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Tab A: (USACE ARRA Risk Management Plan) to FRAGO #12

USACE Org	Army/USACE Function	Evaluation Areas
LD	Logistics Planning	ULA
LD	Logistics Planning	ULA
LD	Logistics Planning	ULA
CW/MP	Construction	Engineering and Design Quality Management
CW/MP	Construction	Design and Construction Evaluation
CW/MP	Construction	Construction Quality Management
CT	Contract/Procurement	Contract Office Management
CT	Contract/Procurement	Purchase Card Program
CT	Contract/Procurement	Secure Environment Contracting
MP	Military Programs	Real Property Acquisition-Leasing
MP	Military Programs	Homeowners Assistance Program
MP	Military Programs	Outgranting
MP	Military Programs	Disposal
MP	Military Programs	Army Facilities Management
RD	Research & Develop	Maintenance: Army test, Measurement, Diagnostic Eq
RD	Research & Develop	Info Mgt: Frequency Supportability for equip/sys
RD	Research & Develop	Info Mgt: Frequency Supportability in Expir Phase
RD	Research & Develop	Info Mgt: Frequency Supportability Mod in Devel Stage
RD	Research & Develop	Info Mgt: Validate Frequency Supportability
RD	Research & Develop	Design and Construction Evaluation
RM	Construction	Construction Fiscal Management
RM	DoDIG CFO Audit	CFO Issues
RM	Accounting	Revolving Fund Operation
RM	FM	Management Controls
RM	FM	Budget Execution
RM	Personnel	Manpower Management Activities
RM	FM	Army Travel Charge Card Program
RM-B	FM	Management of RDT&E Appropriation
RM UFC	FM	Accounting Operations Activities
RM UFC	FM	Travel Pay Activities
RM UFC	FM	Commercial Accounts Activities
SO	Mgmt & Cmd	Army Safety Program
USACE Org	**Army/USACE Function**	**Evaluation Areas**

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Tab A: (USACE ARRA Risk Management Plan) to FRAGO #12

SPO	Security	Physical Security Inspection Program
SPO	Intelligence/Security	Counterintelligence Program
SPO	Security	Anti-terrorism & Force Protect
SPO	Intelligence	Information Security
PA	Public Affairs	Strat Objectives for Commo - Campaign Plan
PA	Public Affairs	Command Information Program
PA	Public Affairs	Public Information/Media Relations Program
PA	Public Affairs	Public Affairs Planning
PA	Public Affairs	Command Newspaper
PA	Public Affairs	Electronic Media and Websites
PA	Public Affairs	Communication Plans in PMP's
SB	Small Business	Small Business Program

Tab B: (CW Program Management Control Checklist) to FRAGO #12

CIVIL WORKS QUARTERLY ARRA MANAGEMENT CONTROL CHECKLIST – V1

HQUSACE CHECKLIST

Name / Organization / Phone Number of Individual Performing Check:
_____ Date: _____

1. Does HQUSACE have a Senior Management Council or its counterpart that oversees ARRA activities? (Yes or No)_____.

    Comment: _____
    _____
    _____

2. Are responsible HQUSACE elements familiar with the ARRA and OMB implementing guidance? (Yes or No)_____.

    Comment: _____
    _____
    _____

3. Are qualified personnel identified, on-board in HQUSACE, and exercising oversight responsibilities of the CW program execution components of the Recovery Act? (Yes or No)_____.

    Comment: _____
    _____
    _____

4. Do actual obligations and outlays match closely the obligation and outlay plan submitted to OMB? (Yes or No)_____.

    Comment: _____
    _____
    _____

Tab B: (CW Program Management Control Checklist) to FRAGO #12

5. Does HQUSACE ensure that ARRA funds that are or would be surplus to projects, or that would cause carryover of regularly appropriated funds, are identified, and reassigned to projects where they can be obligated effectively?
(Yes or No)_____.

Comment: _____
_____
_____

Tab B: (CW Program Management Control Checklist) to FRAGO #12

DIVISION CHECKLIST

Name / Organization / Phone Number of Individual Performing Check:
_____ Date: _____

1. Has the Division ensured that its management and the management of subordinate Districts are familiar with implementation guidance, including EC 11-2-195 and Operations Order 2009-11 and ensuing Fragmentary Orders? (Yes or No)_____.

    Comment: _____
    _____
    _____

2. Are qualified personnel identified, on-board in the Division, and exercising oversight responsibilities of the CW program execution components of the Recovery Act? (Yes or No)_____.

    Comment: _____
    _____
    _____

3. Has the Division ensured that subordinate Districts have obligated ARRA funds through 30 September 2010 only for work meeting the following criteria? (Yes or No)_____.

    Comment: _____
    _____
    _____

    a. The funded programs, projects, and activities (PPAs) already had received regularly appropriated funds in the corresponding account for Energy and Water Development at the time the funds were used. (Yes or No)_____.

        Comment: _____
        _____
        _____

    b. The funded PPAs and PPA elements, as defined in EC 11-2-195, can be completed within the funds made available within the applicable account and will not require new budget authority to complete (Yes or No)_____.

        Comment: _____
        _____
        _____

B - 3

Tab B: (CW Program Management Control Checklist) to FRAGO #12

    c. The funded work was approved or selected by higher authority for execution using ARRA funds. (Yes or No)_____.

Comment: _____

_____

_____

Supervisor/Reviewer

Printed Name of USACE Individual Performing Quarterly Check:

_____

1. **The completed checklist has been reviewed and I have determined that corrective action is necessary. (Yes or No)_____.**

2. **If corrective action was required, annotate the action/s below:**

Tab C: (Contracting Management Control Checklist) to FRAGO #12

CONTRACTING QUARTERLY ARRA
MANAGEMENT CONTROL CHECK LIST – V1

Continue to use your internal checklist for pre and post award contracting procedures according to AFARS APPENDIX BB and the mandatory ARRA internal checklist below:

Directions: All District Contracting Offices will perform this checklist. All answers that indicate that ARRA guidance was followed require additional information in the comment field. Comments should state why an action was or was not taken and if necessary provide the corrective action taken to resolve the deficiency for either the current contract or future contracts.

Date of Performance of ARRA Check: _____of ____ Quarter of FY_____
Printed Name of USACE Individual Performing Quarterly Check: _____

PRE AWARD
1. Does the solicitation or award indicate which products or services are funded under the Recovery Act? (Yes or No)_____.

   Comment: _____
   _____
   _____

2. Does the solicitation/award include the required FAR clauses relating to:
   a. Whistleblower Protection (FAR clause 52.203-15)? (Yes or No) _____

      Comment: _____
      _____
      _____

   b. Contracting Reporting Requirements (FAR clause 52.204-11)? (Yes or No) _____

      Comment: _____
      _____
      _____

   c. Special Buy America Act requirements FAR clauses (52.204-21, 52.225-22, 52.225-23, or 52.225-24? (Yes or No) _____

      Comment: _____
      _____
      _____

Tab C: (Contracting Management Control Checklist) to FRAGO #12

    d. Expanded GAO/OIG access to contractor records FAR clauses 52.212-4, 52.212-5, 52.214-26, 52.215-2? (Yes or No) _____

       Comment: _____
_____
_____

    e. Publicizing Contract Actions (FAR 5.704-2 – 5.705)? (Yes or No)_____.

       Comment: _____
_____
_____

3. ARRA contract actions must contain a separate Contract Line Item Number (CLIN). Do the ARRA contract actions contain a separate Contract Line Item Number (CLIN) in the contract, delivery order, or modification? (Yes or No) _____

       Comment: _____
_____
_____

4. Were all authorized small business contracting programs considered in order to provide small business with maximum opportunities to participate as prime and subcontractors? (Yes or No) _____.

       Comment: _____
_____
_____

5. Does the solicitation/award comply with the environmental requirements of FAR PART 23? (Yes or No) _____.

       Comment: _____
_____
_____

1. Was a pre-solicitation announcement posted on ASFI/FBO (required for both contracts and orders issued under task or delivery order contracts (See FAR Subpart 5.7(a)(2))? (Yes or No) _____

       Comment: _____
_____
_____

Tab C: (Contracting Management Control Checklist) to FRAGO #12

2. Is the ASFI/FBO pre-solicitation announcement appropriately identified by including the word "RECOVERY" as the first word in the Title field (if notices are submitted electronically via FTP/e-mail)? (Yes or No) _____

    Comment: _____
    _____
    _____

8. By selecting "yes" for the field "Is this a Recovery and Reinvestment Act action" on the Notice Detail for (in Step 2) located below the NAICS code field?
    (Yes or No) _____

    Comment: _____
    _____
    _____

9. If the pre-solicitation announcement was for an order under a task or delivery order contract, did it include the following statement in the Description filed in ASFI/FBO preceding the actual description? THIS NOTICE IS PROVIDED FOR INFORMATIONAL PURPOSE ONLY THISOPPORTUNITY IS AVAIALBE ONLY TO CONTRACTOR UNDER (CONTRACTING OFFICER INSERT PROGRAM/CONTRACT NAME)
    _____
    (Yes or No) _____

    Comment: _____
    _____
    _____

10. Is the description of the supplies and services (including construction) in the ASFI/FBO notice clear and unambiguous to the public? (Yes or No) _____

    Comment: _____
    _____
    _____

11. Does the Grants or the Cooperative Agreement spell out the assignment of agency roles and responsibilities to fulfill the unique requirements of the Recovery Act.?
    (Yes or No) _____

    Comment: _____
    _____
    _____

Tab C: (Contracting Management Control Checklist) to FRAGO #12

12. Were competitive grants opportunity announced (i.e., synopses) on <u>Grants.gov</u>?
    (Yes or No) _____.

    Comment: _____
    _____
    _____

Reminder
- Any Recovery Act funded action that is not both competitive and fixed price must be supported by a "rationale" posted on ASFI/FBO for other than a competitive and/or fixed price approach. See Award Checklist (over) and FAR 5.705(b) for more details.
- This requirement applies regardless of dollar value or whether the action is funded in whole or in or in part by the Recovery Act. It also applies to contracts, orders, or modifications to an existing contract or order.
- This requirement does not relieve you of your obligations to document the file and obtain approvals of other than competitive or fixed price actions required elsewhere in the FAR or by your agency.

Award Checklist
a.   If an award was not competitive, was it documented in the
    contract file as required by the   FAR and Agency policy? (Yes or No) _____

    Comment: _____
    _____
    _____

b.   Was the contractor determined to be responsible and was
    verification conducted to ensure the contractor was not listed in the Excluded Parties List
    System at <u>www.epls.gov</u>?
    (Yes or No) _____

    Comment: _____
    _____
    _____

c.   Was the award announced on ASFI/FBO?
    (Yes or No) _____
    Comment: _____
    _____
    _____

Tab C: (Contracting Management Control Checklist) to FRAGO #12

d.   Is the ASFI/FBO award announcement appropriately
    identified by:
    i.   Including the word "Recovery" as the first word in
        the Title field (if notices and submitted electronically via ftp/e-mail)? (Yes or No)
        _____

    ii.   Selecting "yes" for the field "Is this a Recovery and
        Reinvestment Act action" on the Notice Detail form (Step 2) located below the
        NAICS Code filed?
        (Yes or No) _____

        Comment: _____
        _____
        _____

e.   Was a summary of the action, including a clear, plain
    language description of the required products or services (including construction), posted on
    ASFI/FBO? (Yes or No)_____

    Comment: _____
    _____
    _____

f.   Regardless of Dollar Value, if the contract action, including
    all modifications and order issued under task or delivery order contracts, is not both fixed
    prices and competitive, does the description on the ASFI/FBO award notice announcement
    include a rational for using other than a fixed price and/or competitive approach? (Yes or
    No)_____

    Comment: _____
    _____
    _____

g.   Was the action reported in FPDS-NG? (Yes or
    No)_____

    Comment: _____
    _____
    _____

h.   Did the FPDS-NG entry include the Treasury Accounting
    Symbol (TAS) in the Description of Requirement filed in the proper format? (Yes or
    No)_____

    Comment: _____
    _____

Tab C: (Contracting Management Control Checklist) to FRAGO #12

_____

9. Was the contract action approved and release in SPS? (Yes or No) _____

   Comment: _____
   _____
   _____

10. Was the TAS confirmed with Resource Management in reference to the program description
    (e.g., HAP, FSRM, MR&T, R&D, IIS etc.)? (Yes or No)_____

   Comment: _____
   _____
   _____

11. Has all field contract actions been entered in SPS, approved and released in FPDS-NG (if
    applicable)? (Yes or No)_____

   Comment: _____
   _____
   _____

   Reminder
   - All transactions under the micro-purchase threshold both purchase and paid for using the
     government –wide purchase card, all DoD contract action using Recover Act funds are
     required to be reported individually to FPDS-NG regardless of dollar value. This include
     any order place using electronic catalog tools (e.g. GSA Advantage!, DoD EMALL,
     AFWAY) using the GPC as a methods for payment. Excluding classified procurements.

   - "Micro-purchase threshold" is set at $3,000, except for:

   - For acquisitions of construction subject to the Davis-Bacon Act, then it is set at $2,000.

   - For acquisitions of services subject to the Service Contract Act, then set to $2,500.

Supervisor/Reviewer

Printed Name of USACE Individual Performing Quarterly Check:
_____

   1. **The completed checklist has been reviewed and I have determined that corrective
       action is necessary. (Yes or No)_____.**

   2. **If corrective action was required, annotate the action/s below:**

C - 6

Tab C: (Contracting Management Control Checklist) to FRAGO #12

Tab D: (Engineering and Construction Management Control Checklist) to FRAGO #12

ENGINEERING & CONSTRUCTION
QUARTERLY ARRA MANAGEMENT CONTROL CHECKLIST - V1

HQUSACE LEVEL
Date of Performance of E&C ARRA Check: _____of ____ Quarter of
FY_____
Printed Name of HQUSACE Individual Performing Quarterly E&C Check:
_____

1. Policies, Procedures, and Internal Personnel.
    a. Are necessary supplemental E&C guidance documents for ARRA work issued, updated, and understood by USACE E&C functional elements at HQUSACE and MSC HQs? (Yes or No)_____

        Comments: _____
        _____
        _____

    b. Have the HQUSACE E&C organizations identified and have on-board qualified personnel to oversee E&C aspects of the Recovery Act? (Yes or No) _____

        Comments: _____
        _____
        _____

    c. Have the HQUSACE E&C organization established/updated feedback & evaluation processes to ensure the required technical engineering and construction quality in engineering, acquisition, and construction For ARRA work by USACE?
        (Yes or No) _____

        Comments:_____
        _____
        _____

    d. Are the volume and quality of E&C related input reported to USACE's Enterprise Lessons Learned (ELL) system appropriate for ARRA work?
        (Yes or No) _____

        Comments:_____
        _____
        _____

Tab D: (Engineering and Construction Management Control Checklist) to FRAGO #12

2. Qualified Personnel - Are All USACE MSCs/RBCs ensuring qualified E&C personnel are identified and on-board to fulfill their quality assurance roles and responsibilities for ARRA work accomplished by USACE? (Yes or No) _____

    Comments: _____
    _____
    _____

3. Quality Assurance.
    a. Are USACE MSC/RBC E&C personnel fulfilling their required QA roles and responsibilities for E&C aspects of ARRA Work? (Yes or No) _____

        Comments:_____
        _____
        _____

    b. Overall, how effectively are E&C technical elements at USACE MSCs/RBCs ensuring necessary quality in E&C aspects of ARRA work?

        Highly effectively with no known negative E&C issues?
        (Yes or No) _____

        Adequate effectiveness with acceptable levels of negative E&C issues?
        (Yes or No) _____

        Inadequate effectiveness with unsatisfactory levels of negative E&C issues?
        (Yes or No) _____

        Comments:_____
        _____
        _____

    c. Are corrective actions planned, either underway, or in-place to address all known negative issues regarding E&C aspects of USACE ARRA work?
        (Yes or No) _____

        Comments:_____
        _____
        _____

Tab D: (Engineering and Construction Management Control Checklist) to FRAGO #12

Supervisor/Reviewer

Printed Name of USACE Individual Performing Quarterly Check:

_____

1.   The completed checklist has been reviewed and I have determined that corrective action is necessary. (Yes or No)_____.

2.   If corrective action was required, annotate the action/s below:

Tab D: (Engineering and Construction Management Control Checklist) to FRAGO #12

MSC HQ/RBC-LEVEL

Date of Performance of E&C ARRA Check: _____of ____ Quarter of
FY_____
Printed Name of MSC Individual Performing Quarterly E&C Check:

_____

1. Policies, Procedures, and Internal Personnel.
    a. Are necessary supplemental E&C guidance documents for ARRA work issued, updated, and understood by USACE E&C functional elements at our MSC HQ and within RBC? (Yes or No) _____

        Comments: _____
        _____
        _____

    b. Have Our E&C organizations at MSC HQ identified and have on-board qualified personnel to oversee E&C aspects of the Recovery Act? (Yes or No) _____

        Comments: _____
        _____
        _____

    c. Are existing feedback & evaluation processes adequate to ensure the required technical E&C quality in the ARRA engineering, acquisition, and construction work by our MSC/RBC? (Yes or No) _____

        Comments:_____
        _____
        _____

    d. Are the volume and quality of E&C related input reported to USACE's Enterprise Lessons Learned (ELL) system from our MSC/RBC appropriate for our ARRA Work? (Yes or No) _____

        Comments:_____
        _____
        _____

2. Qualified Personnel - Are all districts in our MSC/RBC ensuring qualified E&C personnel are identified and on-board to fulfill their quality assurance roles and responsibilities for ARRA work? (Yes or No) _____

    Comments:_____
    _____
    _____

Tab D: (Engineering and Construction Management Control Checklist) to FRAGO #12

3. Quality Assurance.
    a. Are our MSC/RBC E&C personnel fulfilling their required QA roles and responsibilities for E&C aspects of ARRA work? (Yes or No) _____

       Comments:_____
       _____
       _____

    b. Overall, how effectively are E&C technical elements at our MSC/RBC ensuring necessary quality in E&C aspects of ARRA Work?

       Highly effectively with no known negative E&C issues?
       (Yes or No) _____

       Adequate effectiveness with acceptable levels of negative E&C issues?
       (Yes or No) _____

       Inadequate effectiveness with unsatisfactory levels of negative E&C issue?
       (Yes or No) _____

       Comments:_____
       _____
       _____

    c. Are corrective actions planned, underway, or in-place within our MSC to address all known negative issues regarding E&C aspects of USACE ARRA work?
       (Yes or No) _____

       Comments:_____
       _____
       _____

Supervisor/Reviewer

Printed Name of USACE Individual Performing Quarterly Check:

_____

1. The completed checklist has been reviewed and I have determined that corrective action is necessary. (Yes or No)_____.

2. If corrective action was required, annotate the action/s below:

Tab D: (Engineering and Construction Management Control Checklist) to FRAGO #12

DISTRICT LEVEL

Date of Performance of E&C ARRA Check: _____of ____ Quarter of
FY_____
Printed Name of District Individual Performing Quarterly E&C Check:

_____

1. Policies, Procedures, and Internal Personnel.
   a. Are standard and supplemental E&C guidance documents for ARRA work properly issued, updated, and understood by USACE E&C functional elements within the District? (Yes or No) _____

      Comments:_____
      _____
      _____

   b. Have our E&C organizations within the District HQs identified and have on-board qualified personnel to oversee E&C aspects of the Recovery Act? (Yes or No) _____

      Comments:_____
      _____
      _____

   c. Are existing quality management processes used by the District adequate to ensure the appropriate technical E&C quality in the ARRA engineering, acquisition, and construction work by our District? (Yes or No) _____

      Comments:_____
      _____
      _____

   d. Are the volume and quality of E&C related input to USACE's Enterprise Lessons Learned (ELL) system from our District appropriate for our ARRA work? Are we properly incorporating these lessons in subsequent work? (Yes or No) _____

      Comments_____
      _____
      _____

Tab D: (Engineering and Construction Management Control Checklist) to FRAGO #12

2. Qualified Personnel - Is our Districts ensuring qualified E&C personnel are identified and on-board across the district to fulfill their quality assurance roles and responsibilities for ARRA Work? (Yes or No) _____

    Comments:_____
    _____
    _____

3. Quality Assurance.
    a. Are our District E&C personnel fulfilling their required QA roles and responsibilities for E&C aspects of ARRA work? (Yes or No) _____

        Comments:_____
        _____
        _____

    b. Overall, how effectively are E&C technical elements at our District ensuring necessary quality in E&C aspects of ARRA work?

        Highly effectively with no known negative E&C issues?
        (Yes or No) _____

        Adequate effectiveness with acceptable levels of negative E&C issues?
        (Yes or No)_____

        Inadequate effectiveness with unsatisfactory levels of negative E&C Issues?
        (Yes or No) _____

        Comments:_____
        _____
        _____

    c. Are corrective actions planned, underway, or in-place within our District to address all known negative issues regarding E&C aspects of USACE ARRA work?
        (Yes or No) _____

        Comments:_____
        _____
        _____

Supervisor/Reviewer
Printed Name of USACE Individual Performing Quarterly Check:
_____

1. The completed checklist has been reviewed and I have determined that corrective action is necessary. (Yes or No)_____.

2. If corrective action was required, annotate the action/s below:

D - 7

Tab E: (HAP Management Control Checklist) to FRAGO #12

HOMEOWNERS ASSISTANCE PROGRM (HAP)
QUARTERLY MANAGEMENT CONTROL CHECKLIST - V1

ORGANIZATION: _____

ACTION OFFICER: _____

DATE COMPLETED: _____

ASSESSABLE UNIT: The HAP program managers at districts with HAP missions, i.e., Savannah, Fort Worth, and Sacramento Districts, are responsible for using this checklist by the end of each calendar quarter (Mar, Jun, Sep, and Dec). The responsible principal and mandatory schedule for using the checklist will be shown in the annual update in addition to the quarterly update of the Management Control Plan.

EVENT CYCLE NO. 1 - APPLICATION PROCESS

RISK: Applications approved/disapproved inappropriately.

CONTROL OBJECTIVES:

1. Eligibility approved only for authorized persons.

2. Eligibility denied for ineligible applicants.

TEST QUESTIONS**:**

1. Does applicant meet eligibility criteria? (Yes or No) _____

   Comments:_____
   _____
   _____

2. If ineligible, was applicant notified of and reasons for decision?
   (Yes or No) _____

   Comments:_____
   _____
   _____

E - 1

Tab E: (HAP Management Control Checklist) to FRAGO #12

EVENT CYCLE NO. 2 - CALCULATION OF BENEFITS

RISK: Benefits paid inappropriately.

CONTROL OBJECTIVES:

1. Ensure proper calculation and payment of appropriate benefits.

2. Ensure appropriate taxes are withheld/reported.

TEST QUESTIONS:

1. Private sale: BRAC 05, no causal relationship, and Military PCS

    a. Was home sold at less than 90% of the prior fair market value:
       (Yes or No) _____

       Comments:_____
       _____
       _____

    b. Was the sales price of the home equal to or greater than the current fair market value?
       (Yes or No) _____

       Comments:_____
       _____
       _____

    c. Was there a release of liability on all federally insured mortgages prior to payment of
       benefits? (Yes or No) _____

       Comments:_____
       _____
       _____

2. Private sale: Warriors in Transition and Surviving Spouses

    a. Was home sold at less than 95% of the prior fair market value?
       (Yes or No) _____

       Comments:_____
       _____
       _____

Tab E: (HAP Management Control Checklist) to FRAGO #12

      b. Was the sales price of the home equal to or greater than the current fair market value? (Yes or No) _____

          Comments:_____
_____
_____

      c. Was there a release of liability on all federally insured mortgages prior to payment of benefits? (Yes or No) _____

          Comments:_____
_____
_____

3. Foreclosure:
      a. Were foreclosure proceedings commenced on or after the appropriate date? (Yes or No) _____

          Comments:_____
_____
_____

      b. Have private sale benefits been calculated and the more beneficial method selected? (Yes or No) _____

          Comments:_____
_____
_____

4. Government acquisition,(BRAC 05, no causal relationship and military PCS):

      a. Did applicant make a bonafide effort to sell his home? (Yes or No) _____

          Comments:_____
_____
_____

      b. Does applicant have clear title to property? (Yes or No) _____

          Comments:_____
_____
_____

Tab E: (HAP Management Control Checklist) to FRAGO #12

    c. Has the government acquisition been approved at the Three Star Level?
(Yes or No) _____

       Comments:_____
_____
_____

    d. Has government acquired property at the higher of: 75% of PFMV or the current total
amount of the outstanding mortgages? (Yes or No) _____

       Comments:_____
_____
_____

    e. Were the benefits calculated from the:

       Property Purchase Price? (Yes or No) _____

       Property Sale Price? (Yes or No) _____

       Comments:_____
_____
_____

5. Government acquisition,(Wounded Warriors, Surviving Spouses):

    a. Did applicant make a bonafide effort to sell his home? (Yes or No)_____

       Comments:_____
_____
_____

                                        :

    b. Were the benefits calculated from the:

       Property Purchase Price? (Yes or No) _____

       Property Sale Price? (Yes or No) _____

       Comments:_____
_____
_____

E - 4

Tab E: (HAP Management Control Checklist) to FRAGO #12

EVENT CYCLE NO. 3 - APPEALS

RISK: Applicant may be inadvertently denied rightful benefits.

CONTROL OBJECTIVE: To insure applicant is properly notified of his right to appeal.

TEST QUESTIONS:

1. Has the applicant been advised of his right of appeal? (Yes or No) _____

    Comments:_____
    _____
    _____

EVENT CYCLE NO. 4 - FUNDING RECONCILIATION

RISK: Fraud, waste or abuse of HAP funds and violation of the anti-deficiency act.

CONTROL OBJECTIVES:

1. Ensure funds are charged to proper cost code and limitations are not exceeded for HAP-ARRA.

2. Reconcile Corps of Engineers Financial Management System (CEFMS) records and district HAPMIS records.

TEST QUESTIONS:

1. Have CEFMS and HAPMIS been reconciled at least monthly? (Yes or No) _____

    Comments:_____
    _____
    _____

2. Have sufficient funds been received to operate the program? (Yes or No) _____

    Comments:_____
    _____
    _____

3. Are funds obligated for intended purpose in accordance with Funding Authorization Document (FAD)? (Yes or No) _____

    Comments:_____
    _____
    _____

E - 5

Tab E: (HAP Management Control Checklist) to FRAGO #12

4. Are obligations properly charged to the correct Army Mgmt. Structure Code (AMSCODE)?
(Yes or No) _____

    Comments:_____
    _____
    _____

5. Are funds available and valid before obligating the government? (Yes or No) _____

    Comments:_____
    _____
    _____

6. Was EOR 3200 solely used when reporting acquired property, e.g., Equity Payments,
Liquidation Payments, and/or Mortgages Payable Assumed? (Yes or No) _____

    Comments:_____
    _____
    _____

7. Was EOR 4200 solely used for reporting acquisition benefit expense, e.g., Homeowners
Reimbursable Benefit Payments, Homeowners Loss on Private Sale benefit Payments and/or
foreclosure Benefit Payments? (Yes or No) _____

    Comments:_____
    _____
    _____

8. Is a local crosscheck system in place to enable early error detection and enhance integrity of
fiscal action in general? (Yes or No) _____

    Comments:_____
    _____
    _____

9. Are periodic spot checks taking place to verify the validity of changes to the HAP-ARRA?
(Yes or No) _____

    Comments:_____
    _____
    _____

Tab E: (HAP Management Control Checklist) to FRAGO #12

EVENT CYCLE NO. 5 - PROPERTY MANAGEMENT

RISK: Contractor is not in compliance with terms of contract.

CONTROL OBJECTIVES:

1. Ensure compliance with terms of contract.

2. Ensure homes are properly maintained.

TEST QUESTIONS:

1. Are inspection requirements of contract being met? (Yes or No) _____

   Comments:_____
   _____
   _____

2. Are maintenance requirements of contract being met, e.g., lawn services, winterization, security? (Yes or No) _____

   Comments:_____
   _____
   _____

3. Are accurate reports and vouchers being submitted in the time frame allotted?
   (Yes or No) _____

   Comments:_____
   _____
   _____

Tab E: (HAP Management Control Checklist) to FRAGO #12

EVENT CYCLE NO. 6 - PROPERTY DISPOSAL BY USACE, OR CONTRACTOR

RISK: Department of Defense retains private dwellings for inappropriate period of time.

CONTROL OBJECTIVES:

1. Reimburse HAP fund for purchase and maintenance costs as early as possible.

2. Ensure homes are sold at best advantage to government per local market conditions.

TEST QUESTIONS:

1. Are sale processes consistent with existing market conditions? (Yes or No) _____

   Comments:_____
   _____
   _____

2. Are homes being sold in such a way as to avoid further depression of the market?
   (Yes or No) _____

   Comments:_____
   _____
   _____

Tab E: (HAP Management Control Checklist) to FRAGO #12

EVENT CYCLE NO. 7 - FINANCING, ACCOUNTING AND REPORTING

RISK: USACE/M&D will not be prepared to manage and dispose of homes acquired by USACE Real Estate Acquisition.

CONTROL OBJECTIVES:

1. Ensure that USACE/Management and Disposal (M&D) is prepared to manage and dispose of all homes transferred by USACE RE Acquisition.

2. Ensure billings and payments are accurate and complete.

TEST QUESTIONS:

1. Has Real Estate Acquisition informed USACE/M&D of any unpaid taxes at the time property is acquired? (Yes or No) _____

    Comments:_____
    _____
    _____

2. Have an estimated number of homes been provided to the USACE/ M&D prior to the beginning of the fiscal year? (Yes or No) _____

    Comments:_____
    _____
    _____

Supervisor/Reviewer

Printed Name of USACE Individual Performing Quarterly Check:

_____

1. **The completed checklist has been reviewed and I have determined that corrective action is necessary. (Yes or No)_____**

2. **If corrective action was required, annotate the action/s below:**

E - 9

Tab F: (Human Capital Management Control Checklist) to FRAGO #12

HUMAN CAPITAL QUARTERLY MANAGEMENT CONTROL CHECKLIST – V1

Date of Performance of   ARRA Check: _____of ____ Quarter of FY_____
Printed Name of USACE Individual Performing Quarterly Check: _____

1. Have ARRA workforce needs been identified and documented?
    (Yes or No) _____

    Comments:_____
    _____
    _____

2. Have gaps between current workforce and ARRA requirements been identified?
    (Yes or No) _____

    Comments:_____
    _____
    _____

3. What data was used to identify gaps?
    (Yes or No) _____

    Comments:_____
    _____
    _____

4. Have actions been taken to close the gaps identified in paragraph 2 above?
    (Yes or No) _____

    Comments:_____
    _____
    _____

5. Is written guidance in place that holds managers accountable for achieving ARRA goals?
    (Yes or No) _____

    Comments:_____
    _____
    _____

6. Are controls established to track number of ARRA positions? (Yes or No) _____

    Comments:_____
    _____
    _____

Tab F: (Human Capital Management Control Checklist) to FRAGO #12

7. Are controls established to track fill of ARRA positions? (Yes or No) _____

    Comments:_____
    _____
    _____

8. Is the USACE directed language being used on requests for personnel actions (RPAs) to indicate ARRA positions? (Yes or No) _____

    Comments:_____
    _____
    _____

9. Has the latest directorate management review (DMR) identified any HR issues that may affect the execution of ARRA? (Yes or No) _____

    Comments:_____
    _____
    _____

 Supervisor/Reviewer

Printed Name of USACE Individual Performing Quarterly Check:

_____

1. **The completed checklist has been reviewed and I have determined that corrective action is necessary. (Yes or No)_____.**

2. **If corrective action was required, annotate the action/s below:**

Tab G: (Interagency and International Services Management Control Checklist) to FRAGO #12

NON-DOD CUSTOMERS QUARTERLY
ARRA MANAGEMENT CONTROL CHECKLIST – V1

Date of Performance of ARRA Check: _____of ____ Quarter of FY_____
Name/Phone Number of Individual Performing Quarterly Check: _____

Workload Analysis Checklist:

1. Has the IIS ARRA Standard Operating Procedure (SOP) contained in WARNO #2 (17 FEB 09) have been followed and annotated before a final agreement is in place for each reimbursable ARRA project from another Federal, State, or local agency?
    (Yes or No) _____

    Comments:_____
    _____
    _____

2. Are the annotated IIS ARRA SOPs audited for accuracy and completeness, and are they being retained in the appropriate project file? (Yes or No) _____

    Comments:_____
    _____
    _____

3. Has the actual ARRA workload been handled in compliance with the ARRA?
    (Yes or No) _____

    Comments:_____
    _____
    _____

4. Has the actual ARRA workload been handled in compliance with the USACE OPORD and subsequent FRAGOs? (Yes or No) _____

    Comments:_____
    _____
    _____

5. Have ARRA appropriation symbols and IIS designations been properly used in P2/CEFMS for all ARRA obligations? (Yes or No) _____

    Comments:_____
    _____
    _____

Tab G: (Interagency and International Services Management Control Checklist) to FRAGO #12

6. Do all ARRA project construction sites display the required ARRA/USACE signage? (Yes or No) _____

    Comments:_____

    _____

    _____

Supervisor/Reviewer

Printed Name of USACE Individual Performing Quarterly Check:

_____

1. **The completed checklist has been reviewed and I have determined that corrective action is necessary. (Yes or No)_____.**

2. **If corrective action was required, annotate the action/s below:**

Tab H: (Public Affairs Management Control Checklist) to FRAGO #12

PUBLIC AFFAIRS QUARTERLY ARRA
MANAGEMENT CONTROL CHECKLIST – V1

HQUSACE-LEVEL
Date of Public Affairs ARRA Check: _____of _____ Quarter of
FY_____
Printed Name of HQUSACE Individual Performing Quarterly Public Affairs Check:
_____

1. Policies, Procedures, and Internal Personnel.

   a. Are necessary supplemental guidance documents (e.g. Qs and As, Talking Points)
      regarding ARRA work updated, disseminated and understood by USACE public affairs
      personnel at HQUSACE , Divisions and Districts? (Yes or No) _____

      Comments:_____
      _____
      _____

   b. Are ARRA inquiries received through the information line or ARRA email being
      addressed in a timely manner (i.e. one business day to acknowledge inquiry, five business
      days to close out the inquiry)? (Yes or No) _____

      Comments:_____
      _____
      _____

   c. Are all ARRA telephonic inquiries and pertinent information being recorded on the
      ARRA call log? (Yes or No) _____

      Comments:_____
      _____
      _____

   d. Are all required documents and pertinent information published to the ARRA Web Site
      in a timely manner? (Yes or No) _____

      Comments:_____
      _____
      _____

Tab H: (Public Affairs Management Control Checklist) to FRAGO #12

2. Qualified Personnel - Are qualified public affairs personnel identified and on-board to fulfill ARRA communication tasks? (Yes or No) _____

   Comments:_____
   _____
   _____

3. Quality Assurance.
   a. Are USACE Public Affairs personnel fulfilling their required QA roles and responsibilities for communication aspects of ARRA work?
      (Yes or No) _____

      Comments:_____
      _____
      _____

   b. Overall, how effective are public affairs officers at USACE Headquarters, Divisions, and Districts in ensuring necessary quality in communication aspects of ARRA work?

      Highly effectively with no known negative communication issues?
      (Yes or No) _____

      Adequate Effectiveness with acceptable levels of negative communication issues?
      (Yes or No) _____

      Inadequate effectiveness with unsatisfactory levels of negative communication?
      (Yes or No) _____

      Comments:_____
      _____
      _____

   c. Are corrective actions planned, underway, or in place to address all known negative issues regarding communication aspects of USACE ARRA work?
      (Yes or No) _____

      Comments:_____
      _____
      _____

Tab H: (Public Affairs Management Control Checklist) to FRAGO #12

MSC/DISTRICT
Date of Public Affairs ARRA Check: _____of _____ Quarter of
FY_____
Printed Name of Division/District Individual Performing Quarterly Public Affairs Check:
_____

1. Policies, Procedures, and Internal Personnel.
    a. Are Necessary Supplemental Guidance Documents (e.g. Qs and As, Talking Points,
        Project Fact Sheets) Regarding ARRA Work Disseminated, Updated, and Understood by
        USACE Public Affairs Personnel? (Yes or No) _____

        Comments:_____
        _____
        _____

    b. Are ARRA inquiries received through the information line or ARRA email being
        addressed in a timely manner (i.e. one business day to acknowledge inquiry, five business
        days to close out the inquiry)? (Yes or No) _____

        Comments:_____
        _____
        _____

    c. Are all ARRA telephonic inquiries and pertinent information being recorded on the
        ARRA call log? (Yes or No) _____

        Comments:_____
        _____
        _____

    3. Are all required documents and pertinent information published to the ARRA Web Site
        in a timely manner? (Yes or No) _____

        Comments:_____
        _____
        _____

2. Qualified Personnel. Are qualified public affairs personnel identified and on-board to fulfill
    ARRA communication tasks? (Yes or No) _____

    Comments:_____
    _____
    _____

Tab H: (Public Affairs Management Control Checklist) to FRAGO #12

3. Quality Assurance
    a. Are USACE Public Affairs personnel fulfilling their required QA roles and responsibilities for communication aspects of ARRA work?
        (Yes or No) _____

        Comments:_____
        _____
        _____

    b. Overall, how effective are public affairs officers at USACE Headquarters, Divisions, and Districts in ensuring necessary quality in communication aspects of ARRA work?

        Highly effectively with no known negative communication issues?
        (Yes or No) _____

        Adequate effectiveness with acceptable levels of negative communication issues?
        (Yes or No) _____

        Inadequate effectiveness with unsatisfactory levels of negative communication issues
        (Yes or No) _____

        Comments:_____
        _____
        _____

    c. Are corrective actions planned, underway, or in place to address all known negative issues regarding communication aspects of USACE ARRA work?
        (Yes or No) _____

        Comments:_____
        _____
        _____

Supervisor/Reviewer

Printed Name of USACE Individual Performing Quarterly Check:
_____

1. **The completed checklist has been reviewed and I have determined that corrective action is necessary. (Yes or No)_____**

2. **If corrective action was required, annotate the action/s below:**

Tab I (Resource Management Control Checklist) to FRAGO #12

RESOURCE MANAGEMENT QUARTERLY
ARRA MANAGEMENT CONTROL CHECKLIST – V1

HQ LEVEL
Date of Performance of RM ARRA Check: _____of ____ Quarter of FY_____
Name/Phone Number of Individual Performing Quarterly RM Check: _____

Budget
1. Has Recovery Act Funding Authorization Documents (FADs) been entered for all Army Reimbursable Work in a timely manner? (Yes or No) _____

    Comments:_____
    _____
    _____

2. Are the Recovery Military Construction & Family Housing Projects Budget Account Authority Number (BAANs) and Army Management Structure Codes been entered in PBAS and Finance Center Tables? (Yes or No) _____

    Comments:_____
    _____
    _____

3. Has HQUSACE met the On-Going Reporting Requirements from the Office of Secretary of Defense Comptroller & Office of Management and Budget (OMB)?
    (Yes or No) _____

    Comments:_____
    _____
    _____

Finance & Accounting
1. Are HQUSACE Cost Shared Control Records being monitored to ensure Recovery Act Projects have separate records from Non-Recovery Projects? (Yes or No) _____

    Comments:_____
    _____
    _____

2. Are Commitments, Unliquidated Obligations, Undelivered Orders, Account Payables and Account Receivables being monitored bi-monthly analyzing all transactions without activity for 90 days from original recording, to minimize waste and ensure funds are used timely?
    (Yes or No) _____

    Comments:_____
    _____
    _____

Tab I (Resource Management Control Checklist) to FRAGO #12

Practices & Program Evaluation - Has HQUSACE monitored the Supervision & Administration Rates for Military Program Appropriation Recovery Act Projects?
(Yes or No) _____

Comments:_____
_____
_____

All - Are Corrective Actions Planned, Underway, or In-Place To Address All Known Negative Issues Regarding RM Aspects of USACE ARRA Work? (Yes or No) _____

Comments:_____
_____
_____

Supervisor/Reviewer

Printed Name of USACE Individual Performing Quarterly Check:

_____

1. **The completed checklist has been reviewed and I have determined that corrective action is necessary. (Yes or No)**_____

2. **If corrective action was required, annotate the action/s below:**

Tab I (Resource Management Control Checklist) to FRAGO #12

DIVISION/DISTRICT/FIELD ACTIVITIES LEVEL
Date of Performance of RM ARRA Check: _____of ____ Quarter of FY_____
Name/Phone Number of Individual Performing Quarterly RM Check: _____

Budget
1. Has the Division/Districts/Field Activity Branches loaded all Recovery Act Funds in the appropriate Recovery Appropriations Carrier Account? (Yes or No) _____

    Comments:_____
    _____
    _____

2. Are Military Interdepartmental Purchase Requests (MIPRs) used between USACE activities for **Civil Works Projects** only to cover contracts awards and travel costs?
    (Yes or No) _____

    Comments:_____
    _____
    _____

3. Has all labor between USACE activities for Recovery Act funded **Civil Works Projects** been performed through CEFMS Labor Cross-Charges? (Yes or No) _____

    Comments:_____
    _____
    _____

4. Are the Division/District/Field Activities using and recording the Supervision and Administration Recovery Act Rates for Military Program Recovery Projects? (Yes or No) _____

    Comments:_____
    _____
    _____

Finance & Accounting
1. Have the obligations for Recovery Act funds been recorded within a 30-day timeframe?
    (Yes or No) _____

    Comments:_____
    _____
    _____

Tab I (Resource Management Control Checklist) to FRAGO #12

2. Has the New Cost Share Records being entered for each Civil Works Recovery Act Funded Project? (Yes or No) _____

    Comments:_____
    _____
    _____

3. Have Civil Works Cost Share Recovery Act Project Partnership Agreements (PPA) has the correct proportional share of both Federal and Non-Federal Funds?
    (Yes or No) _____

    Comments:_____
    _____
    _____

4. Are the Unliquidated Obligations for Recovery Act Appropriations being reviewed every even month (i.e. 02, 04, 06, 08, etc...)?
    (Yes or No) _____

    Comments:_____
    _____
    _____

5. Has there been any improper payment(s) made on Recovery Act Funded Project?
    (Yes or No) _____

    Comments:_____
    _____
    _____

6. Were there any Prompt Pay Interest paid on Recovery Act Funded Projects being monitored bi-weekly analyzing all transactions to minimize waste and ensure funds are paid timely?
    (Yes or No) _____

    Comments:_____
    _____
    _____

Supervisor/Reviewer

Printed Name of USACE Individual Performing Quarterly Check:

_____

1. **The completed checklist has been reviewed and I have determined that corrective action is necessary. (Yes or No)_____**

2. **If corrective action was required, annotate the action/s below:**

Tab J (Safety Management Control Checklist) to FRAGO #12

**SAFETY AND OCCUPATIONAL HEALTH
QUARTERLY ARRA MANAGEMENT CONTROL CHECKLIST – V1**

This checklist was developed using Annex J (Safety) to OPORD 2009-11 (USACE Execution of American Recovery and Reinvestment Act of 2009) as a guide and supplements AR 385-10, Appendix C. The checklist applies to the evaluation of the hazard analysis process as applied to the increase in ARRA workload. The objective of the checklist is to ensure that control activities provide reasonable assurance that (1) a hazard analysis and control of hazards were implemented for appropriate programs at the planning phase and (2) control of hazards are monitored for effectiveness IAW AR 11-2, Management Control Program.

The answer to each test question requires a "Yes" or "No" response and must demonstrate that the control addressed by the question was actually tested (e.g., document analysis, direct observation, sampling, simulation, other). Answers that indicate deficiencies must be explained and corrective action indicated in supporting documentation.

Reporting Organization:

Evaluator:

Date Completed:

Special Instructions: Upon completion of this evaluation, DA Form 11-2-R, Management Control Evaluation Certification Statement, should be completed and forwarded to the Internal Management Control Administrator. The reporting organization should retain the original copy of the evaluation until completion of the next evaluation.

TEST QUESTIONS:

1. Planning Phase of ARRA Work.

    a. Was a determination made of which programs would be appropriate for an analysis of significant safety risk? (Yes or No) _____

    Comments:_____
    _____
    _____

    b. Was a hazard analysis performed for identified programs? (Yes or No) _____

    Comments:_____
    _____
    _____

Tab J (Safety Management Control Checklist) to FRAGO #12

    c. Were program risks identified and mitigated to an acceptable level in the planning phase? (Yes or No) _____

        Comments:_____
_____
_____

2. Execution and Control Phase of ARRA Work **-** Were intervention measures monitored for effectiveness? (Yes or No) _____

        Comments:_____
_____
_____

Supervisor/Reviewer

Printed Name of USACE Individual Performing Quarterly Check:

_____

1. **The completed checklist has been reviewed and I have determined that corrective action is necessary. (Yes or No)_____.**

2. **If corrective action was required, annotate the action/s below:**

Tab K: (Small Business Management Control Checklist) to FRAGO #12

**SMALL BUSINESS PROGRAM QUARTERLY
ARRA MANAGEMENT CONTROL CHECKLIST –V1**

Directions: This checklist will performed by all District Contracting Offices and Small Business Deputies. All "no" answers require additional information in the comment field. Comments should state why an action was or was not taken and if necessary provide the corrective action taken to resolve the deficiency for either the current contract or future contracts.

Date of Performance of Small Business ARRA Check: _____of _____ Quarter of FY_____
Printed Name of USACE Individual Performing Quarterly Check: _____

Small Business Participation. Small businesses, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns will be provided maximum practicable opportunities to compete and participate as prime and subcontractors in ARRA contract awards

1. Have ARRA contracts where the acquisition of supplies or services that has an anticipated dollar value exceeding $3,000 (unless the head of the agency determines otherwise), but not over $100,000 been automatically reserved exclusively for small business concerns?
    (Yes or No) _____

    Comment: _____
    _____
    _____

2. If the answer is "no" to the question above, has the contracting officer determines there is not a reasonable expectation of obtaining offers from two or more responsible small business concerns that are competitive in terms of market prices, quality, and deliver?
    (Yes or No) _____

    Comment: _____
    _____
    _____

3. Has the contracting officer set-aside ARRA acquisition over $100,000 for small business participation when there is a reasonable expectation that (1) offers will be obtained from **at least two** responsible small business concerns offering the products of different small business concerns and (2) award will be made at fair market prices?
    (Yes or No) _____

    Comment: _____
    _____
    _____

    Note: Total small business set-asides shall not be made unless such a reasonable expectation exists.

Tab K: (Small Business Management Control Checklist) to FRAGO #12

4. Has the Small Business Deputy participated in acquisition planning meetings for ARRA contracts to assist team in structuring requirements to maximize small business utilization? (Yes or No) _____

    Comment: _____
    _____
    _____

5. For large ARRA procurements, has the Small Business Deputy participated in acquisition planning meetings to assist team in developing strategies to maximize use of small businesses as subcontractors? (Yes or No) _____

    Comment: _____
    _____
    _____

Small Business Coordination Record (DD2579)

1. Has a Form DD2579 been used to document the Small Business Deputy's and SBA PCR's review and recommendations <u>prior</u> to synopsis/issuance of solicitations/contract modifications for <u>all</u> acquisitions over $10,000? (Yes or No) _____

    Comment: _____
    _____
    _____

    Note: The Contracting Officer initiates the DD 2579, Small Business Coordination Record for this purpose.

2. Has a signed copy of the DD 2579 been included in the official contract file? (Yes or No) _____

    Comment: _____
    _____
    _____

Tab K: (Small Business Management Control Checklist) to FRAGO #12

Subcontracting. ARRA contract awards in excess of $550,000 ($1,000,000 for construction), and that have subcontracting possibilities, the successful offer or is required to submit an acceptable subcontracting plan outlining the firm's intent to utilize small and small disadvantaged business concerns as subcontractors to the maximum extent possible.

1. Have successful ARRA contract awardees for contracts in excess of $550,000 ($1,000,000 for construction) that have subcontracting possibilities submitted an acceptable subcontracting plan outlining the firm's intent to utilize small and small disadvantaged business concerns as subcontractors to the maximum extent possible?
   (Yes or No) _____

   Comment: _____
   _____
   _____

Competition Demonstration Program. Small business set asides are reinstated for the following North American Industry Classification System codes:
   - Construction Subsector 236, Construction of Building
   - Construction Subsector 237, Heavy and Civil engineer Construction
     – NAICS 237120
   - Construction Subsector 238, Specialty Trade Contractors
     – NAICS238110
     – NAICS238290
     – NAICS238350
   - Architect and Engineering Services (including Survey and Mapping)
   - Refuse Systems and Related Services

1. Are small business set asides, if applicable, being used for the NAICS codes listed above?
   (Yes or No) _____

   Comment: _____
   _____
   _____

Supervisor/Reviewer

Printed Name of USACE Individual Performing Quarterly Check:
_____

1. **The completed checklist has been reviewed and I have determined that corrective action is necessary. (Yes or No)_____**

2. **If corrective action was required, annotate the action/s below:**