DEPARTMENT OF THE ARMY
U.S. Army Corps of Engineers
Institute for Water Resources

CEIWR- XO   21 November 2011

MEMORANDUM FOR ALL CEIWR

SUBJECT: Publications Review Policy for the Institute for Water Resources (IWR)

1. PURPOSE:

This document states the policy, principles and general procedures for review, production, and distribution of U. S. Army Corps of Engineers (USACE), Institute for Water Resources (IWR) technical publications.   (This memo supersedes CEWRC-IWR Peer Review Policy Memo dated 19 October 1993.)

2. REFERENCES:

   a. Peer Review Process, CECW-CP Memo, 30 May, 2007

   b. EC 1165-2-209, Civil Works Review Policy, 31 January 2010 (previously EC 1105-2-408, Peer Review of Decision Documents, CECW-CP, 31 May 2005)

   c. EC 1105-2-412, Assuring Quality of Panning Models, 31 March 2011 (previously EC 1105-2-407, Planning Models Improvement Program: Model Certification, CECW-CP, 31 May 2005)

   d. ECB 2007-6, Model Certification Issues for Engineering Software in Planning Studies, CECW-CE, 10 April 2007

   e. Protocols for Certification of Planning Models, July 2007

   f. Final Information Quality Bulletin for Peer Review, Office of Management and Budget, December 16, 2004

   g. Review of HEC Publications and Reports, Memo of Record, 1 May 2007

   h. Peer Review Policy, CEWRC-IWR Memo, 19 October 1993

2. APPLICABILITY

This policy applies to all functional elements of IWR (National Capital Region, Hydrologic Engineering Center and Navigation Data Center) and is effective immediately.

3. BACKGROUND:

The hallmark of the IWR is its development, communication of, and infusion into practice of state-of-the-art methods, models, policy analyses, special studies, and national data and information for strategic planning, planning and evaluation, policy development, performance management , technical engineering (hydrologic and hydraulic, and the geotechnical, structural and other engineering aspects of dam and levee safety) and program management for USACE, other Federal/State agencies, and even international organizations. Therefore, scholarship and publication quality is a foundational imperative of the Institute, and publication quality control among the highest priorities of IWR's program management. Over time, IWR has developed a publication review process that has become integral to meeting this priority. Because of the diversity of IWR products, the review process must be clearly defined, adaptable, timely, cost efficient, and consistent with IWR's mission, goals and objectives.

4. GENERAL POLICY AND PRINCIPLES:

This Review Policy is founded on a peer review process that not only serves publication quality control needs but also sustains organizational excellence by facilitating communication among content specialists, IWR project and program managers, and the IWR Corporate Board. IWR technical leaders, group managers, program/project managers, authors, and subject matter experts have a responsibility to actively participate in this review process in order to assure product quality through informed and timely review. Product review is modeled after approaches used by similar institutions that promote objective development of new information.

The following principles comprise the foundation for IWR's review policy and process:

a. Publication is integral to and a hallmark of IWR's development and dissemination of information consistent with its mission.

b. IWR publications certify the source and accuracy of work accomplishment and, as such, individually recognize the authors and reviewers most responsible.

c. Publication quality is determined by originality, relevance, completeness, accuracy, technical soundness, and understandability for the targeted audience.

d. Ensuring consistent exceptional publication quality requires a clearly defined and dedicated review process that includes expert peer review of subject matter.

e. Reviews need to be effective and efficient; costs should be consistent with breadth of audience served, accuracy demanded, and conclusiveness claimed.

f. Internal content review is required for all public release and precedes external peer review, which is required for broadly influential and conclusive publications.

g. All reviewers need to be selected for their content knowledge, objectivity, conscientiousness, and responsiveness.

5. PUBLICATIONS **NOT** COVERED BY PUBLICATION REVIEW POLICY.

a. **Internal publications** that are intended to inform broadly within IWR only and not made more widely accessible outside IWR. These include issue papers, project management plans, some memoranda of record, and other documents of broad relevance only to IWR personnel. However, project managers, senior technical leaders and/or group managers should ensure the quality of internal publications before dissemination to other IWR employees.

b. **External publications**- Products that are sponsored, published, **and** editorially reviewed by an outside source, provided the review process is similar to IWR's. (The Preliminary Review Form, Attachment 1, should be used to determine if an external publication is exempted from the IWR Publication Review Policy). If there is question as to whether an external publication may be exempted from the IWR Publication Review Policy, the author/PM should complete the Preliminary Review Form (Attachment 1) and submit it to the Managing Editor for a written response.

6. PUBLICATIONS COVERED BY PUBLICATION REVIEW POLICY.

Publications covered by the Publication Review Policy include all products explicitly sponsored or co-sponsored by IWR and intended for unrestricted access outside IWR and include all hardcopy, electronic, video/DVD, and software forms of information officially made public.

7. REVIEW PROCESS

The Review Process varies based on the type of publication involved and include the following:
   a. Abstracts and White Papers (Attachment 2)
   b. Fact Sheets (Attachment 3)
   c. Models and Associated Documentation (Attachment 4)
   d. Technical Reports, manuals, journal articles, books, published symposia, videos, DVD's and widely circulated progress reports (Attachment 5)

Only the last category (Technical Reports, manuals, etc.) requires approval by the IWR Editorial Board (See 9 below) .

If there is a question as to what category a proposed work falls, contact the Managing Editor and/or complete the Preliminary Review Form, (Attachment 1).

8. ROLES AND RESPONSIBILITIES

a. The **IWR Editorial Board,** which convenes as needed throughout the year, is made up of a **Standing Committee** and **Subject Matter Expert Editor(s)** (Attachment 7).

(1) The Standing Committee is responsible for reviewing draft and final documents, providing approval for external review when needed, and/or recommending approval for publication. The Standing Committee includes the following members:

- Managing Editor – The Managing Editor oversees the implementation of the IWR review process to assure quality of publications, develops an annual publication plan in coordination with project managers, plans and manages the IWR publication budget (not project related funds which are managed by the project manager), convenes the Editorial Board, assists in the coordination of the review process, monitors publication process and output, resolves issues and conflicts related to the review process, and assures a timely process. Also provides input to IWR Editorial Board on most adequate means of publication for each publication (e.g. IWR website, Government Printing Office (GPO), nongovernment publishing, etc.).

- Publisher - The IWR publisher is the Director of the IWR. The publisher assures policy is followed and has final approval authority for publications. If needed, the publisher allocates budget for publication editing, review, and production.

- Associate Editors – The Associate Editors represent the offices (i.e., NCR, HEC, NDC, RMC) responsible for the production of the publication and/or where the main author resides.
  - NCR – IWR Senior Manager
  - HEC – Director
  - NDC – Director
  - RMC - Director

- E-publication Editor - Ensures compliance with electronic publication policies and posts publications in website.

(2) **Subject Matter Editors.** The editors assigned to any specific publication are drawn from the IWRs subject matter experts and cadre of Visiting Scholars. The Managing Editor in coordination with the Publisher and the Associate Editor will identify the editor(s) needed to provide the technical skills relevant to each publication and to participate in the Editorial Review Board meeting for that publication.

b. **IWR Corporate Board.** Reviews and approves the annual publication plan and budget. Develops and approves policy and standards to assure quality of publications and adequate review process. The Corporate Board makes final decision on means of publication for each product.

c . **The project managers.** All publications submitted to the Editorial Board for publication must have been reviewed by the project managers and IWR internal reviewers, as identified in the Project Management Plan (PMP). For final publications, external review, if needed, must also have been completed. The project manager, in collaboration with appropriate senior technical leaders, identifies internal and external reviewers and oversees the review process. The project manager ensures that the PMP for a particular effort properly identifies the resources needed to conduct proper review of publications.

d. **The reviewers.** Reviewers are selected by project managers for their knowledge in the publication content area and their independence, objectivity, and responsiveness. For publications requiring Editorial Review Board approval, reviewers can be invited by the project manager to attend the Editorial Review Board meeting.

e. **The sponsors.** Sponsors of reimbursable projects are given review opportunity and publication control as determined in project agreements. They could also be invited to the Editorial Review Board meetings.

9. The Editorial Review Board Process

Editorial Review Board meetings will be convened on an as needed basis prior to publication of technical reports, manuals, journal articles, books, published symposia, videos, DVD's and widely circulated progress reports. The purpose of these meetings is to provide review guidance and approval for final publication. The Author/PM is responsible for contacting the Managing Editor to schedule an Editorial Board Meeting depending on the stage of document development.

- At the preliminary stage, the Author/PM is strongly encouraged to schedule at least one Editorial Review Board meeting to present the proposed work product and to identify internal and external reviewers.

- At the draft stage (80% completion) a meeting with the Editorial Review Board should be scheduled to determine if any additional reviews (subject matter experts) are needed and/or to resolve any issues before publication approval.

- At the final stage, an Editorial Review Board must be scheduled so that the Author/PM can discuss how any/all review comments were considered and how the publication will be reproduced and distributed. While presenting a document at the preliminary stage is highly recommended, only the draft and final stage is required. (Attachment 5)

10. FUNDING

Review and production costs are primarily charged to a project. In specific cases, when funding for a project is not sufficient to cover the expenses of review and production, funds can be set aside by the IWR Director to fund the review process. Project managers should identify funding needs, early in the process of product development, and keep the Director informed of additional funds needed for review.

21 Nov 2011

Robert A. Pietrowsky
Director, Institute for Water Resources

Attachment 1

Preliminary Review Form

Publication Title: _____

Type of Document: _____

Author(s): _____

Reviewer(s):   **Internal** _____

_____

External _____

_____

Target Audience: _____

(HQ, District, Congress, Agencies, Program, Public, etc.)

Sponsor: _____

Estimated Completion Date   _____

Publication Date needed (if applicable)   _____

Attachment 2
Summary of Review Process and Responsibilities
Abstracts and White Papers

Abstracts and white papers are submitted to the project manager for review. If the author is also the project manager, the author's Group Manager or Division Chief will assume the responsibilities of the project manager as described in this paragraph. The project manager submits draft documents to the IWR limited access web site to make them available for comments, informs other IWR personnel with special knowledge in the disciplinary area, and invites comments for author revision. Once revised and approved by the project manager, the publications are moved from review status to publication status on the website. The project manager transmits copies of the approved documents to the Director and informs other IWR personnel of their availability on the website.

Step #	Action	Action Person
1	Submits drafts to project manager (PM) or group manager (GM) for review.	Author
2	Submits draft documents to IWR internal web site for review.	PM or GM [1]
3	Informs other IWR personnel of availability of document for review.	PM or GM
4	Reviews draft document and requests comments from other technical experts.	PM or GM
5	Reviews draft documents.	Technical leaders and subject matter experts
6	Transmits comments to author and PM or GM.	Technical leaders and subject matter experts
7	Coordinates with reviewers for resolution of comments	Author
8	Revises document in response to comments.	Author
9	Transmits final document to PM or GM.	Author
10	Approves final document.	PM or GM
11	Submits final document to IWR website, forwards copy to Director.	PM or GM

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[1] If author is also the project manager, the Group Manager will perform the functions of the project manager.

Attachment 3
Summary of Review Process and Responsibilities
Fact Sheets

Fact sheets are submitted to the project manager for review. As in the case of abstracts and white papers, if the author is also the project manager, the author's Group Manager or Division Chief will assume the responsibilities of the project manager as described in this paragraph. The project manager reviews the fact sheet and transmits comments to the author. The author revises the fact sheet and transmits to the project manager, Program Manager and Senior Manager. The Senior Manager reviews the fact sheet to ensure the proposed/on-going work is consistent with the IWR's mission and vision. The Program Manager reviews the fact sheet to ensure funds are available to meet financial commitments. The author revises the fact sheet, if needed, in response to comments from the Program Manager and Senior manager. The Senior Manager approves the fact sheet. The project manager transmits the fact sheet to the website. The author is responsible for maintaining an updated version of the fact sheet in the website. Changes to the fact sheet will be made in coordination with the project manager and approved by the project manager after coordinating with the Senior Manager.

Step	Action	Action Person
1	Submits fact sheet to project manager (PM) or group manager (GM)	Author
2	Reviews fact sheet and transmits comments to author.	PM or GM
3	Revises fact sheets in response to comments of PM or GM.	Author
4	Transmits revised fact sheet to PM or GM	Author
5	Reviews fact sheet for consistency with IWR's Mission and financial commitments.	PM or GM
6	Approves fact sheet.	Senior Manager
7	Transmits approved fact sheet to IWR website.	PM or GM
8	Maintains fact sheet in website up to date.	Author
9	Ensures fact sheet in website is maintained up to date and approves changes in coordination with senior manager and program manager.	PM or GM

Attachment 4
Summary of Review Process and Responsibilities
Models and Associated Documentation

Planning models developed by the IWR are required to comply with the requirements of the Planning Models Improvement Program (model certification) and the Science, Engineering and Technology (SET) Program. This review process, with emphasis on technical quality, software quality and usability, is independent of the publication content review and does not supplant the need for more comprehensive expert review of content which can be performed concurrently with certification review. It is the responsibility of project managers to assure certification review and approval consistent with publication purpose and content.

Step	Action	Action Person
1	Manages model certification review as part of model development	Author
2	Assures model certification review is adequate and comprehensive	Project manager or Group manager
3	Manages review process for associated documentation[2]	Project manager or Group manager

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[2] Review process and responsibilities for approval of model documentation for publication shall be same as for other publications in item III.

Attachment 5
Summary of Review Process and Responsibilities
Technical Reports, manuals, journal articles, books, published symposia, videos, DVD's and widely circulated progress reports

(Editorial Review Board Approval Required)

The author develops a review plan as part of the PMP and transmits to the project manager for approval. The review plan shall identify the need for internal/external review and suggest potential reviewers, if information is available. The project manager reviews the plan to ensure that it properly identifies the resources needed to conduct an adequate review of the document and that the scope of review is adequate for the type of document. The project manager approves the review plan. *Presenting the review plan to the Editorial Review Board is optional at this time.*

Draft documents are reviewed first by the project manager, who approves in writing, and internal reviewers as identified in the PMP. Once internally reviewed and revised, the project manager provides the draft document to the Managing Editor for scheduling of an Editorial Review Board Meeting. Review Board may suggest additional internal and external reviewers at this time. The project manager manages the review process, including the recruitment of internal and external reviewers. In cases where the project manager is also the author of the publication, the Group Manager or Division Chief will assume the responsibilities of managing the review process. All internal review is to be completed before external review is initiated. Internal review comments are transmitted verbatim to and responded to by the authors, to the satisfaction of the project manager, before the external review is initiated. The author is responsible for coordinating with internal/external reviewers, project manager and technical leaders for the resolution of the comments.

Once the final document is revised to the satisfaction of the authors and the project manager, the document should be submitted to the Managing Editor along with the top half of Technical Report Review Form (Attachment 6) completed. Two weeks from receipt of the final document, the Managing Editor will schedule an Editorial Board Meeting. At that meeting and/or prior to actual publication, the bottom have of the review form will need to signed off by the Managing Editor, Associate Editor, e-Publications Specialist, and Publisher.

The Managing Editor will provide the IWR publication number and submit for publication to the web. Options for reproduction and publication will be discussed.

Step	Action	Action Person	Editorial Review Board Meeting
1	Develops review plan as part of Project Management Plan (PMP) and submits to project manager (PM) or group manager (GM) for review. Identifies internal/external subject matter experts to review document, in accordance with review plan and in coordination with Managing Editor, Associate Editor, and/or Publisher.	Author/Project Manager	Optional
2	Assures that PMP identifies resources needed to conduct proper review. Approves review plan.	PM or GM	
3	Submits draft document to project manager and/or author's group manager for review or notifies project manager or group manager submittal of drafts to external publication editors (for documents to be published by an external organization).	Author	
4	Manages review process. Recruits internal/external peer reviewers and secures review. Reviews draft document.	Author/PM or GM	
5	Reviews draft document at request of author/project manager.	Internal Reviewers	
6	Coordinates with internal reviewers, PM, GM, and senior technical leaders for resolution of comments. Transmits draft document to Managing Editor to schedule Editorial Board meeting (80 % completion stage)	Author	Required
7	Revises draft document in response to comments	Author	
8	Transmits draft document internally reviewed to Managing Editor for Editorial Board meeting	Author	
9	Schedules and facilitates Editorial Board meeting	Managing Editor	Required
10	Approves document for external review* or final publication	Editorial Board	

Attachment 6

IWR TECHNICAL REPORT REVIEW FORM

TITLE:
Author:
Report Number :   **Date:**

REVIEWERS	NAME	DATE
HQ USACE (as applicable)		
Divisions/Districts (as applicable)		
IWR Review (as applicable)		
External review (as applicable)		
Program/Project Manager (required)	_____ Signature	_____ Date
Group Manager (optional)	_____ Signature	_____ Date
Subject Matter Editor (required)	_____ Signature	_____ Date
Managing Editor (required)	_____ Signature	_____ Date
Associate Editor (required)	_____ Signature	_____ Date
Publisher (required)	_____ Signature	_____ Date
E-Publication Editor (required for web publishing/printing)	_____ Signature	_____ Date