

# POLICY AND GUIDANCE EVOLUTION

Amy Frantz  
Senior Policy Advisor



US Army Corps  
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## Planning Community Toolbox

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PLANNING LINKS

### Planning Guidance Notebook

- [Engineer Regulation 1105-2-100: Planning Guidance Notebook](#)  
The Planning Guidance Notebook provides the overall direction by which the Corps of Engineers civil works projects are formulated, evaluated, and selected for overall implementation. This includes all appendices that were written at a later date.
- [Chapter 2 - Planning Principles](#)  
Planning Principles
- [Chapter 3 - Corps Civil Works Mission](#)  
Corps Civil Works Mission
- [Appendix A, References](#)
- [Appendix C, Environmental Evaluation and Compliance](#)  
This appendix addresses the integration of environmental evaluation and compliance requirements, pursuant to national environmental statutes, applicable executive orders, and other Federal planning requirements, into the planning of Civil Works water and related land resources comprehensive plans and implementation projects. This guidance is applicable to all Civil Works water resources planning studies, including Feasibility studies conducted under the General Investigation business line, those studies conducted under the Continuing Authorities Program (CAP), and studies that require a decision document that are conducted during P&D, construction, or operations, such as post authorization change reports. *Please note: this is the pre-publication version of the document and will be updated once final approval is received.*
- [Appendix D - Economic and Social Considerations](#)  
This appendix covers economic and social considerations not addressed elsewhere in the Planning Guidance Notebook. Guidance for estimating NED benefits is provided in Appendix E, Civil Works Missions and Evaluation Procedures, where the evaluation procedure for each project type is presented in its mission context. Some aspects of economic evaluation, and of planning generally, are common to every mission; those aspects are covered in this appendix. *Please note: this is the pre-publication version of the document and will be updated once final approval is received.*
- [Appendix E, Civil Works Mission and Evaluation Procedures](#)  
This appendix provides policy and planning guidance for project purposes of navigation, flood damage reduction, hurricane and storm damage reduction (shore protection), ecosystem restoration, hydroelectric power, recreation, water supply and multiple purpose projects.
- [Appendix G - Amendment #1, Planning Reports and Programs](#)  
This appendix provides guidance and procedures for the management and conduct of planning studies, activities, and programs.

**WHAT IS THE PURPOSE OF USACE STUDIES AND REPORTS?**

**HOW DID THE FOUR ACCOUNTS EVOLVE?**

**HOW DID WE GET TO TODAY'S POLICIES AND PROCEDURES?**



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## BACKGROUND

### USACE Planning Studies and Reports

- to provide a comparative analysis of alternatives for decision makers and the public
- to provide a basis for Congressional authorization and project implementation

### Four Accounts

- NED National Economic Development
- EQ Environmental Quality
- RED Regional Economic Development
- OSE Other Social Effects

How did we get to where we are today?



FLOOD  
CONTROL  
ACT OF 1936

## Benefits vs Costs

- "the federal government should improve or participate in the improvement of navigable waters or their tributaries, including watersheds thereof, for flood control purposes if the benefits to whomsoever they may accrue are in excess of the estimated costs, and if the lives and social security of people are otherwise adversely affected"

## Way Forward

- Development of evaluation procedures for projects for comparison of plans

THE GREEN  
BOOK  
1950 & 1958

## Economic Practices

- *Proposed Practices for Economic Analysis of River Basin*

## Way Forward

- Objective of economic analysis is “...to provide a guide for effective use of the required economic resources...”
- and the general objective of project formulation is “...to maximize net economic returns and human satisfactions from the economic resources used in the project.”

SENATE  
DOCUMENT  
97

## Key Changes

- *Policies, Standards, and Procedures in the Formulation, Evaluation and Review of Plans for Use and Development of Water and Related Land Resources*

## Way Forward

- *“best use, or combination of uses, of water and related land resources to meet all foreseeable short or long-term needs,”*
- with full consideration given to
  - Development (economic development and growth),
  - Preservation (stewardship of the nation’s natural bounty), and
  - the Well-being of People.



## FLOOD CONTROL ACT OF 1970

### Multiple Objectives

- Section 209 of this Act states:
- *“the objectives of enhancing regional economic development;*
- *the quality of the total environment, including its protection and improvement;*
- *the well-being of the people of the United States; and*
- *the national economic development are the objectives to be included in federally financed water resources projects, and*
- *in the evaluation of benefits and costs attributable thereto, giving due consideration to the most feasible alternative means of accomplishing these objectives.”*

### Way Forward

- *“promulgate guidelines designed to assure that possible adverse economic, social, and environmental effects relating to any proposed project have been fully considered...and that the final decisions on the project are made in the best overall public interest...”*

PRINCIPLES  
AND  
STANDARDS  
(P&S)  
1973

## P&S Objectives

- National Economic Development (NED) and
- Environmental Quality (EQ)

## Way Forward

- Also focus on social wellbeing, and regional economic development accounts were described as “Other Beneficial and Adverse Effects” and were to be displayed where appropriate




ECONOMIC AND  
ENVIRONMENTAL  
PRINCIPLES AND  
GUIDELINES FOR  
WATER AND  
RELATED LAND  
RESOURCES  
IMPLEMENTATION  
STUDIES  
(P&G) 1983

## P&G Objectives

- P&G removed environmental quality as a federal objective, leaving national economic development as the **sole Federal objective** for water resources development, consistent with protecting the Nation's environment, ...”
- The four-account structure from P&S remained in P&G, but the NED account is the only required account to be displayed

## Way Forward

- *“Calculations of NED are meant to include all environmental and social benefits and costs for which monetary values can be obtained. The monetary focus on NED, however, does not give adequate consideration to unquantifiable environment and social values. (Interagency Task Force on Flood Plain Management 1994).*



WATER  
RESOURCES  
DEVELOPMENT  
ACT (WRDA)  
OF 1986

## Key Changes

- Instituting broad requirements for sharing the cost of water resources development between the federal government and
- Cost-sharing project sponsors and
- Also requiring cost sharing of feasibility studies between the federal government and local project sponsors.
- The intent of the legislation was to discipline the project development process by instituting “user pay” principles.

## Way Forward

- The promotion of single-purpose projects, developed on a project-by project, piecemeal basis and
- The reduction of interest in broader-scale, integrated water resources management approaches.



WRDA 1996  
AND  
WRDA 2007

## Key Changes

- Emphasis of an ecosystem restoration mission - establish the ecological processes necessary to make terrestrial and aquatic ecosystems sustainable, resilient, and healthy under current and future conditions
- Section 203 I directed the Secretary to revise Principles and Guidelines to incorporate the Principle, Requirement and Guidelines

## Way Forward

- On hold due to appropriation language that prohibited the Corps from developing the PR&G.



SMART  
PLANNING  
2012

## Key Changes

- Streamlined document to focus on the heart of our Planning culture and philosophy while providing an overview of the evolution of planning concepts
- Incorporated risk-informed decision-making principles while explaining the context for formulating Civil Works projects and informing Federal investments
- WRRDA 2014 codified the expedited project delivery process

## Way Forward

- Evolved procedural guidance to meet the 3x3x3 requirements



WRRDA 2014  
WRDA 2016  
WRDA 2018  
WRDA 2020

## Key Changes

- Congress continued emphasis on:
  - Natural and Nature-Based Features
  - Beneficial Use of Dredge Material
  - Sediment Management
  - Climate Change
  - Life Safety
  - Resiliency
  - EJ and Equity
  - Comprehensive Benefits

## Way Forward

- Drought
- Water Conservation



PR&G  
2020

## Key Changes

- *Guiding Principles*

## Way Forward

- **Healthy and Resilient Ecosystems**
- **Sustainable Economic Development**
- **Floodplains**
- **Public Safety**
- **Environmental Justice and Equity**
- **Watershed Approach**



PR&G  
2020

## Key Changes

- *Planning Fundamentals*

## Way Forward

- Integrated Water Resources Management
- Without- versus with-action conditions
- Risk-Informed Decision Making
- Uncertainty
- Comprehensive Benefits, Impacts and Costs
- Benefit-Cost Analysis
- Environmental Justice and Equity
- Best Available Science and Quality Analysis
- Climate Change and Climate Variability
- Significant Resources and Significant Effects
- Ecosystem Goods and Services
- Environmental Compliance

## OTHER RECENT UPDATES

- **Recently Updated Guidance**
  - **Vertical Team Alignment Memorandum (VTAM) (2022)**
  - **EP 1105-2-63 Guide for Incorporating Life Risk In USACE Flood and Coastal Storm Risk Management Project Development (2022)**
  - **Drought Resiliency**
    - **Assistant Secretary of the Army (Civil Works) policy directive entitled "Army Civil Works Supporting Drought Resilience in America's Communities" dated July 28, 2022**
  - ER 1105-2-102 Watershed Planning (2022)
  - Updated IEPR SOPs (2022)
  - Updated Cost Sharing Waiver for Territories and Tribal Nations
  - Interim Environmental Justice (2022)
    - Assistant Secretary of the Army (Civil Works) policy directive entitled "Implementation of Environmental Justice and the Justice40 Initiative" dated March 15, 2022
  - Comprehensive Benefits (2021)
    - Assistant Secretary of the Army (Civil Works) policy directive entitled "Comprehensive Documentation of Benefits in Decision Document" dated January 5, 2021



## OTHER FUTURE UPDATES

- **Future Guidance**
  - **Economically Disadvantaged Community Definition**
  - **Tribal Consultation Policy**
  - **Disposition Studies**
  - Coastal Barrier Resource Act (CBRA) at ASA(CW) for final review
  - PGN Pamphlets (former Appendices)
  - Tribal Partnership Program
  - DMMP/Beneficial Use
  - Planning Guidance Notebook Main Chapters
    - Includes Mission Specific Policies and Law
  - PGN Appendix E. Evaluation Procedures
    - Coastal Navigation
    - Inland Navigation
    - Small Boat Harbors
    - Water Supply Storage
    - Flood Risk Management
    - Coastal Storm Risk Management
    - Aquatic Ecosystem Restoration