

DEPARTMENT OF THE ARMY
US Army Corps of Engineers
Washington, D.C. 20314-1000

ER 415-2-4
Change 1

DAEN-ECC-G

Regulation
No. 415-2-4

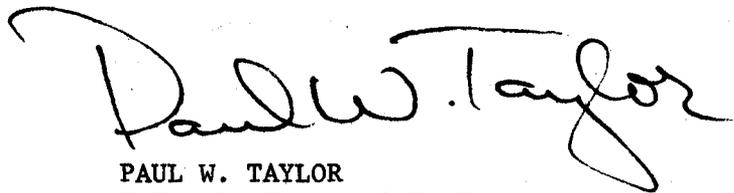
1 November 1984

Construction
CORPS SUPPORT FOR EPA
CONSTRUCTION GRANTS PROGRAM

1. This change to ER 415-2-4, 1 October 1983, corrects the procedure for obtaining the Monthly Monitoring Report due to revised computer program and the monthly billing procedure.
2. Substitute the attached pages as shown below:

Remove pages	Insert pages
1 thru 5	1 thru 5
B-1 thru B-32	B-1 thru B-32
3. File this change sheet in front of the publication for reference purposes.

FOR THE COMMANDER:



PAUL W. TAYLOR
Colonel, Corps of Engineers
Chief of Staff

DAEN-ECC-G

Regulation

1 October 1983

Construction
CORPS SUPPORT FOR EPA
CONSTRUCTION GRANTS PROGRAM

1. Purpose. The purpose of this regulation is to set forth Headquarters, U.S. Army Corps of Engineers (HQUSACE) policies and procedures regarding the U.S. Army Corps of Engineers (Corps) mission in the U.S. Environmental Protection Agency (EPA) Construction Grants Program (CGP) as assigned to the Corps by EPA through a National EPA/Corps Interagency Agreement (IAG) and to designate responsibility for implementation of the provisions of that IAG.

2. Applicability. This regulation is applicable to all field operating activities (FOA's) having responsibilities and involvement in the EPA Construction Grants Program.

3. References.

- a. The National Environmental Policy Act (Public Law 91-190), as amended.
- b. The Federal Water Pollution Control Act Amendments of 1972 (Public Law 92-500) and implementing guidance.
- c. The Clean Water Act of 1977 (Public Law 95-217).
- d. The Municipal Wastewater Treatment Construction Grants Amendments of 1981 (PL 97-117).
- e. Interagency Agreement between the Environmental Protection Agency and the U.S. Army Corps of Engineers dated 8 July 1980 (Appendix A), as amended (funding changes effective 1 October 1982).
- f. CORPS/EPA Contract Management System (CMS) User's Manual, dated October 1981, and CORPS/EPA Contract Management System Data Element Definitions which are available from CDR USACE (DAEN-ECC-G) WASH DC 20314-1000.
- g. EPA's Handbook of Procedures, titled "Construction Grants Program for Municipal Wastewater Treatment Works", Third Edition-MCD-03.
- h. EPA's Handbook of Procedures, titled "How to Obtain Federal Grants to Build Municipal Wastewater Treatment Works" (January 1981).

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4. Background. An IAG was signed by the Administrator of the Environmental Protection Agency and the Chief of Engineers on 8 July 1980 and amended effective 1 October 1982. Regional EPA-Corps Agreements have been executed by Corps Divisions and respective EPA Regions in accordance with the provisions and requirements of the IAG.

5. Policy. The Corps will perform the mission delineated in the IAG and Regional EPA-Corps Agreements and any amendments thereto. This regulation prescribes standard procedures which are applicable to the EPA Construction Grants Program for those delegable activities not delegated or not fully delegated to the states and to other construction related management functions.

6. Objective. The objectives of the Corps in this program are:

a. To assist EPA in the management of the Construction Grants Program.

b. Provide Federal oversight and technical assistance to grantees and states.

c. Monitor grant and construction management and grant and contract administration systems being utilized by grantees.

d. Assist EPA and the states in the delegation process (recognizing, however, that assumption by the states of all delegable Step III activities is, by law, at the option of the states).

7. Responsibilities. Major functions of Corps elements are listed below:

a. Office of Chief of Engineers (OCE).

(1) Provide policy guidance for managing the program.

(2) Provide periodic progress reports to EPA headquarters.

(3) Make EPA CGP manpower allocations to Division offices.

(4) Maintain liaison with EPA headquarters.

(5) Evaluate, negotiate, and implement changes to the IAG.

(6) Review the monthly monitoring reports (as detailed in Appendix B).

(7) Review and evaluate divisions' program performance.

b. Division Offices.

(1) Consistent with the IAG, negotiate Regional Interagency Agreements for the Division's assigned area of responsibility.

(2) Participate with the Office, Chief of Engineers in the development of national policy.

(3) Develop and implement Division policy.

(4) Negotiate work plans and the associated resource requirements with the appropriate EPA Regional Office.

(5) Provide Districts with technical and administrative guidance.

(6) Provide resources to Districts consistent with negotiated work plans.

(7) Assign appropriate missions to Districts for execution.

(8) Monitor and assure District performance.

c. District Offices. Perform the mission assignments assigned.

8. General Requirements.

a. Division Coordinators. Each Division Commander shall appoint a coordinator for the program and furnish the name to CDR USACE (DAEN-ECC-G) WASH DC 20314-1000 where a roster shall be maintained.

b. Scope. The scope of work provided by the IAG may be broadened by the Regional Agreements; however, no provision of the Regional Agreement shall directly contradict the IAG unless specifically approved by both HQUSACE and EPA Headquarters.

c. Critical Functions.

(1) The Corps Division offices will undertake the mission outlined in the IAG Appendix III and related activities contained in the applicable Regional Agreements and consistent with the negotiated workplan. Base program activities, defined as those activities of the IAG Appendix III, shall have priority over special assignments unless otherwise agreed to at the division/region level and with the concurrence of HQUSACE and EPA HQ.

(2) The Division Commander will ensure that an organization is developed at all levels and that resources are committed to the program to accomplish the agreed upon mission.

(3) Continuous liaison efforts between the Corps and EPA at all levels are necessary to insure proper program execution. A close working relationship between the state, EPA state project personnel, and Corps FOAs should be developed and maintained.

(4) Approval authority for program matters should be delegated to the lowest practical level.

d. Funding for Corps Work. Workplans shall be developed annually by the Corps and EPA for each division working in each region. The workplan shall reflect the anticipated manpower requirements and associated funding required to support the Corps' effort in the program. These negotiated workplans, including work output estimates, shall become the basis for EPA to issue funding agreements which will provide the total obligational authority for the divisions. No increases in obligational authority will be given except by a request through the affected EPA region to EPA HQ. Increases of this nature are at the discretion of EPA HQ and subject to availability of funds.

e. Monthly Billing Procedures. The Civil Construction General Work in Progress for Others account will be used to record the work on a reimbursable basis. Monthly billing to EPA will be on a COEMIS F&A generated DA Form 4445-R (Voucher for Transfers Between Appropriations and/or Funds) from each FOA by the 20th of each month. A copy of the bill will be furnished the assigned Division Coordinator. A copy of the bill will be mailed to HQUSACE, Attn: DAEN-RMF-C and marked "Advance Copy mailed on date ." The original bill with five (5) complete copies will be sent to the EPA Regional Office which will review and/or certify the bills and forward them to HQUSACE (DAEN-RMF-C) Washington D C 20314-1000. HQUSACE will then convey the bills with a transmittal letter to EPA for payment. Per national agreement, all FOA's will use 1.0 overhead weight in arriving at an overhead rate for EPA/CGP work.

f. Use of Architect-Engineer (A-E). Backlogged items of work such as old change orders and old closeouts or special assignments may be performed by A-E or consultant type contract. Specific funding and scope of contract should be coordinated with the EPA Region and approved by HQUSACE.

g. Reporting Requirements.

(1) Progress and Status Reports. (RCS: DAEN-ECC-1)

(2) Purpose and scope. Provides EPA, HQUSACE, Divisions and Districts with management information and progress on a monthly basis via the EPA computer network.

(3) Applicability. Applicable to HQUSACE, Divisions and Districts having responsibilities in the EPA CGP.

(4) Explanation of terms. Definitions are contained in Appendix B.

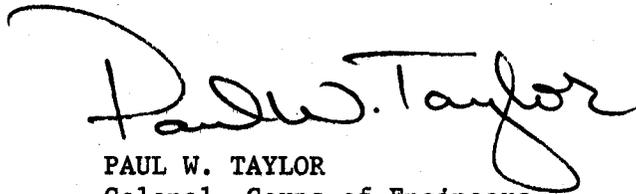
(5) Preparers. Data is normally input by individual Corps elements.

(6) Frequency of submission. Data must be entered monthly by Districts not later than the 22nd of each month and verified by the Division on the 23rd of the month. HQUSACE will update the data base on the 24th of each month.

(7) Source of data. Data for the financial and man-hours portions of the input is to be taken from the COEMIS F&A generated DA Form 4445-R (Voucher For Transfers Between Appropriations and/or Funds) billings or the SF 1080 billings being submitted to EPA for payment. Progress data is gathered by the Districts for input. The Contract Management System (CMS) is now optional; however, the information relating to the data elements listed in Appendix B is mandatory for the monthly monitoring reports unless specifically noted as optional.

(8) Preparation instructions. Appendix B details the procedure for entering data and extracting reports.

FOR THE COMMANDER:



PAUL W. TAYLOR
Colonel, Corps of Engineers
Chief of Staff

3 Appendixes

- APP-A - Interagency Agreement
between the Corps and
the EPA, as amended 1 Oct 82
- APP-B - Monthly Monitoring Reports
- APP-C - Operating Procedures for
Monitoring Construction Activities

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APPENDIX A

INTERAGENCY AGREEMENT BETWEEN
THE U.S. ARMY CORPS OF ENGINEERS
AND THE U.S. ENVIRONMENTAL
PROTECTION AGENCYSUMMARY OF BASIC PROVISIONS OF AGREEMENT.

A. The U.S. Environmental Protection Agency (EPA) retains ultimate responsibility for all aspects of the Construction Grants Program.

B. Functions assigned to the U.S. Army Corps of Engineers (Corps) will be carried out in conformance with EPA regulations, policies and guidelines. Assignable functions are defined and listed in Appendix III.

C. Functions delegated to a state under an EPA state delegation agreement will not be assigned to the Corps under this agreement, except as requested by EPA, after consultation with the States, and as mutually agreed to by the respective Corps Division Engineer.

D. The Corps will act as EPA's agent and perform the following major services:

1. active management of the Step 3 EPA Construction Grants Program;
2. biddability and constructibility reviews on plans and specifications following EPA/state determination that the plans and specifications are complete;
3. full time on-site inspections on complex projects or clusters of projects where the Corps, EPA and State agree that such inspections are needed.

E. Corps may provide other technical assistance, based on available expertise, within the scope of the Construction Grants Program as requested by and agreed upon by the respective EPA Regional Administrator and Corps Division Engineer.

F. EPA will:

1. assign to the Corps all functions of all Step 3 projects which are delegatable and not delegated to a state;

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2. provide access to the Grants Information Control System (GICS) reporting system and data files for data input and report retrieval on an as-needed basis;

3. identify in the regional agreement those functions initially assigned to the Corps but programmed for state delegation and provide a timetable for state delegation showing clearly when Corps involvement will cease;

4. provide the Corps with copies of draft and executed state delegation agreements for Corps planning purposes.

G. Beginning in FY-81, it will be EPA policy to delegate all delegatable Step 3 grant activities to the States or, after grantee acceptance of the Step 3 grant, assign such activities to the Corps.

H. Guidance regarding procedures to be followed and protocol to be observed by the Corps will be set forth in the regional agreements for those functions assigned to the Corps.

II. PURPOSE.

A. The purpose of this agreement is to define the services to be provided by the Corps to EPA to assist EPA in the administration of the Construction Grants Program.

B. The mission to be accomplished under this agreement is to assure that EPA grant assisted wastewater treatment projects are designed and constructed in accordance with high standards of engineering practice and with applicable federal requirements to meet the environmental objective of the program.

C. Basic to this agreement is the understanding that Corps activities will conform to all applicable federal statutes and EPA regulations, policy issuances and operations guidelines and that the Corps will not undertake certain activities in a state which is performing such activities under a delegation agreement from EPA, except as requested by EPA, after consultation with the state, and agreed to by the responsible Division Engineer.

D. Nothing in this agreement shall relieve any applicant, grantee, consultant, contractor, subcontractor or other party from any obligation imposed upon them by law, EPA regulations and other applicable requirements of the terms of contracts and agreements entered into under a construction grant.

E. This agreement recognizes that the EPA Administrator retains ultimate responsibility under all applicable statutes and regulations (see PL 92-500, the FWPCA; NEPA; 40 CFR 30.100 et seq. as amended; 40 CFR 35.900 et seq. as amended), and the authority to conduct on-site reviews, individual project reviews, and activities related to audit.

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F. The Corps shall be afforded an opportunity to review and comment on EPA regulations, policy issuances and operations guidelines which are relevant to the EPA Construction Grants Program.

G. The Corps shall not issue any regulations, policies or operating guidance documents relating to actions by EPA, the State, grantee or applicants in carrying out the Construction Grants Program.

NOTE: The responsibilities of the parties are further defined in subsequent sections of this agreement.

III. MANAGEMENT COMMITMENT.

A. The Corps agrees that assigned personnel will provide for the timely completion of delegated missions and will be of the same grade as those customarily assigned by the Corps division/district office as fully responsible for Corps activities in each State, and each State need deal only with this office. The responsible district office, however, may have elements of the actual work done by other Corps offices.

B. The Corps will provide EPA with periodic progress briefings (status and projections) at the national level which will cover staffing, funding, expenditures and program activities. These reports will be in sufficient detail to enable EPA to estimate future resource needs and make other decisions in keeping with its program planning and budget requirements.

C. A common standardized reporting system as defined in Appendix II will be utilized by the Corps and reviewed jointly by headquarters staff of both agencies.

D. The Corps will assign a liaison officer or staff to the Regional Offices to work closely with the EPA program, to coordinate the resolution of problems and to facilitate the implementation of regional agreements.

IV. REGIONAL AGREEMENT.

A. New regional agreement, between each EPA Regional Administrator and the appropriate Corps Division Office (See Section VIII), shall be signed within 60 days of the signing of this agreement.

B. Each regional agreement shall be deemed to incorporate the requirements of this agreement and shall be subject to modification by the execution of written amendments between the EPA Regional Administrator and the corresponding Corps Divisional Engineer.

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V. SCOPE OF WORK.

The Corps will have mission responsibility to act as EPA's agent in actively managing all Step 3 grant activities (after the grantee's acceptance of the Step 3 award) not delegated to a state, in performing biddability and constructibility reviews of plans and specifications and in providing full time on-site presence on projects or clusters of projects which are of sufficient size and complexity to warrant full time presence. Combined Step 2-3 project assignments to the Corps will be made at the time of the plans and specifications approval letter. Advisory services to grantees and their consultants on Step 3 activities are included in the mission responsibilities. State delegation agreements will take precedence over this agreement in any instance of conflict between the two. In addition, Corps Division Engineers are authorized to assume, within available resources, additional mission responsibilities as agreed to between the Regional Administrator and the Division Engineer.

VI. GENERAL PROVISIONS.

A. To the extent necessary to perform assigned activities, Corps personnel shall be provided access to the project site and project records.

B. Nothing in this agreement shall limit the authority of the EPA Regional Administrators to enter into agreements, at their option and with the approval of the Administrator, with the Corps Division Engineers for performance of construction grant activities above the minimum level as defined in Appendix III of this agreement.

C. Fundamental to each agreement must be the concept that the grantee is, in fact, ultimately responsible for the technical and fiscal integrity of the project, including job site safety. The Corps is to determine whether the grantee is fulfilling its responsibilities under the project grant.

D. EPA will monitor the Corps' handling of assigned activities to assure that the terms of regional agreements are upheld, the timely scheduling of grant activities is not disrupted, a unity of construction grant program effort is maintained, appropriate staffing is maintained and sensitive and critical grantee-state-federal relationships are enhanced by action taken under the agreements. EPA will exercise continuous oversight of the Corps' performance.

E. The Corps will not use EPA grant activities to enforce compliance with Corps regulations or requirements unrelated to EPA requirements.

F. After advice and consultation with EPA Regional and Headquarters personnel and, as appropriate the states, the Corps will establish its inspection schedules, number of inspections, requirements for on-site

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presence and the amount of manpower resources to be devoted to the inspection program. Where such schedules conflict with the provisions of the regional agreements, the Corps Divisional Engineer and the Regional Administrator will resolve the conflicts.

VII. IMPLEMENTATION.

A. The Corps will undertake mission responsibilities for all Step 3 construction grants projects.

B. Using project lists, related program function data developed by EPA, the advice of Regional Office, State and Divisional coordinators, and other data sources, the Corps will prepare resource estimates for Corps activities. EPA headquarters will be provided with an official needs estimate annually by the Office of the Chief of Engineers (OCE).

C. Corps employees will perform their activities under this agreement in accordance with current EPA grant processing requirements as specified in the Handbook of Procedures, Program Requirements Memoranda, Program Operations Memoranda and all other applicable guidance documents governing the program. All applicable guidance documents will be furnished to the Corps by EPA.

D. Reporting requirements and procedures are contained in Appendix II to this agreement.

VIII. ORGANIZATIONS.

A. This Agreement is effective upon signature. Except as provided for in paragraph VI-B, regional agreements will be in accordance with the provisions of this basic agreement. New regional agreements will be signed by the Regional Administrator and by each Corps Division Engineer affected by the agreement as follows:

- Region I - New England Division
- Region II - North Atlantic Division
South Atlantic Division
- Region III - North Atlantic Division
Ohio River Division
- Region IV - South Atlantic Division
Ohio River Division
Lower Mississippi Valley Division
- Region V - North Central Division
Ohio River Division

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Region VI - Southwestern Division
Lower Mississippi Valley Division

Region VII - Missouri River Division

Region VIII - Missouri River Division

Region IX - South Pacific Division
Pacific Ocean Division

Region X - North Pacific Division

B. Under normal circumstances public announcements involving policy and the overall program will be made by EPA. The Corps may make such announcements only in unique situations and only after receiving prior clearance from EPA. Congressional liaison relating to any matter covered by this agreement or the regional agreements will be the responsibility of EPA. Suggested response to congressional inquiries received by EPA or the Corps regarding all work performed under this agreement will be coordinated between both parties. Responses will normally be prepared by the Corps, on a priority basis, and sent to appropriate EPA offices for disposition; others will be decided by EPA on a case by case basis. Public relations activities related responsibility of EPA. EPA regulations relating to an on-site project sign will be followed.

C. A Corps of Engineers EPA liaison officer will be established by the Corps in the Office of the Chief of Engineers, and will be the primary point of contact in the Office of the Chief of Engineers for purposes of this agreement. Any communications made to or received from the Corps of Engineers EPA liaison office by EPA will be deemed, for purposes of this Agreement, to have been made to or received from the responsible Corps authority. The Office of Water Program Operations, EPA, will be the primary point of contact in EPA for purposes of this Agreement and will be similarly responsible for communications. The Corps of Engineers EPA liaison office, the EPA Office of Water Program Operations, and higher authorities in the Corps and EPA may from time to time designate, in writing, additional offices or officials within their respective agencies to originate and receive specified communications.

IX. FUNDING. (See Amendment to Interagency Agreement, page A-23)

Funding authority will be provided to cover all Corps expenses including salaries, travel, relocation expenses, per diem, and administrative overhead necessary in implementing this agreement. In the acquisition of space or purchase of major items of equipment, the Corps will be guided by procedures set forth in regional agreements. Established Corps accounting procedures will be used. EPA Regional Administrators, using standard form 1080, will reimburse the appropriate Corps Office. Funding authority for the

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will reimburse the appropriate Corps Office. Funding authority for the full fiscal year will be provided prior to the start of the fiscal year.

X. AMENDMENT, DURATION AND TERMINATION.

A. This agreement may be modified or amended by written agreement between EPA and the Corps and it is understood that appropriate amendments may be made as are necessary or desirable and with the consent of the parties. Appendices, which clarify and interpret the provisions of this National Agreement and provide operational guidance, may be issued as agreed upon by the National Agreement coordinators or their successors who are designated by the Deputy Assistant Administrator for Water Program Operations and the Deputy Director of Civil Works. Appendices will be issued under the joint signature of the National agreement coordinators and will take precedence over regional agreements where conflicts exist.

B. This agreement shall be for the duration of the EPA Construction Grants Program. However, either party may terminate this agreement one year after giving formal notice of intent to terminate. The one year time may be waived during a declaration of war or national emergency. EPA and the Corps will consult in advance of termination of all or any part of the Agreement and will, insofar as possible, fix a termination date sufficiently in advance so that both parties will have a reasonable period of time to make personnel and other adjustments in their operations in light of such termination. Upon termination of this agreement, all pertinent documentation requested by EPA relating to projects handled by the Corps under this agreement will be delivered to EPA.

XI. RESERVATION OF AUTHORITY.

Recommendations and determinations made and actions taken by the Corps pursuant to this agreement and the regional agreements shall be subject to the rights of appeal by any aggrieved applicant or grantee to the Regional Administrator and shall also be subject to review upon the Regional Administrator's own initiative. The Regional Administrator shall retain primary authority for the following:

A. Award of Step 1, Step 2, Step 3, and Step 2/3 grants, grants amendments and the processing of requests for payments to the Treasury Department.

B. Independent review and determination of projects for which environmental impact statements will be required pursuant to the National Environmental Policy Act, and the preparation and issuance of such statements or of findings of no significant impact required pursuant to 40 CFR Part 6.

C. Review of Step 2 project cost estimate.

D. Final determinations concerning disputes pursuant to 40 CFR 35.960 as amended and 30.1100 et seq. as amended.

E. Determinations of protests pursuant to 40 CFR 35.939, Defense in Litigation and provision of legal services.

F. Implementation of EEO requirements and other requirements imposed under the Civil Rights Act, the Davis-Bacon Act, the Uniform Relocations and Land Acquisition Policy Act, and related responsibilities. (Note: this agreement may be amended in the future to provide for more flexibility with regard to Corps participation in these activities).

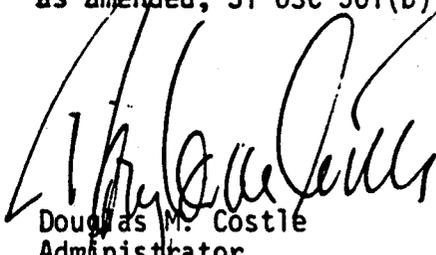
G. Final resolution of construction grant audit exceptions.

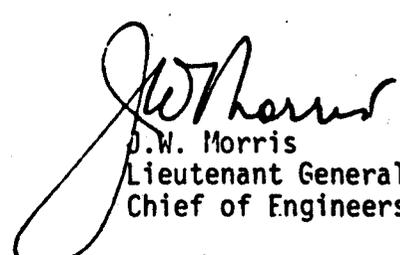
H. Review and approval of user charge and industrial cost recovery systems and sewer use ordinances.

XII. EFFECTIVE DATE.

This agreement will be effective commencing on the 8th day of July, 1980.

Authority: The authority for this agreement is based on the pertinent parts of the following Acts of Congress: The Economies Act of 1932, 31 USC 686; The Federal Water Pollution Control Act of 1972 as amended, 33 USC 1361(b); The Flood Control Act of 1965, 42 USC 1962d-4; and the National Defense Act of 1916 as amended, 31 USC 501(b) (Public Moneys).


Douglas M. Costle
Administrator
Environmental Protection Agency


J.W. Morris
Lieutenant General, USA
Chief of Engineers

APPENDIX I

1. Corps involvement in the EPA Construction Grants Program in any region shall be a minimum involvement as defined in paragraph 2 below.
2. Minimum involvement will pertain to all Step 3 (and Step 2/3) grants and consist of active management of all delegable Step 3 activities, as listed and defined in Appendix III, which are not delegated to the respective states. The Corps will assume the full Step 3 management mission in each region desiring Corps assistance. Nothing in this agreement shall restrict EPA from delegating activities being performed by the Corps to the states. The Corps will stand ready to assist EPA in training state personnel in assuming any activities which the Corps has been managing when such activities are being delegated to the State. The Corps will withdraw from the activity after EPA delegates that activity to the State.
3. Corps involvement beyond the minimum level will be at the request of the EPA Regional Administrator and as agreed upon by the responsible Corps Division Engineer with the concurrence of EPA and Corps Headquarters. The additional activities to be performed by the Corps shall be specified in regional agreements. This may be done by signing a new regional agreement or amending an existing regional agreement.
4. Issues arising between EPA Regional Offices and Corps Divisions on the exact limits of functions or activities to be assigned to the Corps will be resolved between the Regional Administrator and the Division Engineer. As needed, the National agreement coordinators will be available for advice and assistance.
5. Tasks initially delegated to the Corps and programmed for later delegation to the state will be set out in the regional agreements. The state delegation time table will clearly show when Corps involvement will cease. EPA will provide the Corps, for planning purposes, draft and executed state delegation agreements and amendments thereto.
6. Active management by the Corps is defined as the Corps performing all necessary activities for the specific missions assigned with EPA having an overview or monitoring role.
7. The Regional Administrator will assure that the quality of the Corps' program execution in each region is adequate. Deficiencies will be brought to the attention of the Division Engineer who will take immediate steps to correct them. Failure to correct such deficiencies will be cause to modify or amend the scope of the work assigned to the Corps.

APPENDIX II

Management Plan for Use of Automated Data Processing in Support of the Interagency Agreement.

1. Management Objective:

EPA's automated data processing (ADP) system will be used by both agencies at each level of management to develop and evaluate organizational controls to insure that the objectives of the national and regional IAG are achieved. Emphasis shall be placed on collection and use of data required for resource management and overview monitoring. The Corps divisions and districts having an EPA mission will utilize the uniform data collection and reporting system.

2. Procedures:

Assignable tasks that can or should be accomplished or monitored are identified in Appendix III. Input into these systems shall be in accordance with published procedures in the GICS and CMS User's Manual. The Corps will be responsible for the timeliness and accuracy of these data. Optional data elements may be utilized with mutual EPA Headquarters and Office of the Chief of Engineers consent if adequate justification and resources exist. Periodically the justification and need for optional data elements should be jointly reviewed to preclude non-productive or redundant effort.

3. Data Input:

GICS - Each Corps district has the hardware necessary to input data directly into the Washington Computer Center (WCC) or the regional mini computer. The extent to which the Corps will input data directly into GICS will be determined by the Regions and set forth in regional agreements.

To insure timeliness of data entry and prevent fragmented data collection, the Corps may be assigned and provided the necessary software (password, account number, etc.) to input their data directly into regional file that will be read into GICS at the next national update. As necessary, errors will be routed back to the district terminal for correction; and, a proposed update schedule shall be provided quarterly by the division to the Regional Coordinator Grants Management Information System (RCGMIS). Where feasible state input to CMS through the Corps ADP system should be considered.

CMS - The Corps will directly input and update the CMS systems as necessary.

4. Report Retrieval:

GICS - The Corps will retrieve reports, as needed, using the reports directory as published or otherwise made available by EPA.

CMS - The Corps will retrieve reports, as needed, using the Users Manual.

5. Management Evaluation:

EPA and Corps Headquarters will evaluate the region/division use of ADP based on the following factors:

1. Quality of data.
2. Timeliness of data update.
3. Use of ADP system to plan and coordinate future effort.
4. Use of current management data to monitor the IAG.

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APPENDIX III

Functions Assignable To The Corps

This appendix identifies and defines the individual functions that will collectively constitute Step 3 grant management by the Corps of Engineers. Minimum Corps support to each region is itemized in Section I. Normally, those functions delegated to the state or scheduled to be delegated to the state in less than one year after the effective date of this agreement shall not be assigned to the Corps unless mutually agreed on by Regional Offices, Divisions, and the affected state. In those instances where the Corps has been assigned functions scheduled for delegation to the state(s), the Corps will continue to perform them until state delegation takes place. The details and regional timetable necessary to implement this delegation program shall be addressed for each state in the regional implementing agreements.

Index of Assignable Tasks

Section 1. Functions to be assigned.

- A. Program management.
- B. Biddability and constructibility review.
 - 1. Biddability reviews.
 - 2. Plans and specifications (and addenda) (Steps 3 & 2/3).
- C. Preconstruction management.
 - 1. Grant assignment to Corps.
 - 2. Authorization to advertise.
 - 3. Preconstruction lag management.
 - 4. Bid solicitation and contract document review and approval.
 - 5. Assistance in resolution of bid protest.
 - 6. Preconstruction conference.
- D. Grant management during construction.
 - 1. Interim inspections.
 - 2. Force account.
 - 3. Operation and maintenance manual.
 - 4. Milestone payment reviews.
 - 5. Change orders and time extensions.
 - 6. Outlay management.
 - 7. Final and follow-up inspections.
 - 8. Final payment reviews.
 - 9. Interim audit requests.
 - 10. Construction incentive program.
 - 11. On site presence.
 - 12. Construction management evaluation (CME) inspections.
- E. Grant close out and audit.
 - 1. Close out inspection and request for final audit.
 - 2. Recommend resolution of audit exception.

Section 1: Function assignable to the Corps if not delegated to States.

The following contains more detailed definitions of the functions assignable to the Corps. In all instances, full details on the scope of assignable functions and the procedures by which they are to be implemented will be set forth in regional agreements.

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A. Program management.

1. Project management consists of responsibility for Step 3 projects (following grantee acceptance of grant offer) and activities necessary to insure Step 3 project completion and grant close out. Assignment to the Corps shall remove EPA from day-to-day Step 3 operations except for administering non-assignable tasks, as specified by regulation, and for conducting program monitoring and oversight.

The Corps will exercise review and approval authority for each task to which it is assigned to assure that all federal requirements promulgated in the Federal Register, program requirements memoranda (PRM), program operations memoranda (POM) and other program guidance issued by EPA are satisfied.

B. Biddability and constructibility review.

1. Biddability reviews are conducted to insure that bid documents are clear and include all necessary items, that the projects are divided into reasonable biddable contract packages, that bid items proposed in the bid documents are appropriate to enable evaluation of bids received, and that the plans and specifications define the project in sufficient detail to enable reasonable bidding.

2. In conjunction with plan and specification approval by the state or EPA, the Corps will assure that the contract documents clearly define, and require the successful bidder to submit and revise as necessary, documentation needed by the grantee to properly manage the project. The review and assurance shall include:

- a. Submittal of construction schedule;
- b. Contractor earnings curve if project size justifies such;
- c. Change order procedures;
- d. Adequate liquidated damages and specific instruction on how they will be assessed;
- e. Definite project completion date or contract duration; and
- f. Identification of the contractor's responsibility for complying with and enforcing OSHA safety requirements.

3. Constructibility review is conducted to evaluate the compatibility of materials and methods and to identify errors, or omissions and ambiguities. In addition, the review will ensure that special limitations on the construction imposed by the site have been adequately considered,

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specifications adequately relate to plans, and construction documents are compatible with generally accepted construction procedures and equipment.

4. The Corps will be provided 30 days to comment on plans and specifications for biddability and constructibility before the planned Step 3 grant award date. Except in exceptional circumstances, award of Step 3 grant will not be made until after these comments have been received, or after the Corps has had 30 days for review, whichever occurs first.

Optional data input to the CMS by Corps.

- (a) (01), Creation of contract file date.
- (b) (07), date P&S received by Corps.
- (c) (08), date B&C comments or certification sent to EPA with cc to grantee and state.
- (d) (20), target construction start date.
- (e) First estimate of grant outlay schedule.

C. Preconstruction management.

1. Grant assignment to Corps.

Following grantee acceptance of the grant offer, EPA (or delegated state) will notify the grantee and the Corps that the project is being assigned to the Corps for grant management.

2. Authorization to advertise.

The Corps will notify the grantee to advertise for bids.

Optional data input to CMS by Corps.

- (12), Status code and date for authorization to advertise.

3. Preconstruction lag management.

The Corps will assume responsibility for preconstruction lag management. The Corps will provide reasonable assistance to the grantee in order to facilitate the initiation of construction. However, the Corps will notify EPA of those projects and grants that fail to be initiated due to poor planning or management on the grantee's part, so that EPA can take appropriate action in accordance with PRM 78-12.

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Optional data input to CMS by Corps.

(20), Status of construction start.

4. Bid solicitation and contract document review and approval to award.

After bid opening, the documents, as defined in the regional agreement, will be submitted to the Corps for review and approval to award. The Corps will coordinate document flow to EPA so that any required grant amendments can be processed by EPA.

Optional data input to CMS by Corps.

(a) (13) Bid opening.

(b) (15), Bid package received by Corps.

(c) (16), Contract documents approved and grantee authorized to award contract.

5. Assistance in resolution of bid protests.

The Corps will provide engineering, technical, and administrative assistance to EPA in its resolution of protests arriving during and after the solicitation of construction contract bids.

The Regional Administrator must render the final decision as to resolution of the protest.

Optional data input to CMS by Corps.

(16), Authorization for grantee to award contract.

6. Preconstruction conference.

The Corps will conduct or participate in the conduct of pre-construction conferences with the grantee, his AE and construction contractor who has been awarded a contract in preparation of construction to insure that all concerned parties understand their role and responsibility. Where the Corps is the lead agency, it will be responsible for coordinating the input of other programs (EEO, MBE, etc.).

Optional data input to CMS by Corps.

(10), Actual date of preconstruction conference.

D. Grant management during construction.

1. Interim inspections.

The Corps will schedule and conduct announced and unannounced interim inspections on an as needed basis during the construction phase of the grant. No active project will be inspected less frequently than quarterly. The purpose of the inspections will be to evaluate and assist the grantee in management of his construction program. Some of the major items to be checked are:

- (a) Grantee supervision and inspection of the construction contractor and resident inspector;
- (b) Insuring resident inspector fulfilling requirements of contract;
- (c) Quality of construction and conformance with plans and specifications;
- (d) Project construction schedules and outlay schedules;
- (e) Grantee records and record systems;
- (f) Compliance with special grant conditions;
- (g) Conformance with applicable laws, regulations and policies;
and
- (h) Timely purchase of flood insurance.

The Corps will follow-up on project shortcomings and, in accordance with procedures in the Regional agreement, assist the grantee in correcting and resolving problems.

The Corps will monitor and coordinate the timely submittal of sewer use ordinances to EPA.

Optional data input to CMS by Corps.

- (a) (21), Status code and date of last inspection.
- (b) (22), Percent of work in place and materials stored on site.
- (c) (40), Status and date of grantee flood insurance.
- (d) (18), Corps estimated completion date.

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2. Force account: recommendation for approval.

The Corps will, where required by regulation, review documentation submitted by the grantee prior to performance of force account work to determine if the grantee has the necessary expertise and work force to accomplish project tasks more economically than they would be through competitive bidding. The grantee's proposed rates of pay, equipment rental rates and record keeping would be reviewed and approved by the Corps. The quality of and records for force account work will be checked during interim inspections. (This review may precede the Step 3 grant on projects which will be assigned to the Corps for project management.)

3. Operation and maintenance manual.

The Corps will be responsible to assure that the grantee is timely in compiling and submitting the O&M manual for review. This responsibility includes reviewing, commenting upon, and giving final approval of the operation and maintenance manual. Also, during construction, Corps insures plan of operation is maintained and start-up services are initiated in a timely manner.

4. Milestone payment reviews.

The Corps will review and approve milestone grantee payment requests. EPA's policy of processing routine payment requests within 48 hours of their receipt (by Federal agency) is to be maintained.

Value of work-in-place and material stored on site will be validated during project inspections and compared with estimates contained in grantee request for payment. Discrepancies will be reconciled.

Specific procedures relating to the review and approval of interim payments and document flow relating thereto will be set forth in Regional agreements.

5. Change orders, time extensions and grant amendments.

The Corps will: (a) approve or disapprove all change orders and time extensions; (b) be responsible for reasonableness of price, (c) make eligibility determinations, (d) insure that the contract does not already require the work; and (e) provide guidance, as necessary, to the grantee in preparing and processing the change order documents.

When the value of the change order will exceed the grant contingency, the issuance of a grant amendment will be based on Corps certification and State approval.

Optional data input to CMS by Corps.

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- (a) (30), Approved time extension.
- (b) (31), Pending time extension.
- (c) (28), Total number of change orders.
- (d) (29), Approved change orders.

6. Outlay management.

The Corps will develop annual and quarterly outlay estimates for grants that have been assigned to them for Step 3 construction grant management. The contract management system will be the primary method used by the Corps to develop these estimates. The preparation of outlay estimates will be in accordance with procedures established in regional agreements.

Optional data input to CMS by Corps.

- (a) (64), Quarter and fiscal year.
- (b) (74-83), Quarterly outlay estimate.

References

Contract management user's manual

POM 79-2

PRM 79-9

7. Final inspection and follow-up inspection.

The Corps will coordinate and conduct the grant final management inspection. The purpose of the inspection will be to insure that the construction is complete and all grant conditions have been met.

Construction contract final inspection, a grant cutoff date will be established with the grantee. The cutoff date is the date after which EPA will not participate in any costs related to the project. Costs incurred in the construction effort after this date will be solely the responsibility of the grantee.

8. Final payment reviews.

The final grant payment will be made only after:

- (a) Construction is completed;

- (b) All administrative activity is completed; and
- (c) All grant conditions and regulation are satisfied.

The Corps will, at the time of the 90% payment, send the grantee a status report on all grant conditions and other requirements that must be satisfied to receive final payment. As a rule, it is preferable that final payment be made prior to requesting a final audit. However, in those cases where it appears that the grantee has been overpaid or paid for ineligible work an audit request should be submitted by the Corps project manager through the Water Division Director to the audit office prior to final payment.

9. Interim audit requests.

The Corps may request through the Water Division Director an interim grant audit. This request will be acted upon by EPA. The Corps will be responsible for resolving technical problems identified in the audit report and submit a copy of the audit report and Corps recommendations to the Regional Water Division Director.

The processing of an interim audit report will not normally be sufficient reason to withhold grant payment.

10. Construction incentive program.

The Corps will be responsible for administering this program. A recommendation will be submitted with the B&C review for the inclusion of the required clauses into the contract documents. The Regional Administrator shall render the final decision.

The Corps will be responsible for the timely review and recommendation of approval or disapproval of each construction incentive proposal.

Reference: PRM 79-5

11. On site presence.

The total value and complexity of contracts actively under construction will be used to determine when a project or grant needs frequent inspections. In most cases the grantee is receiving Federal funds to pay a consulting engineering firm to manage and coordinate the construction project. The Corps' role is to check the construction management and contract administration systems being utilized by the grantee.

The Corps, with the advice of EPA and State officials, will determine the need and frequency of inspection for large projects and grants. Methods for deciding on reducing or intensifying full time on site presence will be set forth in regional agreements.

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12. Construction management evaluation (CME) inspections.

Based on schedules developed by the Regional Offices, in consultation with the Corps and the States, the Corps will conduct construction management evaluation inspections on Step III projects under construction. These inspections are intended to help identify problem areas in the overall management of the project and propose solutions. Copies of reports will be submitted to the Regional Office and State.

F. Grant closeout and final audit.

These activities will be performed for grants which were assigned to the Corps for management prior to the completion of construction. They may be performed for other grants on an optional basis as agreed upon in the regional agreements.

1. Closeout inspection and request for final audit on Corps managed grants.

After the grant cutoff date, the Corps will conduct follow-up activities to advise the grantee on how to submit the necessary documents and final payment request to closeout the grant.

Normally, final payment will be made prior to requesting a final audit. In those cases where it appears that the grantee has inadequate interest to insure the project will be closed out, a final audit request will be forwarded to the Water Division along with the official Step 3 grant file.

2. Audit resolution.

The Corps will be responsible for recommending resolutions of audit exceptions and submitting such recommendations to the Regional Administrator for final disposition.

APPENDIX IV

Safety

The Corps will recommend immediate corrective steps to grantees for observed safety violations which are endangering life or threatening serious injury and will take prompt action to notify the state, the EPA Region and OSHA regional representatives requesting an immediate OSHA inspection.

Amendment to Interagency Agreement
Between the U.S. Army Corps of Engineers
and the U.S. Environmental Protection Agency

I. Change in Section IX

Section IX, funding is to be amended to read as follows:

EPA will reimburse the Corps for all expenses incurred including salaries, travel, relocation expenses, training, per diem, and administrative overhead necessary in implementing this agreement and associated work plans. In the acquisition of space or purchases of major items of equipment, the Corps will be guided by procedures set forth in Regional agreements. Established Corps accounting procedures will be used.

The EPA National Agreement Coordinator for the Corps/EPA IAG, will be the allowance holder for EPA funds. Funds will be obligated to the Corps Divisions as soon after receipt of the annual appropriation or continuing resolution as possible. Work plans based on national EPA priorities will be negotiated between EPA Regions and Corps Divisions and will form the basis for Corps Division funding levels. The work plans will include output commitments by the Corps and Corps resource requirements to be supported by EPA.

The obligation of funds by the EPA National Agreement Coordinator will be to the Corps Divisions, with concurrence by the Deputy Director of Civil Works U.S. Army Corps of Engineers. The obligation documents will be sent from EPA on the first day after receipt of the allowance. The obligation documents will cite appropriation, account numbers, document control numbers, object class, and program and include the negotiated work plan for each Division.

A Standard Form 1080 which itemizes incurred costs and cites the appropriation, account numbers, and document control numbers, object class, and program will be prepared by the Corps districts and divisions within 25 days after the end of each month. These will be concurred in by the EPA Regions and submitted through the Office of Chief Engineer (OCE) to the EPA National Agreement Coordinator by the 15th of the following month for payment by EPA financial management.

II. New Appendix

Appendix V regarding funding procedures is added to the national agreement dated July 8, 1980.

III. Effective Date

This amendment and new appendix will be effective commencing the first day of Fiscal Year 1983.


Henry F. Longest II
Director

Office of Water Program Operations
U.S. Environmental Protection Agency


Forrest T. Gay, III
Brigadier General, USA
Deputy Director of Civil Works

Appendix V

Procedures for Obligating and Expending Funds Under the Interagency Agreement.

1. Objectives

There are three primary objectives to be considered in centralizing the Corps funds to the national level. These are:

- o To ensure that the funds are all obligated in one sum.
- o To ensure that the funds are obligated at the earliest possible time and that payments are made as soon as possible after receipt.
- o To maintain the strong Region/Corps Division interaction in program planning and execution.

2. Procedures (See Exhibit 1)

The funds to support the interagency agreement (IAG) are centralized into a single national account under the EPA National Agreement Coordinator. The National Agreement Coordinator for the Corps is the Deputy Director of Civil Works. Under this system, the allocation, obligation, reprogramming, and payment of funds will be the responsibility of the EPA National Agreement Coordinator. While we have centralized the funding of this IAG, the basic program management will still remain at the EPA Region/Corps Division level. Distribution of funds to each division is based on the Regional/Division work plans as negotiated and agreed to by them. Major features of this arrangement are as follows:

- o Allowance
 - The EPA National Agreement Coordinator will be the allowance holder within EPA for all funds to support this agreement.
- o Work Plans
 - Provide the key elements for planning and management between the EPA Regions and Corps Divisions'
 - Include output commitments by the Corps and Corps resource requirements to be supported by EPA.
 - Will be developed based on national priorities and negotiated as part of the Regional/Corps Division IAGs.
 - Form the basis of the allocation of funds.

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o Obligations

- Obligations will be made by the EPA National Agreement Coordinator to individual Corps Divisions, and concurred in by the Corps National Agreement Coordinator.
- Corps Divisions serving more than one Region will be issued separate obligating documents for each Region.
- The obligation letter to the Corps Divisions will include:
 1. Account number
 2. Appropriation number
 3. Object class
 4. Document control number
 5. Agreement number
 6. Program name

and attached will be a copy of the approved work plan.

- The EPA National Agreement Coordinator will prepare the individual procurement request (EPA Form 1900-8) and the obligating documents; the obligating documents will be concurred in by the Corps National Agreement Coordinator and accepted by individual Corps Divisions. (See Exhibit 2.)
- Individual Corps Divisions will signify acceptance by forwarding one of the two original obligating documents to the EPA National Agreement Coordinator and one copy of these documents to the EPA Regional Coordinator.

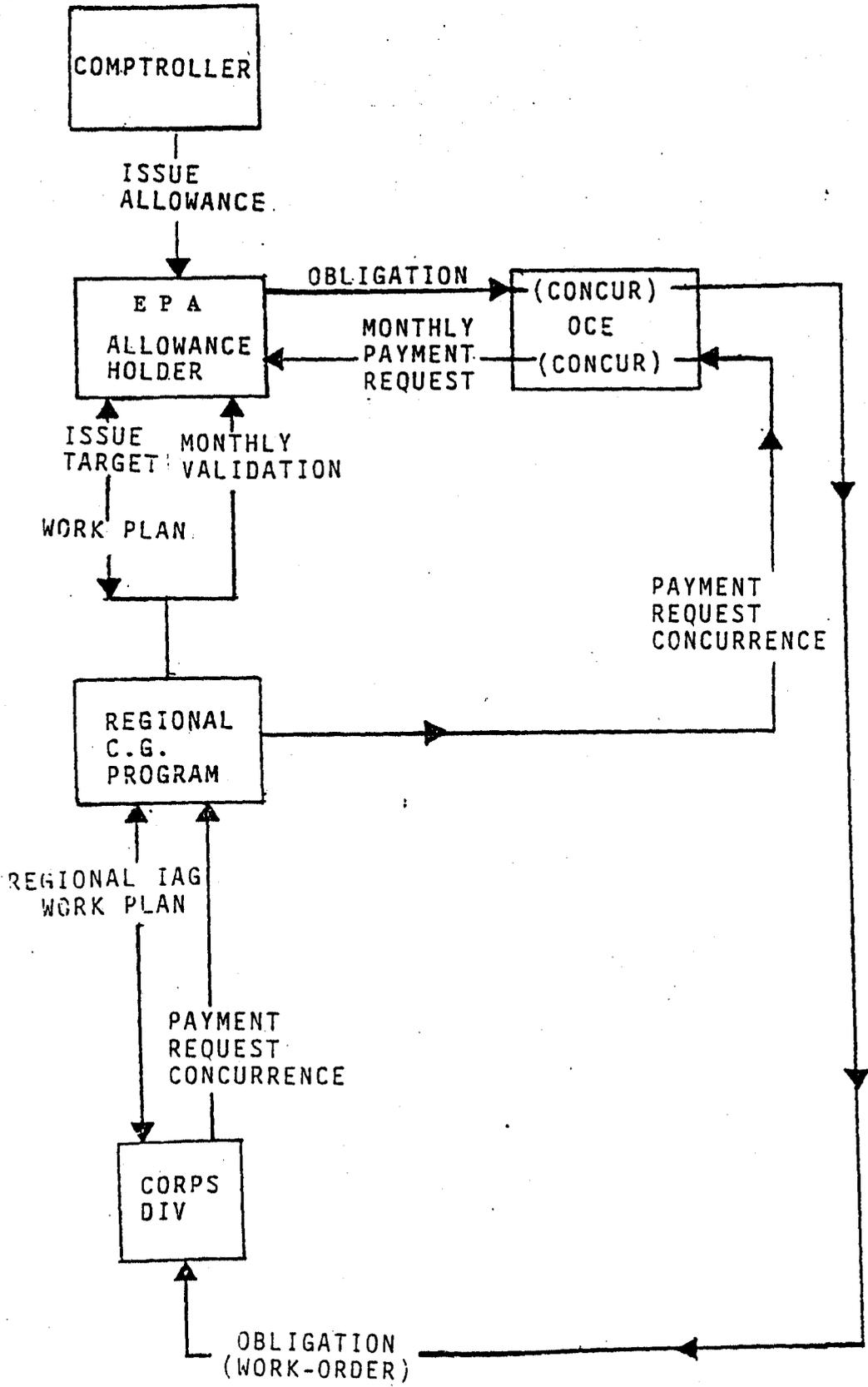
o Payment Process (See Exhibit 3)

- Requests for reimbursement shall be made monthly through the submission of Standard Form 1080, as outlined in Regional/Corps Division Agreements
- Requests for reimbursement as a minimum should show separate items for salaries and fringe benefits at effective rates, work hours incurred, and the overhead costs.

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Appropriate EPA accounting data and interagency number will be provided in the obligating documents.

- Requests for reimbursement shall be forwarded to the appropriate EPA Regional office for review and concurrence within 25 days after the end of the month. If the Region believes that there is a billing error during this review, the Corps office submitting the request shall be contacted for explanation or adjustment.
- Upon concurrence the EPA Regional office shall send the original copy of the concurred in request for reimbursement to the Office of Chief of Engineers (OCE), HQDA (DAEN-RMF-A) Washington, DC 20314 and forward one copy to the EPA National Agreement Coordinator and the related Divisions and Districts. Concurrence should be submitted within 3 working days from receipt.
- OCE shall monthly concur in and submit as a package the requests for reimbursement by the 15th of each month to the EPA National Agreement Coordinator for payment certification and payment by EPA financial management.
- EPA National Agreement Coordinator shall review and certify for payment the requests for reimbursement within 3 working days after receipt from OCE.
- o Reprograming
 - Budgeted Funds
 - Changes by the EPA National Agreement Coordinator due to EPA budget revisions will be coordinated with OCE.
 - Obligated Funds
 - Changes in funding authority due to reprograming will be made by the EPA National Agreement Coordinator and be coordinated with the Corps National Agreement Coordinator.
 - Requests for additional funds will be initiated by EPA Regions and forwarded to EPA National Agreement Coordinator, who will review the requests and determine if additional funds are available.
 - EPA's National Agreement Coordinator will prepare the changes to EPA Form 1900-8 and the changes to the obligating documents; these will be concurred in by the Corps National Agreement Coordinator and accepted by the concerned Corps Divisions.



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Exhibit 2

Sample
Obligation Letter

Obligating Document

Dear (Corps Division Commander)

Authority to expend funds under the Corps/EPA interagency agreements is provided to cover the Corps for all expenses incurred, including salaries, travel, relocation expenses, per diem and administrative overhead necessary in implementing this agreement. In the acquisition of space or purchases of major items of equipment, the Corps will be guided by procedures set forth in Regional agreements. Established Corps accounting procedures will be used.

Total additional funds for _____ Division and districts doing work in EPA Region _____ is \$ _____ for FY 198 based on the approved work plan attached. The method of funding shall be on a reimbursable basis.

A Standard Form 1080 which itemizes incurred costs and cites the task order, appropriation, account, and document control numbers will be prepared by the Corps districts and Divisions monthly. These will be concurred in by the EPA Regional Coordinator and submitted through OCE monthly to EPA OWPO for prompt payment.

Requests for reimbursement shall cite the current EPA accounting data and Interagency Agreement number as listed this letter.

1. Account number _____
2. Appropriation number _____
3. Object class _____
4. Document control number _____
5. Agreement number _____
6. Program Construction Grants

Please indicate the acceptance of this work order by signing below and returning one of the originals to EPA Office of Water Program Operations with copies to the Office of the Chief of Engineers and Regional Office.

Henry L. Longest II
Director, OWPO
Date _____

Corps Division
Date _____

Sample
Cover Memo to

Dear General (Corps National Agreement Coordinator),

Please refer to the Intragency Agreement between the Corps of Engineers and the Environmental Protection Agency dated July 8, 1980 as amended (EPA-AD 96F 2A159). Additional funds in the amount of _____ are now available to augment this agreement during FY ____.

While we have centralized the funding of this IAG to EPA Office of Water Program Operations, the basic program management will still remain at the EPA Region/Corps Division level. Distribution of funds to each division is based on approved Regional/Division work plans.

Enclosed for your concurrence are the obligation documents to the Corps Divisions to reflect the new funding levels. Please indicate your concurrence and return this letter to my office.

Signed
(EPA National Agreement Coordinator)

concur _____

Exhibit 3
PAYMENT PROCESS TIME LINE

	END OF MONTH			
CORPS INCURS COST	PREPARE REQUEST FOR REIMBURSEMENT	REGION CONCUR AND SEND BILL TO OCE	OCE REVIEW AND SEND BILL TO OWPO	OWPO CERTIFIES REQUEST AND SENDS BILL FOR PAYMENT
	BY 25 th OF THE MONTH	3 WORK DAYS	BY 15 th OF THE MONTH	3 WORK DAYS

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APPENDIX B

MONTHLY MONITORING REPORTS

1. Reference: CORPS/EPA User's Manual Contract Management, dated Oct 1981.

2. The Monthly Monitoring Reports are based on a data set containing information on Corps costs and manpower utilization and two data sets containing selected activity indicators.

3. Corps costs and manpower utilization obtained from available Corps Finance and Accounting Reports are placed in a data set using the following convention:

* \$IIIAAAA.FIL1QQ

where QQ is the EPA Region Number. Figure B-1 contains a record description of the data fields in the data set. The data must be keyed in and verified by the 23rd of each following month. The asterisked data must be entered in October and corrected as revisions are received.

4. The activity indicators for each month are to be manually input and stored in the data sets:

* \$MEEOC1.FIL4QQ

\$MEEOC1.FIL3QQ (THIS FILE IS OPTIONAL)

where QQ is the EPA Region Number. A record description of the data fields in the data sets is shown in Figures B-2 and B-3. Manual changes to the selected activity indicators may be made by modifying this data set.

5. Reports based on the data set containing Corps cost and manpower utilization and the data sets containing the selected activity indicators may be run after the 24th of the following month.

6. The Monthly Monitoring Reports have a unique identifier which is EPACOE followed by a two digit number. A sample output of Report EPACOE01, EPA/CORPS Monitoring Report for any month, is shown in Figure B-4. The procedures for obtaining this report are shown in Figure B-5 and are contained in data set:

* EXEC FROM \$MEEOC1.EXEC(MENU) CLR

7. Additional reports are also in this data set. Follow the procedure shown in Figure B-5. Examples are included in Figure B-6.

8. Data input assistance examples are included in Figure B-7.

§IIIIAAAA.FIL1QQ

<u>ITEM</u>	<u>COLUMN</u>	<u>DEFINITIONS</u>
1. EPA Region Number	01-02	Self explanatory
2. EPA State Number	03-04	Number assigned to each State (A list of the states and number for each is at the end of Figure B-1.)
3. Corps Division/District Symbol	05-07	Self explanatory (Four Character System may use columns 05-08)
4. Blank	08	Blank
5. Calendar Year	09-10	Self explanatory
6. Calendar month	11-12	Self explanatory
7. Total Cost for this Month	13-21	<u>Actual</u> COEMIS F&A generated DA Form 4445-R (Voucher For Transfers Between Appropriations and/or Funds) billings or the SF 1080 Total Corps costs for each District/Division working in each state including Special Assignments. (Decimal point between columns 19 & 20)
8. Total Manhours this Month	22-28	<u>Actual</u> Total of Corps direct and technical indirect manhours for each District/Division working in each state <u>including</u> Special Assignments. (Decimal point between column 26 & 27)
9. Travel & Transportation of Persons & Things Costs	29-37	Total of Corps Costs that are charged against travel and transportation targets (Decimal point between column 35 & 36)
10. Overhead Costs for this Month	38-46	District's and Operating Division's overhead costs (Decimal point between column 44 & 45)
11. Personal Compensation and Personal Benefits Costs	47-55	Total of direct and indirect labor cost only (Decimal point between column 53 & 54)

FIGURE B-1

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<u>ITEM</u>	<u>COLUMN</u>	<u>DEFINITIONS</u>
12. Projected Fiscal Year Corps Costs	56-64	Projected current fiscal year costs entered and revised on October data input only. Figures will be based on negotiated workplans with EPA counterparts. This is an ultimate programing level and is not the funding authority. (Decimal point between column 62 & 63). Changes to this entry will be made only concurrent with revision to workplans.
13. Full Time Personnel	65-66	The number of personnel working full time in each FOA. (Does not include part time personnel)
14. Total Indirect Manhours for this month	67-72	Actual total of Corps indirect manhours for each district/ division working in each State <u>including</u> special assignments (Decimal point between columns 70 & 71)
15. Personal Compensation and Personal Benefits Cost (Indirect Labor)	73-80	Labor component of indirect cost. (Decimal point between columns 78 & 79)

FIGURE B-1 (cont'd)

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<u>STATE NAME</u>	<u>STATE #</u>	<u>EPA REGION</u>	<u>2 LETTER ABBREV</u>
Alabama	01	04	AL
Alaska	02	10	AK
Arizona	04	09	AZ
Arkansas	05	06	AR
California	06	09	CA
Colorado	08	08	CO
Connecticut	09	01	CT
Delaware	10	03	DE
District of Columbia	11	03	DC
Florida	12	04	FL
Georgia	13	04	GA
Hawaii	15	09	HI
Idaho	16	10	ID
Illinois	17	05	IL
Indiana	18	05	IN
Iowa	19	07	IA
Kansas	20	07	KS
Kentucky	21	04	KY
Louisiana	22	06	LA
Maine	23	01	ME
Maryland	24	03	MD
Massachusetts	25	01	MA
Michigan	26	05	MI
Minnesota	27	05	MN
Mississippi	28	04	MS
Missouri	29	07	MO
Montana	30	08	MT
Nebraska	31	07	NE
Nevada	32	09	NV
New Hampshire	33	01	NH
New Jersey	34	02	NJ
New Mexico	35	06	NM
New York	36	02	NY
North Carolina	37	04	NC
North Dakota	38	08	ND
Ohio	39	05	OH
Oklahoma	40	06	OK
Oregon	41	10	OR
Pennsylvania	42	03	PA
Rhode Island	44	01	RI
South Carolina	45	04	SC
South Dakota	46	08	SD
Tennessee	47	04	TN
Texas	48	06	TX
Utah	49	08	UT

FIGURE B-1 (cont'd)

<u>STATE NAME</u>	<u>STATE #</u>	<u>EPA REGION</u>	<u>2 LETTER ABBREV</u>
Vermont	50	01	VT
Virginia	51	03	VA
Washington	53	10	WA
West Virginia	54	03	WV
Wisconsin	55	05	WI
Wyoming	56	08	WY
American Samoa	60	09	SA
Guam	66	09	GU
Commonwealth of the Northern Mariana Islands	69	09	CM
Puerto Rico	72	02	PR
Trust Territories	75	09	PI
Virgin Islands	78	02	VI

FIGURE B-1 (cont'd)

\$MEEOC1.FIL4XX

Items 11, 13, and 16 of this file are used as follows: For FOAs having responsibility for administrative completion of grants enter a "1" in Column 76 (Item 16). All other FOAs are to enter a "0" (Zero) for this field. This is a coding item which will be utilized to select the type of completion for the completion report (See Item 16 for definition of administrative completions).

<u>ITEM</u>	<u>COLUMN</u>	<u>DEFINITIONS</u>
1. Division or District	01-04	Use only when multiple districts are involved in the same state.
2. EPA State Number	05-06	Number assigned to each state. (See Figure B-1).
3. Calendar Year	07-08	Self Explanatory.
4. Calendar Month	09-10	Self Explanatory.
5. Corps Assigned Grants		Grants assigned to the Corps for Program Management as defined in your Regional Agreement. Should include grants assigned for pre-construction, construction, or administrative completion management related activities but should not include grants for which only a B&C review is planned (Include grants with on-site presence, Item 14a).
* a. Number of Grants	11-13	Actual number of grants assigned to Corps, not completed.
* b. Dollar Amount	14-24	Cumulative grant eligible costs (Federal, State, and Local Share) associated with the eligible portion of the construction, inspection and administration of the "Step 3" grant. (Excludes Corps Costs).
6. Active Grants in State		Grants assigned to the Corps that have active construction (Include grants with on-site presence, Item 14a).
* a. Number of Grants	25-27	Actual number of Corps assigned active Grants. Entry changes monthly depending on grant status, e.g. grants with winter shut-down are reported under

<u>ITEM</u>	<u>COLUMN</u>	<u>DEFINITIONS</u>
		"Corps Assigned Grants", (Item 5 above), during periods of inactivity but not included in this item (status to be determined on the last day of each month).
b. Dollar Amount	28-38	Same rationale as item 5b, for active grants.
7. B&C to EPA (contract)	39-41	Actual number of B&C reviews submitted by Corps to EPA, State, or Grantee (Contract).
8. Pre-Construction	42-44	Actual number of Pre-Construction Conference attended by Corps.
9. Interim Inspections	45-48	Actual number of grant inspections performed by Corps for which an inspection report was prepared (excludes all on-site presence inspections and final grant inspections, Item 10b). Multiple grant inspections are reported as the number of grants inspected.
10. Final Inspections:		
a. Final Inspections (Contract)	49-51	Actual number of final construction inspections conducted when all construction associated with the contract is complete. Follow-up inspections and closeout visits may occur after contract final inspection but are not counted in this category.
b. Final Inspections (Grant)	52-54	Actual number of grant final construction inspections completed. A grant final construction inspection occurs when all construction associated with the grant is complete. When the last contract final construction inspection has occurred, and occurs concurrently with the grant final inspection, then a count is made under 10a and 10b, otherwise do

<u>ITEM</u>	<u>COLUMN</u>	<u>DEFINITIONS</u>
11. Administrative Completions	55-57	<p>not report the grant final inspection until it actually occurs (See Item 12).</p> <p>Actual number of grant administrative completions (See Item 13).</p>
12. Estimated Final Construction Inspections for the fiscal year	58-60	<p>Estimated number of grants that will have final construction inspections performed this FY by the Corps. Data is entered and changed only on the October data, based on figures negotiated with EPA counterparts. (If workplans are renegotiated, revise numbers).</p>
13. Estimated Administrative Completions for the fiscal year	61-63	<p>Estimated number of grants that will be administratively completed by the Corps during the fiscal year. Data is entered and changed only on the October data, based on figures negotiated with EPA counterparts. (If workplans are renegotiated, revise numbers).</p> <p>This may be either an administrative or a Corps administrative completion as defined in Item 16.</p>
14. On-site Presence		<p>Inspections performed under this category are <u>not</u> to be reported under the interim inspection category.</p>
a. Number of Grants	64-66	<p>Actual number of Corps assigned grants having on-site presence as defined in regional inter-agency agreements which have active construction (See Items 6a and 6b).</p>
b. Number of people physically on-site this month (as shown on Monitoring Report, Part 2)	67-69	<p>Enter the number of Man months of direct effort assigned to grants having on-site presence (do not include administrative support staff not physically on-site). (Assumed decimal point between columns 68 & 69.)</p>

ITEM

COLUMNS

DEFINITIONS

An example: 4 1/4 man months of direct effort would be entered as '043', numbers to be rounded up).

15. a. Project Management Conference (PMC) 70-72

Actual number of PMCs completed during the month (See Appendix C of ER 415-2-4, 1 Oct 83 pp C-26 & 27).

b. Construction Management Evaluations (CME) 73-75

Actual number of CMEs completed during the month (See Appendix C of ER 415-2-4, 1 Oct 83 pp C-26 & 27).

16. Administrative Completions 76

Use with Items 11 and 13.
1 = Administrative Completion Responsibility. A grant is administratively complete when the project is ready for final audit or is administratively complete but is not sent to audit because of related segments or phases or does not require a final audit. A final audit is requested when the following conditions have been satisfied:

- * construction is complete;
- * all pre-final audit administrative requirements have been satisfied;
- * final inspection has been performed;
- * the "cut off" letter has been issued to the grantee;
- * the final payment has been requested.

(From EPA 19 July 83 memo).

0 = End of Corps activity other than administrative completion as defined above, i.e., a "Corps administrative completion".

(All elements in this file are optional)

While this file consists of optional data elements, several additional reports are available from utilizing this file. See Figures B-6 and B-7.

<u>ITEM</u>	<u>COLUMN</u>	<u>DEFINITION</u>
1. Division or District	01-04	Use only when multiple districts are involved in the same state.
2. EPA State Number	05-06	Number assigned to each state. (See Figure B-1).
3. Calendar Year	07-08	Self Explanatory
4. Calendar Month	09-10	Self Explanatory
5. Corps Assigned Projects	11-13	Number of Projects (Grant or Grants having the same base grant number, first six digits are the same) assigned to the Corps for Program Management (may equal but not be greater than grants assigned, from \$MEEOC1.FIL4QQ)
6. Active Projects	14-16	Number of projects with active construction (contracts awarded but not yet completed).
7. Interim Project Inspections	17-19	Number of Interim Project inspections performed this month (construction and/or administrative) on active projects, above. (May equal but not be greater than interim inspections from \$MEEOC1.FIL4QQ)
8. Final Project Inspections	20-22	Number of Final Project Inspections (at completion of last contract on last grant) (may equal but not be greater than Final Inspection from \$MEEOC1.FIL4QQ)

FIGURE B-3

<u>ITEM</u>	<u>COLUMN</u>	<u>DEFINITIONS</u>
9. Step 1 and/or Step 2 Administrative Completions	23-25	Number of Corps assigned Step 1 and Step 2 grant administrative completions sent to EPA or State
10. Step 1 and/or Step 2 Audit Resolutions	26-28	Number of Corps assigned Step 1 and/or Step 2 Grant Audit Resolution completed
11. Revised estimated Step 3 completions for the next quarter	29-31	Revised estimate of Step 3 grants that will be finalized in the next quarter by the Corps as defined in your regional agreement (e.g. administrative completions). Data is entered only on the December, March and June reports.
12. Estimated Completions for Fiscal Year by Quarter***		Estimate of grants that will be finalized in the quarter by the Corps as defined in your Regional Agreement (e.g. Administrative completions). Data is entered and changed only on the October report based on figures negotiated with EPA counterparts.
a. 1st Quarter	32-34	Estimated number of completions 1st Quarter.
b. 2nd Quarter	35-37	Estimated number of completions 2nd Quarter.
c. 3rd Quarter	38-40	Estimated number of completions 3rd Quarter.
d. 4th Quarter	41-43	Estimated number of completions 4th Quarter.

FIGURE B-3 (Cont'd)

RPT-NO : EPAC0E01
PAGE NO.: 10
RUN DATE: FEB 02, 1984

EPA/CORPS
MONITORING REPORT (PART 1)

ACTION OFFICE :
ACTION OFFICER :
TELEPHONE NO. :

DISK FILE DATE: FEB 02, 1984

DEC 1983

DIVISION: SAD

S T T E	CORPS DIV OR DIST	STATE NAME	ESTIMATED CORPS COSTS FOR FY BY STATE	CORPS COSTS TO DATE FOR THIS FY	CORPS COSTS THIS MONTH	(WORK MONTHS)		
						D + T/I LABOR	OVER HEAD	FTE
	SAD		\$160,000.00	\$32,454.77	\$12,322.13	3.50	.00	3.50
01	SAM	ALABAMA	\$330,000.00	\$67,905.01	\$22,095.79	5.99	.97	6.96
12	SAJ	FLORIDA	\$1,060,000.00	\$212,325.54	\$88,458.48	23.82	5.78	29.60
13	SAS	GEORGIA	\$110,000.00	\$27,223.56	\$14,409.60	2.86	.71	3.57
37	SAW	NORTH CAROLINA	\$650,000.00	\$106,009.64	\$37,397.79	9.44	2.18	11.62
45	SAC	SOUTH CAROLINA	\$390,000.00	\$66,798.63	\$26,266.38	6.17	2.02	8.19
72	SAD	PUERTO RICO	\$25,000.00	\$2,449.02	\$888.37	.25	.00	.25
72	SAJ	PUERTO RICO	\$825,000.00	\$159,874.28	\$76,921.27	22.64	4.57	27.22
DIVISION TOTAL			\$3,550,000.00	\$675,040.45	\$278,759.81	74.67	16.24	90.91

FIGURE B-4

B-12

*

RPT-NO : EPAC0E01
 PAGE NO.: 10
 RUN DATE: FEB 02, 1984

EPA/CORPS
 MONITORING REPORT (PART 2)

ACTION OFFICE :
 ACTION OFFICER:
 TELEPHONE NO. :

DISK FILE DATE: FEB 02, 1984

DEC 1983

DIVISION: SAD

I N S P E C T I O N S
 (N U M B E R O F G R A N T S)

S T A T E	CORPS DIV OR DIST	STATE NAME	CORPS ASSIGNED GRANTS		ACTIVE GRANTS IN STATE		B+C COM PLE TED (CON)	PRE CONS CONF	INT- ERIM	ACTUAL		SCHEDULED		ON-SITE		PMC	CME	
			NO.	DOLLARS	NO.	DOLLARS				FINAL (CONS)	ADMIN (GNT)	FINAL (FY)	ADMIN (FY)	NO- OF GNTS	NO- OF PEOPLE			
	SAD																	.0
01	SAM	ALABAMA	37	\$196,800,000	34	\$194,500,000	2		18	1			13					.0
12	SAJ	FLORIDA	87	\$1,280,000,000	87	\$1,280,000,000		5	55	5	2		25	31				.0
13	SAS	GEORGIA																.0
37	SAW	NORTH CAROLINA	66	\$339,300,000	35	\$249,000,000	8		21	10	3		15					.0
45	SAC	SOUTH CAROLINA	59	\$190,100,000	32	\$107,600,000	5	2	12	12	6		20					.0
72	SAD	PUERTO RICO																.0
72	SAJ	PUERTO RICO	53	\$443,000,000	53	\$443,000,000	1		8				6	10	22	2.0		
	DIVISION TOTAL		302	\$2,449,200,000	241	\$2,274,100,000	16	7	114	28	11		79	41	22	2.0		

FIGURE B-4 (Cont'd)

B-13

*

* TO RUN THE MONTHLY MONITORING REPORTS, KEY IN -
EXEC FROM \$MEEOC1.EXEC#MENU3 CLR

A QUESTION AND ANSWER SESSION WILL ALLOW YOU TO SELECT THE
REPORTS YOU WANT USING PROMPT 'A'. RESPONSES ARE UNDERLINED.

AN OPTIONAL COMPUTER ASSISTED PROCEDURE IS AVAILABLE TO
INPUT YOUR (1) MANHOURS AND DOLLARS DATA
(2) BEAN COUNT DATA - CMS/CGMS
(3) BEAN2 DATA - PROJECT (OPTIONAL)

INSTRUCTIONS ARE PROVIDED IN A QUESTION AND ANSWER PROMPTING
SESSION USING PROMPT 'B', (FIGURE B-7).

AN EXAMPLE FOLLOWS FOR RUNNING THE MONTHLY REPORTS, PROMPT 'A'.

EXEC FROM \$MEEOC1.EXEC#MENU3 CLR
15:12:07 01/30/84
ELAPSED TIME = 01:27:53
5.46 SECONDS EDITING TIME

```
*****  
*                                                                 *  
* KEY                      MENU                                  *  
* IN                                                                 *  
* ----                                                                *  
* A  CORPS REPORTS - ABSENT      MANPOWER BY DISTRICT      *  
*                                ASTERISK      MANPOWER SUMMARY      *  
*                                CEPMS379      MONITOR                      *  
*                                COMPARE      INFLATION                    *  
*                                COMPLETION    PROJECT                      *  
*                                                                 *  
* B  DATA INPUT ASSISTANCE - MONITOR (MANHOURS & DOLLARS)*  
*                                - BEAN COUNT DATA (CMS & CGMS)*  
*                                - PROJECT DATA                          *  
*                                                                 *  
* C  SELECT CMS RECORDS AND RUN REPORTS 'CMS-0015' AND/OR *  
*                                'CMS-0009'                               *  
*                                                                 *  
* D  LIST FETCHED JOBS WITH CARRIAGE CONTROL                *  
*      (EXPENSIVE TO RUN - ABOUT $1.00 PER PRINTED PAGE)    *  
*                                                                 *  
* E  COMPRESS PARTITIONED DATA SETS                        *  
*                                                                 *  
* Q  QUIT - EXECUTE ENDS                                     *  
*                                                                 *  
* KEY IN THE LETTER FOR WHAT YOU WANT, LIKE 'A' FOR REPORTS.*  
* KEY IN ANYTHING EXCEPT ABOVE AND IT ENDS.              *  
*****
```

FIGURE B-5

*
KEY IN REQUEST - A

KEY IN THE FISCAL YEAR THIS REPORT IS FOR.
FOR EXAMPLE: FY83 = '83' (ONLY FY83 DATA)
FY84 = '84' (ONLY FY84 DATA)

? 84

YOU WILL NEED FILE "NEWJCL" TO RUN THIS JOB.

IF YOU NEED IT CREATED - KEY IN "YES"
OTHERWISE - KEY IN "NO"

? YES

NEWJCL SAVED AND CATLG'D ON USER10

IF YOU NEED INFORMATION TO RUN THIS JOB - KEY IN "YES"
OTHERWISE - KEY IN "NO"

? YES

```
*****
* THIS WILL CREATE THE JCL TO RUN THE FOLLOWING CORPS REPORTS *
*
* PROMPT REPORT
* -----
* N/A ALL REPORTS (EXCEPT PROMPT 3 - COMPARE REPORT)
* 19&20 INFLATION REPORTS
*
* ABSENT REPORT
* N/A FOR THE FY BY CORPS DIVISION
* N/A FOR THE FY BY EPA REGION
*
* N/A COMPARE REPORT
*
* MONITOR REPORT - PART 1 (FINANCIAL)
* 4 FOR THE MTH BY CORPS DIVISION
* 5 FOR THE FY BY CORPS DIVISION
* 6 FOR THE MTH BY EPA REGION
* 7 FOR THE FY BY EPA REGION
*
* MONITOR REPORT - PART 2 (BEAN COUNT)
* 4B FOR THE MTH BY CORPS DIVISION
* 5B FOR THE FY BY CORPS DIVISION
* 6B FOR THE MTH BY EPA REGION
* 7B FOR THE FY BY EPA REGION
*
* CEPMS379 REPORT
* 10 FOR THE QTR BY EPA REGION
* 11 FOR THE FY BY EPA REGION
*****
```

FIGURE B-5 (Cont'd)

```
* *****  
* SUMMARY MANPOWER REPORT *  
* 12 FOR THE MTH BY CORPS DIVISION *  
* 13 FOR THE MTH BY EPA REGION *  
* * * * *  
* DISTRICT MANPOWER REPORT *  
* 14 FOR THE MTH BY CORPS DIVISION *  
* 15 FOR THE FY BY CORPS DIVISION *  
* 16 FOR THE MTH BY EPA REGION *  
* 17 FOR THE FY BY EPA REGION *  
* * * * *  
* 18 ASTERISK REPORT *  
* * * * *  
* INFLATION REPORT *  
* 19 FOR THE FY BY CORPS DIVISION *  
* 20 FOR THE FY BY EPA REGION *  
* * * * *  
* COMPLETION REPORT *  
* N/A FOR THE FY BY CORPS DIVISION *  
* N/A FOR THE FY BY EPA REGION *  
* N/A (ADMINISTRATIVE COMPLETIONS ONLY) *  
* FOR THE FY BY CORPS DIVISION *  
* N/A (ADMINISTRATIVE COMPLETIONS ONLY) *  
* FOR THE FY BY EPA REGION *  
* * * * *  
* PROJECT REPORT *  
* N/A BY CORPS DIV (BOTH FOR THE MONTH AND FY) *  
* N/A BY EPA REGION (BOTH FOR THE MONTH AND FY) *  
* * * * *  
* DONE AFTER ALL REPORTS ARE SELECTED, THIS PROMPT WILL *  
* ASK FOR USERID, ACCOUNT NO. ETC., & RUN THE JOB *  
* * * * *  
* MENU PRINT THE REPORT MENU FOR FY84 *  
* * * * *  
* QUIT KEY IN "QUIT" TO STOP IF YOU MAKE A MISTAKE, ETC. *  
* NOTE: N/A = NOT AVAILABLE AT THIS TIME *  
* *****
```

KEY IN THE PROMPT FOR THE REPORT YOU WANT.

ENTER? 4

KEY IN THE NEXT PROMPT OR KEY IN 'DONE'.

ENTER? 4B

KEY IN THE NEXT PROMPT OR KEY IN 'DONE'.

ENTER? DONE

* IF YOU WANT TO USE THE MONITOR AND BEAN FILES FOR ALL
TEN (10) EPA REGIONS - KEY IN "YES"
OTHERWISE - KEY IN "NO"

? NO

WHAT FILE/S DO YOU NEED? KEY IN "01" FOR REGION 01, ETC.
KEY IN "DONE" WHEN FINISHED

? 02

WHAT FILE/S DO YOU NEED? KEY IN "01" FOR REGION 01, ETC.
KEY IN "DONE" WHEN FINISHED

? DONE

KEY IN YOUR THREE DIGIT USERID: "III", LIKE 'GMB', ETC.

? BJZ

KEY IN YOUR FOUR DIGIT ACCOUNT: "AAAA", LIKE 'MRD7', ETC.

? OCE1

KEY IN THE PRIORITY YOU NEED TO RUN THIS JOB

1 - OVERNIGHT 2 - 2-4 HOURS 4 - 1 HOUR

? 1

KEY IN YOUR REMOTE PRINTER NUMBER, LIKE '04' OR '186', ETC.

? 169

KEY IN THE YEAR AND MONTH OF THE DATA YOU WANT - YYMM
FOR EXAMPLE: IF YOU WANT DATA FOR JAN 1984, KEY IN "8401"
FOR OCT 1984, KEY IN "8410" ETC.

? 8312

NEWJCL REPLACED ON USER10

TO RUN THIS JOB - KEY IN "YES"
OTHERWISE - KEY IN "NO"

? YES

JOB 3508 BJZ SUBMITTED

A COPY OF THE JCL FOR THIS JOB HAS BEEN SAVED IN -
"NEWJCL"
IF THE JOB NEEDS TO BE RE-RUN FOR ANY REASON YOU CAN USE THIS JCL.

FIGURE B-5 (Cont'd)

CEPMS REPORT NO. 379
 PAGE NO. 1 OF 1
 RUN DATE: FEB 02, 1984

ENGINEERING AND CONSTRUCTION
 CIVIL WORKS
 EPA CONSTRUCTION GRANT PROGRAM

ACTION OFFICE :
 ACTION OFFICER :
 TELEPHONE NO. :

DISK FILE DATE: FEB 02, 1984

1ST QUARTER FY 84

EPA REG	CORP DIV	GRANTS ASSIGNED TO CORPS		ACTIVE GRANTS		C O S T S		C U M U L A T I V E				P M C		C M E		GRANT FINAL INSPECTION		GRANT ADMIN COMPLETION			
		ACT	X	ACT	X	(\$000)	X	ACTUAL	X	ACT	X	ACT	X	ACT	X	ACT	X	ACT	X		
								DIRECT FTE MANYEARS (D & T/1)		B & C REVIEWS (CONTRACT)		ON-SITE PRESENCE MANYEARS									
00	OCE	0	-	0	-	\$29	*	.64	*	0	-	.00	-	0	-	0	-	0	-	0	-
01	NED	159	105.2	63	91.3	\$227	82.0	4.83	92.0	19	118.7	.38	95.0	4	*	2	66.6	3	60.0	4	66.6
02	NAD	42	89.3	42	*	\$549	131.3	8.44	90.8	25	96.1	.00	0.0	0	-	3	75.0	0	-	1	100.0
	CORP	0		0		\$426		8.44		25		.00		0		3		0		1	
	CONT	0		0		\$124		.00		0		.00		0		0		0		0	
	SAD	53	96.3	53	165.6	\$162	76.6	3.92	92.3	15	750.0	.50	100.0	0	-	0	0.0	2	200.0	0	0.0
	S-TOTL	95	93.1	95	296.8	\$712	112.8	12.36	91.2	40	142.8	.50	6.2	0	-	3	60.0	2	200.0	1	33.3
03	NAD	385	168.8	144	230.0	\$255	56.5	5.79	59.7	38	115.1	1.50	29.4	10	333.3	0	0.0	12	171.4	8	88.8
	ORD	2	100.0	2	100.0	\$44	70.9	.90	82.3	0	0.0	.00	-	1	33.3	1	20.0	1	20.0	0	40.0
	S-TOTL	387	168.2	186	226.8	\$300	56.3	6.69	61.9	38	108.5	1.50	29.4	11	183.3	1	20.0	13	188.3	10	71.4
04	LNVD	66	100.0	35	85.3	\$68	62.7	1.25	51.8	14	466.6	.00	-	0	0.0	0	-	3	75.0	0	0.0
	ORD	96	34.1	146	86.4	\$119	82.7	1.19	82.3	9	198.5	.00	-	0	0.0	0	-	1	100.0	0	0.0
	SAD	269	107.3	186	98.4	\$713	85.5	13.54	90.4	39	95.5	.00	-	0	0.0	0	-	3	75.0	0	0.0
	S-TOTL	391	84.6	269	94.3	\$793	82.2	15.09	77.7	62	124.0	.00	-	0	0.0	0	-	3	75.0	0	0.0
05	MCD	416	82.7	400	126.5	\$920	92.0	19.68	85.5	45	84.9	.47	11.7	24	50.0	3	*	53	126.1	30	93.7
	ORD	245	109.8	123	123.0	\$292	77.7	6.85	85.6	37	113.6	1.58	79.0	6	40.0	0	*	39	144.4	16	61.5
	S-TOTL	661	91.0	523	125.7	\$1,212	88.1	26.53	85.5	82	96.4	2.05	34.1	30	47.6	3	*	92	133.3	46	79.3
06	LNVD	75	117.1	49	81.6	\$128	98.2	2.57	108.3	20	333.3	.03	12.0	3	*	2	*	0	0.0	0	0.0
	SAD	42	105.0	36	92.3	\$110	63.7	2.22	88.8	2	2.2	.00	-	2	*	2	*	2	100.0	0	0.0
	S-TOTL	117	112.5	85	85.8	\$238	79.8	4.79	98.2	22	366.6	.03	12.0	5	*	2	*	2	50.0	0	0.0
07	MRD	173	111.6	27	67.5	\$133	88.6	2.74	88.5	0	-	.00	-	0	-	0	0.0	7	70.0	38	131.0
08	MRD	0	-	0	-	\$47	98.2	1.10	110.3	9	52.9	.00	-	0	-	0	-	0	-	0	-
09	POD	55	90.1	16	76.1	\$40	69.7	.70	56.7	6	300.0	.00	0.0	1	*	0	-	2	100.0	4	200.0
	SPD	164	91.1	164	93.1	\$750	107.1	14.55	97.0	22	95.6	2.00	100.0	12	120.0	0	100.0	17	80.9	22	110.0
	CORP	164		164		\$256		5.08		22		2.00		12		0		17		0	
	IPA	0		0		\$220		4.22		0		.00		0		0		0		0	
	CONT	0		0		\$276		3.23		0		.00		0		0		0		0	
	S-TOTL	219	90.8	180	91.3	\$790	101.1	15.26	93.9	28	112.0	2.00	72.7	13	130.0	2	100.0	19	82.6	26	118.1
10	NPD	115	99.1	63	78.7	\$204	81.9	5.20	94.5	10	66.6	1.00	100.0	1	*	0	0.0	2	100.0	3	100.0
TOTAL		2317	101.3	1491	114.6	\$4,625	88.3	95.81	85.9	310	111.9	7.45	31.7	68	71.5	13	72.2	176	103.5	133	85.2

NOTES --
 1 - THIS IS A QUARTERLY REPORT. ALL X ARE COMPUTED USING THE WORKPLANS QUARTERLY DATA VERSUS THE ACTUAL DATA TO-DATE.
 2 - A (-) IN THE % COL INDICATES BOTH ACTUAL AND WORKPLANS ARE ZEROS.
 3 - A (*) IN THE % COL INDICATES THERE IS NO WORKPLAN DATA OR IT IS ZERO.
 4 - A (**) IN THE % COL INDICATES THE CALCULATED X IS GREATER THEN 9999.9%.

B-18
 FIGURE B-6

RPT-NO: MANP#R01
 PAGE NO: 1 OF 1
 RUN DATE: FEB 02, 1984
 DISK FILE DATE: FEB 02, 1984

C I V I L W O R K S
 EPA CONSTRUCTION GRANT PROGRAM
 DECEMBER 1983

ACTION OFFICE :
 ACTION OFFICER :
 TELEPHONE NO. :

MANPOWER
 (MAN MONTHS)

CORPS DIVISION	D + T/I EFFORT *		FULL TIME EQUIVALENT **	
	CURRENT MONTH	AVERAGE FOR FY84 TO-DATE	CURRENT MONTH	AVERAGE FOR FY84 TO-DATE
OCE	.00	2.54	.00	2.54
LMVD	18.31	15.31	21.50	17.88
NRD	16.01	15.35	18.18	17.43
NAD	48.01	56.92	60.48	71.29
NCD	83.09	78.72	112.55	107.23
NED	20.22	19.32	25.27	24.23
NPD	20.78	20.78	25.17	23.77
ORD	52.40	43.78	59.89	50.20
POD	3.11	2.82	3.89	3.56
SAD	74.67	60.66	90.91	73.71
SPD	45.26	41.33	51.72	46.43
SPDI	10.98	16.88	10.98	16.88
SND	8.59	8.86	10.13	10.52
TOTL	401.44	383.28	490.68	465.69

* MANYEARS EFFORT BASED ON CORPS DIRECT AND TECHNICAL INDIRECT MANHOURS FOR THE REPORTING PERIOD.

** FTE (FULL TIME EQUIVALENT)
 MANPOWER INCLUDES DIRECT MANPOWER PLUS MANPOWER CALCULATED FROM OVERHEAD COSTS

FIGURE B-6 (Cont'd)

B-19

ER 415-2-4
 Change 1
 1 NOV 84

RPT-NO: MANP#R03
 PAGE NO. 1
 RUN DATE: FEB 02, 1984
 DISK FILE DATE: FEB 02, 1984

C I V I L W O R K S
 EPA CONSTRUCTION GRANT PROGRAM
 DECEMBER 1983
 MANPOWER AND COST BY DISTRICT

ACTION OFFICE :
 ACTION OFFICER :
 TELEPHONE NO. :

REG/ DIV	DIST	COST	MAN-MONTHS			MAN-YEARS				TECHNICAL / INDIRECT			COST PER MANHOUR	OVERHEAD PERCENT
			D + T/I	OVERHEAD	F.T.E.	D + T/I	AVERAGE COST	F.T.E.	AVERAGE COST	LABOR MAN/YRS	BURDEN % RATE	% OF TOTAL		
LMVD	LMK	\$24,135	5.30	.73	6.04	.44	\$54,606	.50	\$47,984	.06	.16	.14	\$24.66	13.8
	LMN	\$49,516	11.63	2.45	14.09	.97	\$51,048	1.17	\$42,178				\$22.96	21.0
	LMV	\$5,972	1.36		1.36	.11	\$52,391	.11	\$52,391				\$25.05	
SUB-TOTL		\$79,624	18.30	3.19	21.49	1.52	\$52,178	1.79	\$44,458	.06	.04	.04	\$23.61	17.4
MRD	ADP	\$1,648	.46		.46	.03	\$43,391	.03	\$43,391				\$24.42	
	MRD	\$7,003	1.40		1.80	.15	\$46,379	.15	\$46,379				\$23.80	
	MRK	\$37,207	9.61	1.64	11.25	.80	\$46,451	.93	\$39,667	.18	.29	.22	\$18.40	17.1
	MRO	\$14,171	4.13	.52	4.66	.34	\$41,197	.38	\$36,525	.04	.13	.12	\$15.58	12.8
SUB-TOTL		\$60,029	16.01	2.17	18.18	1.33	\$45,000	1.51	\$39,597	.22	.19	.16	\$18.45	13.5
NAD	NAD	\$18,041	5.08	1.55	6.63	.42	\$42,551	.55	\$32,625				\$17.29	30.5
	NAD	\$3,331	.65		.65	.05	\$60,568	.05	\$60,568				\$29.10	
	NANK	\$108,050												
	NAN	\$128,325	31.02	7.96	38.99	2.58	\$49,623	3.25	\$39,485	.08	.10	.09	\$17.73	25.6
NAO	\$43,511	11.23	2.95	14.18	.93	\$46,486	1.18	\$36,811				\$17.46	26.2	
SUB-TOTL		\$299,258	48.00	12.47	60.47	4.00	\$74,796	5.04	\$59,377	.08	.02	.02	\$17.78	25.9
NCD	NCC	\$133,862	34.10	11.65	45.75	2.84	\$47,101	3.81	\$35,107	.09	.03	.03	\$16.53	34.1
	NCD	\$7,446	1.50		1.50	.12	\$39,370	.12	\$39,370				\$25.62	
	NCE	\$126,019	28.04	14.68	42.72	2.33	\$53,923	3.26	\$35,399	.03	.01	.01	\$19.54	52.3
	NCS	\$72,512	19.44	3.12	22.56	1.62	\$44,761	1.88	\$38,350	.02	.01	.01	\$16.56	16.0
SUB-TOTL		\$339,838	83.09	29.45	112.55	6.92	\$49,081	9.37	\$36,234	.14	.02	.02	\$17.72	35.4

FIGURE B-6 (Cont'd)

B-20

*01NED	FY 76/9	FUNDS	ADVICE & ALLOWANCE		\$ 230,000.00
*01NED	FY 76/9	FUNDS	COSTED IN REVOLVING FUND IN FY 78		\$ 85,602.43
*01NED	FY 78/9	FUNDS	CARRIED INTO FY 79		\$ 144,397.57
*01NED	FY 79/0	FUNDS	ADVICE & ALLOWANCE		\$ 800,000.00
*01NED	FY 78/9	FUNDS	COSTED IN REVOLVING FUND IN FY 79		\$ 144,397.57
*01NED	FY 79/0	FUNDS	COSTED IN REVOLVING FUND IN FY 79		\$ 613,016.19
*01NED	FY 79/0	FUNDS	CARRIED INTO FY 80		\$ 186,983.81
*01NED	FY 80/1	FUNDS	ADVICE & ALLOWANCE		\$ 1,120,000.00
*01NED	FY 79/0	FUNDS	COSTED IN REVOLVING FUND IN FY 80		\$ 186,983.81
*01NED	FY 80/1	FUNDS	COSTED IN REVOLVING FUND IN FY 80		\$ 670,913.84
*01NED	FY 80/1	FUNDS	CARRIED INTO FY 81		\$ 449,086.16
*01NED	FY 81/2	FUNDS	ADVICE & ALLOWANCE		\$ 950,000.00
*01NED	FY 80/1	FUNDS	COSTED IN REVOLVING FUND IN FY 81		\$ 449,086.16
*01NED	FY 81/2	FUNDS	COSTED IN REVOLVING FUND IN FY 81		\$ 563,495.39
*01NED	FY 81/2	FUNDS	CARRIED INTO FY 82		\$ 380,504.61
*01NED	FY 82/3	FUNDS	ADVICE & ALLOWANCE		\$ 571,400.00
*01NED	FY 81/2	FUNDS	COSTED IN REVOLVING FUND IN FY 82		\$ 380,504.61
*01NED	FY 82/3	FUNDS	COSTED IN REVOLVING FUND IN FY 82		\$ 413,503.73
*01NED	FY 82/3	FUNDS	REVOKED		\$ 227,753.25
*01NED	FY 83/3	FUNDS	ADVICE & ALLOWANCE - NEW 821020		\$ 320,000.00
*01NED	FY 83/3	FUNDS	ADVICE & ALLOWANCE - NEW A 830106		\$ 200,000.00
*01NED	FY 83/3	FUNDS	ADVICE & ALLOWANCE - NEW B 830401		\$ 300,000.00
*01NED	FY 83/3	FUNDS	ADVICE & ALLOWANCE - NEW C 830715		\$ 230,000.00
*01NED	FY 82/3	FUNDS	COSTED AGAINST NEW ALLOWANCE IN FY 82		\$ 69,856.98
*01NED	FY 82/3	FUNDS	CARRIED INTO FY 83		\$ 250,143.02
*02NAD	FY 78/9	FUNDS	ADVICE & ALLOWANCE		\$ 331,000.00
*02NAD	FY 78/9	FUNDS	COSTED IN REVOLVING FUND IN FY 78		\$ 183,809.00
*02NAD	FY 78/9	FUNDS	CARRIED INTO FY 79		\$ 147,191.00
*02NAD	FY 79/0	FUNDS	ADVICE & ALLOWANCE		\$ 2,317,274.00
*02NAD	FY 78/9	FUNDS	COSTED IN REVOLVING FUND IN FY 79		\$ 147,191.00
*02NAD	FY 79/0	FUNDS	COSTED IN REVOLVING FUND IN FY 79		\$ 1,940,556.00
*02NAD	FY 79/0	FUNDS	CARRIED INTO FY 80		\$ 870,718.00
*02NAD	FY 80/1	FUNDS	ADVICE & ALLOWANCE		\$ 2,253,840.00
*02NAD	FY 79/0	FUNDS	COSTED IN REVOLVING FUND IN FY 80		\$ 870,718.00
*02NAD	FY 80/1	FUNDS	COSTED IN REVOLVING FUND IN FY 80		\$ 1,300,764.00
*02NAD	FY 80/1	FUNDS	CARRIED INTO FY 81		\$ 947,076.00
*02NAD	FY 81/2	FUNDS	ADVICE & ALLOWANCE		\$ 2,110,000.00
*02NAD	FY 80/1	FUNDS	COSTED IN REVOLVING FUND IN FY 81		\$ 947,076.00
*02NAD	FY 81/2	FUNDS	COSTED IN REVOLVING FUND IN FY 81		\$ 1,050,669.00
*02NAD	FY 81/2	FUNDS	CARRIED INTO FY 82		\$ 1,059,331.00
*02NAD	FY 82/3	FUNDS	ADVICE & ALLOWANCE		\$ 1,150,000.00
*02NAD	FY 81/2	FUNDS	COSTED IN REVOLVING FUND IN FY 82		\$ 1,059,331.00
*02NAD	FY 82/3	FUNDS	COSTED IN REVOLVING FUND IN FY 82		\$ 659,544.95
*02NAD	FY 82/3	FUNDS	CARRIED INTO FY 83		\$ 490,455.05
*02NAD	FY 83/4	FUNDS	ADVICE & ALLOWANCE		\$ 1,203,000.00
*02SAD	FY 78/9	FUNDS	COSTED IN REVOLVING FUND IN FY 78		\$ 23,249.95
*02SAD	FY 78/9	FUNDS	CARRIED INTO FY 79		\$ 161,750.05
*02SAD	FY 79/0	FUNDS	ADVICE & ALLOWANCE		\$ 649,878.00
*02SAD	FY 78/9	FUNDS	COSTED IN REVOLVING FUND IN FY 79		\$ 161,750.05
*02SAD	FY 79/0	FUNDS	COSTED IN REVOLVING FUND IN FY 79		\$ 453,681.83
*02SAD	FY 79/0	FUNDS	CARRIED INTO FY 80		\$ 196,196.17
*02SAD	FY 80/1	FUNDS	ADVICE & ALLOWANCE		\$ 563,460.00
*02SAD	FY 79/0	FUNDS	COSTED IN REVOLVING FUND IN FY 80		\$ 196,196.17
*02SAD	FY 80/1	FUNDS	COSTED IN REVOLVING FUND IN FY 80		\$ 270,733.74
*02SAD	FY 80/1	FUNDS	CARRIED INTO FY 81		\$ 292,726.26
*02SAD	FY 81/2	FUNDS	ADVICE & ALLOWANCE		\$ 300,000.00
*02SAD	FY 80/1	FUNDS	COSTED IN REVOLVING FUND IN FY 81		\$ 292,726.26
*02SAD	FY 81/2	FUNDS	COSTED IN REVOLVING FUND IN FY 81		\$ 210,611.58
*02SAD	FY 81/2	FUNDS	CARRIED INTO FY 82		\$ 89,389.42
*02SAD	FY 82/9	FUNDS	ADVICE & ALLOWANCE		\$ 631,800.00

FIGURE B-6 (Cont'd)

RPT-NO : COMPLETION
PAGE NO : 1
RUN DATE: MAY 02, 1983

ADMINISTRATIVE COMPLETIONS
SCHEDULED & ACTUAL
STEP 3

ACTION OFFICE :
ACTION OFFICER:
TELEPHONE NO. :

DISK FILE DATE: MAY 02, 1983

THRU 2NDQ FY83

REGION: 01

LEGEND	I STATE : 09 CONNECTICUT I DIV/DIST : NED					I STATE : 23 MAINE I DIV/DIST : NED					I STATE : 25 MASSACHUSETTS I DIV/DIST : NED				
	1STQ	2NDQ	3RDQ	4THQ	TOTAL	1STQ	2NDQ	3RDQ	4THQ	TOTAL	1STQ	2NDQ	3RDQ	4THQ	TOTAL
1. ORIGINAL PROJECTION -	0	0	0	0	0	0	0	0	0	0	3	3	6	6	18
2. REVISED PROJECTION --	0	0	0	0	0	0	0	0	0	0	3	6	8	6	23
3. ACTUAL FOR QUARTER --	0	0			0	0	0			0	6	6			12

LEGEND	I STATE : 33 NEW HAMPSHIRE I DIV/DIST : NED					I STATE : 44 RHODE ISLAND I DIV/DIST : NED					I STATE : 50 VERMONT I DIV/DIST : NED				
	1STQ	2NDQ	3RDQ	4THQ	TOTAL	1STQ	2NDQ	3RDQ	4THQ	TOTAL	1STQ	2NDQ	3RDQ	4THQ	TOTAL
1. ORIGINAL PROJECTION -	0	0	0	0	0	1	2	2	2	7	0	0	0	0	0
2. REVISED PROJECTION --	0	0	0	0	0	1	1	3	2	7	0	0	0	0	0
3. ACTUAL FOR QUARTER --	0	0			0	1	1			2	0	0			0

LEGEND	I REGION 01 TOTAL				
	1STQ	2NDQ	3RDQ	4THQ	TOTAL
1. ORIGINAL PROJECTION -	4	5	8	8	25
2. REVISED PROJECTION --	4	7	11	8	30
3. ACTUAL FOR QUARTER --	7	7			14

FIGURE B-6 (Cont'd)

RPT-NO : PROJECTS
 PAGE NO : 1
 RUN DATE: MAY 10, 1983

EPA/CORPS
 PROJECTS REPORT FOR

ACTION OFFICE :
 ACTION OFFICER:
 TELEPHONE NO. :

DISK FILE DATE: MAY 10, 1983

APR 1983

REGION: 01

S T A T E	CORPS DIV OR DIST	STATE NAME	CORPS ASSIGNED PROJECTS	ACTIVE PROJECTS	---PROJECT		INSPECTION---		ADMIN COMPL		AUDIT RESOL	
					INTERIM		FINAL		STEP 1&2		STEP 1&2	
					MONTH	FY	MONTH	FY	MONTH	FY	MONTH	FY
09	NED	CONNECTICUT	5	2	1	7	0	0	2	4	1	2
23	NED	MAINE	16	10	2	11	1	2	7	10	2	3
25	NED	MASSACHUSETTS	52	25	25	175	2	14	10	22	4	8
33	NED	NEW HAMPSHIRE	0	0	0	0	0	0	0	0	0	0
44	NED	RHODE ISLAND	11	7	3	18	2	4	2	3	1	2
50	NED	VERMONT	0	0	0	0	0	0	0	0	0	0
REGION TOTAL			84	44	31	211	5	20	21	39	8	15

B-23
 FIGURE B-6 (Cont'd)

DATA INPUT ASSISTANCE PROCEDURE

EXEC FROM \$MEEOC1.EXEC#MENU CLR
13.47.45 01/30/84
ELAPSED TIME = 00:03:84
0.20 SECONDS EDITING TIME

*
* KEY MENU *
* IN *
* --- *
* A CORPS REPORTS - ABSENT MANPOWER BY DISTRICT *
* * ASTERICK MANPOWER SUMMARY *
* * CEPMS379 MONITOR *
* * COMPARE INFLATION *
* * * *
* B DATA INPUT ASSISTANCE - MONITOR (MANHOURS & DOLLARS)*
* * - BEAN COUNT DATA (CMS & CGMS)*
* * - PROJECT DATA *
* * * *
* C SELECT CMS RECORDS AND RUN REPORTS 'CMS-0015' AND/OR *
* * 'CMS-0009' *
* * * *
* D LIST FETCHED JOBS WITH CARRIAGE CONTROL *
* * (EXPENSIVE TO RUN - ABOUT \$1.00 PER PRINTED PAGE) *
* * * *
* E COMPRESS PARTITIONED DATA SETS *
* * * *
* Q QUIT - EXECUTE ENDS *
* * * *
* KEY IN THE LETTER FOR WHAT YOU WANT, LIKE 'A' FOR REPORTS.*
* KEY IN ANYTHING EXCEPT ABOVE AND IT ENDS. *

KEY IN REQUEST - B

WHICH DATA DO YOU WANT TO INPUT?

1. FINANCIAL DATA - KEY IN 'FILE 1'
2. PROJECT DATA - KEY IN 'FILE 3'
3. NEW BEAN COUNT - KEY IN 'FILE 4'

WHICH DATA ? FILE 1

```

*****
*
* THIS EXECUTE WILL -- ADD, CORRECT OR DELETE
* RECORDS ON THE MONITOR DATA FILE -
* ($IIIAAAA.FIL1QQ)
*
* FOR A DETAILED EXPLANATION - KEY IN 'YES'
* OTHERWISE 'NO' OR CARRIAGE RETURN
*
*****
NEED INFO ? YES
*
* YOU WILL RECEIVE PROMPTS FOR THE DATA REQUESTED.
*
* AN EXAMPLE OF A SESSION FOLLOWS WITH COMMENTS
*
*****
  
```

KEY IN THE NAME OF YOUR MONITOR FILE
 LIKE - \$IIIAAAA.FIL1QQ

FILE NAME ? \$BJZMRD9.FIL108

DO YOU NEED A LIST OF THE RECORDS ON THE FILE FOR THE
 'YMM' YOU ARE WORKING WITH?
 IF NOT, KEY IN 'NO'
 OTHERWISE, KEY IN THE 'YMM' LIKE "8404"

ENTER? 8311

251.	07	MRD 8311	578610	15600	27550	000	422745	00	1840	67300
252.	07	OCE 8311	000	000	000	000	000	00	0	0
253.	07	ADP 8311	336574	12720	53808	000	282766	00	1930	28300
254.	07	NCC 8311	000	000	000	000	000	00	0	0
255.	07	19MRO 8311	2634743	116300	100110	317500	2153200	04	10470	215200
256.	07	20MRK 8311	3555985	124464	187839	298577	3321837	02	10650	332000
257.	07	29MRK 8311	3455041	112158	154722	294371	3254662	02	9900	358000
258.	07	31MRO 8311	000	000	000	000	000	00	0	0

DO YOU WANT TO -
 "ADD"
 "CORRECT"
 "DELETE"
 OR IF YOU ARE FINISHED, KEY IN "DONE"

WHICH OPTION? ADD

FIGURE B-7 (Cont'd)

*
* COMMENTS ON THE ADD OPTION FOLLOWS *
*

- RULES: (1) HITTING THE 'ATTN' KEY WILL DELETE THE RECORD YOU ARE WORKING ON AND ASK YOU IF YOU WANT TO ENTER IT AGAIN.
- (2) THE RECORDS ARE ADDED ONE FIELD AT A TIME. SEVERAL CONSISTENCY CHECKS ARE MADE AGAINST THE DATA AS IT IS KEYED IN. THESE INCLUDE:
- (A.) DOLLAR AND DATE FIELDS CHECKED FOR ALL NUMERIC DATA.
 - (B.) THE LENGTH OF EACH FIELD ENTERED IS CHECKED FOR MAXIMUM SIZE.
- (3) LEADING ZEROS ARE NOT REQUIRED
- (4) IF THERE IS NO DATA FOR A FIELD, KEY IN A ZERO (0) (FOR DOLLARS OR COUNT FIELDS)

AN EXAMPLE OF A SESSION FOLLOWS: (COMMENTS) *

REGION	? 07		*
STATE	?		*
DIST SYMBOL?	MRD		*
DATE YMM	? 8312		*
CORPS COST	? 589012	(\$5,890.12)	*
MANHOURS	? 24100	(241.00 HRS)	*
TRAVEL COST?	46045	(\$460.45)	*
OVERHEAD	? 0		*
BENEFIT CST?	532417	(\$5,324.17)	*
# PERSONNEL?	0		*
INDIR MANHR?	2890	(28.90 HRS)	*
INDIR BENEF?	63890	(\$638.90)	*

MORE MONITOR DATA FOR THIS SAME
REGION & FILE? "YES" OR "NO"
MORE DATA ? YES
REGION ? 7
STATE ? 19
DIST SYMBOL? MRO
DATE YYYY ? 8312
CORPS COST ? 2526891 (\$25,268.91) *
MANHOURS ? 126500 (1,265.00 HRS)*
TRAVEL ? 105112 (\$1,051.12) *
OVERHEAD ? 329497 (\$3,294.97) *
BENEFIT CST? 2112206 (\$21,122.06) *
PERSONNEL? 4
INDIR MANHR? 18975 (189.75 HRS) *
INDIR BENEF? 211000 (\$2,110.00) *

MORE MONITOR DATA FOR THIS SAME
REGION & FILE? "YES" OR "NO"
MORE DATA ? NO

A LIST OF THE RECORDS KEYED IN FOLLOWS *

1.	07	MRD	8312	589012	24100	46045	0	532417	0	2890	63890
2.	0719	MRO	8312	2526891	126500	105112	329497	2112206	4	18975	211000

DO YOU WANT TO -
"ADD"
"CORRECT"
"DELETE"
OR IF YOU ARE FINISHED, KEY IN "DONE"

WHICH OPTION? CORRECT

*
* COMMENTS ON THE CORRECT OPTION FOLLOWS *
*

* WHICH LINE DO YOU WANT TO CORRECT? FOR EXAMPLE: '121'

WHICH LINE ? 255

255. 0719MRO 8311 2634743 116300 100110 317500 2153200 4 10470 215200

WHICH FIELD DO YOU WANT TO CORRECT?

PROMPT	DATA	CARD COLUMN	PROMPT	DATA	CARD COLUMN
1	= REGION	01-02	7	= TRAVEL COST	29-37
2	= STATE	03-03	8	= OVERHEAD	38-46
3	= DIST SYMBOL	05-08	9	= BENEFIT CST	47-55
4	= DATE YYMM	09-12	10	= EST FY COST	56-64
5	= CORPS COST	13-21	11	= # PERSONNEL	65-66
6	= MANHOURS	22-28	12	= INDIR MANHR	67-72
			13	= INDIR BENEF	73-80

FOR EXAMPLE: '125775' IS ENTERED FOR A VALUE OF \$1,257.75.
LEADING ZEROS ARE NOT REQUIRED.

WHICH FIELD? 9

WHAT IS THE CORRECTED DATA TO BE ENTERED?

CORRECTED DATA? 2102206

255. 0719MRO 8311 2634743 116300 100110 317500 2102206 4 10470 215200

ANY MORE CORRECTIONS FOR THIS SAME LINE? "YES" OR "NO"

CORR SAME LINE? NO

DO YOU WANT TO -

"ADD"

"CORRECT"

"DELETE"

OR IF YOU ARE FINISHED, KEY IN "DONE"

WHICH OPTION? DELETE

*

*

```
*****  
*  
*      COMMENTS ON THE DELETE OPTION FOLLOWS      *  
*  
*****
```

WHICH LINE DO YOU WANT TO DELETE? FOR EXAMPLE: '252'

WHICH LINE ? 254

LINE 254 DELETED

DO YOU WANT TO -

"ADD"

"CORRECT"

"DELETE"

OR IF YOU ARE FINISHED, KEY IN "DONE"

WHICH OPTION? DONE

IS IT OK TO SAVE THIS FILE \$BJZMRD9.FIL108? "OK" OR "NO"

OK TO SAVE ? OK

\$BJZMRD9.FIL108 REPLACED ON USER25

EXECUTE ENDS

*

**\$MEEOCCE1.FIL3QQ
 (FY 84 Projects Data File)**

Corps Division/ District	EPA State Number	Calendar Year	Calendar Month	Projects Assigned to Corps	Projects Active	Project Inspections Interim	Project Inspections Final	Administrative Completions	Step 1 &/or 2	Audit Resolutions	Step 1 &/or 2	Revised Estimated Step 1 &/or 2	Step 3 Completions for the next Oct	Estimated Completion (Oct Only)				71	72	73	74	75	76	77	78	79	80																																																				
														First Quarter	Second Quarter	Third Quarter	Fourth Quarter																																																														
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80

FIGURE B-7 (Cont'd)

OPERATING PROCEDURES FOR MONITORING CONSTRUCTION ACTIVITIES
AT PROJECTS FUNDED UNDER THE ENVIRONMENTAL PROTECTION AGENCY'S
CONSTRUCTION GRANT PROGRAM

U.S. Army Corps of Engineers/
U.S. Environmental Protection Agency
September 1983

1 Oct 83

1. PURPOSE: The primary purpose of this document is to provide general operating guidance to "Agencies" (Corps/States/EPA) performing construction inspections and related activities on projects funded under the Environmental Protection Agency's Construction Grants Program.

The Corps, State or EPA representative ("Inspector") is the person(s) responsible for conducting official project inspections to determine grantee compliance with program requirements during the construction phase of a Step 3 grant.

2. REFERENCES:

- a. 40 CFR Parts 30, 33 and 35.
- b. EPA Handbook of Procedures (Second Edition).
- c. EPA Construction Grants 1982 (CG-82)
- d. ER 415-2-4, Corps Support for EPA Construction Grants Program, October 1, 1983.
- e. EPA Regional Guidance Documents.
- f. EPA/Corps of Engineers Interagency Agreement.
- g. EPA/Corps Regional Interagency Agreements.
- h. State Delegation Agreements.
- i. EPA Construction Inspection Guide (1976, 3 volumes).
- j. (EPA) Management of Construction Change Orders -- A Guide for Grantees (1983).

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- k. EPA Construction Management Evaluation (CME) Manual (1983).
 - l. (EPA) Accounting Guide for Construction Grants (October, 1977).
3. GENERAL: The Agency role in the EPA Construction Grants Program will vary according to the status of the delegation of grant management functions in individual States. The recommendations contained herein should be considered as guidance and modified as necessary in view of the specific responsibilities and procedures outlined in State Delegation Agreements and EPA/Corps Regional Interagency Agreements. It is expected that these Agreements, as appropriate, will be revised or supplemented to reflect this guidance.
 4. INTERIM INSPECTION: The purpose of the interim inspection is to determine if the grantee is effectively managing its construction grant by: (a) meeting all standard and special grant conditions, (b) maintaining adequate record keeping and accounting systems, and (c) providing adequate construction and contract management, including maintenance of project schedules and construction quality control. Also, as appropriate and in keeping with the limits of his responsibility, the Inspector will provide the grantee with needed grants management advice and assistance.
 5. FREQUENCY OF INSPECTIONS: The frequency with which projects are inspected should be determined by the rate of progress being achieved and the nature of problems or issues arising during construction. Generally, each project should be inspected monthly. Where the project is found to be progressing well and the grantee has demonstrated a high level of project management capability, bi-monthly or even quarterly visits may suffice.

6. RELATED ACTIVITIES: Appendix A lists related grant management functions, some of which may be evaluated during an interim inspection. While this guidance document does not attempt to cover all aspects of these functions, some peripheral discussion is included where the function has a direct relationship to the interim inspection.

7. PRECONSTRUCTION CONFERENCE: The preconstruction conference is the first meeting which will be attended by all parties involved in construction of the project. (The preconstruction conference should be followed or preceded by a Project Management Conference (PMC); see Appendix E). The Inspector should use the preconstruction conference to advise the participants of the Agency role in the grants program and to establish procedures and responsibilities for the interim inspection process. The following are typical points that should be clarified during this meeting:
 - a. Points of contact with the grantee and grantee's management staff. Determine from the grantee who should be contacted on interim inspection matters. The grantee's "Authorized Representative" should be notified of formal actions. A list of contacts should also include the State/EPA project officers and the resident engineer/inspectors(s). An understanding should be developed regarding clear cut lines of authority and responsibility.

 - b. Grantee/State/Corps/EPA interrelationships.

 - c. Access to the work will be provided to representatives of the Corps, EPA and State whenever it is in progress, and the contractor will provide proper facilities as required by the Inspector.

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- d. Schedules and notification procedures.
- e. Flow of documents, e.g., payment requests, change orders, inspection reports.
- f. Change order review and approval process.
- g. Payment review process, including development of payment schedules.
- h. Where appropriate, distinctions between Corps/State/EPA roles in construction monitoring and O&M activities.
- i. Use of an EPA approved form or format for formal inspection reports submitted by the Corps.

Since the Agency's tie to the project is with the grantee (through the construction grant), and the contract is between the grantee and the contractor, Agency contacts with or influence on the project must be made with or exercised through the grantee or his authorized representative. Direct contact with the contractor by the Inspector or any other Agency representative should be limited to the minimum necessary to gain a full understanding of contract matters.

8. DOCUMENTATION AND PREPARATION: The Inspector will need copies of various grant and contract documents in order to prepare for and conduct interim inspections. Arrangements should be made to obtain, as needed, the following:
 - a. Copies of the grant award documents with all standard and special conditions and amendments.

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- b. Copies of approved contract plans and specifications and all addenda.
- c. Copies of engineering services contracts.
- d. Copies of executed construction contracts with completed bid schedule, notice to proceed, and approved change orders.
- e. Access to all payment requests, including backup documentation.
- f. Copies of all milestone approval letters and other pertinent grant and contract correspondence.
- g. Copies of construction permits.

9. INTERIM INSPECTION PROCEDURES: The Inspector should become thoroughly familiar with the project by examining the plans and specifications, the construction grant agreement(s), and other available documents. Due to limited resources, it may not be possible to thoroughly review every aspect of grant and contract management at each interim inspection. On larger projects the Inspector may have to select areas to review at each inspection such that, over the life of a project, all significant aspects of grant and construction management, and construction quality, quantity and initial operability will be covered. However, every effort should be made to look over the entire construction site at each visit.

On smaller projects only a total inspection should be considered a complete inspection.

The nature of the program also requires that the Inspector become familiar with various engineering disciplines in order to inspect the civil, mechanical and electrical portions of a project. On some larger or more complex projects, it may be necessary to draw on the expertise of specialists within the Agency to assure adequate inspection coverage.

Inspections should be coordinated in a timely manner with all interested parties; however, the number of participants should be limited to those having direct responsibility for grant and/or contract management. Keep in mind that the grantee has the ultimate responsibility for the project and all coordination should be through its designated representatives. All inspection activities should be conducted in a courteous and professional manner. In addition to pointing out deficiencies, the inspection should be used to provide assistance (as appropriate) to the grantee in grant related matters.

Where the Corps is performing inspections, the State should be notified as provided for in procedures set forth in the Regional Interagency Agreement. Generally, written notice is given to the State at least two weeks in advance of the specific inspection.

Provision should also be made for inspections which are not announced to the grantee. The frequency of unannounced inspections will be determined by the Inspector's findings or information brought to his attention.

10. SCOPE OF INTERIM INSPECTIONS: There are three major areas of project management that must be covered during the course of interim inspections. These include: (a) grant management and record keeping, (b) contract administration and (c) construction quantity and quality. These items are discussed in detail in Pars. 11-13, below.

11. GRANT MANAGEMENT AND RECORD KEEPING: The grantee has the ultimate responsibility for management of its construction grant. Some grantees handle the entire grant management process with their own forces, while others may utilize the services of their consulting engineer or private accountants and attorneys. The Inspector must first determine the responsibilities and authorities of the various grantee representatives and the location of all files. Generally, grant management files are maintained in the grantee's office and the consulting engineer's office. Construction records will normally be located at the job site. The inspection should ascertain:
- a. Are authorities and responsibilities for managing the grant adequately defined, and are all aspects of grant management appropriately assigned?
 - b. Are payment requests and funds being properly managed (timely requests and disbursements)?
 - c. Are grant standard and special conditions being met? Milestone activities which are conditions of EPA payments should especially be monitored in advance of the milestone date and the grantee advised accordingly. The requirements for most milestone activities vary as the Federal laws and regulations have changed over the years. The Inspector should always check the grant requirements of the particular project being inspected. Typical milestone submittals include:
 - (1) Final plan of operation.
 - (2) Final operation and maintenance manual.

- (3) Compliance dates for special grant conditions.
- (4) NPDES compliance schedules dates.
- (5) Budget/project period (dates).
- (6) Initiation of operation date.
- (7) Performance certification date.
- (8) MBE/WBE compliance documentation: submittal dates.

- d. Are grant records complete, segregated, orderly and up-to-date? A review of the grantee's record keeping system should be made during the first interim inspection and may be repeated during later inspections. The purpose of this review is not to audit the contents of the files, but to evaluate the results of advice given during the PMC on the content, methods, and procedures and thus assure that the grantee's filing system will facilitate the final payment, EPA audits and grant closeout. Appendix B contains further discussion of this item and a checklist for review of files. (Provide the grantee with a copy of EPA's Accounting Guide for Construction Grants, 1977).

Generally, the requirements of 40 CFR 30.800 and 30.805 include maintaining records which provide an accurate, current, and complete disclosure of the financial transactions of the grant. These records should show the amount, receipt, and disposition of all grant related funds, and the total costs (both direct and indirect) of the project. These records must be maintained in a manner that separates allow-

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able and unallowable project costs. The Inspector should check to see that the grantee's records fulfill these requirements. (On large grants, he may wish to enlist assistance from an auditor.) See Appendix C.

12. CONSTRUCTION MANAGEMENT: Resident services and contract management are normally furnished under a service contract by a consulting engineer. Some grantees may perform inspections using their own forces. Appendix D is a checklist of typical items that should be monitored by the Inspector. This is not meant to be all inclusive, and the Inspector should review the requirements of the construction contract documents and the engineering services contract to determine other points of interest. The following items should receive special emphasis during an inspection, since they could significantly impact the overall progress and fiscal status of the grant:

- a. Progress Charts and Schedules - The contractor is normally required to submit a progress chart to the grantee and keep it current. The Inspector should determine that a progress chart has been prepared for each contract and that it reasonably reflects proposed and actual progress. If it appears that the contractor is behind schedule, the grantee should be notified and advised to take appropriate action to require the contractor to outline his plan to meet the schedule and to require timely completion. All such actions should be carefully documented. (40 CFR 35.2204(b)(3) requires a formal grant amendment for significant changes to the project schedule.) The grantee should be cautioned not to take any action that could result in a claim for acceleration or for delay of the progress of work. If it appears that the contractor will not complete the work within the

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required completion date, the grantee should be advised that assessment of liquidated damages as a contract requirement is an option which may be exercised only by the grantee. It should also be stressed that it is in the grantee's interest to assess liquidated damages. EPA will not participate in inspection costs beyond the EPA approved contract completion date unless the time extension is authorized by an approved change order. If the project completion date is delayed, a grant amendment will be required if costs incurred after the initial completion date are to be considered for EPA participation.

- b. Payment Requests - The grantee's payment requests to EPA should include only that backup documentation required by EPA. Documentation which should be available for review includes the contractor's periodic partial payment request, engineer's invoices, and miscellaneous costs. The Inspector should review the contractor's payment request and compare it to conditions at the job site to assure that the quantities for which payment is being requested generally conform to visual observations of actual progress. This should not be done in minute detail, although the Inspector should develop a tracking system to satisfy himself that the amounts claimed by the contractor on payment requests are reasonably accurate. This would also include verification of any stored materials and change order work claimed on the request. (Change orders must be properly executed and approved by all agencies having authority before EPA reimbursement can be made.)

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EPA normally permits retainage to be withheld on the contractor's partial payment requests. The Inspector should review the terms of the contract to assure that the specified retainage clause is being properly administered, and, near the end of project, that the grantee is retaining only an amount sufficient to protect its interests in completing the project. The Inspector's review of the grantee's payment request should be coordinated with the overall EPA grant payment review and approval process.

c. Change Orders - Change orders represent a major area of concern in the grants program (Ref.j). The Inspector should be alert to conditions that might give rise to the need for change orders, so he can advise the grantee on how best to proceed, manage costs and facilitate approval. During interim inspections the following areas should be emphasized, particularly with small grantees.

- (1) Provide advice to the grantee on the need for the proposed change, as appropriate.
- (2) Assure that the grantee is processing change orders in a timely fashion, including those for time extensions.
- (3) Advise the grantee on what is required during the review process on such matters as prior approval, proper format, justification, working estimates, records of negotiation, reasonable pricing, etc.

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- (4) Assure that the resident inspector or engineer has copies of all executed change orders.
 - (5) Become knowledgeable of the facts regarding the change order to assist later in the review process.
 - (6) If other than a State, the Agency should coordinate with the State.
 - (7) Inspect the completed change order work.
- d. Claims - A claim is any written demand by the contractor for additional costs or time. Most claims are settled prior to extensive litigation or arbitration and are treated as routine change orders. It is the occasional claim that is not settled that is of special concern to EPA. As in the case of change orders, the Inspector should advise the grantee on matters concerning all claims. The same factors listed in Par. 12.c, above, must be addressed in the processing of claims, with special emphasis on timely and accurate documentation by the grantee. However, when it appears that the contracting parties cannot agree on a mutual settlement, the Inspector should immediately advise the project manager (EPA/State/Corps) that the claim may result in litigation or arbitration. Costs associated with litigating claims may be allowable if the work is determined to be otherwise allowable and the costs were not incurred as a result of grantee mismanagement or errors by its consultant(s).

(See Appendix A to Subpart I (40 CFR).) Prior approval and, in some cases, a grant amendment are required for EPA participation in litigation costs associated with claims. A grantee should be advised to contact the project officer for complete details on allowable costs and procedures for handling formal claims.

The Inspector should not attempt to engage in negotiations or manage the situation for the grantee. The grantee should be encouraged to perform an independent analysis of the issues and negotiate settlement of those issues which have merit.

13. CONSTRUCTION:

- a. Quantity - An important purpose of the interim inspection is to assure that the project is constructed in accordance with the approved plans and specifications. The Inspector must review the contract documents and develop a system for documenting completed activities. Each interim inspection should address work added since the last inspection and address prior deficiencies. The cumulative effect should be to greatly reduce the total effort on the final construction inspection. Over the life of the project, all significant aspects of the project should have been covered. The Inspector should keep in mind that much of the work accomplished between inspections will be concealed as the construction progresses and thus not be accessible for inspection. His efforts should be directed more toward the overall project and on major structures, major equipment and operating systems rather than on minor components or details.

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b. Quality - Responsibility for quality control (QC) may rest with the contractor, the resident engineer, or, as in most cases, a combination of the two. The Inspector should determine from the contract documents the extent of QC responsibility that each party has. Following are items that should be given special attention during the interim inspection:

- (1) Review the resident inspector's daily reports or diary. Check the reports prepared since the last interim inspection to see what deficiencies may have been noted and what actions were taken (and recorded in the daily log) to correct the deficiencies.
- (2) Review contractor certified submittals of shop drawings on a selective basis to assure that they meet the requirements of the contract documents. The submittals should be processed by the grantee's engineer* in a timely manner and copies furnished to the resident engineer.
- (3) Review concrete, soil compaction and other QC tests required by the contract. If any tests failed, determine what action was taken by the resident engineer.
- (4) Review documentation on performance tests to assure compliance with contract documents.

* Engineer accepts, accepts with reservations or requests resubmittal.

- (5) Make selective field observations, in addition to the overall field inspection, to determine that QC requirements are being carried out.
- (6) Any deficiencies noted should be reported to the grantee or its representative and included in the trip report. Hazards to public health, safety and welfare should be corrected as soon as possible.

14. FINAL CONSTRUCTION INSPECTION: Although the final construction inspection is considered to be a separately delegable activity by EPA, it is so interrelated with interim inspections that it needs to be addressed in this guidance document. As discussed above, each interim inspection is simply one step toward the final construction inspection. If interim inspections are properly conducted and documented, the final construction inspection should be simply a formality to wrap up loose ends and address any uncorrected construction deficiencies. The Inspector should use his judgment on the necessity for follow-up inspections on construction deficiencies. Major deficiencies may require one or more follow-up inspections, while minor ones should be left for the consulting engineer to certify prior to the construction closeout. Commitments on the time required to correct deficiencies should be obtained.
15. REPORTING: Every interim inspection should be documented with a written report. Formats and procedures may vary according to Regional agreements and Agency policy. As a minimum, each report should address the following:
 - a. Basic grant information.

- b. Basic contract information.
- c. Status of grant.
- d. Status of each contract.
- e. List of attendees.
- f. List of deficiencies noted since last report with recommended actions for resolution.
- g. Comments on status of any previous deficiencies.
- h. List of known disputes, claims or potential claims or change orders.

Any deficiencies that are to be noted on the report are to be discussed with the grantee and engineer during the interim inspection to assure that there is a clear understanding of the matter and what should be done to correct the problem. Grant management procedures for resolution of deficiencies will depend on the status of delegation in each State. Distribution of interim inspection reports will also be subject to Regional agreements. Generally, the State, the grantee and its consulting engineer should be furnished copies. The contractor should not be furnished copies of inspection reports, since it could mistakenly interpret comments as directives that would prejudice the grantee's contracting authority. Reports should be transmitted by letter, the content of which should identify significant findings and/or construction deficiencies. The transmittal letter should be short, concise and able to stand on its own merit.

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16. FOLLOW-UP: The Inspector should determine who is responsible for taking various corrective actions and have a system for assuring that the responsible official(s) is advised and does, in fact, act.

APPENDIX A - INSPECTION RELATED FUNCTIONS

The following are separately delegable functions that may be performed by the Corps, the State, EPA or a combination. Each is closely related to functions performed during interim inspections. The Inspector should review the Regional and State delegation agreements and be familiar with the activities, responsibilities, and authorities (if any) that distinguish each of these functions from those of the related portions of the interim inspection. Some may be accomplished during the interim inspection.

1. Overall grant management.
2. Approval of contract documents and authority to award.
3. Preconstruction conferences.
4. Project Management Conference (PMC).
5. Review and approval of progress payments.
6. Review and approval of change orders.
7. Conventional/extended Construction Management Evaluation (CME).
8. WBE/MBE tracking.
9. Claims resolution assistance.
10. Outlay management.
11. Review and approval of O&M manual and final Plan of Operation.
12. Final project inspection.

APPENDIX B - GRANTEE FILES

A well organized and properly maintained filing system is essential to the proper administration of an EPA construction grant. It will also prove to be invaluable during the final audit and closeout of a project. This list of recommendations is not meant to be all inclusive, but serves to point out the typical problem areas experienced by EPA reviewers on past projects.

1. All files for each Step 3 EPA grant should be maintained separately from any other Step 1, Step 2 or Step 2 + 3 EPA grant.
2. All EPA files should be maintained separately from any other agency files (FmHA, HUD, etc.).
3. All files should clearly distinguish between EPA allowable and unallowable items.
4. All files should be neatly organized by subject matter in separate folders and located in a file cabinet or drawer.
5. Contents of individual folders should be filed in a timely manner and in chronological order.

APPENDIX B - GRANTEE PROJECT FILE TOPICAL SUBJECT LISTING (SAMPLE)

Grant Administration Documents	Construction Management Records	Accounting Source Documents
<ul style="list-style-type: none"> ◦ USEPA Grant Offer & Conditions ◦ Grant Amendments ◦ State NPDES Permit ◦ Auth. to Award ◦ Interagency Agreements ◦ Plan of Operation ◦ User Charge System ◦ Contracts & Sub-agreements ◦ Flood Disaster Protection Act ◦ Sewer Use Ordinance ◦ O&M Manual ◦ Davis-Bacon Act Compliance ◦ Force Account Approvals ◦ EEO, MBE/WBE Requirements ◦ Real Property Acquisition Documents ◦ Pretreatment Systems ◦ Emergency Preparedness Plans ◦ Maintenance Management Systems ◦ Copeland Act 	<ul style="list-style-type: none"> ◦ As-Bid Construction Contracts ◦ Bid Tabs ◦ Executed Contract Agreements & Supporting Documents ◦ Schedule ◦ Progress Payments ◦ Change Orders ◦ Claims ◦ Inspection Reports ◦ Materials Test Reports ◦ Meeting Minutes ◦ Correspondence ◦ Submittals Logs ◦ As-Built Drawings ◦ Equipment Warranties 	<ul style="list-style-type: none"> ◦ Payment Schedule ◦ Outlay Reports ◦ Force Account Payroll Records ◦ Invoices ◦ Property Control Fixed Assets Records ◦ Cash Income Receipts ◦ Cash Disbursements (Cancelled Checks) ◦ Construction Disbursements ◦ Transaction Approval Records ◦ Bank Statements

APPENDIX C - GUIDE TO GRANTEE'S COST ACCOUNTING
AND INTERNAL CONTROL SYSTEM

1. Does the grantee's organization provide for separation of responsibilities for operations review from control over financial transactions?
2. Has the grantee established project accounting records to record, on a current basis, all incurred costs applicable to EPA work?
3. Are books and records used to document and control construction fund receipts and cash disbursements?
4. Do the grantee's books and records conform to a uniform accounting system? Are accounting procedures documented?
 - a. Is a general ledger with control accounts used?
 - b. Are subsidiary cost accounts established to segregate project costs?
 - c. Are grant unallowable costs segregated in the grantee's accounting system?
 - d. Does the accounting system differentiate between unallowable and allowable, and direct and indirect costs?
5. Are project costs summarized and reconciled with control accounts contained in the grantee's general ledger?

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6. Are written approvals given for each step of the disbursements review process?
7. Is appropriate documentation maintained to support all direct charges to the project?
8. Is change order work separately identified in the respective project cost records?
9. Are the project cost records used as the basis for:
 - a. The grantee's "Outlay Report and Request for Reimbursement"?
 - b. The consultant's request for reimbursement?
10. Are the grantee's accounting records subjected to an independent audit at least once every two years?
11. Are cost and price analyses of contractor proposals carried out in accordance with EPA grant regulations?

APPENDIX D - CONTRACT ADMINISTRATION CHECKLIST

1. Limits of inspection service provided.
2. Daily inspection report is prepared and adequate; follow-up actions on deficiencies are properly noted.
3. Approved plans and specifications on site.
4. As-built drawings are maintained.
5. Shop drawing register is established and maintained.
6. Progress schedule is posted and current.
7. Contractor's progress is monitored.
8. Stored materials register is established and maintained.
9. Delays are documented and action taken to improve progress.
10. Copies of all executed change orders on site.
11. Project sign located in prominent position.
12. Wage rates and EEO notice posted by contractor.
13. Continuous operation of existing plant assured; bypassing during construction (if applicable) is justified and approved by State Agency.
14. Construction (quality and quantity) conforms to plans and specifications and latest payment request.

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15. Materials properly stored and protected.
16. Materials testing is being performed and documented.
17. Performance testing is being performed and documented.
18. Payrolls are submitted weekly and reviewed.
19. Environmental effects mitigation implemented.
20. Required submittals identified, scheduled, coordinated.
21. Claims file established; claims investigations documented.
22. Materials acceptances/rejections documented.
23. Contractor notified of required retesting and/or replacement?
24. Materials testing/replacement documented?

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APPENDIX E - CONSTRUCTION MANAGEMENT EVALUATIONS (CMEs)
AND PROJECT MANAGEMENT CONFERENCES (PMCs)

A CME is a thorough evaluation (on-site) of all aspects of project management and is generally conducted when construction is 40% - 60% complete. The CME should be held earlier (20% - 40% stage) if a PMC has not been conducted.

The objective of CMEs is to evaluate grantees' management of construction grant projects and, through this process, gain insight into the overall management of the construction grant program as well as into practices which bring about the reduction of waste, fraud and mismanagement of Federal funds.

Typically, the on-site CME should be conducted by a three or more member team composed of staff from the EPA Regional Office (who will generally serve as team leader), the State Agency and the Corps. The team leader would be responsible for reviewing grantee records, procurement procedures and grant management procedures in the grantee's office. Reviews by the other team members would be concentrated on the project field records, construction management procedures, and physical construction.

A conventional CME is expected to take four or five days to complete. Where larger, more complex projects are involved, an extended CME -- with a five to ten day review period -- would be required.

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The Program Management Conference (PMC) is conducted to provide guidance to grantees on record-keeping requirements, construction management techniques and overall grant project management procedures. It is generally one to three days in duration, depending on the capabilities of the individual grantee, and should be conducted before the start of construction on virtually all Step 3 and Step 2 + 3 projects.

The conduct of the PMC is an appropriate function for the Corps or State agency. Normally, it should be held immediately after the preconstruction conference and concentrate on the detailed requirements of construction grant project management. However, in certain cases it may be beneficial to conduct portions of the PMC (records system, accounting system, grant conditions review, etc.) prior to the preconstruction conference.

A PMC is not required for projects already under construction.

Procedures for conducting CMEs and PMCs are described in the CME manual (REF.K).