Course 032

# PLANNING, PROGRAMMING AND BUDGETING ENVIRONMENTAL QUALITY REQUIREMENTS

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PLANNING AND PROGRAMMING

**INTRODUCTION:** One of the principal responsibilities of an environmental program manager is to identify, develop, track, and execute requirements which directly support program objectives and satisfy regulatory mandates. These program requirements vary from program to program, can occur over a broad spectrum of time, and are delivered using a variety of mechanisms. What they all have in common, however, is the manner in which the funds are obtained to support those requirements, and the process through which the funds are expensed.

The process though which resources (funds) are acquired within the Department of Defense (DoD), and in turn, the Air Force, is known as the planning, programming budgeting and execution (PPBE) system. This complex process consists of a number of distinct phases, with each phase requiring specific actions on the part of installation personnel.

A simplified examination of the PPBE process follows, then a more detailed explanation as it pertains to the programming of an environmental quality (EQ) requirement from the perspective of the installation.

## Environmental Planning, Programming, Budgeting and Execution Process

The Planning, Programming, Budgeting and Execution (PPBE) process for Environmental requirements is accomplished by the Civil Engineering Environmental Flight or Asset Management Flight at the installation and by the Asset Management Division at the MAJCOMs. There are two Environmental programs: Environmental Quality Account (EQA), which includes Compliance, Conservation and Pollution Prevention and the Environmental Restoration Account (ERA). This guidance addresses only the Environmental Quality Account Programs.

All Environmental Quality requirements must be entered into the ACES-PM database by the base CEV/CEA office. Guidance on entering requirements into ACES-PM has been developed Air Force-wide and will be discussed later.

## Planning Phase

Planning is the least specific phase of the PPBE process. It covers requirements identification and programming from 6 to 25 years out. The Planning process is typically a product of OSD (Guidance for the Development of the Force) or the Air Staff (Annual Planning and Programming Guidance) and does not require direct installation CEV input.

## Programming Phase

Programming is more specific than Planning and includes the time period two to six years out. The deliverables for the Programming phase are the Program Objective Memorandum (POM) and Amended Program Objective Memorandum (APOM). The POM occurs every other year and includes FY+2 through FY+7. The APOM occurs the odd years and only includes FY+2 to FY+6. The POM/APOM usually occurs between December and April. Detailed “programming” required by the installations will be discussed later.

**Budgeting Phase**

Budgeting is the next phase of the PPBE process. It encompasses one to two years out. The deliverables for the Budgeting process are the Financial Plan (or Spend Plan) and the Budget Execution Submission (BES). The Financial Plan (FinPlan) occurs between January and April each year and requires installation CEV/CEA input to the MAJCOM. The BES occurs between August and September and does not require Wing CEV/CEA input.

**Execution Phase**

Execution is the last phase of the PPBE process and occurs during the current fiscal year when dollars are actually distributed and executed. The deliverables/systems for the Execution phase are the Base and Command Budget Automated Systems (BBAS and CBAS) and ACES-PM reports. The BBAS and CBAS reports are run by FM and do not require Wing CEV/CEA input. Execution reporting is completed in ACES-PM and by using Discoverer Reports. Funds for environmental requirements are committed at the installations and subsequently obligated. A commitment is an administrative reservation of funds based on a firm procurement request such as a certified copy of an AF Form 9, certified AF Form 616. An obligation is the signed acceptance of a MIPR, issuance of a certified copy of a MORD, or the signed contract/delivery order etc by the contracting officer obligating the government for services. In the case of GPC, the swiping of the card by the vendor constitutes an obligation

**Requirements Development Cycle (Programming Segments)**

Installation "programming" is developing the scope, schedule and budget of the requirement. Installation programming is broken out into six programming "segments." The six programming segments are: Identification, ACES-PM Programming, Validation, Prioritization, Allocation and Advocacy.

**Identification**

Identification of environmental requirements is an installation and MAJCOM responsibility. Installations should ensure that there is a process in place by which regulatory and mission changes are reviewed regularly to determine whether or not new environmental requirements are generated from these changes. Identification requires that the **scope, schedule and budget** of the requirement be determined. Once these three factors are determined, the requirement can be considered "identified":

**Scope: What needs to be done (description of the work) and why (the environmental legal or policy driver, justification)**

**Schedule: When the requirement needs to be accomplished (should relate to the legal driver)**

**Budget: How much the requirement will cost**

The MAJCOM role in identification is to provide policy and guidance to the installation to support their review of regulatory and mission changes. The MAJCOM also reviews programs across the Command and across the MAJCOMs to ensure thoroughness and consistency from installation to installation.

Some tools for identification are ECAMP and regulatory inspections, sampling and analysis results, and infrastructure maintenance records. Installation Program Managers must identify requirements two to six years out. Ensuring that all environmental requirements are identified early in the PPBE cycle is a difficult task. A systematic process which regularly reviews regulator and mission changes is the key to successful requirements identification. A process by which requirements are continually refined and adjusted throughout the PPBE cycle will also help to ensure that all requirements are identified well before an installation is actually out of compliance with a regulatory requirement.

There are three programs within the Environmental Quality Account: Compliance, Conservation and Pollution Prevention. Each program has specific Program Element Codes (PEC) assigned. When identifying requirements, the correct PEC must be determined.

Pollution Prevention: Projects to meet specific compliance requirements through reduction, recycling, or elimination of contaminants or waste streams. Also includes permit elimination, source consolidation, and pro-active operational changes to meet requirements. Projects which target high "compliance burden" sites to proactively reduce costs and liability of otherwise compliant sites and should have a simple payback of 5 years or less

- Examples: eliminating a permit, reducing sources of pollutants to meet discharge standards , aqueous based parts washers, wastewater reclamation, incinerator elimination, hazardous material substitutions and HW recycling

Compliance Projects: Projects to meet specific compliance requirements through corrective actions, infrastructure modifications, control technology, disposal, or end-of-pipe treatment and conduct planning in accordance with the National Environmental Policy Act

- Examples: Environmental Assessments, tank removal, boiler/stack repairs and retrofits, emission control technology, equipment or process changes required to meet new regulations.

Conservation Projects: projects to meet legal requirements to maintain and preserve natural and cultural resources

- Examples: Integrated Natural Resource Management Plans, Archeological Testing, Historic Preservation, T&E Species Surveys and Management

**ACES-PM Programming**

Proper ACES-PM programming is an installation responsibility. It is the process of putting the requirement to paper, or in this case in a database. Several MAJCOMs have developed guidance documents to help installations use this database correctly. Additionally, the Air Force has developed a Standard Titles Matrix to achieve consistency across the Air Force when inputting recurring requirements such as environmental permits and fees, sampling requirements and TDY/training requirements. The Matrix currently has over 100 standard titles.

**Validation**

Validation is a MAJCOM responsibility. An Air Force document called the Validation Matrix was developed to ensure consistent validation across the Air Force. The appropriate MAJCOM A7A Program Manager accomplishes the requirement validation. Additionally, the Air Staff has expanded it's role in validation and is currently, with AFCEE support, line item validating all EQ requirements as well. Validation consists of reviewing and approving the scope, schedule and budget for the requirement as proposed by the installation, IAW the Validation Matrix.

**Prioritization**

Prioritization is an installation and MAJCOM responsibility. Installations use a prioritization risk model as a tool for prioritizing. The model takes into account five factors, Environmental Risk, Mission Risk, Regulatory Implication, Community Concern and Return on Investment, the five factors are numerically scored for each requirement and totaled. The number is used during POM cycles, the requirement actually competes Air Force wide in an Integrated Priorities List process. Additionally, The MAJCOM uses this

number and prioritizes within each Program Element Code (PEC) during the Budgeting and Execution cycles.

**Allocation**

Allocation is a MAJCOM responsibility. It is the process of determining "who gets what", or which requirements are funded and unfunded. Allocation occurs the Budgeting phase in the FinPlan and the Execution year for distribution. Final allocation decisions are made in the beginning of the Execution year when actual dollars are distributed to the installations. Additionally, the MAJCOMs and the Air Staff have developed an Integrated Priorities List (IPL) process that is used during the POM cycle to reallocate total obligating authority (funding) across the MAJCOMs based on the risk prioritization model as stated above.

**Advocacy**

Advocacy is primarily a MAJCOM responsibility, and is done during the POM cycle, the forum for this is an annual "peer review" made up of representatives from the MAJCOMs, the AFCEE and the Air Staff. However, installation level Program Managers and Flight Chiefs should be able to advocate for and defend each and every one of their EQA requirements, including Operations and Services. Advocacy involves justifying requirements and obtaining additional resources to accomplish them. It also involves retaining existing resources during budget cuts and drills. There are many opportunities to advocate.

**DISCLAIMER:** *The opinions and conclusions in this paper are the author's alone and do not necessarily reflect those of the USAF, or the Federal Government.*

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