Background and Purpose of the Following Draft Policy

This Reclamation Manual (RM) Policy, *Water and Related Resources Planning* (CMP P09), documents Reclamation’s internal framework for water and related resources planning to meet present and future needs.

The goal of preparing this new RM Policy document and providing stakeholders with the opportunity to comment on it in draft form is to enhance common understanding of how Reclamation accomplishes water and related resources planning, from conceptualization to initiation of construction and enhance working relationships with our project partners. This will make planning more responsive to project sponsors, more consistent Reclamation-wide and thus more effective.

The RM is used to clarify program responsibility and authority and to document Reclamation-wide methods of doing business. All requirements in the RM are mandatory.

See the following pages for the draft Policy.
Subject: Water and Related Resources Planning

Purpose: To establish the framework for conducting water and related resources planning. The benefit of this Policy is a consistent, systematic, and efficient framework that describes how the Bureau of Reclamation accomplishes water and related resources planning.


Approving Official: Commissioner

Contact: Director, Policy and Administration (Policy) (84-50000)

1. Introduction. Planning that addresses problems and opportunities in water and related resources is a key element of Reclamation’s mission. The chief function of planning is to provide well-informed decisions or recommendations, which is primarily accomplished through planning studies authorized under Federal Reclamation law (Act of June 17, 1902, 32 Stat. 338, as amended and supplemented). This Policy establishes Reclamation’s responsibilities for conducting planning activities affecting water and related resources,

1Reclamation’s mission is to manage, develop, and protect water and related resources in an environmentally and economically sound manner in the interest of the American public.
including new structures or facilities, and the repairs, renovations, replacements, or re-
operation of existing structural assets. Appendix A presents an overview of the water
resources planning, design and construction and operation and maintenance (O&M) process.

2. **Applicability.**

   A. This Policy applies to Reclamation personnel involved in identifying, preparing,
   reviewing, approving, and implementing water and related resources planning activities
   under the following scenarios:

   1. When legislative authorization is required for a newly proposed project,
   significant modifications to an existing project’s plan of development or
   operations, or if required under the Principles, Requirements, and Guidelines for
   Water and Land Related Resources Implementation Studies (PR&G).

   2. Non-routine O&M activities that meet the definition of major rehabilitation and
   replacement (MR&R) activities under Reclamation Manual (RM) Directive and
   Standards (D&S), Planning for MR&R of Existing Assets (CMP 09-04).

   B. This policy does not apply to:

   1. Non-water resources planning related activities, including, but not limited to,
   security and emergency management.

   2. Analysis and planning for Safety of Dams (SOD) modifications performed in
   accordance with RM Policy, Decisions Related to Dam Safety Issues (FAC P02); D&Cs,
   Reclamation Dam Safety Program (FAC 06-01), Safety of Dams
   Modification Reports for Submission to the Congress (FAC 06-03); Temporary
   Release, Developing Additional Project Benefits in Conjunction with a Safety of
   Dams Modification Project (FAC TRMR-95); and the Handbook for Economic
   Analysis of Dam Safety Modifications (Reclamation 2015).

   3. Indian Water Rights Settlements, which are exempt from the requirements of the
   PR&G per the DOI ASP².

   4. Planning activities carried out under WaterSMART; those activities are subject to
   program-specific content and review requirements set forth in RM D&S Drought
   Response Program (WTR 10-01), RM D&S Title XVI Water Reclamation and
   Reuse Program and Desalination Construction Program Feasibility Study Review

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² Indian Water Rights Settlements are governed by an equivalent pathway, the Criteria and Procedures for the
3. **Policy.** Reclamation will conduct water and related resources planning in accordance with applicable Federal law, Executive Orders, Departmental Policy, State law, and the requirements outlined in this Policy and related RM releases.\(^3\)

4. **Stakeholder Involvement.** Reclamation will coordinate, collaborate, and consult, as applicable with interested and affected federal, state, tribal, and local entities, and other stakeholders throughout the planning process using the process described in RM Policies, *Communication and Collaboration with Customers and Stakeholders Related to the Bureau of Reclamation’s Mission* (CMP P08), and *Public Involvement in Bureau of Reclamation Activities* (CMP P03), and other relevant laws, regulations, and Departmental policies.

5. **Cost Sharing.** Reclamation will enter into cost-sharing agreements with non-Federal cost-sharing partners prior to any expenditure of Federal funds for planning studies, as applicable.\(^4\) All Federal costs for planning potential projects, divisions, units of projects, or operational plans that have not yet been authorized for implementation are non-reimbursable in accordance with the Certain Study Costs Non-Reimbursable Act, October 29, 1971, (Pub. L. 92-149, 85 Stat. 416), unless specified otherwise by project-specific statutes.

6. **Reclamation Planning Group (RPG).** The Policy Director will serve as the executive sponsor of the RPG. Members of the RPG are selected by the appropriate directors, and include a representative from each region, the Technical Service Center, and two representatives from Policy. The RPG charter defines the mission, structure, and membership of the group.

7. **Regional Planning Officer (RPO).** Each regional director will designate a Regional Planning Officer (RPO) to ensure all planning–related activities within their respective regions are conducted consistently with this Policy and applicable D&S, as well as relevant laws and DM releases. The RPOs will advise and inform regional directors about planning-related activities and issues.

8. **Planning Studies.** All planning studies will be overseen and approved by the regional director. These studies will be conducted by a study manager and guided by the RPO and will record findings, conclusions, and recommendations in a planning report. Reports documenting the planning effort for specific activities will provide the rationales to support sound decision making and recommendations. Planning reports will identify and report significant risks and uncertainties so that the degree of reliability of study findings and outcomes is evident. The reporting requirements for the various studies are addressed in the respective D&S located within the RM (see Appendix A).

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\(^3\) The overarching Federal water resources planning policy is contained in the PR&G. Departmental planning requirements are contained in the DOI ASP.

\(^4\) Specific requirements for cost-sharing agreements are provided in the D&S applicable to each specific type of project.
9. **Recordkeeping.** All records generated and maintained as part of the processes described in this Policy will conform with RM D&S, *Information Management* (RCD 05-01).

10. **Definitions.**

   A. **Planning.** The process of investigating solutions to a broad range of water resource-related problems. The planning process involves acquiring and analyzing data, and formulating, evaluating, and recommending alternatives for the management and development of water and related resources.

   B. **Planning Report.** A report describing the results and findings of a planning study.

   C. **Planning Study.** A decision-support process that involves the collection of data and subsequent analyses for the purpose of developing alternative solutions and recommending a course of action. Planning studies involve the consideration of both structural and nonstructural solutions; such as, institutional and legal alternatives, assessing imbalances of water supply and demand, hydropower development, and numerous other authorized water-related purposes, such as environmental enhancement and recreation. Examples of planning studies include preliminary investigations, appraisal studies, feasibility studies, special studies, and other studies with specific requirements as specified in law.

   D. **Reclamation Planning Group.** A committee of planning representatives acting in an advisory and collaborative role, sharing planning expertise and best practices for Reclamation planning, related policy development, and other water and related resources planning activities.

11. **Review Period.** The originating office will review this release every 4 years.
Overview of Water Resources Planning, Design, Construction, and O&M Process Phases Associated with CMP P09

Planning

- Preliminary Investigation
  (CMP 09-05: General Planning Activities)
- Appraisal Study
  (CMP 09-01: Water and Related Resources Appraisal Studies)
- Feasibility Study Authorization
- Feasibility Study
  (CMP 09-02: Water and Related Resources Feasibility Studies)
- Project Authorization & Appropriation

Design & Construction

- Final Design
  (FAC 03-03: Design Activities)
- Solicitation & Contract
- Construction
  (FAC 03-02: Construction Activities)
- Completion
  (FAC 01-05: Completion of a Construction Activity)

Operation & Maintenance

- Review of Operations & Maintenance
  (FAC 03-04: Review of Operation and Maintenance Program Examination of Associated Facilities)
- DEC Review
- Value Engineering Study
- Value Engineering Accountability Report
- Project Management
  (CMP 07-01)
- Environmental Compliance
- Major Rehabilitation and Replacement
  (CMP 09-04: Planning for Major Rehabilitation and Replacement of Existing Assets)
- (CMP TRMR-88: Determination to Suspend an Authorized Construction Activity)

Notes:
1. Dashed rectangle indicates discretionary activity.
2. Appraisal studies may result in a recommendation not to proceed with a feasibility study.
3. Special studies follow a different process and do not result in recommendations to conduct a feasibility study or project authorization (See CMP 09-01).
4. Feasibility studies may result in a recommendation not to seek implementation authorization and terminate in a concluding report (See CMP 09-02).
5. Feasibility studies may recommend a non-structural project alternative, which does not require construction.