

SEP 9 2013

North Atlantic Division



Hurricane Sandy Limited Reevaluation Reports REGIONAL REVIEW PLAN



US Army Corps
of Engineers®

September 2013

1. Overview. This document is to serve as the North Atlantic Division (NAD) Review Plan for all documentation required for Limited Reevaluation Report (LRR) products for authorized projects affected by Hurricane Sandy. The purpose of this Review Plan is to define the requirements of how reviews will be conducted for LRR products.

2. References

- a. Engineering Circular (EC) 1165-2-214, Civil Works Review, 15 Dec 12
- b. EC 1105-2-412, Assuring Quality of Planning Models, 31 Mar 11
- c. Engineering Regulation (ER) 1110-1-12, Quality Management, 30 Sep 06
- d. ER 1105-2-100, Planning Guidance Notebook, Appendix H, Policy Compliance Review and Approval of Decision Documents, Amendment #1, 20 Nov 07, Appendix G, e. Planning Reports and Programs, Amendment #1, 30 Jun 04.
- e. Public Law 113-2, the "DISASTER RELIEF APPROPRIATIONS ACT, 2013"
- f. First Interim Report to Congress, submitted by ASA(CW) 11 Mar 13
- g. Second Interim Report to Congress, submitted by ASA(CW) 30 May 13

3. Applicability. This document only applies to all documentation required for review of LRR products within NAD for authorized projects affected by Hurricane Sandy.

4. Requirements. This review plan was developed in accordance with EC 1165-2-214, which establishes an accountable, comprehensive, life-cycle review strategy for Civil Works products by providing a seamless process for review of all Civil Works projects from initial planning through design, construction, and operation, maintenance, repair, replacement and rehabilitation (OMRR&R). The EC outlines four general levels of review: District Quality Control/Quality Assurance (DQC), Agency Technical Review (ATR), Independent External Peer Review (IEPR), and Policy and Legal Compliance Review. In addition to these levels of review, decision documents are subject to cost engineering review and certification (per EC 1165-2-214) and planning model certification/approval (per EC 1105-2-412).

5. Review Management Organization (RMO) Coordination

a. The RMO is responsible for managing the overall peer review effort described in this Review Plan. The RMO for decision documents is typically a Planning Center of Expertise (PCX) or the Risk Management Center (RMC), depending on the primary purpose of the decision document. The RMO for the peer review effort described in this Review Plan is the NAD Coastal Storm Risk Management National Planning Center of Expertise (PCX-CSRM). As the LRRs are within the North Atlantic Region, the South Atlantic Division (SAD), US Army

Corps of Engineers will lead all Agency Technical Reviews, as managed by their Wilmington District office.

b. The RMO will coordinate with the Cost Engineering Directory of Expertise (DX) to ensure the appropriate expertise is included on the review teams to assess the adequacy of cost estimates, construction schedules and contingencies.

6. Limited Reevaluation Reports (LRRs) Approval Authority. As per reference 4, Appendix G, Division Commanders may approve changes to authorized projects, or elements thereof, if such changes meet all of the criteria listed below:

a. For projects authorized by the WRDA of 1986, and subsequent legislation, an increase in total project cost no greater than increases in price level changes and cost of modifications required by subsequent legislation. For projects authorized prior to the WRDA of 1986, an increase in total baseline project cost estimate no greater than increases in price level changes and the cost of modifications required by subsequent legislation. NOTE: As criteria "a" does not apply to Hurricane Sandy LRRs, based upon Public Law 113-2, only criteria "b" through "d" need to be met.

b. Increase or decrease in scope no greater than 20 percent of the scope authorized by Congress. If the scope can be defined by several parameters, (for example, storage capacity, outputs, environmental impacts) and the change in any one parameter exceeds 20 percent, the change must be approved by the Commander USACE.

c. Change in the location or the design of the project to the extent that the location and magnitude of the impacts of the change are determined to be insignificant compared to the impacts assessed for the authorized project.

d. Change does not add or delete a project purpose, except deletion of water quality where the benefits attributed to water quality are less than 15 percent of the total project benefits, pursuant to Section 65, of the WRDA of 1974.

In summary, if criteria "b" through "d" is met and the project is one affected by Hurricane Sandy, then the document recommending changes to an authorized project is a Limited Reevaluation Report (LRR). The LRR is addressed by this "Hurricane Sandy Limited Reevaluation Reports Regional Review Plan" and can be approved by the NAD Commander.

7. Public Law 113-2, the "DISASTER RELIEF APPROPRIATIONS ACT", 2013 authorized supplemental appropriations to Federal agencies as a result of Hurricane Sandy, which occurred in October 2012. Chapter 4 of PL 113-2 identifies those actions directed by Congress specific to USACE, including preparation of two "interim" reports, a project performance evaluation report, and "a comprehensive study to address the flood risks of vulnerable coastal populations in areas that were affected by Hurricane Sandy within the boundaries of the North Atlantic Division of the Corps." LRRs will meet the requirements of PL 113-2 and address "resiliency, economics, risks, environmental compliance and long-term sustainability". North Atlantic Division will approve each LRR. Congressional Authorization is not required for the LRRs.

8. District Quality Control (DQC). DQC is required for all LRR products. DQC means quality checks and reviews that occur during the document development process and are carried out as a routine management practice. Quality checks may be performed by staff responsible for the work, such as supervisors, work leaders, team leaders, designated individuals from the senior staff, or other qualified personnel. However, they should not be performed by the same people who performed the original work, including managing and reviewing the work in the case of contracted efforts. All DQC efforts will include the necessary expertise to address compliance with published Corps policy. The DQC shall be documented and kept in the project files for internal and MSC Quality Assurance audits to check for proper DQC implementation.

9. North Atlantic Division Quality Assurance. Quality Assurance (QA) is defined as that part of quality management focused on providing confidence that quality requirements of a project, product, service, or process will be fulfilled. QA includes those processes employed to ensure that QC activities are being accomplished in accordance with planned activities and that those QC activities are effective in producing a product that meets the desired end quality. NAD will lead QA of the LRR products performed by QA reviewers, selected by NAD.

10. Agency Technical Review (ATR).

a. ATR is mandatory for the draft and final versions of the LRR. The final review is intended as a “backcheck”. The objective of ATR is to ensure consistency with established criteria, guidance, procedures, and policy. The ATR will assess whether the analyses presented are technically correct and comply with published USACE guidance, and that any document explains the analyses and results in a reasonably clear manner for the public and decision makers. ATR is managed by the RMO. The ATR is conducted by a qualified team from outside the home district that is not involved in the day-to-day production of the project or product. ATR teams will be comprised of senior USACE personnel and may be supplemented by outside experts as appropriate. The ATR team lead will be from outside the home district. Guidance on conducting ATR can be found in EC 1165-2-214. ATR Disciplines are expected to include the following as necessary: ATR Lead, Planning, Coastal Hydraulics and Hydrology, Civil/Structural Engineering, Environmental, Cultural Resources, Cost, Risk, Real Estate and Economics.

b. As previously stated, SAD will lead the ATRs composed of reviewers from outside of the home district. ATR will include review of the LRR DQC, as per EC1165-2-214.

11. Independent External Peer Review (IEPR).

a. LRRs do not require Independent External Peer Review (IEPR), as defined in EC 1165-2-214. There may be cases where an LRR does not meet specific IEPR criteria such as:

(1) There is no request by the Governor of an affected state for a peer review by independent experts;

(2) The project or study does not require an Environmental Impact Statement (EIS);

(3) The project or study is not likely to involve significant public dispute as to the size, nature, or effects of the project;

(4) The project or study is not likely to involve significant public dispute as to the economic or environmental cost or benefit of the project;

(5) The information in the decision document or anticipated project design is not likely to be based on novel methods, involve the use of innovative materials or techniques, present complex challenges for interpretation, contain precedent-setting methods or models, or present conclusions that are likely to change prevailing practices.

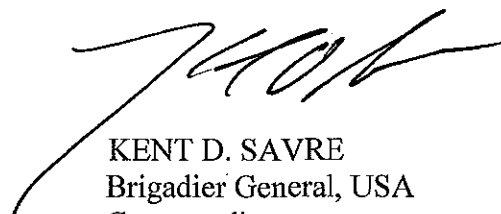
b. If any of the above criteria are not met, or if NAD has concerns about a particular LRR, the home district must prepare a risk-based decision analysis on whether IEPR is applicable to the LRR and submit to NAD for review and concurrence on whether IEPR is required or not. If NAD staff concurs that an IEPR is not applicable, then the NAD Commander will concur by memo. If NAD staff determines that IEPR is applicable, then a specific review plan must be prepared for the LRR, by the home district using the current U.S. Army Corps of Engineers Review Plan Template provided as **Enclosure A**, coordinated with PCX-CSRM and approved by the NAD Commander.

12. Model Certification and Approval. Approval of planning models under EC 1105-2-412 is not expected for LRRs, as they are limited reevaluations by nature. MSC commanders remain responsible for assuring the quality of the analysis used in these projects. Use ATR to ensure that models and analyses are compliant with Corps policy, theoretically sound, computationally accurate, transparent, described to address any limitations of the model or its use, and documented in study reports.

13. This Review Plan is hereby approved for implementation. Districts shall reference this **Hurricane Sandy Limited Reevaluation Reports Regional Review Plan** as part of the Quality Management Plan section in each project's Project Management Plan. The PMP must show the estimated cost and schedule for conducting DQC and ATR.

14. Updates and Approvals of this Review Plan. Modifications to this Review Plan may be made by submitting a request through the NAD Planning & Policy Division to the MSC Commander.

Encl



KENT D. SAVRE
Brigadier General, USA
Commanding

REVIEW PLAN

(U.S. Army Corps of Engineers Template)

Authorized Name and Location of Project

Decision Document Type (Feasibility Report, General Reevaluation Report, etc.)

Home District

MSC Approval Date: (enter date of approval, or state 'Pending' if not yet approved)

Last Revision Date: (enter date of last revision or 'none' if no changes since last approved by MSC)

Template Date 08.29.13 (See the PCX page on the Planning and Policy SharePoint site for the latest version of this template: <https://kme.usace.army.mil/CoPs/CivilWorksPlanning-Policy/pcx/default.aspx>) NOTE: This template is intended to assist in the development of review plans for Civil Works **decision documents** in accordance with EC 1165-2-214 and to provide some consistency across the Corps of Engineers. Typical text likely to be common to all review plans is provided in normal black font. Areas where study specific information must be added is shown in underlined blue italic font. Supplemental information is shown in red text in a text box (like this note) and should be deleted in the final review plan. In coordination with the Decision Document Review Plan Checklist, the template is a useful tool, but it does not replace knowledge of applicable Corps guidance or the responsibility of the PDT to prepare a quality and complete review plan that reflects the specific needs of the study and any specific MSC/District quality management requirements. **DELETE THIS TEXT BOX BEFORE FINALIZING THE REVIEW PLAN.**



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REVIEW PLAN

Authorized Name and Location of Project
Decision Document Type (Feasibility Report, General Reevaluation Report, etc.)

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1. PURPOSE AND REQUIREMENTS

a. **Purpose.** This Review Plan defines the scope and level of peer review for the authorized name and location of project and type of decision document.

b. References.

(1) Engineering Circular (EC) 1165-2-214, Civil Works Review, 15 Dec 12

(2) EC 1105-2-412, Assuring Quality of Planning Models, 31 Mar 11

(3) Engineering Regulation (ER) 1110-1-12, Quality Management, 30 Sep 06

(4) ER 1105-2-100, Planning Guidance Notebook, Appendix H, Policy Compliance Review and Approval of Decision Documents, Amendment #1, 20 Nov 07

(5) PMP for study

(6) MSC and/or District Quality Management Plan(s)

(7) Any other relevant quality control/quality assurance guidance

c. **Requirements.** This review plan was developed in accordance with EC 1165-2-214, which establishes an accountable, comprehensive, life-cycle review strategy for Civil Works products by providing a seamless process for review of all Civil Works projects from initial planning through design, construction, and operation, maintenance, repair, replacement and rehabilitation (OMRR&R). The EC outlines four general levels of review: District Quality Control/Quality Assurance (DQC), Agency Technical Review (ATR), Independent External Peer Review (IEPR), and Policy and Legal Compliance Review. In addition to these levels of review, decision documents are subject to cost engineering review and certification (per EC 1165-2-214) and planning model certification/approval (per EC 1105-2-412).

2. REVIEW MANAGEMENT ORGANIZATION (RMO) COORDINATION

a. The RMO is responsible for managing the overall peer review effort described in this Review Plan. The RMO for decision documents is typically either a Planning Center of Expertise (PCX) or the Risk Management Center (RMC), depending on the primary purpose of the decision document. The RMO for the peer review effort described in this Review Plan is <add the name of the RMO>.

b. The RMO will coordinate with the Civil Works Cost Engineering and Agency Technical Review Mandatory Center of Expertise (MCX) to ensure the appropriate expertise is included on the review teams to assess the adequacy of cost estimates, construction schedules and contingencies. For multi-purpose studies, also indicate the names of the other relevant PCXs and state that the RMO will coordinate with the other appropriate PCXs to ensure that review teams with appropriate expertise are assembled. For studies that involve life safety issues, identify the role of the RMC in the review.

3. STUDY INFORMATION

a. Decision Document. This section should state the authorized name and location of the project/study, type of decision document to be prepared, and purpose of the document. It should also indicate the level of approval for the document (e.g. MSC, HQUSACE, Chief of Engineers) and if it will require Congressional authorization. Finally, it should indicate what type of National Environmental Policy Act (NEPA) documentation, if any, will be prepared along with the document.

b. Study/Project Description. This section should provide basic background information on the study/project to provide an overview for the PCX, PDT, review teams, vertical team, and public. At minimum, it should briefly describe the study area (with a map, as appropriate), if the study is single- or multi-purpose and the project purpose(s) (e.g., flood risk management, ecosystem restoration, deep draft navigation, etc), the types of measures/alternatives to be considered in the study, the estimated cost (or range of cost) for a potentially recommended plan, and identify the non-Federal sponsor(s). It should also identify pertinent study/project authorizations and vertical team implementation guidance.

c. Factors Affecting the Scope and Level of Review. This section should discuss the factors affecting the risk informed decisions on the appropriate scope and level of review. The discussion must be detailed enough to assess the level and focus of review and support the PDT, PCX, and vertical team decisions on the appropriate level of review and types of expertise represented on the various review teams. At minimum, this section should address:

(1) If parts of the study will likely be challenging (with some discussion as to why or why not and, if so, in what ways – consider technical, institutional, and social challenges, etc.);

(2) A preliminary assessment of where the project risks are likely to occur and what the magnitude of those risks might be (e.g., what are the uncertainties and how might they affect the success of the project);

(3) If the project will likely be justified by life safety or if the project likely involves significant threat to human life/safety assurance (with some discussion as to why or why not and, if so, in what ways – consider at minimum the safety assurance factors described in EC 1165-2-214 including, but not necessarily limited to, the consequences of non-performance on project economics, the environmental and social well-being [public safety and social justice]; residual risk; uncertainty due to climate variability, etc.) – the discussion of life safety should include the assessment of the home District Chief of Engineering on whether there is a significant threat to human life associated with the project (per EC 1165-2-214 Frequently Ask Question 3.i.);

(4) If there is a request by the Governor of an affected state for a peer review by independent experts;

(5) If the project/study is likely to involve significant public dispute as to the size, nature, or effects of the project (with some discussion as to why or why not and, if so, in what ways);

(6) If the project/study is likely to involve significant public dispute as to the economic or environmental cost or benefit of the project (with some discussion as to why or why not and, if so, in what ways);

(7) If the information in the decision document or anticipated project design is likely to be based on

novel methods, involve the use of innovative materials or techniques, present complex challenges for interpretation, contain precedent-setting methods or models, or present conclusions that are likely to change prevailing practices (with some discussion as to why or why not and, if so, in what ways); and

(8) If the project design is anticipated to require redundancy, resiliency, and/or robustness, unique construction sequencing, or a reduced or overlapping design construction schedule (with some discussion as to why or why not and, if so, in what ways).

NOTE: This sub-section supports the decision on whether or not to perform IEPR, but the actual decision is documented in Section 5 – Independent External Technical Review. The information in this sub-section also supports decisions on the scope of ATR/IEPR and the expertise needed on the ATR/IEPR teams. DELETE THIS TEXT BOX BEFORE FINALIZING THE REVIEW PLAN.

d. In-Kind Contributions. Products and analyses provided by non-Federal sponsors as in-kind services are subject to DQC, ATR, and IEPR. The in-kind products and analyses to be provided by the non-Federal sponsor include: This section should list the expected in-kind products/analyses to be provided by the sponsor, or indicate if no in-kind products are anticipated.

4. DISTRICT QUALITY CONTROL (DQC)

All decision documents (including supporting data, analyses, environmental compliance documents, etc.) shall undergo DQC. DQC is an internal review process of basic science and engineering work products focused on fulfilling the project quality requirements defined in the Project Management Plan (PMP). The home district shall manage DQC. Documentation of DQC activities is required and should be in accordance with the Quality Manual of the District and the home MSC.

NOTE: This Section of the review plan should be tailored to meet the requirements of the District/MSQ Quality Management Plans for DQC. A possible format is suggested below; however, **AT MINIMUM** this section should identify how DQC will be documented and what DQC documentation will be provided to the ATR team at each review (see sub-section a. below). Per EC 1165-2-214, Paragraph 8d, for each ATR event, the ATR team will examine relevant DQC records and provide written comment in the ATR report as to the apparent adequacy of the DQC effort. DELETE THIS TEXT BOX BEFORE FINALIZING THE REVIEW PLAN.

a. Documentation of DQC. This mandatory section should identify how DQC will be documented and what DQC documentation will be provided to the ATR team at each review.

b. Products to Undergo DQC. This optional section could identify the products to undergo DQC consistent with the District/MSQ Quality Management plans.

c. Required DQC Expertise. This optional section could identify the required expertise needed to conduct DQC consistent with the District/MSQ Quality Management plans.

5. AGENCY TECHNICAL REVIEW (ATR)

ATR is mandatory for all decision documents (including supporting data, analyses, environmental

compliance documents, etc.). The objective of ATR is to ensure consistency with established criteria, guidance, procedures, and policy. The ATR will assess whether the analyses presented are technically correct and comply with published USACE guidance, and that the document explains the analyses and results in a reasonably clear manner for the public and decision makers. ATR is managed within USACE by the designated RMO and is conducted by a qualified team from outside the home district that is not involved in the day-to-day production of the project/product. ATR teams will be comprised of senior USACE personnel and may be supplemented by outside experts as appropriate. The ATR team lead will be from outside the home MSC.

a. Products to Undergo ATR. *This section should list the specific products to undergo ATR. At minimum (where applicable), ATR should be performed for the Feasibility Scoping Meeting (FSM) documentation, Alternative Formulation Briefing (AFB) documentation, Draft Report (including NEPA and supporting documentation), and Final Report (including NEPA and supporting documentation). Additional ATR of key technical and interim products, MSC-specific milestone documentation, and In-Progress Review (IPR) documentation should occur depending on the study needs and the requirements of MSC/District Quality Management Plans. Where practicable, technical products that support subsequent analyses should be reviewed prior to being used in the study and may include: surveys & mapping, hydrology & hydraulics, geotechnical investigations, economic, environmental, cultural, and social inventories, annual damage and benefit estimates, cost estimates, etc.*

b. Required ATR Team Expertise. *This section should provide an estimate of the number of ATR team members and briefly describe the types of expertise that should be represented on the ATR team (not just a list of disciplines). The expertise represented on the ATR team should reflect the significant expertise involved in the work effort and will generally mirror the expertise on the PDT. The PDT should make the initial assessment of what expertise is needed based on the PMP and the factors affecting the scope and level of review outlined in Section 3 of the review plan and may suggest candidates. The appropriate RMO, in cooperation with the PDT, vertical team, and other appropriate centers of expertise, will determine the final make-up of the ATR team. The following table provides examples of the types of disciplines that might be included on the ATR team and some sample descriptions of the expertise required. Pick from the listed disciplines and/or add additional disciplines as needed and provide a short description of the expertise required for each discipline. The names, organizations, contact information, credentials, and years of experience of the ATR members should be included in Attachment 1 once the ATR team is established.*

ATR Team Members/Disciplines	Expertise Required
ATR Lead	The ATR lead should be a senior professional with extensive experience in preparing Civil Works decision documents and conducting ATR. The lead should also have the necessary skills and experience to lead a virtual team through the ATR process. The ATR lead may also serve as a reviewer for a specific discipline (such as planning, economics, environmental resources, etc).
Planning	The Planning reviewer should be a senior water resources planner with experience in ... <u>the specific experience/credentials required for the reviewer should be added here.</u>
Economics	
Environmental Resources	
Cultural Resources	

Hydrology	
Hydraulic Engineering	<u>Example Description: The hydraulic engineering reviewer will be an expert in the field of hydraulics and have a thorough understanding of <inert specific requirements based on study objectives and proposed measures – for example, knowledge of open channel dynamics, enclosed channel systems, application of detention/retention basins, application of levees and flood walls, non-structural solutions involving flood warning systems and flood proofing, etc and/or computer modeling techniques that will be used such as HEC-RAS, FLO-2D, UNET, TABS, etc>.</u>
Risk Analysis	<u>Required for FRM studies to ensure compliance with ER 1105-2-101. Example Description: The risk analysis reviewer will be experienced with performing and presenting risk analyses in accordance with ER 1105-2-101 and other related guidance, including familiarity with how information from the various disciplines involved in the analysis interact and affect the results.</u>
Coastal Engineering	
Geotechnical Engineering	
Civil Engineering	
Structural Engineering	
Electrical/Mechanical Engineering	
Cost Engineering	
Construction/Operations	
Real Estate	
Hazardous, Toxic and Radioactive Waste (HTRW)	
<u>Pick from the above disciplines (delete any disciplines that are not applicable) and add other disciplines as appropriate...</u>	<u>Add the expertise required for each discipline based on the specific needs of the study...</u>

c. Documentation of ATR. DrChecks review software will be used to document all ATR comments, responses and associated resolutions accomplished throughout the review process. Comments should be limited to those that are required to ensure adequacy of the product. The four key parts of a quality review comment will normally include:

(1) The review concern – identify the product’s information deficiency or incorrect application of policy, guidance, or procedures;

(2) The basis for the concern – cite the appropriate law, policy, guidance, or procedure that has not been properly followed;

(3) The significance of the concern – indicate the importance of the concern with regard to its potential impact on the plan selection, recommended plan components, efficiency (cost), effectiveness

(function/outputs), implementation responsibilities, safety, Federal interest, or public acceptability; and

(4) The probable specific action needed to resolve the concern – identify the action(s) that the reporting officers must take to resolve the concern.

d. In some situations, especially addressing incomplete or unclear information, comments may seek clarification in order to then assess whether further specific concerns may exist.

e. The ATR documentation in DrChecks will include the text of each ATR concern, the PDT response, a brief summary of the pertinent points in any discussion, including any vertical team coordination (the vertical team includes the district, RMO, MSC, and HQUSACE), and the agreed upon resolution. If an ATR concern cannot be satisfactorily resolved between the ATR team and the PDT, it will be elevated to the vertical team for further resolution in accordance with the policy issue resolution process described in either ER 1110-1-12 or ER 1105-2-100, Appendix H, as appropriate. Unresolved concerns can be closed in DrChecks with a notation that the concern has been elevated to the vertical team for resolution.

f. At the conclusion of each ATR effort, the ATR team will prepare a Review Report summarizing the review. Review Reports will be considered an integral part of the ATR documentation and shall:

(1) Identify the document(s) reviewed and the purpose of the review;

(2) Disclose the names of the reviewers, their organizational affiliations, and include a short paragraph on both the credentials and relevant experiences of each reviewer;

(3) Include the charge to the reviewers;

(4) Describe the nature of their review and their findings and conclusions;

(5) Identify and summarize each unresolved issue (if any); and

(6) Include a verbatim copy of each reviewer's comments (either with or without specific attributions), or represent the views of the group as a whole, including any disparate and dissenting views.

g. ATR may be certified when all ATR concerns are either resolved or referred to the vertical team for resolution and the ATR documentation is complete. The ATR Lead will prepare a Statement of Technical Review certifying that the issues raised by the ATR team have been resolved (or elevated to the vertical team). A Statement of Technical Review should be completed, based on work reviewed to date, for the AFB, draft report, and final report. A sample Statement of Technical Review is included in Attachment 2.

6. INDEPENDENT EXTERNAL PEER REVIEW (IEPR)

a. IEPR may be required for decision documents under certain circumstances. IEPR is the most independent level of review, and is applied in cases that meet certain criteria where the risk and magnitude of the proposed project are such that a critical examination by a qualified team outside of USACE is warranted. A risk-informed decision, as described in EC 1165-2-214, is made as to whether

IEPR is appropriate. IEPR panels will consist of independent, recognized experts from outside of the USACE in the appropriate disciplines, representing a balance of areas of expertise suitable for the review being conducted. There are two types of IEPR:

(1) Type I IEPR. Type I IEPR reviews are managed outside the USACE and are conducted on project studies. Type I IEPR panels assess the adequacy and acceptability of the economic and environmental assumptions and projections, project evaluation data, economic analysis, environmental analyses, engineering analyses, formulation of alternative plans, methods for integrating risk and uncertainty, models used in the evaluation of environmental impacts of proposed projects, and biological opinions of the project study. Type I IEPR will cover the entire decision document or action and will address all underlying engineering, economics, and environmental work, not just one aspect of the study. For decision documents where a Type II IEPR (Safety Assurance Review) is anticipated during project implementation, safety assurance shall also be addressed during the Type I IEPR per EC 1165-2-214.

(2) Type II IEPR. Type II IEPR, or Safety Assurance Review (SAR), are managed outside the USACE and are conducted on design and construction activities for hurricane, storm, and flood risk management projects or other projects where existing and potential hazards pose a significant threat to human life. Type II IEPR panels will conduct reviews of the design and construction activities prior to initiation of physical construction and, until construction activities are completed, periodically thereafter on a regular schedule. The reviews shall consider the adequacy, appropriateness, and acceptability of the design and construction activities in assuring public health safety and welfare.

b. Decision on IEPR. This section should document the risk informed decision on whether IEPR (Type I, Type II, both or neither) will or will not be conducted for the decision document and, if appropriate, follow-on project implementation. The decision should be based on the criteria in EC 1165-2-214 and the discussion in Section 3 – Factors Affecting the Scope and Level of Review. If an exclusion to Type I IEPR is being requested, the basis for and status of the exclusion should be discussed. Furthermore, the recommendation must make the case that the study is so limited in scope or impact that it would not significantly benefit from Type I IEPR. If Type II IEPR is not considered appropriate, the basis for this decision should also be discussed. The risk informed decision should explicitly consider:

(1) If the decision document meets the mandatory triggers for Type I IEPR described in Paragraph 11.d.(1) and Appendix D of EC 1165-2-214; and if it doesn't, then also:

(a) the consequences of non-performance on project economics, the environmental and social well-being (public safety and social justice);

(b) whether the product is likely to contain influential scientific information or be highly influential scientific assessment; and

(c) if and how the decision document meets any of the possible exclusions described in Paragraph 11.d.(3) and Appendix D of EC 1165-2-214.

(2) The status of any request to conduct IEPR from a head of a Federal or state agency charged with reviewing the project, if applicable; and

(3) If the proposed project meets the criteria for conducting Type II IEPR described in Paragraph 2 of Appendix D of EC 1165-2-214, including:

(a) if the Federal action is justified by life safety or failure of the project would pose a significant threat to human life;

(b) if the project involves the use of innovative materials or techniques where the engineering is based on novel methods, presents complex challenges for interpretations, contains precedent-setting methods or models, or presents conclusions that are likely to change prevailing practices;

(c) if the project design requires redundancy, resiliency, and/or robustness; and/or

(d) if the project has unique construction sequencing or a reduced or overlapping design construction schedule.

Note: If Type II IEPR is anticipated to be required, the Review Plan should state that Safety Assurance will also be addressed during the Type I IEPR per Paragraph 2.c.(3) of Appendix D of EC 1165-2-214.

c. Products to Undergo Type I IEPR. If Type I IEPR will not be conducted, 'Not-Applicable' should be indicated; otherwise this section should list the specific products to undergo Type I IEPR. At minimum, Type I IEPR should be performed for the entire decision document (including supporting documentation), which is typically available at the draft report stage; however, it is strongly encouraged to initiate IEPR early in the study process to reduce the chances of significant changes to the decision document occurring at the end of the study due to IEPR panel findings and recommendations. Depending on the complexity and magnitude of the study, IEPR could be performed for key interim technical products and major milestone documents (e.g., FSM and AFB).

d. Required Type I IEPR Panel Expertise. If Type I IEPR will not be conducted for this study, 'Not-Applicable' should be indicated; otherwise this section should provide an estimate of the number of Type I IEPR panel members and briefly describe the types of expertise that should be represented on the panel (not just a list of disciplines). The expertise represented on the Type I IEPR panel may be similar to those on the ATR team, but may be more specifically focused and generally won't involve as many disciplines/individuals except for very large and/or complex studies. At minimum, the panel should include the necessary expertise to assess the engineering, environmental, and economic adequacy of the decision document as required by EC 1165-2-214, Appendix D. The PDT should make the initial assessment of what expertise is needed based on the PMP and the factors affecting the scope and level of review outlined in Section 3 of the review plan and may suggest candidates. The Outside Eligible Organization (OEO) will determine the final participants on the panel. The following table provides examples of the types of disciplines that might be included on the ATR team and a sample description of the expertise required. Pick from the listed disciplines and/or add additional disciplines as needed and provide a short description of the expertise required for each discipline.

IEPR Panel Members/Disciplines	Expertise Required
Economics <u>(an economics panel member is required; the PDT may specify one or more specific economic disciplines to participate on the panel – e.g. Navigation Economist and Agricultural Economist)</u>	The Economics Panel Member should <u>... the specific experience/credentials required for the reviewer should be added here.</u>

<p><u>Environmental (an environmental panel member is required; the PDT may specify one or more specific environmental disciplines to participate on the panel – e.g. NEPA Compliance Expert and Fisheries Biologist)</u></p>	
<p><u>Engineering (an engineering panel member is required; the PDT may specify one or more specific engineering disciplines to participate on the panel – e.g. Hydraulic Engineer and Geotechnical Engineer)</u></p>	<p><u>Example Description for a geotechnical engineering panel member: The geotechnical engineering reviewer should have an extensive experience in <inert specific requirements based on study objectives and proposed measures – for example, geotechnical evaluation of flood risk management structures such as static and dynamic slope stability evaluation, evaluation of the seepage through earthen embankments and under seepage through the foundation of the flood risk management structures, including dam and levee embankments, floodwalls, closure structures and other pertinent features, and in settlement evaluation of the structure>.</u></p>
<p><u>Add additional IEPR panel members as needed (may include additional economic, environmental, or engineering disciplines or other disciplines such as real estate, planning, etc)</u></p>	<p><u>Add the expertise required for each discipline based on the specific needs of the study...</u></p>

e. Documentation of Type I IEPR. *If Type I IEPR will not be conducted for this study, 'Not-Applicable' should be indicated; otherwise the following text can be used.* The IEPR panel will be selected and managed by an Outside Eligible Organization (OEO) per EC 1165-2-214, Appendix D. Panel comments will be compiled by the OEO and should address the adequacy and acceptability of the economic, engineering and environmental methods, models, and analyses used. IEPR comments should generally include the same four key parts as described for ATR comments in Section 4.d above. The OEO will prepare a final Review Report that will accompany the publication of the final decision document and shall:

(1) Disclose the names of the reviewers, their organizational affiliations, and include a short paragraph on both the credentials and relevant experiences of each reviewer;

(2) Include the charge to the reviewers;

(3) Describe the nature of their review and their findings and conclusions; and

(4) Include a verbatim copy of each reviewer's comments (either with or without specific attributions), or represent the views of the group as a whole, including any disparate and dissenting views.

f. The final Review Report will be submitted by the OEO no later than 60 days following the close of

the public comment period for the draft decision document. USACE shall consider all recommendations contained in the Review Report and prepare a written response for all recommendations adopted or not adopted. The final decision document will summarize the Review Report and USACE response. The Review Report and USACE response will be made available to the public, including through electronic means on the internet.

If Type I IEPR of interim products (such as individual technical products or milestone documents) will be performed, this section should also describe how the interim reviews will be documented.

NOTE: The final Review Report will be prepared by the OEO after review of the complete decision document package. If IEPR of interim products are performed, these reviews should be documented in interim Review Reports. The interim Review Reports will be incorporated into the final Review Report. The official USACE response to the IEPR panel recommendations will be provided to the final Review Report only. Initial responses to IEPR panel recommendations will be developed and documented by the PDT and provided to the vertical team for consideration in developing the official USACE response. The use of DrChecks to document the IEPR comments and initial District responses is not required, but its use may be negotiated with the OEO. **DELETE THIS TEXT BOX BEFORE FINALIZING THE REVIEW PLAN.**

7. POLICY AND LEGAL COMPLIANCE REVIEW

All decision documents will be reviewed throughout the study process for their compliance with law and policy. Guidance for policy and legal compliance reviews is addressed in Appendix H, ER 1105-2-100. These reviews culminate in determinations that the recommendations in the reports and the supporting analyses and coordination comply with law and policy, and warrant approval or further recommendation to higher authority by the home MSC Commander. DQC and ATR augment and complement the policy review processes by addressing compliance with pertinent published Army policies, particularly policies on analytical methods and the presentation of findings in decision documents.

8. COST ENGINEERING AND ATR MANDATORY CENTER OF EXPERTISE (MCX) REVIEW AND CERTIFICATION

All decision documents shall be coordinated with the Cost Engineering and ATR MCX, located in the Walla Walla District. The MCX will assist in determining the expertise needed on the ATR team and Type I IEPR team (if required) and in the development of the review charge(s). The MCX will also provide the Cost Engineering certification. The RMO is responsible for coordination with the Cost Engineering MCX.

9. MODEL CERTIFICATION AND APPROVAL

a. EC 1105-2-412 mandates the use of certified or approved models for all planning activities to ensure the models are technically and theoretically sound, compliant with USACE policy, computationally accurate, and based on reasonable assumptions. Planning models, for the purposes of the EC, are defined as any models and analytical tools that planners use to define water resources management problems and opportunities, to formulate potential alternatives to address the problems and take advantage of the opportunities, to evaluate potential effects of alternatives and to support

decision making. The use of a certified/approved planning model does not constitute technical review of the planning product. The selection and application of the model and the input and output data is still the responsibility of the users and is subject to DQC, ATR, and IEPR (if required).

b. EC 1105-2-412 does not cover engineering models used in planning. The responsible use of well-known and proven USACE developed and commercial engineering software will continue and the professional practice of documenting the application of the software and modeling results will be followed. As part of the USACE Scientific and Engineering Technology (SET) Initiative, many engineering models have been identified as preferred or acceptable for use on Corps studies and these models should be used whenever appropriate. The selection and application of the model and the input and output data is still the responsibility of the users and is subject to DQC, ATR, and IEPR (if required).

(1) Planning Models. The following planning models are anticipated to be used in the development of the decision document: List the planning models (including version number as appropriate) to be used, briefly describe each model and how it will be applied ON THIS STUDY, and indicate the certification/approval status of each model. Planning models could include, but are not limited to: economic damage models (e.g., HEC-FDA, Beach FX, IMPLAN), environmental models for habitat evaluation or mitigation planning (e.g., IWRPlan, HEP HSI models, HGM), transportation or navigation models, and homegrown or spreadsheet models (e.g., excel spreadsheets, @Risk, etc; see EC 1105-2-412 for more information about what constitutes a planning model). Below are some examples of the type of information that might be included in this section (Note: Lesser known models, including local/regional models, will need a more complete description than widely used, nationally recognized models).

Model Name and Version	Brief Description of the Model and How It Will Be Applied in the Study	Certification / Approval Status
<u>Example: HEC-FDA 1.2.4 (Flood Damage Analysis)</u>	<u>The Hydrologic Engineering Center’s Flood Damage Reduction Analysis (HEC-FDA) program provides the capability for integrated hydrologic engineering and economic analysis for formulating and evaluating flood risk management plans using risk-based analysis methods. The program will be used to evaluate and compare the future without- and with-project plans along the Wild River near River City to aid in the selection of a recommended plan to manage flood risk.</u>	<u>Certified</u>
<u>Example: Study specific spreadsheet model</u>	<u>Add model description and how it will be applied...</u>	<u>Add certification / approval status</u>
<u>Example: Mitigation model</u>	<u>Add model description and how it will be applied...</u>	<u>Add certification / approval status</u>

(2) Engineering Models. The following engineering models are anticipated to be used in the development of the decision document: List the engineering models (including version number as appropriate) to be used and briefly describe each model and how it will be applied ON THIS STUDY, and

indicate the approval status of each model. (Note that the approval status of many engineering models can be found on the Hydraulics, Hydrology, and Coastal Engineering CoP SharePoint site at <https://kme.usace.army.mil/NTCT/HHC/default.aspx> under shared documents/SET software lists.) Engineering models could include, but are not limited to: hydrologic, hydraulic, geotechnical, civil, structural, cost engineering and similar models. Below is an example of the type of information that might be included in this section (Note: Lesser known models will need a more complete description than widely used, nationally recognized models).

Model Name and Version	Brief Description of the Model and How It Will Be Applied in the Study	Approval Status
<i>Example: HEC-RAS 4.0 (River Analysis System)</i>	<i>The Hydrologic Engineering Center's River Analysis System (HEC-RAS) program provides the capability to perform one-dimensional steady and unsteady flow river hydraulics calculations. The program will be used for steady flow analysis to evaluate the future without- and with-project conditions along the Wild River and its tributaries. [For a particular study the model could be used for unsteady flow analysis or both steady and unsteady flow analysis. The review plan should indicate how the model will be used for a particular study.]</i>	<i>HH&C CoP Preferred Model</i>

10. REVIEW SCHEDULES AND COSTS

a. ATR Schedule and Cost. *This section should identify the estimated schedule for ATR including any milestone reviews (e.g., IPRs, FSM, AFB, Draft Report, Final Reports) and any interim technical product reviews or additional MSC required reviews. At minimum, estimated dates for the next milestone review must be provided. This section should also provide an estimated cost for the ATR effort. Coordination with the primary PCX, the Cost Engineering MCX, and/or the RMC may be needed to complete this section. The ATR schedule and budget should include participation of the ATR Lead in milestone conferences and the Civil Works Review Board (CWRB) meeting (if required for the study) to address the ATR process and any significant and/or unresolved ATR concerns.*

NOTE: The cost and schedule for Type I IEPR will vary based on the study complexity, the number of panel members, and the documents being reviewed. In general, the IEPR panel review of a draft decision document should be scheduled for no less than 15 weeks from the OEO contract Notice to Proceed to the submittal of the final Review Report by the OEO (this does not include the preparation of the official USACE response to the IEPR recommendations, which can vary greatly). The timeline for IEPR of the draft decision document could be shortened if IEPR of interim products are conducted (since only the additions/changes from the previous IEPRs will need to be reviewed by the panel). The cost to contract the IEPR panel could range from about \$100k to \$500k and is 100% Federal (but must be budgeted as part of the study cost). The cost for the RMO to facilitate the IEPR and for the PDT to respond to the IEPR recommendations will vary and is cost shared.
 DELETE THIS TEXT BOX BEFORE FINALIZING THE REVIEW

b. Type I IEPR Schedule and Cost. *If Type I IEPR will not be conducted for this study, 'Not-Applicable' should be indicated; otherwise this section should identify the estimated schedule for all IEPR work*

including review of the entire decision document package (usually at the draft report stage) and any interim reviews. At minimum, estimated dates for the next milestone review must be provided. This section should also provide an estimated cost for the IEPR effort. Coordination with the primary PCX or the RMC may be needed to complete this section. For decision documents presented to the CWRB, IEPR comments and responses will be discussed at the CWRB meeting. The IEPR schedule and budget should include participation of an IEPR panel member and/or OEO representative at the CWRB.

c. Model Certification/Approval Schedule and Cost. This section should identify the estimated schedule and cost for any necessary certification or approval of planning models that are anticipated to be used in the development of the decision document described in this review plan. If all the models anticipated to be used are already certified or approved for use, this should be stated. Coordination with the appropriate PCX or the RMC for the model(s) in question may be needed to complete this section.

NOTE: The schedule and cost to obtain model certification or approval varies greatly depending on the complexity of the model and the quality/quantity of supporting documentation. The schedule for certification / approval could range from 4 weeks for a very simple model to 6 months or more for a complicated model and the cost could range from \$10k to over \$200k. In general, the model certification / approval process should be scheduled to begin as early in the study process as possible, but no later than the FSM milestone (or equivalent); review of the model(s) should be scheduled for completion no later than the AFB milestone; and certification or approval of the model(s) no later than completion of the final decision document (and prior to the CWRB, if required). DELETE THIS TEXT BOX BEFORE FINALIZING THE REVIEW PLAN.

11. PUBLIC PARTICIPATION

This section should indicate how and when there will be opportunities for public comment on the development of the decision document. It should indicate when significant and relevant public comments will be provided to reviewers before they conduct their review. It should also indicate whether the public, including scientific or professional societies will be asked to nominate potential peer reviewers. Finally, it should indicate how the final decision document, associated review reports, and USACE responses to IEPR comments (if applicable) will be made available to the public.

12. REVIEW PLAN APPROVAL AND UPDATES

The <add the name of the home Division> Commander is responsible for approving this Review Plan. The Commander's approval reflects vertical team input (involving district, MSC, RMO, and HQUSACE members) as to the appropriate scope and level of review for the decision document. Like the PMP, the Review Plan is a living document and may change as the study progresses. The home district is responsible for keeping the Review Plan up to date. Minor changes to the review plan since the last

NOTE: It is critical that the Review Plan is kept up to date and the latest version (complete with the team rosters) be provided to the RMO and MSC. In particular, the schedule for peer review and model certification / approval must be kept updated so that the RMO can provide timely delivery of these services. The PDT should contact the RMO about 8 weeks in advance of any scheduled peer review or model certification effort to coordinate the effort. DELETE THIS TEXT BOX BEFORE FINALIZING THE REVIEW PLAN.

MSC Commander approval is documented in Attachment 3. Significant changes to the Review Plan (such as changes to the scope and/or level of review) should be re-approved by the MSC Commander following the process used for initially approving the plan. The latest version of the Review Plan, along with the Commanders' approval memorandum, should be posted on the Home District's webpage. The latest Review Plan should also be provided to the RMO and home MSC.

13. REVIEW PLAN POINTS OF CONTACT

Public questions and/or comments on this review plan can be directed to the following points of contact:

- a. Add title and phone number for the point of contact(s) at the home District
- b. Add title and phone number for the point of contact(s) at the home MSC
- c. Add title and phone number for the point of contact(s) at the Review Management Organization

ATTACHMENT 1: TEAM ROSTERS

NOTE: Attachment 1 should include rosters and contact information for the PDT, ATR team, vertical team (including RMO, MSC, and RIT), OEO point(s) of contact (if applicable). The credentials and years of experience for the ATR team should also be included when available. DELETE THIS TEXT BOX BEFORE FINALIZING THE REVIEW PLAN.

ATTACHMENT 2: SAMPLE STATEMENT OF TECHNICAL REVIEW FOR DECISION DOCUMENTS

COMPLETION OF AGENCY TECHNICAL REVIEW

The Agency Technical Review (ATR) has been completed for the <type of product> for <project name and location>. The ATR was conducted as defined in the project's Review Plan to comply with the requirements of EC 1165-2-209. During the ATR, compliance with established policy principles and procedures, utilizing justified and valid assumptions, was verified. This included review of: assumptions, methods, procedures, and material used in analyses, alternatives evaluated, the appropriateness of data used and level obtained, and reasonableness of the results, including whether the product meets the customer's needs consistent with law and existing US Army Corps of Engineers policy. The ATR also assessed the District Quality Control (DQC) documentation and made the determination that the DQC activities employed appear to be appropriate and effective. All comments resulting from the ATR have been resolved and the comments have been closed in DrCheckssm.

SIGNATURE

Name

ATR Team Leader

Office Symbol/Company

Date

SIGNATURE

Name

Project Manager

Office Symbol

Date

SIGNATURE

Name

Architect Engineer Project Manager¹

Company, location

Date

SIGNATURE

Name

Review Management Office Representative

Office Symbol

Date

CERTIFICATION OF AGENCY TECHNICAL REVIEW

Significant concerns and the explanation of the resolution are as follows: Describe the major technical concerns and their resolution.

As noted above, all concerns resulting from the ATR of the project have been fully resolved.

SIGNATURE

Name

Chief, Engineering Division

Office Symbol

Date

SIGNATURE

Name

Chief, Planning Division

Office Symbol

Date

¹ Only needed if some portion of the ATR was contracted

ATTACHMENT 3: REVIEW PLAN REVISIONS

Revision Date	Description of Change	Page / Paragraph Number

NOTE: Revisions to the Review Plan since it was last approved by the MSC Commander should be documented in Attachment 3. Significant changes (such as a change in the level or scope of review) require re-approval by the MSC Commander following the process used for initially approving the plan. DELETE THIS TEXT BOX BEFORE FINALIZING THE REVIEW PLAN.

ATTACHMENT 4: ACRONYMS AND ABBREVIATIONS

NOTE: This attachment is optional. If included, it should define the acronyms used in the Review Plan. Acronyms used in this template or that might typically be used in a review plan (to be modified as necessary for specific review plans) are provided in the table below. **DELETE THIS TEXT BOX BEFORE FINALIZING THE REVIEW PLAN.**

<u>Term</u>	<u>Definition</u>	<u>Term</u>	<u>Definition</u>
AFB	Alternative Formulation Briefing	NED	National Economic Development
ASA(CW)	Assistant Secretary of the Army for Civil Works	NER	National Ecosystem Restoration
ATR	Agency Technical Review	NEPA	National Environmental Policy Act
CSDR	Coastal Storm Damage Reduction	O&M	Operation and maintenance
DPR	Detailed Project Report	OMB	Office and Management and Budget
DQC	District Quality Control/Quality Assurance	OMRR&R	Operation, Maintenance, Repair, Replacement and Rehabilitation
EA	Environmental Assessment	OEO	Outside Eligible Organization
EC	Engineer Circular	OSE	Other Social Effects
EIS	Environmental Impact Statement	PCX	Planning Center of Expertise
EO	Executive Order	PDT	Project Delivery Team
ER	Ecosystem Restoration	PAC	Post Authorization Change
FDR	Flood Damage Reduction	PMP	Project Management Plan
FEMA	Federal Emergency Management Agency	PL	Public Law
FRM	Flood Risk Management	QMP	Quality Management Plan
FSM	Feasibility Scoping Meeting	QA	Quality Assurance
GRR	General Reevaluation Report	QC	Quality Control
Home District/MSD	The District or MSD responsible for the preparation of the decision document	RED	Regional Economic Development
HQUSACE	Headquarters, U.S. Army Corps of Engineers	RMC	Risk Management Center
IEPR	Independent External Peer Review	RMO	Review Management Organization
ITR	Independent Technical Review	RTS	Regional Technical Specialist
LRR	Limited Reevaluation Report	SAR	Safety Assurance Review
MCX	Mandatory Center of Expertise	USACE	U.S. Army Corps of Engineers
MSC	Major Subordinate Command	WRDA	Water Resources Development Act