

APPENDIX V
NAVIGATION
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APPENDIX V
NAVIGATION

V-1. Background. The Corps has had the mission of navigation since 1824. Today we plan, design, operate and maintain projects that support 2.47 billion tons of commerce. Many of the projects provide other outputs such as flood damage reduction, hydropower, water supply, ecosystem restoration and recreation. The Corps operates and maintains 926 projects ranging from shallow-draft harbors, inland navigation systems with 240 locks at 195 sites, to major deep-draft ports.

V-2. Purpose. The Corps Navigation goal is to provide safe, reliable, efficient, effective and environmentally sustainable waterborne transportation systems for movement of commerce, national security needs, and recreation.

V-3. Civil Works Program Objectives. Table V-1 displays the Navigation Program objectives and Performance Measures published in the March 2004 Civil Works Strategic Plan. The CW Strategic Plan was developed with an explicit assumption of an unconstrained resource environment to encourage an unconstrained assessment of the nation's water resources needs and potential Corps response. Preparation of the Program Year (PY) for FY 2009 Budget Request requires the recognition of a constrained budget environment and the ongoing effort to evolve better budget linked performance measures. Table V-2 displays the program objectives, performance measures and/or performance ranking and rating criteria which support and/or supplement Table V-1 program objectives and performance measures to reflect the near term realities of a constrained PY budget environment.

TABLE V-1	
Navigation Objectives and Performance Measures	
Program Objectives	Performance Measures
Obj.1: Invest in navigation infrastructure when the benefits exceed the costs.	- BCR (project specific measure) - Annual net benefits
Obj. 2: Support sustainable regional, basin-wide, or watershed planning and activities in partnership with others.	- Percent of projects recommended in Chief's reports that apply watershed principles
Obj. 3: Fund high-priority O&M.	- Risk & Reliability: Facility Condition Assessment and Impacts
Obj. 4: Operate and manage the navigation infrastructure so as to maintain justified levels of service in terms of the availability to commercial traffic of high-use navigation infrastructure (waterways, harbors, channels).	- Risk and Reliability: Facility Condition Assessment and Impacts

V-4. Navigation Performance Measures.

a. Competition for Federal funds is very keen and getting tighter each year. In recent years, we have had to make some very hard choices in distributing scarce Federal dollars. In a constrained funding environment, we must prioritize the many worthwhile investment opportunities and ongoing maintenance needs across the entire spectrum of projects. This means that we have to concentrate available resources on the highest priority projects in terms of reducing risk and providing optimal reliability to maximize benefits. In the Navigation program, we are directing funds primarily to those harbors and waterway systems and segments that provide the highest return from commercial navigation. The Corps Navigation program is well established and valued, however our ability to continue to provide navigation to our ports, waterways and harbors to meet the needs of current and future generations is dependent upon adequate investments. Such investments provide for the necessary investigations of problems, and development of solutions, timely implementation of authorized projects, reliable operation and availability of our infrastructure, preventative maintenance, facility modernization or improvement, and adequate data management information systems, which are all directed at increasing operational capabilities and efficiencies. The purpose of this budget guidance is to ensure the development of convincing rationale and justification of the budget request.

b. Accordingly, a nationwide perspective must be maintained to assure that available funding provides the greatest public benefit for the investment. The safety, security, and reliability of our existing infrastructure must be maintained; new investigations to assure high yield navigation investments are advanced; and projects that are under construction must be brought on line quickly so that benefits may be achieved as soon as possible. Inland navigation has been and continues to be a significant contributor to the national and international movement of bulk commodities. A cursory review of the Corps inland navigation assets reveals that on a nationwide basis over half of all projects have or will soon exceed their original 50-year design life. In response, the Corps must pursue an on-going program to rehabilitate, modify, or replace structures and components exhibiting a deteriorating ability to meet system demands.

c. To achieve the Navigation objectives in Table V-1, the following budget strategies and performance measures are established for the PY budget development. Each of the budget strategies and measures are designed to demonstrate that each budget item makes sense and contributes to the Navigation goals and supporting objectives.

V-5. Budget Screening Criteria.

a. New Start Definition – A New Start is defined as an active authorized study or project which has not received an initial work allowance and that fits into at least one of the following Business Lines: navigation; flood and storm damage reduction; environmental restoration, water supply, hydropower, or recreation.

b. The New Start definition will apply to Reconnaissance studies and Construction Projects, as well as any new efforts under the Remaining Items category. Any PED, which has not been funded in the Conference Report for the past three years, will also be considered a New Start. For Feasibilities, see New Phase definition. Except a new start decision would be needed for a feasibility study being initiated after, say, an O&M-funded appraisal without an intervening reconnaissance new start decision. Basic eligibility criteria for construction new starts are found in Annex B.

c. New Phase Definition - A study or project is considered to be in a NEW PHASE once it has completed the current phase that is funded and ready for budgeting in the follow-on phase,

(e.g. from Reconnaissance to Feasibility or Feasibility to PED). Seamless PEDs are a New Phase.

TABLE V-2 Navigation Budget Performance Measures	
Budget Strategy	Ranking Criteria
Keep ongoing studies or PEDs going if likely to produce recommendation for project (I) or start new phase of studies or PED (I)	Date of Agreement – executed or expected Commercial tonnage increase % reduction in delay costs Years to complete Watershed study –y/n Benefit to Cost Ratio – PED only
Complete ongoing construction to start getting benefits of high performing navigation projects (each contract should be separate line item) (C)	BCR Other purpose outputs by BL
Initiate and complete replacements and rehabilitations (C and O&M)	Inland Waterways Users Board priority Relative risk of failure BCR
Initiate and complete dam safety/dam seepage projects (C)	Relative risk of failure – risk compared to other Corps dams (portfolio risk assessment if available in PY) Critical loss of pool and /or navigation Other purpose outputs by BL
Operations - Assure that projects perform as designed (O&M)	% of time project is available to operate as designed Cumulative benefits Cumulative O&M costs for above benefits (over set time period)
Maintenance - Make sure projects are safe to operate (managing risk) (O&M)	% of closures – scheduled and unscheduled Condition assessment and impact
Fund adequate data collection (Remaining Items (I, C, O&M)	Consequence of inadequate data

V-6. Rating And Ranking Criteria for PY Budget Development.

a. Stakeholders' Perspectives for Funding Needs and Development of Five-Year Management Plans. From the National Navigation Performance Metrics workshops and regional stakeholders' conferences, contributions from the Stakeholders and Corps leadership were derived to help frame the Navigation program performance-based budgeting concept. The key Stakeholders' themes were reliability improvements, risk reduction, linking investments to underpinning the national economy, durability of Navigation systems, Navigation systems responsiveness to International trade growth, and justified efficiency improvements in Navigation. To follow the "Citizen-centered" principle expressed in the President's Management Agenda, Stakeholders' perspectives must be considered, and the legitimate input should be incorporated into the Navigation budgetary process. Accordingly, each MSC, district, project manager or project management team will work with appropriate local/regional partners and stakeholders to develop a Five-Year Management Plan for their respective projects. The plans will incorporate

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performance based budgeting concepts and develop the future direction based on the current restricted funding environment. The plans should be comprehensive and address anticipated study, construction, operations and maintenance requirements.

b. In order to achieve the objectives shown in Table V-2, we are establishing budget increments to assure uniformity across the country in building annual budgets from the same point. Budget increments reflect the eligibility criteria described in the following paragraphs. Increment 1 will receive priority consideration for budget development. These budget increments in conjunction with the objectives and ranking criteria will go a long way to making informed and wise budgetary decisions to support our program goal.

c. Navigation Systems. The navigation system relationship of each Navigation project/segment will be considered when developing the Navigation program. A systems approach or river basin approach is needed to ensure that investments are integrated into a whole that preserves or enhances performance at the system level. This approach will help to implement the goals of the Strategic Plan. This approach applies most obviously to the inland waterways, but also has applications in other areas, such as in coastal navigation and regional sediment management. For instance, in the case of a major inland waterway, analytical perspectives should be developed to help determine the mix in the PY of investments in maintenance, operations improvements, replacements and rehabilitations, new construction, planning, and design that will maximize system efficiency, safety, and reliability over time. For FY09 a list of systems has been developed. See Annex C (O&M) for the list of systems (add reference). These systems will be cross referenced to USGS Sub-Region Hydrologic Unit Codes (HUC) for budget presentation purposes.

d. Increment 1. For definition of increments see Definition/Glossary section in the main EC.

(1) Investigations (for studies and engineering and design).

* Remaining Items (R&D, data collection, PAS, etc.) – initial level will be established by HQ.

(2) Construction (Includes: specifically authorized projects, replacement projects (those former major rehabilitation projects characterized as repairs to restore capability will be included in O&M for the PY), dam safety projects, CAP projects, and dam safety/seepage program).

* For increment 1 funding for Construction refer to the Definition/Glossary section of the main EC.

(3) Operation and Maintenance (O&M).

(a) Navigation Segments. Inland waterway operation and maintenance costs should be broken out by major waterway segment.

(b) The first increment will seek to provide the greatest benefit for the investment consistent with performance measures and sufficient to meet minimum legal responsibilities for environmental compliance, operation and safety. Subsequent increments will provide additional benefits as measured by the performance measures. All increments must document performance according to the appropriate Business Lines criteria. The last increment for each project is the capability level. Operations increments will be submitted separately from maintenance increments. This means that for some projects there will be an operation line item and a maintenance line item in the initial level and subsequent levels.

(c) For each MSC combined amount among all Business Lines for operation and maintenance for Increment 1 see Table C-2.2. This initial amount is for all the MSC's O&M requirements as prioritized below. Simple pro-rata allocations by district and/or project will not result in the expected performance based budget and should not be done.

(d) Additional O&M criteria. (Definition of terms will follow)

(1) Sufficient to meet minimum legal responsibilities for operation, safety and environmental compliance: examples follow

[a] Subsistence Harbors

[b] Caretaker activities

[c] Critical Harbors of Refuge

[d] Project Condition Surveys

(2) Multipurpose projects when those projects are included in the minimum programs of other business lines and not a separable element

(3) Work required by treaties

(4) Removal of Aquatic Growth

(Note Surveillance of Northern Boundary Waters moved to the Flood Damage Reduction Business Line.)

V-7. O&M Initial Increment 1. See the Definition/Glossary section. Only critical routine activities may be included in this increment.

a. **What is included: What is not.**

(1) Bare Bones Operations costs (locks): May not be full 24-hour operation.

(2) Bare Bones routine maintenance (locks): Would not be all maintenance needs.

(3) Critical routine minimal level of dredging at high use commercial deep draft, shallow draft and inland projects or high use segments of projects: No advanced maintenance dredging.

(4) Routine minimal level Dredging Subsistence Harbors: Does not include point of origin harbor.

(5) Routine minimal level Dredging Critical Harbors of Refuge: Does not include all Harbors of Refuge.

(6) Caretaker funding for projects or segments not expected to be funded.

(7) Critical routine maintenance of dredged material placement sites for 3 above: Does not include non-routine maintenance of dredged material placement sites.

(8) Water/Environmental Certification for critical maintenance dredging for 3 above: Does

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not include all certification needs.

(9) Bare Bones Project Condition Surveys (PCS) (include Low-Use): Does not include all anticipated PCS needs.

(10) Critical studies for high risk coastal structures: Does not include studies of all structures.

(11) Bare bones debris/drift removal/obstruction removal at high use ports: Does not include all anticipated removal needs.

(12) Critical routine minimal level Removal of Aquatic Growth (RAG) for high use projects: Does not include all Removal of Aquatic Growth.

(13) Critical inspections, studies and routine repair for high level bridges. Does not include all bridges.

b. **O&M Increment 2.** See the Definition/Glossary section. Critical non-routine activities may be included in this increment.

(1) Critical on-going non-routine maintenance.

(2) On-going major maintenance of high use projects or segments: could include new major maintenance.

(3) Critical non-routine maintenance of dredged material placement sites at high use commercial deep draft, shallow-draft and inland projects or high use segments of projects.

(4) Construction of Dredged Material Disposal Facilities (DMDFs) for high use commercial deep draft, shallow-draft and inland projects or high use segments of projects. These activities were formerly included in a Construction Remaining Item.

(5) Critical studies to complete DMMPs for construction of dredged material placement Sites.

(6) On-going (studies and work) rehabilitations of high-use projects: could include new rehabilitation projects.

(7) Critical non-routine repair for high level bridges. Does not include all bridges.

(8) Removal of Aquatic Growth for other high use projects.

(9) Other Project Condition Surveys (PCS) (include Low-Use) beyond Bare Bones annual routine level.

(10) Gate replacement /rehab study on high risk, system impacts.

NOTE: Items for Surveillance of Northern Boundary Waters previously included in the Navigation Business Line has been moved to the Flood Damage Reduction Business Line.

c. **O&M Increment 3.** Urgent routine and non-routine operation and maintenance efforts. Advance maintenance dredging on high use projects.

(1) Critical Advanced Maintenance dredging on high use projects. Does not include all advanced maintenance.

(2) Critical minimal level of dredging and operations of low-use subgroup that have commerce, commercial fishery, multi-agency requirements, and/or public transportation.

d. **O&M Increment 4.** All other efforts will be performance based to consider condition assessment and impacts.

V-8. Performance Based Budget Increment(s). Navigation will only use four increments this PY. Add additional budget items for logical, needed increments that contribute to the program goals. Ranking will be based on ranking criteria shown in the spreadsheet Table V-3 and listed below. The basis for adding increments in terms of budget request for a project will be based on the demonstrable beneficial impact on increasing average annual net benefits by accelerating project completion, or improved performance, additional outputs or increased reliability in the PY. There are three key performance measures that will be considered: (1) reduction in years to completion, (2) increase in annual net benefits, and (3) BCR for PEDs and for construction and rehabilitations.

V-9. Special Considerations or Special Rating Criteria.

a. This addresses efforts that don't fit under the above budget development considerations. This includes support to strategic national defense needs, critical public health and safety issues, or other substantive criteria that warrant consideration for budgeting.

b. Asset Condition Assessment and Impacts. The goal of performance based budgeting is to use a consistent asset condition assessment and impacts evaluation that reflects the (1) reliability and risk of the project assets and (2) can be understood and supported by stakeholders to prioritize the work to be performed. In FY09 the Navigation Business Line will use such an approach for the inland navigation systems across the Corps. This will apply to all non-routine maintenance efforts. Prioritization is established by a weighted evaluation process included nine parameters with a total maximum weight of 143. The four parameters addressed below are directly related to risk and/or reliability considerations. These four parameters account for 110 of the total 143 points. The other five parameters are lower weighed considerations and total 33 points. These other parameters consider environmental, safety, and customer consideration elements.

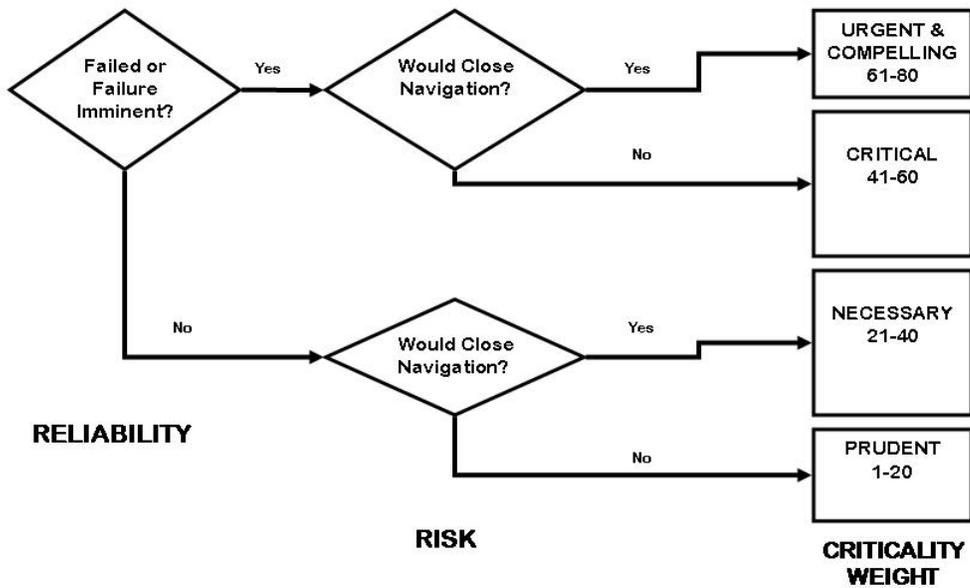
(1) Criticality - 80 points. This parameter's evaluated weight range is bracketed directly from reliability and risk considerations as shown on the flow chart. The key reliability consideration is whether or not item has failed or failure is eminent. Eminent failure was defined as a 50% or greater likelihood that failure will occur within five years. The key reliability consideration is whether or not failure of the subject item would close the navigation system. Closing navigation was defined as a closure expected to last 5 days or more. The criticality parameter successfully addresses these considerations and allows relative importance/condition based judgment to be incorporated in evaluation of the criticality which is the primary parameter of the evaluation.

(2) Traffic - 30 points. Traffic considerations include weights based upon commercial tons (21 points max) and on number of lockages (9 points max). These two measures are directly related to the relative economic impact of the subject item. This is another direct consideration of risk, i.e. what is the relative economic impact of failure. The tonnage and number of lockages are

hard numbers that are easily defended; whereas estimated dollar values would be soft numbers that would be easily questioned based upon what is important to the party questioning the estimate.

(3) Other parameters – 33 points. Seven other parameters had maximum weights ranging from 3 to 10; District Rank (5), Navigation Benefit (10) - the relative impact of performing the task on navigation capability, Environmental Benefit (5), Unfunded Duration (3), Construction Impact (5), Inland Waterways Trust Funds (5), Safety Benefit (5).

(4) Evaluation - Line items should be evaluated across the Inland River System by knowledgeable representatives from each District with responsibilities on this system. MVD chose to use Expert Choice to assist them in the ranking process.



c. Funding for minimum fleet dredges follows the dredge. If the requirements for the minimum fleet dredge do not materialize, the funds programmed for the dredge will be reprogrammed to other minimum fleet dredging requirements.

d. Replacement and Rehabilitation Construction will be included as unique line items, not hidden under the parent project. For example, the rehabilitation items for Markland Locks and Dam will not be included in the Ohio River project maintenance items. These items migrated to O&M from Construction in the FY 07 cycle and need to remain identifiable.

Rehabilitations are characterized as repairs to restore capability and are to be included in O&M.

e. Rehabilitation or replacement studies will be included as unique line items, not hidden in a general Operation line item for the parent project, marked with the appropriate Phase code.

f. Dredged Material Disposal Facilities (DMDFs) will be included as unique line items, with the appropriate Phase code. These items migrated to O&M from Construction in the FY 07 cycle and need to remain identifiable.

g. There will be a navigation sub-program: operation and maintenance of low-use harbor channels and operation and maintenance of low-use waterway segments. Each element of the sub-program will have its own minimum funding level, performance indicators, and above-minimum funding increments. (See Table V-4) Low-use sub-program elements will be reflected as budget increments. Ensure that data in the worksheet are included for tonnage and system ton-miles and code the increment as either a low-use waterway segment or low-use harbor channel.

h. Projects Previously Budgeted in Ecosystem Restoration Construction Account. Special projects in part or in whole previously budgeted in the Ecosystem Restoration Business Line for Construction were moved to O&M in FY 2007. Beginning in the PY, these projects will ultimately be budgeted in the O&M account of the business line of the original project (navigation, flood and coastal storm damage reduction, hydropower) following the instructions in Appendices III, IV, and V. However, initially these projects and features will be entered in the environment business line, following the rules for ecosystem restoration construction. Use the O&M appropriation code and CCS, the ENR Business line code and a funding level/increment code of 7 (for information only) – need ENR help with these increments as Nav only proposes to use Increments 1-4. It is in Construction in ENV as Increment 7s, then moves to Nav O&M, in various Increments depending on ENV input.

For projects responding to mandatory BiOp requirements:

Increment 7 is the amount required to maintain minimum progress on BiOp and avoid jeopardy and limited to 75% of the FY 2007 President's Budget;

Increment 7.1 is the remaining amount above the 75% limit required to maintain planned progress on BiOp and avoid jeopardy;

Increment 7.2 is the capability increment for priority items required by the BiOp.

For projects not in response to mandatory BiOp requirements, follow rules for Construction.

V-10. Five Year Development Plans.

a. Each year the navigation asset condition assessments will be reviewed and updated to reflect work accomplished and changes to condition and therefore priority. For inland river systems a prioritized maintenance list will be developed. Based on funding assumptions such as if only Increments 1 and 2 are funded, Districts, MSC's and HQ will be able to establish O&M program glide paths. Similar process will be developed for the coastal ports and harbors and will be better defined when channel condition assessment criteria are finalized for use in the FY10 budget development process. Setting long-term performance targets to be provided.

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b. End State Performance target: For all navigation channels the goal is to attain and maintain channel availability at the justified level of service for the target years. For Inland navigation the goal is to halt the trend of increasing navigation lock outages and maintain lock availability at the FY04-06 baseline level on a national basis.

c. Ongoing Construction funded efforts will be a consideration in overall funding, however a similar backlog of work in this program is anticipated beyond the FY12 5-year horizon.

V-11. Definitions. The following definitions refer to the O&M criteria.

a. High-Use Projects – those deep- and shallow-draft navigation projects with one million tons or greater, and those waterways with both one million tons or greater and one billion system ton-miles or greater.

b. Project Condition Surveys (PCS) – those hydrographic surveys needed to determine the program year conditions of projects in caretaker status or that are not funded separately. This work does not include testing, sampling or any other activity that should be included in a specific project funded budget package. The PCS items will be by state and will indicate the total number of projects that could be surveyed and the number of projects that will be performed as part of the line item. All PCS will not be included in a single line item.

c. Water/Environmental Certification – those activities needed to acquire certification in the PY to allow dredging to proceed that are not funded separately. This work does not include any activity that should be included in a specific project funded budget package. The Certification items will be by state and will indicate the total number of projects that could be certified and the number of certifications that will be performed as part of the line item. This will be handled like the PCS line items. All Certifications will not be included in a single line item.

d. Subsistence Harbors – those harbors that are dependent upon the navigation project as their principal means of receiving goods and services, and for which alternative means of delivery are not practicable. An example would be Tangier Island off the coast of Virginia or the Channel Islands off the California coast.

e. Critical Harbors of Refuge – those harbors that offer safe haven to boaters that represent the sole site for protection based on a public safety based regional distance criteria. Authorization as a Harbor of Refuge does not automatically make a harbor critical.

f. Caretaker Activities – There are inland navigation systems and projects that will not be funded. Some minimal level of funding will be required to place these projects in a caretaker mode. We should address concern for the public's health and safety, environmental impacts resulting from full cessation of operations and how best to address them, review legal requirements placed on that project and ensure that litigation issues are addressed in a caretaker plan, review any unintended consequences on other waterways, and establish a communication plan to include messages, FAQ, roll out strategy, web site information, and draft media release. Caretaker status is an extremely low level of funding for minimal effort.

V-12. Low-Use Navigation Sub-Program.

a. The performance indicators include three indicators that flag work on low-use navigation features. These are: (1) Waterway project has less than 1 billion system ton-miles of commercial cargo annually; (2) activity is for a waterway segment, upstream of which less than 1 million tons of cargo move annually; and (3) harbor projects have less than 1 million tons of commercial cargo

annually. Activities meeting both criteria (1) and (2) will be included as a low-use waterway segment. Activities meeting criterion (3) will be included as a low-use harbor channel. For this sub-program, use the additional performance criteria provided in Table V-4 for assisting in the evaluation of activities and projects.

TABLE V-4
Shallow-Draft Harbor/Low-Use Segment Screens and Indicators

Sub-program	SCREEN	SCREEN	Indicators	Indicators	Indicators	Indicators	Indicators
	Minimum						
Low-Use Nav channels	<1 million tons	5-Year Avg cost per ton	Supports Public Transportation	Boater Safety	BCR	Results of investment	Commercial fishery outputs
Low-Use Waterway segments	< 1 million tons on systems with < 1 billion system ton-miles	5-Year Avg cost per ton	Multipurpose Values	Public Health and Safety	Caretaker	Investment Issues	

Low-Use Harbor Channels Minimum:
Supports public transportation (ferries, tour boats);
Ensures boater safety (inlet dredging to reduce breaking wave hazards);
Project costs yield outputs / benefits exceeding costs;
Purpose should reflect results of investment (so what).
Supports some commercial fishery output;

Low-Use Waterway Segments Minimum:
Compute BCR based on transportation savings (average tons per year table);
Supports other business line purposes (flood damage reduction, recreation, environmental, water supply, etc.);
Port investment status (recent or planned port expansion/investments);
Commercial tonnage trends upward;
Ensures basic public health and safety;
Caretaker costs for non-budgeted segments.

b. Navigation System Funding Needs. See the discussion for O&M Systems in Annex C (O&M). Operation and Maintenance projects including Navigation projects will be combined in systems. For example, the South Oregon Coast Ports will be combined as appropriate in one or more of the O&M Systems. The linkage of individual projects in a systems evaluation must be done in a rational way. This is not a gambit to get additional funds for projects that do not merit it.

V-13. Joint Costs. See Annex C, Paragraph C-2.3.b. for Joint Activities - Joint Costs.

V-14. Navigation Criteria Matrix. Below are the data elements and definitions for the embedded Navigation Criteria Matrix (Excel worksheet). These definitions for individual data elements are also in the “Definitions” tab of the embedded worksheet.

a. Note that dollars amounts should be in thousands (\$000). Waterborne Commerce data should also be in thousands, but this data are already rounded to thousands in OMBIL and Waterborne Commerce data sources.

b. Unique Entries. Fields marked with an * are expected to be different for each increment amount. It would be expected that additional funds would show improvement in appropriate performance indicators. Other items would be the same for the same CWIS numbers *and hopefully will populate automatically.*

c. Criteria Matrix Data Elements and Definitions.

Col #. Column Title: Definition.

- (1) **BUSINESS LINE:** Common data field for P2 OFA.
- (2) **EROC:** Common data field for P2 OFA.
- (3) **MSC:** Common data field for P2 OFA.
- (4) **DIS:** Common data field for P2 OFA..
- (5) **AP ABBREV:** Common data field for P2 OFA.
- (6) **CW TYPE OF FUNDING:** Common data field for P2 OFA.
- (7) **PROGRAM CODE:** Common data field for P2 OFA. Refer to Definition/Glossary section.
- (8) **P2 PROJECT NUMBER:** Common data field for P2 OFA.
- (9) **BUDGET ITEM ID*:** Common data field for P2 OFA.
- (10) **FUNDING INCREMENT*:** Common data field for P2 OFA.
- (11) **DIS RANK*:** Common data field for P2 OFA.
- (12) **MSC RANK*:** Common data field for P2 OFA..
- (13) **HQ RANK:** Common data field for P2 OFA. Will be completed by HQ.
- (14) **ARMY RANK:** Common data field for P2 OFA. Will be completed by HQ.
- (15) **PHASE:** Common data field for P2 OFA. Refer to **Table 3** contained in the main EC.
- (16) **PHASE STATUS:** Common data field for P2 OFA.

- (17) **PHASE COMPL***: Common data field for P2 OFA.
- (18) **PROGRAM NAME**: Common data field for P2 OFA.
- (19) P2 **PROJECT NAME**: Common data field for P2 OFA.
- (20) **SYSTEM CODE**: Common data field for P2 OFA.. See Annex C (O&M) for list of designated systems and codes.
- (21) **BASIN CODE**: Common data field for P2 OFA. Enter the 4 digit USGS HUC sub-basin code for the increment request -
<http://water.usgs.gov/nawqa/sparrow/wrr97/geograp/geograp.html>.
- (22) **STATE**: Common data field for P2 OFA..
- (23) **CONTRACT TYPE**: Common data field for P2 OFA.
- (24) **CURRENT BUDGET – FEDERAL**: Common data field for P2 OFA.
- (25) **CURRENT BUDGET INF ADJ – FEDERAL**: Common data field for P2 OFA.
- (26) **FEDERAL (CORPS) BUDGET REQUEST***: Common data field for P2 OFA.
- (27) **CURRENT BUDGET – IWTF**: IWTF amount.
- (28) **CURRENT BUDGET INF ADJ – IWTF**: IWTF amount inflation adjusted.
- (29) **IWTF BUDGET REQUEST***: The Inland Waterways Trust Fund amount requested for this increment; for C the sum of all Federal (Corps) and IWTF increments for this CWIS will be its capability. Each increment should provide measurable positive contributions to the applicable business line performance measures.
- (30) **HW TYPE**: Navigation Activity, Harbor or Waterway Type. SD=Shallow-Draft Harbor; LSD=low use Shallow-Draft Harbor; DD=Deep-Draft Harbor; LDD=low use Deep-Draft Harbor; WW=Waterway; LWW=low use Waterway; PCS=Project Condition Surveys; SNW=Surveillance of Northern Boundary Waters; RAG=Removal of Aquatic Growth; RSM=Regional Sediment Management.
- (31) **HMTF (Y/N)**: For all navigation projects, indicate if navigation costs for this project are eligible for reimbursement from the HMTF, Yes or No.
- (32) **HW TYPE USE CODE – CARETAKER (Y/N)**: Use Code for Navigation Activity, Harbor or Waterway Type. Required for projects/items that are Low Use (LSD, LDD, LWW). Indicate Yes or No for Caretaker. A brief explanation should be provided in the Remarks Column.
- (33) **HW TYPE USE CODE – SUBSISTENCE HBR (Y/N)**: Use Code for Navigation Activity, Harbor or Waterway Type. Required for projects/items that are Low Use (LSD, LDD, LWW). Indicate Yes or No for Subsistence Harbor. A brief explanation should be provided in the Remarks Column.
- (34) **HW TYPE USE CODE – CRITICAL HBR OF REFUGE**: Use Code for Navigation Activity, Harbor or Waterway Type. Required for projects/items that are Low Use (LSD, LDD,

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LWW). Indicate Yes or No for Critical Harbor of Refuge. A brief explanation should be provided in the Remarks Column.

(35) **HW TYPE USE CODE – SAFETY (Y/N):** Use Code for Navigation Activity, Harbor or Waterway Type. Required for projects/items that are Low Use (LSD, LDD, LWW). Indicate Yes or No for Safety (Search & Rescue, USCG Station, etc.). A brief explanation should be provided in the Remarks Column.

(36) **HW TYPE USE CODE – NATIONAL SECURITY (Y/N):** Use Code for Navigation Activity, Harbor or Waterway Type. Required for projects/items that are Low Use (LSD, LDD, LWW). Indicate Yes or No for National Security.. A brief explanation should be provided in the Remarks Column.

(37) **HW TYPE USE CODE – PUBLIC TRANSPOR (Y/N):** Use Code for Navigation Activity, Harbor or Waterway Type. Required for projects/items that are Low Use (LSD, LDD, LWW). Indicate Yes or No for Ferry (Public) Transportation. A brief explanation should be provided in the Remarks Column.

(38) **LATEST COM TON:** The commercial tons for the latest available year from OMBIL (Waterborne Commerce data).

(39) **5-YR AVG COM TON:** The last five-year average annual commercial tons from OMBIL (Waterborne Commerce data).

(40) **LATEST SYS TON MILES:** The system or trip ton-miles for the latest available year from OMBIL (Waterborne Commerce data).

(41) **5-YR AVG SYS TON MILES:** The last five-year average annual system or trip ton-miles from OMBIL (Waterborne Commerce data).

(42) **5-YR AVG \$/TON:** Five-year average total O&M costs divided by five-year average annual commercial tons for the same period from OMBIL for Waterborne Commerce and O&M financial data.

(43) **TOTAL VALUE OF CARGO:** Total dollar value of the cargo for the project at current price levels. Available from Waterborne Commerce data.

(44) **VALUE OF EXPORT CARGO:** Dollar value of the export cargo for the project at current price levels. Available from Waterborne Commerce data.

(45) **% TIME AVAIL*:** Percentage of time project is available to perform as designed with limits from deferred maintenance, dam safety issues, etc. It would be expected that additional increment requests would show improvement in appropriate performance indicators. Explain in Remarks.

(46) **BCR:** The project's benefit cost ratio at 7% and current price levels.

(47) **RBRCCR:** The project's remaining benefits - remaining costs ratio at 7% and current price levels. See Annex B for discussion.

(48) **BCR – Applicable:** The project's benefit cost ratio at the applicable interest rate.

(49) **RBRCR – Applicable:** The project's remaining benefits - remaining costs ratio at applicable rate.

(50) **APPLICABLE RATE:** The applicable interest rate - See main EC paragraph 10.

(51) **BCR – Current:** The project's benefit cost ratio at the current interest rate. See main EC paragraph 10.

(52) **RBRCR – Current:** The project's remaining benefits - remaining costs ratio at current rate. See main EC paragraph 10.

(53) **TOT PROJ COST:** The total project cost includes the Federal and non-Federal costs of PED and Construction. This will be a rough estimate for a Reconnaissance New Start. During the Reconnaissance and Feasibility Phases use the estimate being developed for use in the appropriate report. Subsequently the figure will be derived from PRISM and is to include all Federal and non-Federal costs for PED and Construction. Be consistent with J-sheet.

(54) **PROJECT DESCRIPTION:** Main features/Navigation segment, 50 words or less. Complete sentences are not required. Maximum of 250 characters.

(55) **PURPOSE*:** State proposed use of the increment amount (be as specific as possible) and what the increment amount accomplishes (what are we getting for this amount of \$). Key points to be able to distinguish from other increment or other projects. For dam safety items (inspections and studies), the "Purpose" field should include what is being studied, the expected report completion date, if not completing in the PY, the additional \$ needed to complete, and estimated cost (magnitude) of the construction cost. It would be expected that additional increment requests would show improvement in appropriate performance indicators. Maximum of 160 characters.

(56) **CONSEQUENCES*:** What is penalty (consequence) if not funded this PY - increment amount needed to comply with safety, settlements, loss of service, structural failure, etc. It would be expected that additional increment requests would show improvement in appropriate performance indicators. Maximum of 160 characters.

(57) **REMARKS*:** Additional critical information to support increment amount that is not in the other fields and what is called for from other fields. Use to explain District & Division ranks, lack of data in required fields, special legal or other requirements, safety issues, etc. Provide rationale to support funding of O&M Major Maintenance Items under C. Document infrastructure at significant risk to justify budget requests. It would be expected that additional increment requests would show improvement in appropriate performance indicators. For projects with an N/A in any field, such as BCR and RBRCR, explain why they are not required. Maximum of 600 characters.

(58) **RISK AND RELIABILITY INDEX:** Based on the Risk and Reliability assessment performed by the MSC for maintenance items (see the Navigation Appendix Para. V-9), provide the score for the item. This is to help document infrastructure at significant risk.

(59) **OTHER PURPOSES:** The other outputs provided by the project. N=Navigation; F=Flood Damage Reduction; H=Hydropower; E=Environmental; R=Recreation; W=Water Supply.

(60) **FUNDING OF OTHER PURPOSES:** Displays the budget request amounts entered for other business lines for the project. System generated, no entry required.

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(61) **LAST YEAR BUDGETED:** Enter the last fiscal year this study or project had funds included in the President's Budget.

(62) **LAST YEAR APPROPRIATED:** Enter the last fiscal year this study or project was appropriated funds (conference report).

(63) **LAST AMOUNT APPROPRIATED:** Enter the appropriated amount (conference report amount) for this study or project contained in the appropriation indicated in "LAST YEAR FUNDS APPROPRIATED" entry.

(64) **WATERSHED:** Is this a watershed study or project? Y or N based on criteria in EC.

(65) **LEGAL MANDATE:** Special legal mandates – Y or N and then describe in remarks.

(66) **SAFETY ISSUES:** Safety issues – Y or N and then describe in remarks.

(67) **DAM SAFETY IMPACTS:** For dam safety/seepage project - what other purposes (by Business Line) would be impacted if there was a failure. Maximum of 160 characters.

(68) **REL RISK:** For dam safety/seepage projects - Relative Risk of failure – risk compared to other Corps dams (Portfolio Risk Assessment – if available for FY 07). Maximum of 160 characters.

(69) **FCSA Date:** The actual or scheduled date of the FCSA. If increment request is to accelerate phase, this date should change from initial one.

(70) **PED Date:** The actual or scheduled date of the PED Agreement. If increment request is to accelerate phase, this date should change from initial one.

(71) **PCA Date:** The actual or scheduled date of the PCA. If increment request is to accelerate phase, this date should change from initial one.

"Empty cells go to the bottom"



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spreadsheet.xls