

November 1991

WATER RESOURCES

Local Sponsors' Views on Corps' Implementation of Project Cost Sharing





Resources, Community, and
Economic Development Division

B-241834

November 15, 1991

The Honorable Quentin N. Burdick
Chairman, Committee on Environment and Public Works
United States Senate

The Honorable Daniel Patrick Moynihan
Chairman, Subcommittee on Water Resources,
Transportation and Infrastructure
Committee on Environment and Public Works
United States Senate

The Honorable Robert A. Roe
Chairman, Committee on Public Works
and Transportation
House of Representatives

The Honorable Henry J. Nowak
Chairman, Subcommittee on Water Resources
Committee on Public Works and Transportation
House of Representatives

This is the third in a series of reports¹ that address the requirement in section 44 of the Water Resources Development Act of 1988 that GAO review the management and administration of the U.S. Army Corps of Engineers' Civil Works Program. The Water Resources Development Act of 1986 required the Corps to develop a cost-sharing partnership with local sponsors whose active participation and financial commitment are essential to accomplish water resource development projects. The sponsors generally are local or state governments or other public entities, such as flood control districts or port authorities, that initiate requests for the Corps' assistance.

Our objective in this review was to obtain local sponsors' views on the Corps' implementation of cost sharing under the

¹See Water Resources: The Corps of Engineers' Revised Review Process for Proposed Civil Works Projects (GAO/RCED-90-188, Sept. 13, 1990) and Water Resources: Corps Lacks Authority for Water Supply Contracts (GAO/RCED-91-151, Aug. 20, 1991).

1986 act, including the sponsors' views on their relationship with the Corps and the impact of cost sharing on accomplishing proposed projects, such as flood control or navigation projects.

The 1986 act requires that the cost for a feasibility study of a proposed project be shared equally between a local sponsor and the Corps. The local sponsor shares construction costs with the Corps--the exact percentages depend on the project's purpose and range from 10 to 50 percent.

A project generally has four phases of development. In the first phase--reconnaissance--the Corps determines whether the project is plausible, including whether project benefits will exceed the costs. In the second phase--feasibility--the Corps addresses the technical, economic, and environmental aspects of the water resource need and assesses the proposed project's environmental impacts. The third and fourth phases--preconstruction engineering and design (PED) and construction--involve the preparation for and actual construction of the project.

To obtain local sponsors' views, we sent questionnaires to the 448 local sponsors of the entire universe of 563 cost-shared projects nationwide (some sponsors are responsible for more than one project). Our universe was determined on the basis of the projects' status as of June 30, 1990.

In summary, respondents were generally satisfied with their interaction with the Corps during project planning and development as potential or actual cost-sharing partners. They were also generally satisfied with their ability to interact with Corps staff and impact key decisions about their projects. However, a significant number of respondents said that they felt they were not treated as equal partners with the Corps. A majority of respondents with projects in the feasibility, PED, and/or construction phases had concerns with the cost-sharing agreements, citing problems, for example, with the total or changing cost of the work they were required to share and with the requirement that the sponsor's share of the payment be made up front.

Respondents for the 216 projects put on hold or terminated during or at the end of one of the four phases gave the following reasons most frequently for the delay or end of their proposed projects: their lack of financial capability

to meet the Corps' cost-sharing requirements, the Corps' budget and project policies, and/or local political issues.

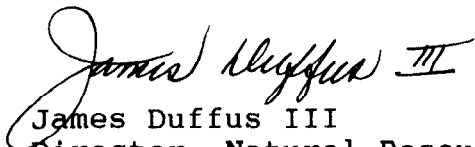
Of the 563 questionnaires we sent out, 455 questionnaires meeting our criteria were received, for an overall response rate of 81 percent. Additional information on our scope and methodology is included in section I. Sections II, III, and IV contain a short summary of responses to key questions and reprint the three questionnaires and the sponsors' aggregate answers to each question.

Since we now have data from the universe of cost-sharing sponsors, we can analyze the responses to particular questions according to various sponsor subgroups. For example, we can determine whether sponsors of small flood control projects in a particular project phase have more problems in their relationship with the Corps than sponsors of larger projects, or whether sponsors of smaller projects have more difficulty meeting financial requirements than those of larger projects. As agreed, we will perform these kinds of analyses to pinpoint potential problems and will provide the results in a later report.

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We reviewed the questionnaire results with responsible Corps officials. At the request of the Senate Committee on Environment and Public Works, we did not obtain agency comments on a draft of this report.

We are sending copies of this fact sheet to the appropriate Senate and House Committees, interested members of the Congress, the Secretaries of Defense and the Army, and the Chief, U.S. Army Corps of Engineers. Copies will also be made available to others upon request. Please contact me at (202) 275-7756 if you or your staff have any questions concerning the fact sheet. Other major contributors to this review are listed in appendix I.


James Duffus III
Director, Natural Resources
Management Issues

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ABBREVIATIONS

| | |
|-------|--------------------------------------------------------------------------------------|
| GAO | General Accounting Office |
| LERRD | lands, easements, rights-of-way, relocations, and dredged material disposal areas |
| LCA | Local Cooperation Agreement |
| PED | preconstruction engineering and design |

SECTION 1

SCOPE AND METHODOLOGY

DEVELOPMENT OF THE PROJECT UNIVERSE

The universe of cost-shared projects was provided to us by the Corps of Engineers' districts and divisions through its Civil Works Project Management Division and the Policy and Planning Division, which maintain separate data bases for tracking projects. The Corps data identified projects that were cost-shared under the fiscal year 1985 Supplemental Appropriations Act, (P.L. 99-88) or since the cost-sharing mandate in the Water Resources Development Act of November 1986 (P.L. 99-662). The Corps' preliminary listing included 1,562 projects located in 49 states and American Samoa, Guam, and Puerto Rico. We did not verify the data contained in the Corps data bases.

Of the 1,562 projects identified by the Corps, 957 were eliminated for one or more of the following reasons: (1) the same project was reported in more than one of the four phases of project development; (2) the project was considered an emergency that was done quickly and usually with little local sponsor involvement; (3) the project was still in the reconnaissance phase, and no decision had been made to proceed to the feasibility phase; and/or (4) the project had a benefit-to-cost ratio of less than one, that is, it did not qualify for federal funding. The remaining 605 projects, based on the universe listed by the Corps, met one of the following criteria:

Reconnaissance Phase

- The project had completed the reconnaissance phase with a benefit-to-cost ratio of one or greater than one.
- The project was put on hold or terminated during or at the end of the reconnaissance phase with a benefit-to-cost ratio of one or greater than one.

Feasibility Phase

- The project was in or had completed the feasibility phase.
- The project was put on hold or terminated during or at the end of the feasibility phase.

Preconstruction Engineering and
Design (PED) Phase or Construction Phase

- The project was in the PED phase.
- The project was put on hold or terminated while in the PED phase or construction phase.
- The project was in or had completed the construction phase.

QUESTIONNAIRE DEVELOPMENT

To obtain input on development of the questionnaires, we interviewed Corps officials in headquarters, the North Pacific Division, and the Portland and Seattle Districts. We also obtained input from officials of the National Association of Flood and Stormwater Management Agencies (NAFSMA)¹ and the American Association of Port Authorities (AAPA),² both located in the Washington, D.C., area. In addition, we interviewed 11 local sponsors nationwide during the development of the questionnaires. We also conducted pre-tests of the draft questionnaires with 15 local sponsors in Maryland, Oregon, Pennsylvania, and Washington.

We developed three questionnaires tailored to the separate reconnaissance and feasibility phases and to the related PED and construction phases.

On February 15, 1991, we sent questionnaires to the 448 local sponsors of the 605 projects--114 reconnaissance, 125 feasibility, or 366 PED and construction--that met one of the previously cited criterion. We sent a follow-up mailing on March 22, 1991, and made telephone follow ups in April and May 1991. Data collection was ended as of June 4, 1991.

Of the 605 questionnaires mailed, 497 were returned. After analyzing the questionnaires, we excluded 42 because the local sponsors said that Corps records were inaccurate in that no cost sharing had occurred for their projects. This reduced our universe of cost-shared projects meeting our criteria to 563 and responses

¹NAFSMA was established in 1978 to represent state and local public water resource agencies nationwide. This association acts as a liaison to the Congress and federal agencies to improve and continue water resources programs.

²AAPA was organized in 1912 as a professional and trade association to represent major public port authorities in the United States, Canada, Latin and South America, and the Caribbean.

to 455, an overall response rate of 81 percent. The reduced universe of 563 projects involves 448 local sponsors. The results represent the views of project sponsors that responded to the questionnaires, but we cannot assume the results represent those sponsors that did not respond. Where the percentages do not add to 100 in the following sections, the difference reflects the respondents whose answers were missing for that particular question.

Our review was performed between May 1990 and June 1991. We did not verify the Corps universe data that identified projects as of June 30, 1990. With this exception, our work was performed in accordance with generally accepted government auditing standards.

SECTION 2

AGGREGATE RESPONSES FOR PROJECTS

IN THE RECONNAISSANCE PHASE

This section contains a summary of responses to key questions and the aggregated responses for projects that either had (1) completed the reconnaissance phase but had not started the feasibility phase or (2) been put on hold or terminated during or at the end of the reconnaissance phase, with a benefit-to-cost ratio of one or greater.

Of the 114 questionnaires sent out, 95 were returned. We excluded four questionnaires that did not meet the above criteria. The return rate for 91 of 110 questionnaires was 83 percent.

RECONNAISSANCE PHASE SUMMARY

Of the 91 sponsors responding to our reconnaissance phase questionnaire, 62, or 68 percent, said that they were either "extremely" or "generally" satisfied with their relationship with the Corps. Nine, or 10 percent, said that they were "extremely" or "generally" dissatisfied with the relationship while 17, or 19 percent, were "neither satisfied nor dissatisfied."

The response was similar when respondents evaluated the results of the reconnaissance phase: Of the 91 sponsors, 52, or 57 percent, said that they were either "extremely" or "generally" satisfied with the results; 16, or 18 percent, said that they were either "extremely" or "generally" dissatisfied; and 18, or 20 percent, were "neither satisfied nor dissatisfied."

Of the 91 sponsors, 52, or 57 percent, said that they had "very great," "great" or "moderate" impact on key decisions the Corps made during the phase. In addition, 15, or 16 percent, felt they had some impact, while 19, or 21 percent, said they had "little or no" impact on key decisions.

Of the 68 reconnaissance phase sponsors whose projects were terminated or put on hold, 38, or 56 percent, said their lack of financial capability was a reason why the project was delayed or did not go forward.

In the questionnaire that follows, the number next to each answer is the actual number of responses made. The number of respondents leaving a question blank is shown by the term "missing."



Survey of Sponsors of Water Projects in the Reconnaissance Phase

The U.S. General Accounting Office, an agency that evaluates federal programs for Congress, is conducting a review of the cost sharing provisions of the 1986 Water Resources Development Act. This review is being conducted at the request of the Committee on Environment and Public Works, U.S. Senate. As a part of this review we are surveying local sponsors of U.S. Corps of Engineer water projects to obtain their views on the cost sharing requirements and their new relationship with the Corps.

For this survey we are asking about the conditions during the reconnaissance phase of your project. We obtained basic information about this project, including its status as of June 30, 1990, from the Corps. You are being surveyed only if the reconnaissance phase has been completed, or the project was put on hold or terminated during or at the end of the reconnaissance phase.

On this questionnaire please respond only for the project listed on the label at right. If your organization is acting as a local sponsor for another project, you will likely receive a separate questionnaire for that project. We are also surveying sponsors with projects in other phases with other versions of this questionnaire.

Your response is extremely important to enable us to obtain an accurate picture for the Congress of local sponsors' views on cost sharing and their relationship with the Corps. Please mail the completed questionnaire in the enclosed self-addressed business-reply envelope within 10 days of receipt if possible.

If you have any questions please call Ms. Elizabeth Reid at (503) 235-8500 or Mr. John Scott at (202) 634-7499. If the business-reply envelope is missing or has been misplaced, please return the questionnaire to the following address:

U.S. General Accounting Office
Attn: Leo Ganster
Room 4476
441 G St., N.W.
Washington, DC 20548

Thank you for your assistance.

This questionnaire should be answered with regard to the following project. If necessary, please correct any incorrect information in the label.

IF YOU HAVE ANY DOUBT ABOUT THE IDENTITY OF THE PROJECT LISTED ABOVE, PLEASE CALL ELIZABETH REID AT THE ABOVE NUMBER FOR CLARIFICATION.

1. Which of the following activities, if any, was the local sponsor actively involved in during the reconnaissance phase? (Check all that apply.)

- 16 Was not involved in reconnaissance phase
- 11 Provided in-kind services
- 63 Participated in planning briefings or meetings with the Corps
- 26 Participated in issue resolution conferences with the Corps
- 21 Coordinated various governmental agencies
- 23 Coordinated public participation efforts
- 28 Participated in discussions with user groups
- 4 Other (Please specify)

2. To the best of your knowledge, how much impact, if any, did the local sponsor's input have on the key decisions made by the Corps during the reconnaissance phase? (Check one.)

- 6 Very great impact
- 23 Great impact
- 23 Moderate impact
- 15 Some impact
- 19 Little or no impact
- 5 Missing

3. Did the Corps answer the sponsor's information requests promptly during the reconnaissance phase? (Check one.)

- 27 Always yes
- 45 Generally yes
- 7 About half the time yes and half the time no
- 5 Generally no
- 2 Always no
- 5 Missing

4. Did the Corps answer the sponsor's information requests directly or substantively during the reconnaissance phase? (Check one.)

- 24 Always yes
- 48 Generally yes
- 5 About half the time yes and half the time no
- 7 Generally no
- 2 Always no
- 5 Missing

5. How many months did the Corps take in the reconnaissance phase for this project? (ENTER NUMBER)

Mean=14.8, Min=2, Max=48 Months

6. Did the amount of time taken by the Corps in the reconnaissance phase cause any problems for the sponsor? (Check one.)

- 14 Yes
- 72 No → SKIP TO Q. 8
- 5 Missing

7. Which of the following impacts, if any, resulted from the amount of time taken for the reconnaissance study? (Check all that apply.)

- 0 No impact
- 2 Scope of study was increased
- 4 More time will be needed for the planning phases than originally expected
- 5 More time will be needed for the total project than originally expected
- 6 More time will be needed for the total project than necessary
- 0 Potential problems were discovered and/or resolved
- 5 Local budget problems
- 1 Missed legislative authorization/appropriation cycle
- 3 Sponsor started project work on its own
- 3 Other (Please specify)

8. Will state level funds be used to directly pay for any portion of the study or project? (Check one.)

- 11 Yes
 - 59 No
 - 18 Don't know
 - 3 Missing
- } SKIP TO Q. 10

9. Do any of the states involved in funding this project have any constitutional or legal restrictions that limit the multi-year obligation of funds? (Check one.)

- 7 Yes
- 2 No
- 2 Don't know
- 0 Missing

10. Will local level funds be used to directly pay for any portion of the study or the project? (Check one.)

- 30 Yes
 - 43 No
 - 15 Don't know
 - 3 Missing
- } SKIP TO Q. 12

11. Do any of the localities involved in funding this project have any legal restrictions that limit the multi-year obligation of funds? (Check one.)

- 12 Yes
- 13 No
- 4 Don't know
- 1 Missing

12. Was the study ever put on hold or terminated either during or at the conclusion of the reconnaissance phase? (Check one.)

- 25 Yes, put on hold
- 43 Yes, terminated
- 20 No → SKIP TO Q. 16
- 3 Missing

13. To what extent did the local sponsor participate in the decision to terminate the study or put it on hold? (Check one.)

- 32 Very great extent
- 17 Great extent
- 2 Moderate extent
- 5 Some extent
- 11 Little or no extent
- 1 Missing

14. Which of the following reasons, if any, describe why the study was terminated or put on hold? (Check all that apply.)

- 3 Corps reasons not given
- 38 Lack of local sponsor's financial capability
- 14 Local sponsor unwilling to cost share
- 3 Disagreement among local sponsors
- 6 Lands, easements, rights of way, relocations or dredged material disposal area problems
- 12 Feasibility Cost Sharing Agreement issues
- 5 Scope of project beyond local sponsor's needs
- 6 Benefit cost ratio less than 1.00
- 9 Corps budget policies
- 18 Corps project policies
- 4 Federal laws
- 1 Local/state laws
- 9 Local political issues
- 1 Changes in national economic or political circumstances
- 6 Increased costs due to environmental issues
- 8 Changes in project initiated by Corps
- 1 Changes initiated by local sponsor
- 25 Other (Please specify)

15. Which of the following impacts, if any, resulted from the study being terminated or put on hold during, or at the end of, the reconnaissance phase? (Check all that apply.)

- 14 No impact
- 19 All plans for the study were terminated
- 3 New study was planned
- 5 Scope of study was changed
- 2 Additional costs for the planning phase were incurred
- 6 Additional costs for the remainder of the project are expected
- 12 Economic loss to the community
- 8 Turned to alternative sources for assistance
- 3 Missed legislative authorization/appropriation cycle
- 7 Local sponsor began study or construction without the Corps
- 16 Other (Please specify)

16. Has the local sponsor pursued alternative means to address their needs? (Check one.)

- 35 Yes
- 52 No
- 4 Missing

17. How satisfied or dissatisfied is the local sponsor with the relationship between the Corps and the local sponsor during the reconnaissance phase? (Check one.)

- 22 Extremely satisfied
- 40 Generally satisfied
- 17 Neither satisfied nor dissatisfied
- 8 Generally dissatisfied
- 1 Extremely dissatisfied
- 3 Missing

18. How satisfied or dissatisfied is the local sponsor with the results of the reconnaissance phase? (Check one.)

- 17 Extremely satisfied
- 35 Generally satisfied
- 18 Neither satisfied nor dissatisfied
- 11 Generally dissatisfied
- 5 Extremely dissatisfied
- 5 Missing

19. Has the local sponsor received a copy of the Corps of Engineers' Sponsors' Information Kit? (Check one.)

- 16 Yes
- 43 No
- 29 Don't Know
- 3 Missing

} SKIP TO Q. 21

20. How helpful, if at all, has the information kit been for the local sponsor? (Check one.)

- 3 Extremely helpful
- 6 Very helpful
- 1 Moderately helpful
- 2 Somewhat helpful
- 4 Little or no help
- 0 Missing

21. If you would like to comment or elaborate on any answers to prior questions, the working relationship between the Corps of Engineers and the local sponsor, or the policies and procedures in effect during the reconnaissance phase of the project, please do so below.

 38 With comments

SECTION 3

AGGREGATE RESPONSES FOR PROJECTS

IN THE FEASIBILITY PHASE

This section contains a summary of responses to key questions and the aggregated responses for projects that (1) were ongoing in the feasibility phase, or (2) had been put on hold or terminated during or at the end of the feasibility phase, or (3) had completed the feasibility phase but had not entered the preconstruction engineering and design phase.

Of the 125 questionnaires sent out, 101 were returned. We eliminated 18 questionnaires that did not meet the above criteria. The return rate for 83 of 107 questionnaires was 78 percent.

FEASIBILITY PHASE SUMMARY

Of the 83 sponsors, 70, or 84 percent, responding to our feasibility phase questionnaire said that they were either "extremely" or "generally" satisfied with their relationship with the Corps. Five respondents, or 6 percent, said they were "extremely" or "generally" dissatisfied with the relationship, while the remaining 8, or 10 percent, were "neither satisfied nor dissatisfied." Another 57, or 69 percent, said that they were either "extremely" or "generally" satisfied with the results of the feasibility phase. In addition, 12, or 14 percent, were either "extremely" or "generally" dissatisfied with the results of the phase, while 13, or 16 percent were "neither satisfied nor dissatisfied."

Respondents also generally believed that they were able to impact key Corps decisions during the phase. Of the 83 sponsors, 72, or 87 percent, said that they had "very great," "great," or "moderate" impact on key Corps decisions during the phase, while 11, or 13 percent, believed that they had only "some," or "little or no" impact on these decisions.

Respondents were about evenly divided, however, when asked whether they felt like equal or subordinate partners with the Corps during the feasibility phase. Of the 83 respondents, 40, or 48 percent, said they felt like "equal" partners with the Corps, while 42, or 50 percent, said they felt like "somewhat" or "very" subordinate partners.

Of the 83 respondents, 49, or 59 percent, expressed concern regarding the feasibility cost-sharing agreement with the Corps, ranging from "very great" to "moderate." The most frequently cited concerns with the agreement were the total study cost,

changes in the study cost estimates, paying the local sponsors' share up front, the scope of the study, and the mix of cash versus in-kind products and services. However, of the 62 respondents concerned about the agreement, 39, or 63 percent, said that the Corps had made a "very great" or "great" effort to address the concerns.

Sponsors pay for half of the feasibility costs with at least 25 percent in cash, and 30 of the 83 respondents, or 36 percent, stated that they had "very great" to "moderate" difficulty meeting their 50-percent share or the 25-percent cash requirement.

For the 25 feasibility phase projects that were terminated or put on hold, the reasons cited most frequently by respondents for these actions were Corps project policies and local political issues.

In the questionnaire that follows, the number next to each answer is the actual number of responses made. The number of respondents leaving a question blank is shown by the term "missing."



Survey of Sponsors of Water Projects in the Feasibility Phase

The U.S. General Accounting Office, an agency that evaluates federal programs for Congress, is conducting a review of the cost sharing provisions of the 1986 Water Resources Development Act. This review is being conducted at the request of the Committee on Environment and Public Works, U.S. Senate. As a part of this review we are surveying local sponsors of U.S. Corps of Engineer water projects to obtain their views on the cost sharing requirements and their new relationship with the Corps.

For this survey we are asking about the conditions during the feasibility phase of your project. We obtained basic information about this project, including its status as of June 30, 1990, from the Corps. You are being surveyed only if this project is currently in the feasibility phase, the project was put on hold or terminated during or at the end of the feasibility phase, or the feasibility phase has been completed.

On this questionnaire please respond only for the project listed on the label at right. If your organization is acting as a local sponsor for another project, you will likely receive a separate questionnaire for that project. We are also surveying sponsors with projects in other phases with other versions of this questionnaire.

Your response is extremely important to enable us to obtain an accurate picture for the Congress of local sponsors' views on cost sharing and their relationship with the Corps. Please mail the completed questionnaire in the enclosed self-addressed business-reply envelope within 10 days of receipt if possible. If you have any questions please call Ms. Elizabeth Reid at (503) 235-8500 or Mr. John Scott at (202) 634-7499.

If the business-reply envelope is missing or has been misplaced, please return the questionnaire to the following address:

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Washington, DC 20548

Thank you for your assistance.

This questionnaire should be answered with regard to the following project. If necessary, please correct any incorrect information in the label.

IF YOU HAVE ANY DOUBT ABOUT THE IDENTITY OF THE PROJECT LISTED ABOVE, PLEASE CALL ELIZABETH REID AT THE ABOVE NUMBER FOR CLARIFICATION.

| | |
|--------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|
| Has the local sponsor signed a feasibility cost sharing agreement for this project? (Check one.) | |
| <u>82</u> Yes | |
| <u>0</u> No | → PLEASE call Ms. Elizabeth Reid at 503-235-8500 to clarify project status |
| <u>1</u> Missing | |

1. Which of the following activities, if any, was the local sponsor actively involved in during the feasibility phase? (Check all that apply.)

- 0 Was not involved in feasibility phase
- 66 Provided in-kind services
- 80 Participated in planning briefings or meetings with the Corps
- 56 Participated in issue resolution conferences with the Corps
- 49 Coordinated involvement with other state and federal agencies
- 74 Provided cash
- 24 Managed contracts
- 2 Other (Please specify)

2. To the best of your knowledge, how much impact, if any, did the local sponsor's input have on the key decisions made by the Corps during the feasibility phase? (Check one.)

- 11 Very great impact
- 40 Great impact
- 21 Moderate impact
- 10 Some impact
- 1 Little or no impact
- 0 Missing

3. Did the Corps answer the local sponsor's information requests promptly during the feasibility phase? (Check one.)

- 31 Always yes
- 48 Generally yes
- 4 About half the time yes and half the time no
- 0 Generally no
- 0 Always no
- 0 Missing

4. Did the Corps answer the local sponsor's information requests directly or substantively during the feasibility phase? (Check one.)

- 29 Always yes
- 50 Generally yes
- 3 About half the time yes and half the time no
- 1 Generally no
- 0 Always no
- 0 Missing

5. How consistent or inconsistent was the information provided by the Corps staff with the final decisions and policies the Corps carried out? (Check one.)

- 25 Very consistent
- 47 Generally consistent
- 2 Neither consistent nor inconsistent
- 2 Generally inconsistent
- 2 Very inconsistent
- 5 Missing

6. In order to proceed with planning beyond the reconnaissance phase, the Corps requires each local sponsor to sign a feasibility cost sharing agreement. How much concern, if any, did the contents of this agreement cause the local sponsor? (Check one.)

- 14 Very great concern
- 9 Great concern
- 26 Moderate concern
- 13 Some concern
- 21 Little or no concern → SKIP TO Q. 9
- 0 Missing

7. Which of the following aspects of the feasibility cost sharing agreement, if any, caused the local sponsor concern? (Check all that apply.)

- | | |
|--------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| <u>42</u> Total study cost | <u>28</u> Change in feasibility study cost estimates |
| <u>21</u> Scope of the study | <u>6</u> Calculation of cost sharing formula |
| <u>13</u> Mix of work/tasks required of the local sponsor | <u>2</u> Initial project management plan |
| <u>1</u> Unclear expectations of the local sponsor | <u>8</u> Language of the agreement |
| <u>6</u> Time frames given for completing local sponsor responsibilities | <u>15</u> Level of work required to meet all Federal requirements |
| <u>18</u> Mix of cash/in-kind product and services | <u>14</u> Not knowing what was negotiable |
| <u>27</u> Paying the local sponsor's share up front | <u>12</u> Conflicts among Headquarters, Division, or District Corps levels during agreement negotiations |
| <u>8</u> Coordination procedures between the local sponsor and the Corps | <u>6</u> Hazardous/Toxic waste requirements |
| <u>6</u> Cash value initially allowed or negotiated for in-kind contribution | <u>8</u> Other environmental requirements |
| <u>6</u> Final valuation of in-kind services or products approved by the Corps | <u>9</u> Other (Please specify) |

8. In general, what level of effort, if any, did the Corps make to address the concerns expressed by the sponsor? (Check one.)

- 10 Very great effort
- 29 Great effort
- 16 Moderate effort
- 7 Some effort
- 0 Little or no effort
- 0 Missing

9. How much difficulty, if any, did/is the sponsor having meeting the 50 percent feasibility cost share requirement with at least 25 percent in cash? (Check one.)

- 6 Very great difficulty
- 7 Great difficulty
- 17 Moderate difficulty
- 14 Some difficulty
- 37 Little or no difficulty → SKIP TO Q. 11
- 2 Missing

10. What impact, if any, did the difficulty in meeting the 25 percent cash requirement for the feasibility study have on the project? (Check all that apply.)

- 1 Feasibility study was terminated
- 5 Delayed initiation of study
- 22 Had to obtain alternate funding sources
- 16 Had to reprioritize other local sponsor projects
- 4 Revised the scope of the study
- 6 Study time extended
- 9 Other (Please specify)

11. How much of a problem for the sponsor, if at all, was/is the schedule of cash payments? (Check one.)

- 1 Very great problem
- 10 Great problem
- 17 Moderate problem
- 15 Some problem
- 37 Little or no problem
- 3 Missing

12. Is the local sponsor providing any in-kind products and/or services during the feasibility phase? (Check one.)

- 61 Yes
- 21 No → SKIP TO Q. 17
- 1 Missing

13. What is the value of the credit for in-kind products and services that the local sponsor is requesting from the Corps, to the nearest thousand dollars. (Enter Amount.)

Mean=\$151,200 Min=\$2,000 Max=\$1,427,000

14. Is the Corps disallowing any in-kind credits put forth by the local sponsor? (Check one.)

- 7 Yes
- 52 No → SKIP TO Q. 17
- 2 Missing

15. To the best of your knowledge, what is the value of denied credits to the nearest thousand dollars? (Enter Amount.)

Mean=\$392,400 Min=\$18,000 Max=\$1,431,000

16. What reason(s) did the Corps use to deny in-kind product and service credits. (Check all that apply.)

- 0 Lack of acceptable documentation
- 0 Inflated cost estimates
- 1 The work was not approved by the Corps prior to being undertaken
- 0 Unqualified individuals used to conduct work
- 1 Improper accounting procedures used by local sponsor
- 3 Corps guidelines or policies
- 0 No reason given
- 4 Other (Please specify)

17. How many months have passed from the signing of the Feasibility Cost Sharing Agreement to the issuance of the Chief Engineer's Report? If the Chief Engineer's report has yet to be signed how many months have passed to date? (Enter Number.)

Mean=24.1, Min=2, Max=66 Months

18. How much of a problem, if any, did the amount of time taken by the Corps for the feasibility phase cause the sponsor? (Check one.)

- 5 Very great problem
- 10 Great problem
- 14 Moderate problem
- 13 Some problem
- 40 Little or no problem → SKIP TO Q. 20
- 1 Missing

19. Which of the following impacts, if any, resulted from the amount of time taken for the feasibility study? (Check all that apply.)

- | | |
|-----------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|
| <u> 1</u> No impact | <u> 15</u> Estimated costs of construction will be higher than originally expected |
| <u> 15</u> Scope of work increased | <u> 10</u> Local sponsor budget constraints/deadline problems |
| <u> 1</u> Scope of work decreased | <u> 5</u> Missed the legislative authorization/appropriation cycle |
| <u> 17</u> Potential problems were discovered and/or resolved | <u> 12</u> Turnover of Corps staff managing this project |
| <u> 17</u> More time was or will be needed for the planning phase than originally agreed upon | <u> 3</u> Not able to coordinate this project with other local projects |
| <u> 20</u> More time will be needed for the total project than originally expected | <u> 10</u> Other (Please specify) |
| <u> 10</u> More time will be needed for the total project than necessary | |
| <u> 19</u> Costs for the feasibility phase exceeded agreed upon budget | |

20. What was the original estimate of the local sponsor's share of the feasibility study cost to the nearest thousand dollars? (Enter Amount.)

Mean=\$325,000 Min=\$37,000 Max=\$3,750,000

21. What is the current estimate or was the final cost of the local sponsor's share of the feasibility study to the nearest thousand dollars? (Enter Amount.)

Mean=\$415,000 Min=\$6,000 Max=\$3,750,000

→ If this amount agrees with the original estimate entered above SKIP TO Q. 24

22. In your opinion, which of the following, if any, contributed to the change in the feasibility study cost estimate? (Check all that apply.)

- 18 Corps cost estimates were too high or too low
- 14 Change in scope of study requested by the local sponsor
- 13 Change in scope of study requested by the Corps
- 12 Change in the schedule for completing tasks
- 2 Hazardous or toxic waste testing/studies
- 8 Other environmental study requirements
- 5 Environmental mitigation requirements
- 13 Change in Corps policies
- 5 Additional work required as a result of meetings with Corps headquarters officials
- 8 Inflation
- 6 Changing regulatory requirements
- 12 Other (Please specify)

23. To the best of your knowledge, did the Corps inform the sponsor of the potential for feasibility costs to change? (Check one.)

- 18 Definitely yes
- 17 Probably yes
- 5 Uncertain
- 4 Probably no
- 0 Definitely no
- 1 Missing

24. Was the information provided by the Corps on the cost of the feasibility phase adequate or inadequate to meet the needs of the local sponsor? (Check one.)

- 23 Very adequate
- 47 Generally adequate
- 4 Neither adequate nor inadequate
- 5 Generally inadequate
- 1 Very inadequate
- 3 Missing

25. Have any unanticipated cost increases or decreases occurred during the feasibility phase? (Check one.)

- 36 Yes, unanticipated increases
- 4 Yes, unanticipated decreases
- 29 No unanticipated increases or decreases
- 11 Don't know/remember
- 3 Missing

26. Was the feasibility cost sharing agreement modified at all due to changes in costs during the feasibility study? (Check one.)

- 34 Yes
- 45 No
- 4 Missing

27. Were or will state level funds be used to directly pay for any portion of the study or project? (Check one.)

- 36 Yes
- 37 No
- 10 Don't know
- 0 Missing

} SKIP TO Q. 29

28. Do any of the states involved in funding this project have any constitutional or legal restrictions that limit the multi-year obligation of funds? (Check one.)

- 14 Yes
- 9 No
- 13 Don't know
- 0 Missing

29. Were or will local level funds be used to directly pay for any portion of the study or project? (Check one.)

- 62 Yes
- 14 No
- 7 Don't know
- 0 Missing

} SKIP TO Q. 31

30. Do any of the localities involved in funding this project have any legal restrictions that limit the multi-year obligation of funds? (Check one.)

- 14 Yes
- 26 No
- 20 Don't know
- 2 Missing

31. To what extent, if any, did the final accounting and distribution of feasibility costs cause disagreements between the local sponsor and the Corps? (Check one.)

- 44 Have not reached this point of project yet
- 1 Very great extent
- 1 Great extent
- 4 Moderate extent
- 0 Some extent
- 30 Little or no extent
- 3 Missing

32. Was the project ever put on hold or terminated during, or at the end of, the feasibility phase? (Check one.)

- 16 Yes, put on hold
- 9 Yes, terminated
- 57 No → SKIP TO Q. 36
- 1 Missing

33. Did the Corps or the local sponsor make the decision to terminate the project or put it on hold during, or at the end of, the feasibility phase? (Check one.)

- 6 Completely decided by the Corps
- 3 Decided by the Corps with some input from the local sponsor
- 6 Decided equally by the Corps and the local sponsor
- 6 Decided by the local sponsor with some input from the Corps
- 4 Completely decided by the local sponsor
- 0 Missing

34. Which of the following reasons, if any, describe why the project was terminated or put on hold? (Check all that apply.)

- 0 Corps reasons not given
- 3 Lack of local sponsor's financial capability
- 1 Locality unwilling to cost share
- 0 Disagreement among local sponsors
- 3 Lands, easements, rights of way, relocations or disposal of dredged material area problems
- 1 Draft Local Cooperation Agreement issues
- 5 Benefit cost ratio less than 1.00
- 0 Scope of project beyond local sponsor's needs
- 5 Changes in national economic or political circumstances
- 4 Corps budget policies
- 8 Corps project policies
- 3 Federal laws
- 0 Local/state laws
- 7 Local political issues
- 4 Increased costs due to environmental issues
- 6 Changes initiated by the Corps
- 1 Changes initiated by the local sponsor
- 4 Other (Please specify)

35. Which of the following impacts, if any, resulted from the project being canceled or put on hold during, or at the end of, the feasibility phase? (Check all that apply.)

- 5 No impact
- 5 All plans for the project were terminated
- 2 Began new study
- 6 Scope of study changed
- 5 Additional costs for the planning phase were incurred
- 5 Additional costs for the remainder of the project were incurred
- 3 Economic loss to community
- 4 Turned to alternative sources for assistance
- 3 Local sponsor continued study or began construction without the Corps
- 4 Missed the legislative authorization/appropriation cycle
- 4 Other (Please specify)

36. Has the local sponsor pursued alternative means to address their needs? (Check one.)

- 32 Yes
- 49 No
- 2 Missing

37. How satisfied or dissatisfied is the local sponsor with the relationship between the Corps and the local sponsor during the feasibility phase? (Check one.)

- 25 Extremely satisfied
- 45 Generally satisfied
- 8 Neither satisfied nor dissatisfied
- 4 Generally dissatisfied
- 1 Extremely dissatisfied
- 0 Missing

38. How satisfied or dissatisfied is the local sponsor with the results of the feasibility phase to date? (Check one.)

- 13 Extremely satisfied
- 44 Generally satisfied
- 13 Neither satisfied nor dissatisfied
- 10 Generally dissatisfied
- 2 Extremely dissatisfied
- 1 Missing

39. Did the local sponsor feel like an equal or subordinate partner with the Corps during the feasibility phase of this project? (Check one.)

- 40 Equal partner
- 35 Somewhat subordinate
- 7 Very subordinate
- 1 Missing

40. Has the local sponsor received a copy of the Corps of Engineers' Sponsors' Information Kit? (Check one.)

- 19 Yes
 - 35 No
 - 27 Don't know
 - 2 Missing
- } SKIP TO Q. 42

41. How helpful, if at all, has the information kit been for the local sponsor? (Check one.)

- 2 Extremely helpful
- 7 Very helpful
- 4 Moderately helpful
- 4 Somewhat helpful
- 2 Little or no help
- 0 Missing

42. If you would like to comment or elaborate on any answers to prior questions, the working relationship between the Corps of Engineers and the local sponsor, or the policies and procedures in effect during the feasibility phase of the project please do so below or on the back of this sheet.

- 30 With comments

SECTION 4

AGGREGATE RESPONSES FOR PROJECTS

IN THE PRECONSTRUCTION ENGINEERING

AND DESIGN PHASE OR IN THE CONSTRUCTION PHASE

This section contains a summary of responses to key questions and the aggregated responses for projects that (1) were ongoing in the PED phase or the construction phase, or (2) had been put on hold or terminated while in one of these two phases, or (3) had completed the construction phase.

Of the 366 questionnaires that we sent out, 301 were returned. We excluded 20 questionnaires that did not meet the above criteria. The return rate for 281 of 346 questionnaires was 81 percent.

PED AND CONSTRUCTION PHASES SUMMARY

While the PED and construction phases involve sharing costs and work necessary to accomplish the project, 104 of the 281 respondents, or 37 percent, said that they felt like "equal" partners with the Corps during these phases; 165, or 59 percent, said that they felt "somewhat" or "very" subordinate partners to the Corps.

Of the 281 respondents, 221, or 79 percent, said that their input had "very great," "great," or "moderate" impact on key project decisions made by the Corps, while 56, or 20 percent, said that they had "some" or "little or no" impact.

In the PED and construction phases, 83 of 144, or 58 percent, of the respondents who had signed a cost-sharing agreement, called a Local Cooperation Agreement, with the Corps for their projects expressed concern with the signing process or contents of the agreement, ranging from "very great" to "moderate." Concerns cited most frequently were the total project cost; changes in the agreement due to reviews by varying levels of Corps management; not knowing what was negotiable; management of lands, easements, rights-of-way, relocations, and dredged material disposal area activities; and calculation of the cost-sharing formula. Of the 106 sponsors who had at least "some" concern with the agreement or the signing process, 49, or 46 percent, said the Corps had made a "very great" or "great" effort to address the concerns.

Of the 131 respondents whose projects had started or completed the construction phase, 29, or 22 percent, said that they were having "very great" to "moderate" difficulty meeting their share of the construction costs.

For the 123 PED or construction phase projects that were terminated or put on hold, the reasons cited most frequently by the sponsors for these actions were lack of financial capability, Corps budget and project policies, and/or local political issues.

In the questionnaire that follows, the number next to each answer is the actual number of responses made. The number of respondents leaving a question blank is shown by the term "missing."



Survey of Sponsors of Water Projects in the Preconstruction, Engineering, and Design (PED) or Construction Phases

The U.S. General Accounting Office, an agency that evaluates federal programs for Congress, is conducting a review of the cost sharing provisions of the 1986 Water Resources Development Act. This review is being conducted at the request of the Committee on Environment and Public Works, U.S. Senate. As a part of this review we are surveying local sponsors of U.S. Corps of Engineer water projects to obtain their views on the cost sharing requirements and their new relationship with the Corps.

For this survey we are asking about conditions during the preconstruction, engineering and design (PED) or construction phases of your project. We obtained basic information about this project, including its status as of June 30, 1990, from the Corps. You are being surveyed only if your project is currently in the PED or construction phases, the project was put on hold or terminated while in the PED or construction phases, or the construction phase has been completed.

On this questionnaire please respond only for the project listed on the label at right. If your organization is acting as a local sponsor for another project, you will likely receive a separate questionnaire for that project. We are also surveying sponsors with projects in other phases with other versions of this questionnaire.

Your response is extremely important to enable us to obtain an accurate picture for the Congress of local sponsors' views on cost sharing and their relationship with the Corps. Please mail the completed questionnaire in the enclosed self-addressed business-reply envelope within 10 days of receipt if possible.

If you have any questions please call Ms. Elizabeth Reid at (503) 235-8500 or Mr. John Scott at (202) 634-7499. If the business-reply envelope is missing or has been misplaced, please return the questionnaire to the following address:

U.S. General Accounting Office
Attn: Elizabeth Reid
Room 4476
441 G St., N.W.
Washington, DC 20548

Thank you for your assistance.

This questionnaire should be answered with regard to the following project. If necessary, please correct any incorrect information in the label.

**IF YOU HAVE ANY DOUBT ABOUT THE
IDENTITY OF THE PROJECT LISTED ABOVE,
PLEASE CALL ELIZABETH REID AT THE ABOVE
NUMBER FOR CLARIFICATION.**

1. Has the preconstruction, engineering and design (PED) phase been started for this project? (Check one.)

278 Yes

0 No → STOP! Please return the questionnaire to us now

3 Missing

2. Which of the following activities, if any, has the local sponsor actively been involved in during the PED and construction phases of this project? (Check all that apply.)

23 Not involved in PED phase

29 Not involved in construction phase

95 Provided in-kind services

223 Participated in design or construction briefings or project management meetings with the Corps

28 Approved/Signed project management reports

96 Attended project review board meetings

165 Participated in issue resolution conferences with the Corps

162 Coordinated involvement with other state and federal agencies

81 Negotiated mitigation efforts with other state/federal agencies

30 Other (Please specify)

3. To the best of your knowledge, how much impact, if any, did the local sponsor's input have on the key project decisions made by the Corps? (Check one.)

37 Very great impact

96 Great impact

88 Moderate impact

33 Some impact

23 Little or no impact

4 Missing

4. Did the Corps answer the sponsor's information requests promptly? (Check one.)

76 Always yes

144 Generally yes

38 Half the time yes and half the time no

14 Generally no

1 Always no

8 Missing

5. Did the Corps answer the sponsor's information requests directly or substantively? (Check one.)

75 Always yes

155 Generally yes

35 Half the time yes and half the time no

10 Generally no

0 Always no

6 Missing

6. How consistent or inconsistent was the information provided by the Corps staff with the final decisions and policies the Corps carried out? (Check one.)

- 84 Very consistent
- 137 Generally consistent
- 37 Neither consistent nor inconsistent
- 11 Generally inconsistent
- 2 Very inconsistent
- 10 Missing

7. Has a Corps Life Cycle project manager, a single project manager to coordinate and manage all phases of each project, been assigned to your project? (Check one.)

- 204 Yes
- 38 No → SKIP TO Q. 9
- 35 Don't know
- 4 Missing

8. How much assistance, if any, has the Corps life cycle project manager offered in developing good working relationships between the local sponsor and the Corps? (Check one.)

- 66 Very great assistance
- 81 Great assistance
- 41 Moderate assistance
- 11 Some assistance
- 5 Little or no assistance
- 0 Missing

9. How adequate or inadequate is the information provided by the Corps on the costs of the project for the local sponsors needs? (Check one.)

- 64 Very adequate
- 145 Generally adequate
- 32 Neither adequate nor inadequate
- 22 Generally inadequate
- 12 Very inadequate
- 6 Missing

10. Were or will state level funds be used to directly pay for any portion of the project? (Check one.)

- 144 Yes
 - 109 No
 - 24 Don't know
 - 4 Missing
- } SKIP TO Q. 12

11. Do any of the states involved in funding this project have any constitutional or legal restrictions that limit the multi-year obligation of funds? (Check one.)

- 50 Yes
- 54 No
- 39 Don't know
- 1 Missing

12. Were or will local level funds be used to directly pay for any portion of the project? (Check one.)

- 205 Yes
- 57 No
- 11 Don't know
- 8 Missing

} SKIP TO Q. 14

13. Do any of the localities involved in funding this project have any legal restrictions that limit the multi-year obligation of funds? (Check one.)

- 46 Yes
- 119 No
- 39 Don't know
- 1 Missing

14. To the best of your knowledge, how much impact, if any, did the local sponsor's input have on the design of the project? (Check one.)

- 42 Very great impact
- 86 Great impact
- 79 Moderate impact
- 39 Some impact
- 28 Little or no impact
- 7 Missing

15. To what extent, if any, does the project, as designed, address the local sponsor's needs? (Check one.)

- 87 Very great extent
- 138 Great extent
- 35 Moderate extent
- 10 Some extent
- 4 Little or no extent
- 7 Missing

16. How aware, if at all, was the local sponsor of design alternatives for the project? (Check one.)

- 68 Extremely aware
- 118 Very aware
- 48 Moderately aware
- 17 Somewhat aware
- 12 Little or no awareness
- 11 No design alternatives
- 7 Missing

} SKIP TO Q. 19

17. To what extent, if any, was the local sponsor consulted about preferences on possible design alternatives? (Check one.)

- 50 Very great extent
- 105 Great extent
- 56 Moderate extent
- 28 Some extent
- 11 Little or no extent
- 1 Missing

18. How open, if at all, did the Corps seem to be to alternatives and/or preferences proposed by the local sponsor? (Check one.)

- 50 Extremely open
- 92 Very open
- 63 Moderately open
- 24 Somewhat open
- 22 A little or not at all open
- 0 Missing

19. How open or reluctant was Corps staff to share technical information on the project design with the local sponsor? (Check one.)

- 115 Very open
- 111 Generally open
- 36 Neither open nor reluctant
- 8 Generally reluctant
- 5 Very reluctant
- 6 Missing

20. Approximately how many months did the Corps take to perform the PED phase for this project? If PED has not been completed yet, how many months have passed to date? (Enter Number.)

Mean=43.1, Min=0, Max=644 Months

21. How much of a problem, if any, did the amount of time taken by the Corps for the PED phase cause for the sponsor? (Check one.)

- 22 Very great problem
- 16 Great problem
- 52 Moderate problem
- 50 Some problem
- 132 Little or no problem → SKIP TO Q. 23
- 9 Missing

22. Which of the following impacts, if any, resulted from the amount of time taken for the PED phase? (Check all that apply.)

- | | |
|----------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|
| <u>6</u> No impact | <u>45</u> Local sponsor budget constraints/deadline problems |
| <u>54</u> Additional project design work took place | <u>11</u> Missed the authorization/appropriation cycle |
| <u>71</u> Potential problems were discovered and/or resolved | <u>42</u> Turnover of Corps staff managing this project |
| <u>43</u> More time was needed for the PED phase than originally agreed upon | <u>36</u> Scope of work increased |
| <u>45</u> More time will be needed for the remainder of the project than originally expected | <u>5</u> Scope of work decreased |
| <u>39</u> More time will be needed for the total project than necessary | <u>36</u> Lands, easements, rights of way, relocations, or dredged material disposal area (LERRD) problems |
| <u>29</u> Costs for the PED phase exceeded agreed upon budget | <u>14</u> Opportunities for beneficial coordination of the project with other local projects or financial conditions was lost. |
| <u>67</u> Estimated costs of construction will be higher than originally expected | <u>31</u> Other (Please specify) |
| <u>41</u> Problems with signing the Local Cooperation Agreement | |

23. Was the project ever put on hold or terminated during, or at the end of, the PED phase? (Check one.)

- 96 Yes, put on hold
8 Yes, terminated
172 No → SKIP TO Q. 27
5 Missing

24. Did the Corps or the local sponsor make the decision to terminate the project or put it on hold during, or at the end of, the PED phase? (Check one.)

- 44 Completely decided by the Corps
- 7 Decided by the Corps with some input from the local sponsor
- 19 Decided equally by the Corps and the local sponsor
- 14 Decided by the local sponsor with some input from the Corps
- 14 Completely decided by the local sponsor
- 6 Missing

25. Which of the following reasons, if any, describe why the project was terminated or put on hold, during, or at the end of, the PED phase? (Check all that apply.)

- | | |
|------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|
| <u>2</u> Corps reasons not given | <u>13</u> Federal laws |
| <u>28</u> Lack of local sponsor's financial capability | <u>10</u> Local/State laws |
| <u>8</u> Locality unwilling to cost share | <u>19</u> Disagreements among various Corps Headquarters, Division, or District officials |
| <u>8</u> Scope of project beyond local sponsor's needs | <u>23</u> Local political issues |
| <u>8</u> Disagreement among local sponsors | <u>8</u> Increased environmental mitigation costs |
| <u>14</u> Lands, easements, rights of way, relocations or disposal of dredged material area problems | <u>8</u> Disagreements on what constitutes betterments |
| <u>15</u> Local Cooperation Agreement issues | <u>8</u> Unilateral design changes made by the Corps |
| <u>5</u> Benefit cost ratio less than 1.00 | <u>3</u> Unilateral design changes made by the local sponsors |
| <u>24</u> Corps budget policies | <u>18</u> Changes in national economic or political circumstances |
| <u>23</u> Corps project policies | <u>35</u> Other (Please specify) |

26. Which of the following impacts, if any, resulted from the project being canceled or put on hold during, or at the end of, the PED phase? (Check all that apply.)

- 15 No impact
- 5 All plans for the project were terminated
- 7 Local sponsor continued project without Corps
- 27 More design work was done
- 33 Scope of project changed
- 36 Additional costs for the design phase were incurred
- 29 Additional costs for the remainder of the project were incurred
- 24 Economic loss to community
- 3 Turned to other alternative sources for assistance
- 11 Missed the authorization/appropriation cycle
- 18 Other (Please specify)

27. Has the PED phase been completed for this project? (Check one.)

- 185 Yes
- 92 No → SKIP TO Q. 60
- 4 Missing

28. Has the local sponsor signed a Local Cooperation Agreement for this project? (Check one.)

- 144 Yes
- 40 No → SKIP TO Q. 33
- 1 Missing

29. Which of the following issues, if any, caused problems in the negotiations of the Local Cooperation Agreement (LCA)? (Check all that apply.)

- 52 No problems during negotiations
- 25 Acquisition of real estate had to be started well in advance of final commitments of the LCA
- 29 Calculation of cost sharing formula
- 36 Headquarters review of the cost sharing agreement took too long
- 25 Division review of the cost sharing agreement took too long
- 15 District review of the cost sharing agreement took too long
- 41 Changing Corps policies
- 36 Changing Corps rules and regulations
- 25 Other (Please specify)

30. How much of a concern, if any, did the local sponsor have with the contents of the LCA or the process that led to its signing? (Check one.)

- 23 Very great concern
- 23 Great concern
- 37 Moderate concern
- 23 Some concern
- 37 Little or no concern → SKIP TO Q. 33
- 1 Missing

31. Which of the following aspects of the LCA, if any, caused the local sponsor concern? (Check all that apply.)

- | | |
|----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|
| <u>45</u> Total project cost | <u>0</u> Certificate of Lobbying |
| <u>27</u> Minimum cost sharing requirements | <u>24</u> Hold and Save Clause |
| <u>34</u> Calculation of cost sharing formula | <u>12</u> Requirement for further Congressional authorization of projects with cost overruns (902 cap) |
| <u>30</u> Construction schedule, phasing, or management | <u>17</u> Lack of a clause capping costs, except for the 902 cap |
| <u>37</u> Management of lands, easements, rights of way, relocations, or dredged material disposal area (LERRD) activities | <u>18</u> Cost of betterments |
| <u>17</u> LERRD schedule | <u>20</u> Hazardous and toxic waste requirements |
| <u>20</u> Credit for in-kind services during construction | <u>30</u> Lack of Corps negotiating authority |
| <u>30</u> Funding mechanisms | <u>41</u> Not knowing what was negotiable |
| <u>13</u> Frequency of withdrawals from escrow account | <u>7</u> Termination and suspension clauses |
| <u>4</u> Selection of relocation appraiser | <u>10</u> Audit requirements |
| <u>10</u> Reporting of construction progress | <u>11</u> Lack of local sponsor construction management or provision of services |
| <u>14</u> Reporting changes in construction costs | <u>40</u> Changes in LCA due to reviews by varying levels of Corps officials |
| <u>26</u> Coordination between local sponsor and Corps | <u>31</u> Failure to recognize the legal limitations of local sponsors concerning the obligation of funds |
| <u>17</u> Requirement of specific authorization for creditable work | <u>18</u> Other (Please specify) |
| <u>5</u> Interest rate | |
| <u>4</u> Certification of authority | |

32. What level of effort, if any, did the Corps make to address the concerns expressed by the sponsor? (Check one.)

- 7 Very great effort
- 42 Great effort
- 39 Moderate effort
- 9 Some effort
- 7 Little or no effort
- 2 Missing

34. How much of a problem, if any, has the local sponsor had with their LERRD responsibilities? (Check one.)

- 8 Very great problem
- 14 Great problem
- 40 Moderate problem
- 33 Some problem
- 82 Little or no problem → SKIP TO Q. 36
- 8 Missing

33. When was the local sponsor made aware that they would be expected to provide lands, easements, rights of way, relocations, or dredged material disposal areas (LERRD) and share project construction costs? (Check one.)

- 89 At the beginning of the reconnaissance study
- 2 At the end of the reconnaissance study
- 22 At the beginning of the feasibility phase
- 12 At the end of the feasibility phase
- 24 At the beginning of the PED phase
- 9 At the end of the PED phase
- 24 Other (Please specify)
- 3 Missing

35. Which of the following problems, if any, arose with the local sponsor's LERRD responsibilities. (Check all that apply.)

- | | |
|--------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
| <u>28</u> Unrealistic acquisition schedules | <u>18</u> Land title or easement requirements are not clear or consistent |
| <u>14</u> Unrealistic schedules for LERRD requirements | <u>3</u> Erosion control benefits are not included |
| <u>27</u> Corps staff are not identifying right of way requirements in sufficient time to acquire land for the construction start up dates | <u>5</u> Value and credit indexes |
| <u>30</u> Ability/Inability to acquire lands prior to signing of LCA | <u>1</u> No credit for land subject to navigational servitude |
| <u>17</u> Required real estate was undervalued in the Corps planning reports | <u>6</u> Corps real estate branch was unresponsive |
| <u>5</u> Inadequate Corps guidance for appraisals on land already owned | <u>11</u> Disagreements between Corps real estate branch and approved appraisers |
| <u>8</u> Inadequate or unclear Corps guidance on real estate procedural requirements | <u>2</u> Requiring local sponsors to supply construction fill not credited towards their cost share |
| <u>8</u> Delay by Corps in reviewing appraisals for land acquisition | <u>26</u> Difficulty in locating and acquiring disposal sites |
| | <u>40</u> Other (Please specify) |

36. What was the value of LERRD credits requested by the local sponsor, to the nearest thousand dollars. (Enter Amount.)

Mean=\$4,169,700 Min=\$0 Max=\$85,000,000

37. Is the Corps disallowing any LERRD credits requested by the local sponsor? (Check one.)

- 19 Yes
- 145 No → SKIP TO Q. 40
- 21 Missing

38. To the best of your knowledge, what is the value of denied LERRD credits to the nearest thousand dollars. (Enter Amount.)

Mean=\$5,344,500 Min=\$10,000 Max=\$54,060,000

39. What reasons, if any, did the Corps use to deny LERRD credits? (Check all that apply.)

- 1 No reason given
- 6 Corps did not approve certain LERRD segments
- 8 Corps policy
- 8 Other (Please specify)

40. Is the Corps disallowing any other expected credits requested by the local sponsor? (Check one.)

- 148 No
- 12 Yes → PLEASE SPECIFY IN SPACE BELOW
- 25 Missing

41. Has the construction phase been started for this project? (Check one.)

- 69 Yes, still under construction
- 62 Yes, completed construction
- 53 No → SKIP TO Q. 60
- 1 Missing

42. How much difficulty, if any, did/is the sponsor having meeting the requirement for payment of their share of the construction costs? (Check one.)

- 5 Very great difficulty
- 5 Great difficulty
- 19 Moderate difficulty
- 14 Some difficulty
- 85 Little or no difficulty
- 3 Missing

43. How much of a problem, if at all, is the requirement that local sponsor's construction funds be obligated prior to actual expenditure? (Check one.)

- 9 Very great problem
- 11 Great problem
- 22 Moderate problem
- 22 Some problem
- 63 Little or no problem
- 4 Missing

44. To the best of your knowledge, how much impact, if any, did the local sponsor's input have on the key decisions during the construction of this project? (Check one.)

- 16 Very great impact
- 35 Great impact
- 35 Moderate impact
- 23 Some impact
- 17 Little or no impact
- 4 Local sponsor provided no input
- 1 Missing

45. To what extent, if any, does the project, as constructed or under construction, address the local sponsor's needs? (Check one.)

- 54 Very great extent
- 56 Great extent
- 13 Moderate extent
- 6 Some extent
- 1 Little or no extent
- 1 Missing

46. What was the original estimate of the local sponsor's share of the construction phase cost, furnished to the local sponsor when the LCA was signed, to the nearest thousand dollars? (Enter Amount.)

Mean=\$10,386,600 Min=\$0 Max=\$227,000,000

47. What is the current estimate or was the final cost of the local sponsor's share of the construction phase to the nearest thousand dollars? (Enter Amount.)

Mean=\$11,972,800 Min=\$0 Max=\$427,000,000

→If this amount agrees with the original estimate entered above SKIP TO Q. 49

48. In your opinion, which of the following, if any, contributed to the change in construction phase cost estimate?
(Check all that apply.)

- | | |
|----------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------|
| <u>45</u> Corps cost estimates were too high or too low | <u>11</u> Additional work required as a result of meetings and/or issue resolution conferences with Corps headquarter officials |
| <u>33</u> Change in scope of work | <u>3</u> Changes in legislation |
| <u>13</u> Change in the schedule for completing tasks | <u>11</u> Contractor problems |
| <u>4</u> Single bid (no competitive bids) | <u>11</u> Delay because of authorization/appropriation cycle |
| <u>9</u> Other bidding problems/delays | <u>3</u> Project put on hold |
| <u>7</u> Weather delays | <u>25</u> Design problems or unanticipated field problems |
| <u>1</u> Unexpected hazardous or toxic waste discoveries | <u>7</u> Unilateral changes imposed by the Corps |
| <u>2</u> Hazardous or toxic waste testing/studies | <u>3</u> Unilateral changes imposed by the local sponsor |
| <u>5</u> Other environmental study requirements | <u>20</u> Other (Please specify) |
| <u>7</u> Change in Corps policies | |
| <u>9</u> Corps headquarters review | |

49. To the best of your knowledge, did the Corps inform the sponsor of the potential for construction phase costs to change? (Check one.)

- 71 Definitely yes
42 Probably yes
6 Probably no
1 Definitely no
11 Missing

50. How adequate or inadequate is the information provided by the Corps on the costs of the construction phase to satisfy the needs of the sponsor? (Check one.)

- 32 Very adequate
64 Generally adequate
15 Neither adequate nor inadequate
7 Generally inadequate
7 Very inadequate
6 Missing

51. Have any unanticipated cost increases or decreases occurred during the construction phase? (Check one.)

- 54 Yes, unanticipated increases
- 11 Yes, unanticipated decreases
- 50 No unanticipated increases or decreases
- 10 Don't know/don't remember
- 6 Missing

52. Has cost accounting begun for this project to date? (Check one.)

- 72 Yes
- 48 No → SKIP TO Q. 56
- 11 Missing

53. To what extent, if any, did cost accounting procedures cause disagreements on the distribution of construction phase costs? (Check one.)

- 0 Very great extent
- 2 Great extent
- 9 Moderate extent
- 7 Some extent
- 48 Little or no extent
- 6 Missing

54. To what extent, if any, did the Corps identify cost accounting requirements before the audit phase? (Check one.)

- 5 Very great extent
- 17 Great extent
- 12 Moderate extent
- 11 Some extent
- 22 Little or no extent
- 5 Missing

55. How much of a problem, if any, is the local sponsor having in securing audit approval of the local expenditures? (Check one.)

- 21 Have not reached audit phase yet
- 1 Very great problem
- 3 Great problem
- 7 Moderate problem
- 1 Some problem
- 33 Little or no problem
- 6 Missing

56. Was the project ever put on hold or terminated during the construction phase? (Check one.)

- 19 Yes
- 108 No → SKIP TO Q. 60
- 4 Missing

57. Did the Corps or the local sponsor make the decision to terminate the project or put it on hold during, or at the end of, the construction phase? (Check one.)

- 6 Completely decided by the Corps
- 5 Decided by the Corps with some input from the local sponsor
- 4 Decided equally by the Corps and the local sponsor
- 1 Decided by the local sponsor with some input from the Corps
- 1 Completely decided by the local sponsor
- 2 Missing

58. Which of the following reasons, if any, describe why the project was terminated or put on hold during the construction phase? (Check all that apply.)

- | | |
|-------------------------------------------------------|------------------------------------------------------------------|
| <u>0</u> Corps reasons not given | <u>0</u> Unilateral decision by the local sponsor |
| <u>2</u> Lack of local sponsor's financial capability | <u>2</u> Corps budget policies |
| <u>1</u> Locality unwilling to cost share | <u>2</u> Corps project policies |
| <u>0</u> Disagreement among local sponsors | <u>5</u> Federal laws |
| <u>2</u> Local political issues | <u>1</u> Local/State laws |
| <u>3</u> LERRD problems | <u>0</u> Changes in national economic or political circumstances |
| <u>0</u> Hazardous/Toxic waste problems | <u>3</u> Unanticipated engineering problems |
| <u>2</u> No agreement on design or scope of project | <u>2</u> Necessary equipment not available |
| <u>1</u> Local Cooperation Agreement issues | <u>1</u> Increased environmental costs |
| <u>3</u> Unilateral decision by the Corps | <u>2</u> Litigation by local groups |
| | <u>10</u> Other (Please specify) |

59. Which of the following impacts, if any, resulted from the project being canceled or put on hold during the construction phase? (Check all that apply.)

- 3 No impact
- 1 All work on the project was terminated
- 0 New project was planned
- 5 Change in scope of the project
- 6 Additional costs for the construction phase were incurred
- 6 Additional costs for the remainder of the project were incurred
- 5 Economic loss to community
- 2 Missed the authorization/appropriation cycle
- 7 Other (Please specify)

60. Has the local sponsor pursued alternative means to address their needs? (Check one.)

- 112 Yes
- 149 No
- 20 Missing

61. Did the local sponsor feel like a equal or subordinate partner with the Corps during the PED and construction phases of this project? (Check one.)

- 104 Equal partner
- 119 Somewhat subordinate
- 46 Very subordinate
- 12 Missing

62. Has the local sponsor received a final copy of the Corps of Engineers Sponsors' Information Kit? (Check one.)

- 64 Yes
- 147 No → SKIP TO Q. 64
- 61 Don't know
- 9 Missing

63. How helpful, if at all, has the information kit been for the local sponsor? (Check one.)

- 8 Extremely helpful
- 22 Very helpful
- 13 Moderately helpful
- 11 Somewhat helpful
- 7 Little or no help
- 3 Missing

64. If you would like to comment or elaborate on any answers to prior questions, the working relationship between the Corps of Engineers and the local sponsor, or the policies and procedures in effect during the PED or construction phases of the project please do so below or on the back of this sheet.

- 123 With comments

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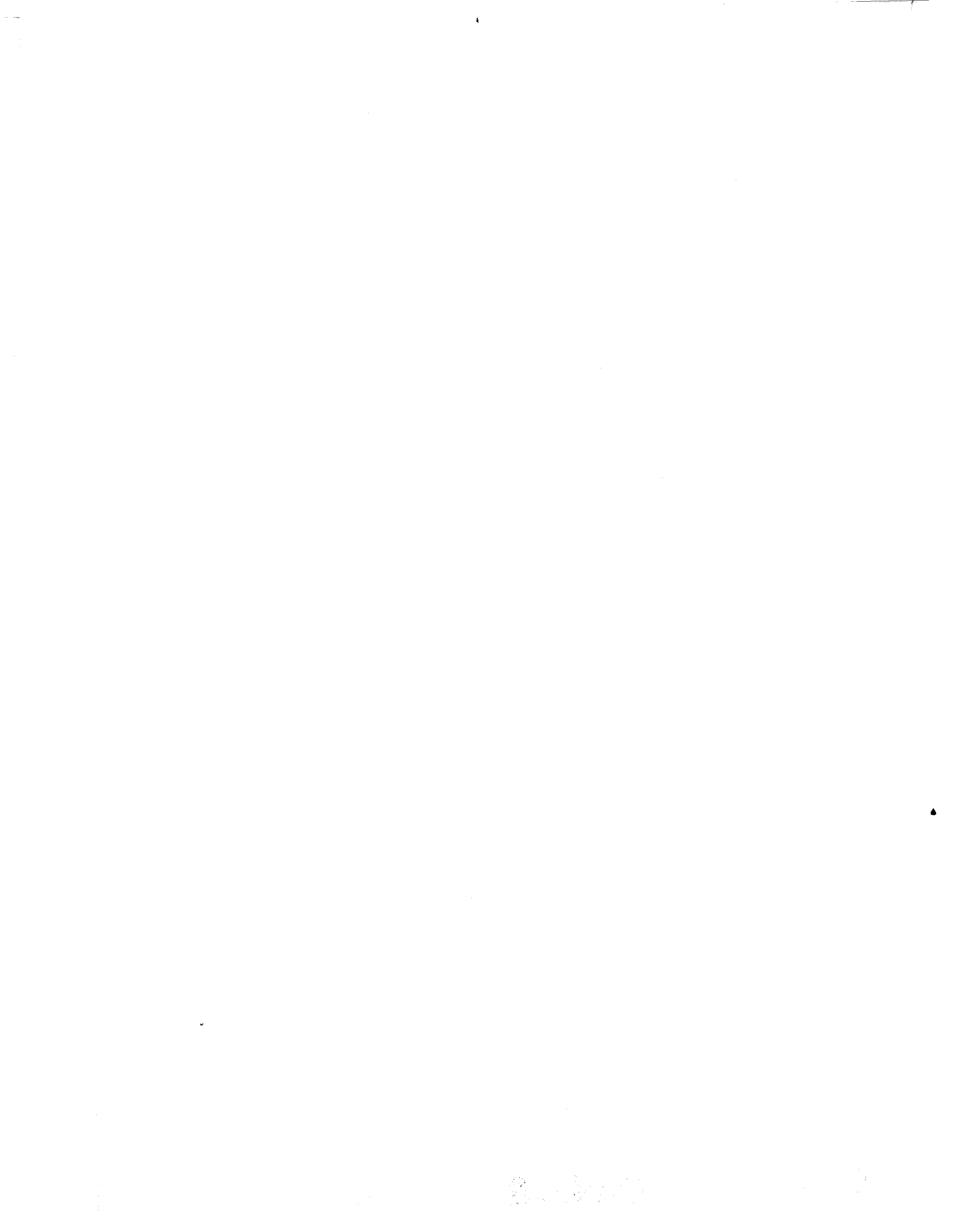
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