DECISION DOCUMENT PROGRAMMATIC REVIEW PLAN (PgRP)

for
SPD Continuing Authorities Program (CAP)
Section 14, 103, 107, 111, 205 204, 206, 208 and 1135 Projects

South Pacific Division

MSC PgRP Approval Date:

19 September 2014

DECISION DOCUMENT PROGRAMMATIC REVIEW PLAN
FOR SPD CAP

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I. PURPOSE AND REQUIREMENTS

a. Purpose. This Programmatic Review Plan (PgRP) defines the scope and level of peer review anticipated for all Continuing Authorities Program (CAP) **Section *14, 103, 107, 111, 205, 204, 206, 208 and 1135*** projects decision documents in the South Pacific Division (SPD), for which this PgRP is appropriate (see Paragraph 1.b. below). The CAP focuses on water resource related projects of relatively smaller scope, cost and complexity. Traditional USACE civil works projects are of wider scope and complexity and are specifically authorized by Congress. The Continuing Authorities Program delegates authority to Major Subordinate Commands (MSCs) and their districts to plan, design, and construct certain types of water resource and environmental restoration projects without specific Congressional authorization. Peer review standards described herein have been tailored to fit the intent of CAP and to incorporate SMART Planning principles per PB 2012-12, Reissue #2 (Reissued 04 March 2014). For studies consistent with the criteria presented below in Paragraph I.b., this PgRP may be used. If these criteria are not met, a project specific review plan must be prepared in accordance with EC 1165-2-214 (Civil Works Review Policy, 15 Dec 2012) and approved by the MSC Commander.

CAP Authority descriptions are as follows (see ER 1105-2-100, Planning Guidance Notebook Appendix F):

Section 14 of the Flood Control Act of 1946, as amended (33 USC 701r), authorizes the US Army Corps of Engineers (USACE) to study, design and construct **emergency streambank and shoreline works** (such as riprap or sheet pile) to protect public services including (but not limited to) streets, bridges, schools, water and sewer lines, National Register sites, and churches from damage or loss by natural erosion. Per ER 1105-2-100: "This program is designed to implement projects to protect public facilities and facilities owned by non-profit organizations that are used to provide public services that are open to all on equal terms. These facilities must have been properly maintained but be in imminent threat of damage or failure by natural erosion processes on stream banks and shorelines, and are essential and important enough to merit Federal participation in their protection."

Section 103 of the Rivers and Harbors Act of 1962, as amended (33 USC 426g), authorizes the US Army Corps of Engineers (USACE) to study, adopt and construct continuing authority **beach erosion control** (coastal storm damage reduction) projects. Per ER 1105-2-100: "This authority may be used for protecting multiple public and private properties and facilities and single non-Federal public properties and facilities against damages caused by storm driven waves and currents."

Section 107 of the River and Harbor Act of 1960, as amended (33 USC 577), authorizes the Corps to plan, design, construct and maintain projects for **commercial navigation** in accordance with current policies and procedures governing projects of the same type which are specifically authorized. Per ER 1105-2-100: Section 107 projects are to be formulated for commercial navigation purposes in accordance with current policies and procedures governing projects of the same type which are specifically authorized by Congress.

Section 111 of the Rivers and Harbors Act of 1968, as amended (33 USC 426i), authorizes the US Army Corps of Engineers (USACE) to investigate, study, plan and implement measures (structural or nonstructural) to **prevent or mitigate damage to shorelines attributable to Federal navigation projects**. Per ER 1105-2-100: "This authority authorizes the planning of a justified level of work

for prevention or mitigation of damages to both non-Federal public and privately owned shores to the extent that such damages can be directly identified and attributed to Federal navigation works located along the coastal and Great Lakes shorelines of the United States, and shore damage attributable to the Atlantic Intracoastal Waterway and the Gulf Intracoastal Waterway.

Section 204 of the Water Resources Development Act of 1992, Public Law 102-580 (33 USC 2326), provides the authority to carry out projects to reduce storm damage to property, to protect, **restore and create aquatic and ecologically related habitats**, including wetlands, and to **transport and place suitable sediment, in connection with dredging** for construction, operation, or maintenance by the Secretary of an authorized Federal water resources project. Per ER 1105-2-100: "The purpose of this authority is to carry out projects for the protection, restoration, and creation of aquatic and ecologically related habitats, including wetlands, in connection with dredging for construction, operation, or maintenance by the Secretary of an authorized navigation project."

Section 205 of the Flood Control Act of 1948, as amended (33 USC 701s), authorizes USACE to study, design and construct **flood risk management** projects. It is a Continuing Authorities Program (CAP) which focuses on water resource related projects of relatively smaller scope, cost and complexity. Per ER 1105-2-100: "Projects implemented under this authority are formulated for structural or non-structural measures for flood damage reduction in accordance with current policies and procedures governing projects of the same type which are specifically authorized by Congress."

Section 206 of the Water Resources Development Act of 1996, Public Law 104-305 (33 USC 2330), authorizes the Secretary of the Army to carry out a program of aquatic ecosystem restoration with the objective of **restoring degraded ecosystem structure, function, and dynamic processes to a less degraded, more natural condition** considering the ecosystem's natural integrity, productivity, stability and biological diversity. This authority is primarily used for manipulation of the hydrology in and along bodies of water, including wetlands and riparian areas. This authority also allows for dam removal. Per ER 1105-2-100: "The purpose of this authority is to develop aquatic ecosystem restoration and protection projects that improve the quality of the environment, are in the public interest, and are cost effective in accordance with current policies and procedures governing projects of the same type which are specifically authorized by Congress."

Section 208 of the Flood Control Act 1954, as amended (33 USC 701g), authorizes the US Army Corps of Engineers (USACE) to study, adopt and construct **in-stream clearing and snagging projects in the interest of flood risk management**. Per ER 1105-2-100: "This authority provides for minimal measures to reduce nuisance flood damages caused by debris and minor shoaling of rivers. This authority is treated as a flood damage reduction project for policy eligibility and cost sharing purposes."

Section 1135 of the Water Resources Development Act of 1986, Public Law 99-662 (33 USC 2309a), provides the authority to **modify existing Corps projects to restore the environment and construct new projects to restore areas degraded by Corps projects** with the objective of restoring degraded ecosystem structure, function, and dynamic processes to a less degraded, more natural condition considering the ecosystem's natural integrity, productivity, stability and biological diversity. This authority is primarily used for manipulation of the hydrology in and along bodies of water, including wetlands and riparian areas. Per ER 1105-2-100: "This authority

provides for the review and modification of structures and operations of water resources projects constructed by the Corps for the purpose of improving the quality of the environment when it is determined that such modifications are feasible, consistent with the authorized project purposes, and will improve the quality of the environment in the public interest. In addition, if it is determined that a Corps water resources project has contributed to the degradation of the quality of the environment, restoration measures may be implemented at the project site or at other locations that have been affected by the construction or operation of the project, if such measures do not conflict with the authorized project purposes."

Additional Information on this program can be found in Engineering Regulation 1105-2-100, Planning Guidance Notebook, Appendix F.

b. Applicability. This PgRP applies to all CAP **Section 14, 107, 111, 204, 206, 208 and 1135** decision documents in SPD that do not require Type I Independent External Peer Review (IEPR) as defined in EC 1165-2-214 Civil Works Review, and do not include an Environmental Impact Statement (EIS). This PGRP also applies to all **Section 103 and 205** project decision documents that *do* require Type I IEPR, and may also require an EIS. Separate review strategies covering these two scenarios, and an explanation of the Review Management Organization (RMO) functions, are described in this document. A simple schematic is provided in Figure 1, below.

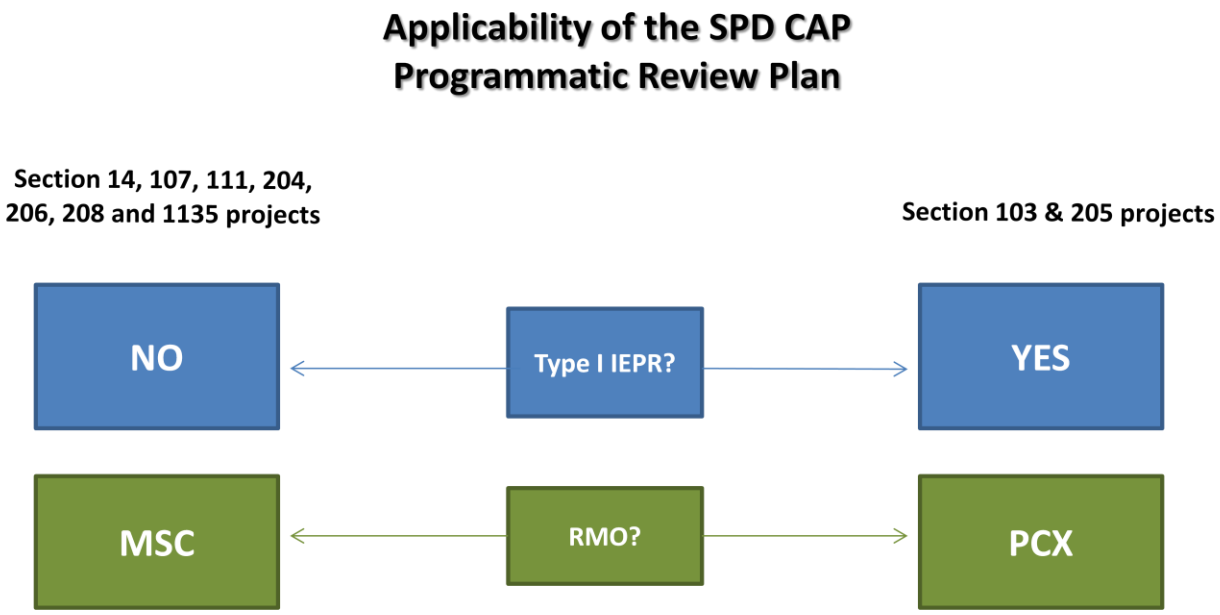

Figure 1. Applicability of the SPD CAP PgRP and Appropriate RMO

Specifically, **Section 14, 107, 111, 204, 206, 208 and 1135** projects **do not require Type I IEPR as long as:**

- They do not involve a significant threat to human life/safety assurance;

- There is no request by the Governor of an affected state for a peer review by independent experts; and
- They do not require an Environmental Impact Statement (EIS).

Type I IEPR is **discretionary** where the head of a Federal or state agency charged with reviewing the project study determines that the project is *not* likely to have a significant adverse impact on environmental, cultural, or other resources under the jurisdiction of the agency after implementation of proposed mitigation plans and he/she *requests an IEPR* (per EC1165-2-214, Par. 11.d.2). All the remaining factors listed in EC 1165-2-214 are not considered applicable to CAP projects given the inherent nature of CAP (i.e., projects with reduced scope, cost, complexity and controversy).

If any of the above criteria are not met for the sections listed, and Type I IEPR is required, the PgRP does not apply and a project-specific review plan must be prepared by the home district and approved by the MSC Commander. The objective of a project-specific plan in this case is to have the MSC Commander weigh in on the Type I IEPR decision process. Projects in the CAP Sections above, in contrast, should be so limited in scope, schedule, cost, controversy and complexity that IEPR is not triggered. If Type I IEPR is triggered, moreover, that may be an indicator that the subject CAP authority is not an appropriate application for that particular project. **In general, this PgRP covers studies that adhere to the Type I IEPR conditions listed above and the peer review parameters laid out in Sections IV, V and VI for DQC, ATR and IEPR, respectively (below).** *Significant deviations from the terms herein may require development of a project-specific review plan.*

Where Type I IEPR is warranted, the appropriate Planning Center of Expertise (PCX), instead of the MSC or SPD, becomes the Review Management Organization (RMO). Thus, for any **Section 14, 107, 111, 204, 206, 208 and 1135** projects requiring Type I IEPR, a project-specific review plan shall be developed and sent to the appropriate PCX. With PCX endorsement, the project-specific review plan shall then be sent to the MSC – SPD in this case – for approval under EC 1165-2-214.

It is USACE policy that **Section 103 and 205** project decision documents undergo Type I IEPR when these projects involve significant threat to human life/safety assurance, and may also require an EIS. For these projects, therefore, a risk-informed decision, as described in EC 1165-2-214, will be made as to whether Type I IEPR is appropriate. If the district determines that Type I IEPR is **not** appropriate, this PgRP will ***not*** apply and a project-specific review plan will be prepared by the home district. Such exclusions from Type I IEPR for **Section 103 and Section 205** projects will be approved on a case-by-case basis by the MSC Commander, based upon the risk-informed decision process outlined in EC 1165-2-214, and may not be delegated. The project-specific review plan shall be sent to the MSC (SPD) for approval; if approved, SPD will act as the RMO.

A **Project Factsheet specific to each study,** identifying project-specific information as it relates to the peer review strategies described herein, requires MSC approval. The Project Factsheet should include the most recently approved PgRP as an attachment; they are companion documents. The Project Factsheet should be sent to the RMO for review and approval. For **Section 14, 107, 111, 204, 206, 208 and 1135** projects the MSC is the RMO (Figure 1). For **Section 103 and 205** projects, the PCX is the RMO (Figure 1). The RMO will ensure that use of the PgRP is appropriate for the specific project covered by the plan.

This PgRP covers decision documents only. It does not cover design and implementation products for subject CAP studies, but may later be expanded to cover these project phases. In the interim, project-specific review plans should be developed for all CAP projects in the design and implementation phase, as needed. A review plan for design and implementation phases of a CAP project should be developed prior to approval of the final decision document in accordance with EC 1165-2-214.

c. References

1. Engineering Circular 1165-2-214, Civil Works Review, 15 Dec 2012
2. Engineering Circular 1105-2-412, Assuring Quality of Planning Models, 31 March 2013
3. Engineering Regulation 1110-1-12, Quality Management, 30 Sep 2006
4. Engineering Regulation 1105-2-100, Planning Guidance Notebook, Appendix F, Continuing Authorities Program, Amendment #2, 31 Jan 2007
5. Engineering Regulation 1105-2-100, Planning Guidance Notebook, Appendix H, Policy Compliance Review and Approval of Decision Documents, Amendment #1, 20 Nov 2007
6. CESPD-PDP Memorandum, 27 May 2014, subject: USACE Civil Works Program; CESPD Regional Guidance and Policy Framework for Execution of the Continuing Authorities Program (CAP)
7. CESPD-PDP Memorandum, 29 May 2014, subject: Regional Planning Production Center for Civil Works Continuing Authorities Program Planning Documents
8. Quality Management System, Process 02500-SPD, Updated 15 April 2013, subject: South Pacific Division Preparation and Approval of Review Plans
9. Quality Management System, Process 02500.1-SPD, Updated 4 August 2014, subject: CESPD Supplemental Review Plan Checklist
10. USACE National Planning Centers of Expertise, June 2011, Type I Independent External Peer Review Process: Standard Operating Procedures

d. Requirements. This PgRP outlines specific peer review strategies required for SPD CAP projects in accordance with EC 1165-2-214, which lays out a comprehensive, life-cycle review strategy for Civil Works products to ensure a seamless review of all Civil Works projects. The EC outlines general levels of review: District Quality Control/Quality Assurance (DQC), Agency Technical Review (ATR), Independent External Peer Review (IEPR), Planning and Engineering models, and Policy and Legal Compliance Review.

II. REVIEW MANAGEMENT ORGANIZATION (RMO) COORDINATION

The RMO is responsible for managing the overall peer review requirements described in this PgRP. The RMO for **Section 14, 107, 111, 204, 206, 208 and 1135** decision documents under this PgRP is the MSC (SPD). The MSC will coordinate and approve Project Factsheets and will manage ATR. The RMO for **Section 103 and 205** projects, instead, will be the appropriate PCX, which will manage both IEPR and ATR reviews. Figure 2 provides a detailed decision tree for applying this PgRP to SPD CAP studies and determining the appropriate RMO.

For each CAP study covered by this PgRP, home districts will post the MSC-approved Project Factsheet with the most recently approved PgRP as an attachment on its public website (they are companion documents). Home districts will also copy subject factsheets and review plans (and their updates) to the respective RMOs – either the MSC or appropriate PCX – to keep them apprised of requirements and review schedules.

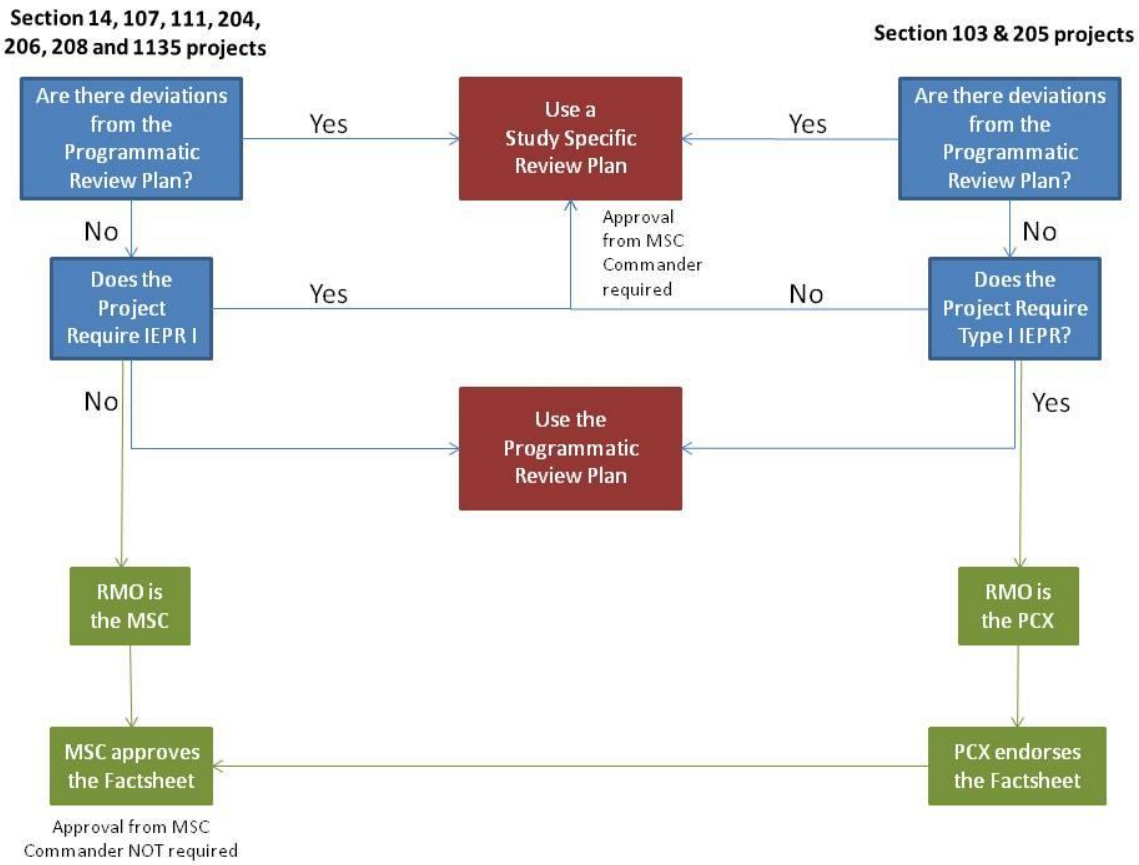

Figure 2. Decision Tree for Using the PgRP and Determining the Appropriate RMO

III. PROJECT INFORMATION

a. Decision Documents. This PgRP does not cover design and implementation phase products at this time, therefore, the "decision documents" referred to are those required during the feasibility phase. The feasibility phase encompasses the entire range of planning activities required to demonstrate that Federal participation in a project is warranted and justified. It culminates in approval of the decision document.

Per ER 1105-2-100: A "decision document" means the consolidated documentation of technical and policy analyses, findings, and conclusions upon which the District Commander bases the recommendation to the Major Subordinate Command Commander to approve the recommended project for implementation. Decision documents include: Detailed Project Report for Section 204, 206, and 1135 projects if Federal costs exceed $1M; a Planning and Design Analysis (PDA) for Section 204, 206, and 1135 projects with Federal costs less than $1M; and a PDA for Section 14 and 208 projects. A Preliminary Restoration Plan is not considered a decision document. [Except as specified above, all other CAP section projects will have a DPR.] The decision document will be prepared in accordance with ER 1105-2-100, Appendix F. The approval level of the decision document (if policy compliant) is the MSC (SPD). An Environmental Assessment (EA) or EIS (if applicable) will be prepared along with the decision document.

For **Sections 14 and 208**, the PDA consists of all the planning and design activities to demonstrate that Federal participation is warranted and no formal report is required. The "approval date for the decision document" is the date on which the district determines to proceed with design activities. *For these projects, there are no other documents or milestones required and, per References 6 and 7, approval of the PDA is delegated to the District Commander*.

b. Milestones. Per ER1105-2-100, for all Sections of CAP **except 14 and 208** (*and Section 204, 206, and 1135 projects with Federal costs less than $1M*), the feasibility phase of a CAP project includes two milestones:

i. Federal Interest Determination, and
ii. Alternatives Formulation Briefing.

Per the 27 May 2014 CESPD-PDP Memorandum, the **Tentatively Selected Plan (TSP) Milestone will replace the Alternatives Formulation Briefing for SPD CAP projects**; ***this regional guidance supersedes ER 1105-2-100***. Although a decision document is not required for this milestone, the typical SMART Planning tools should be developed to support the decisions made at this milestone, including: report synopsis, risk register, decision management plan and decision log. As described in PB 2012-02, Reissued on 04 March 2014:

> **Tentatively Selected Plan Milestone:** The second decisional milestone during the feasibility study is the TSP Milestone where the HQUSACE Chief of Planning and Policy (or their designated representative) endorses the Vertical Team and PDT's recommendation of a tentatively selected plan and proposed way forward on developing sufficient cost and design information for the final feasibility study report.

For CAP projects in SPD, the above TSP description will be modified to include **MSC endorsement of the recommendation of a tentatively selected plan and proposed way forward on developing sufficient cost and design information for the final DPR**.

c. Project Description. Section 1a of the Project Factsheet describes the basic background information on the project to provide an overview for the project delivery team (PDT), RMO, review teams, and public. At minimum, it briefly describes the study area, the types of measures/alternatives to be considered in the study, the estimated cost (or range of cost) for a potentially recommended plan, and the non-Federal sponsor(s). It also identifies the status of any existing or anticipated policy waiver requests (see ER 1105-2-100, Appendix F, para F-10.f(4)). Most importantly, the project description should include a rationale for using the PgRP – that is, an explanation as to how the scope, schedule, cost, complexity and controversy of the study and anticipated peer review strategy fit within the parameters of the PgRP.

d. For **Section 107** studies, information regarding the status of the Section 107 Fact Sheet prepared for approval by HQUSACE in consultation with the OASA (CW) during the fully Federal funded portion of the feasibility phase of the study is also included. See ER 1105-2-100, Appendix F, Amendment #2.

e. Factors Affecting the Scope and Level of Review. The purpose of CAP is to plan and implement projects of limited size, cost, scope, complexity and controversy. The PgRP is the primary opportunity to scale reviews appropriate to project size, level of complexity, and level of risk during the feasibility phase of the project. Section 1b of the Project Factsheet should discuss any

unique, project-specific factors affecting the peer review strategy for the study. Details should support the use of the PgRP and define the appropriate scope and level of review for the study. The discussion should be detailed enough to assess the applicability of the PgRP and determine the types of expertise needed on the various review teams. **In general, this PgRP covers studies that adhere to peer review parameters laid out in Sections IV, V and VI for DQC, ATR and IEPR, respectively (below).** *Significant deviations from these peer review standards may require development of a project-specific review plan.*

f. In-Kind Contributions. Products and analyses provided by non-Federal sponsors as in-kind services are subject to DQC and ATR, similar to any products developed by USACE. Section 1c of the Project Factsheet describes the expected in-kind products/analyses to be provided by the sponsor, or indicates that no in-kind products are anticipated for the project.

A conceptual drawing of the SPD CAP study development process, and anticipated reviews, is shown in Figure 3. Sections IV through IX below describe in more detail the review standards that apply.

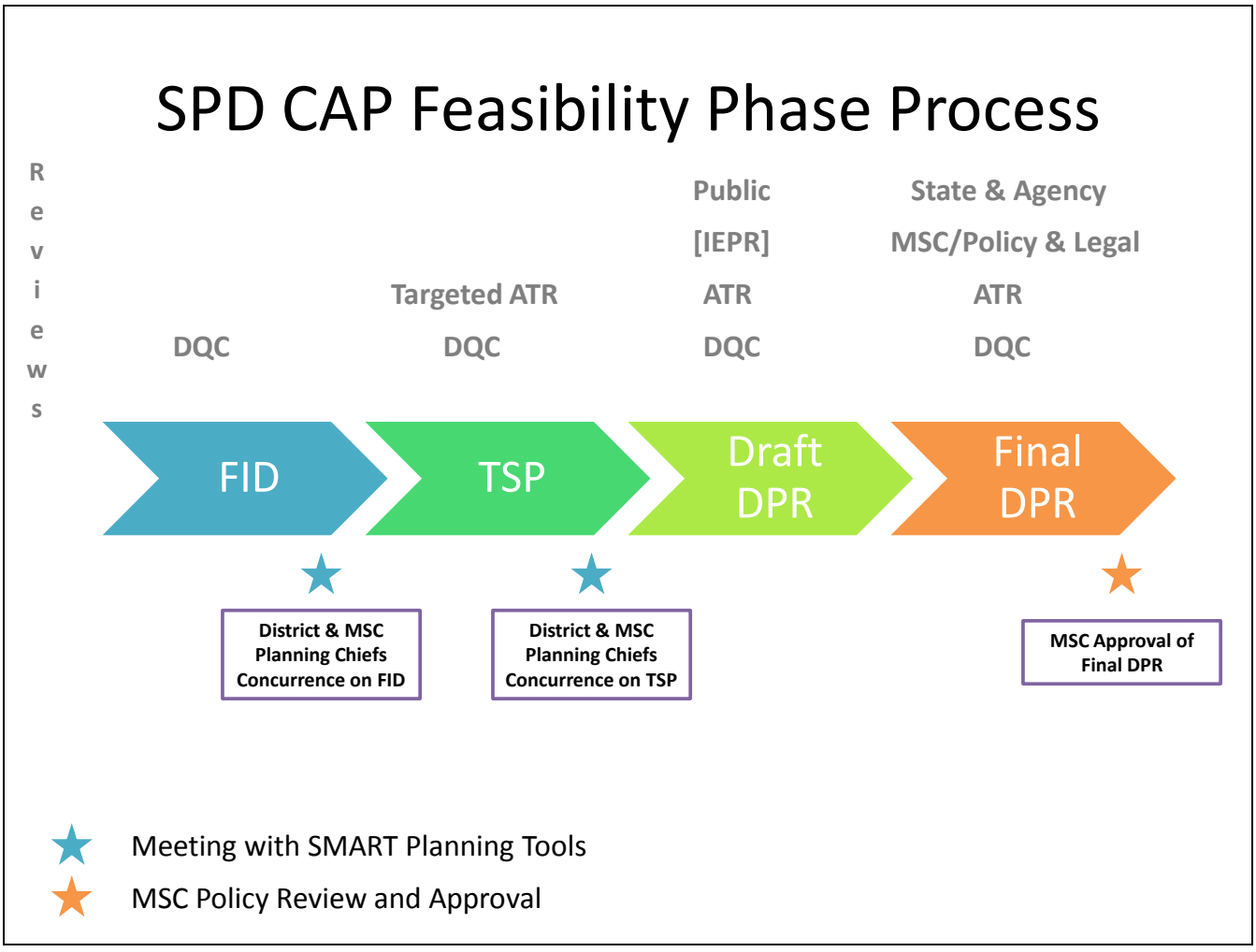

Figure 3. SPD CAP Feasibility Phase Process

IV. DISTRICT QUALITY CONTROL (DQC)

All decision documents, (including supporting data, analyses, environmental compliance documents, etc.) and milestone-supporting documents 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. DQC continues throughout the feasibility phase and will address key assumptions made by the Project Delivery Team. **Documentation of DQC activities is required, should be in accordance with the Quality Manual of the district and the MSC, and will be verified by the chain of command.** Product issues identified via DQC should be resolved prior to ATR and, if applicable, IEPR. The DQC of products and reports shall also cover any necessary National Environmental Policy Act (NEPA) documents and other environmental compliance products and any in-kind services provided by local sponsors. Reliance on subsequent levels of review by external teams is not an acceptable substitute for DQC. Section 2a of the Project Factsheet briefly describes how DQC will be documented and what DQC documentation will be provided to the ATR team, with specific focus on any deviations from the parameters described in the PgRP.

Documentation of DQC. DQC comments and responses will be documented in a DQC memorandum. DrChecks review software (ProjNet.org) can be used to record individual comments and their resolution, at the discretion of the district; however, use of DrChecks does not replace the requirement to prepare a DQC memorandum. As a minimum requirement, the DQC memorandum will summarize the main issues identified, what actions were taken to resolve the comments, and how resolution of the comments was achieved. Once DQC is complete, the DQC memorandum will be provided to the ATR team(s) and vertical team, as appropriate. DQC certification can be documented in a similar fashion to ATR certification using the Statement of Technical Review (Attachment 2). A primer on DQC is located here: http://planning.usace.army.mil/toolbox/library/Misc/PCXGuildDQCPrime090112.pdf

a. Products to Undergo DQC. All products will undergo DQC prior to completion, including SMART Planning tools (report synopsis, risk register, decision management plan, decision log). If determined to be necessary, DQC will be conducted for interim products. At this time, products anticipated to undergo DQC include: Federal Interest Determination reports, project management plans, budgetary documents (J-sheets, etc.), Feasibility Cost Sharing Agreements (FCSA), public information products, FID and TSP milestone products, environmental compliance documents prepared for compliance with environmental laws (e.g. NEPA documentation, Section 106 Programmatic Agreements, Clean Water Act 404 (b)(1) evaluations, fish and wildlife mitigation and monitoring plans, biological assessments), and the draft and final DPR.

Type of Product	**Product(s) to be Reviewed**
Draft decision document	Draft DPR
Final decision document	Final DPR
Draft decision document (Section 14 & 208)	Draft Planning and Design Analysis (PDA) report
Final decision document (Section 14 & 208)	Final Planning and Design Analysis (PDA) report
Environmental compliance documents	NEPA documentation, Section 106 Programmatic Agreements, Clean Water Act 404 (b)(1) evaluations, fish and wildlife mitigation and monitoring plans, biological assessments

Engineering Model(s)	As Applicable - Draft model, Final model
Planning Model(s)	As Applicable - Draft model, Final model
SMART Planning Tool	Report Synopsis
SMART Planning Tool	Risk Register
SMART Planning Tool	Decision Management Plan
SMART Planning Tool	Decision Log
Supporting documents & analyses	FID Milestone products
Supporting documents & analyses	TSP Milestone products
Supporting documents & analyses	Budgetary documents
Supporting documents & analyses	FCSA

b. Required DQC Expertise. DQC expertise will mirror the expertise on the PDT and will be conducted by senior district personnel who have not contributed to the study. More junior district personnel may perform DQC for developmental purposes only under the guidance of a senior staff member of the same discipline.

Section 2b of the Project Factsheet provides a list of potential DQC disciplines required and briefly describes the types of expertise that will be represented on the DQC team. The names, organizations, contact information, credentials, and years of experience of the ATR members should be included in the Project Factsheet once the DQC team is established.

c. Establishment of Review Manager. In order to coordinate the many potential reviews, the PDT will utilize a Review Manager who will coordinate all review tasks and assist in the identification of review teams. The review manager will be assigned by the lead district but may be located in other districts within the South Pacific Division region. Preference shall be given to members of the CAP regional production center review cadre. The necessary qualifications for the Review Manager are described below.

	Expertise Required
Review Manager	The Review Manager should be a senior professional preferably with experience in conducting DQC and ATR. The manager should also have the necessary skills and experience to guide a virtual team through the review process. The manager must be familiar with CAP and should come from the CAP regional production center review cadre. If not, the Project Factsheet should provide a rationale for deviating from this requirement.

V. 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. Per EC 1165-2-214, Appendix G, paragraph 2.a.(5), the ATR lead is to be outside the home MSC unless the CAP review plan justifies an exception and is explicitly approved by the MSC Commander. CESPD-PDP Memorandum dated 29 May 2014 establishes the SPD Regional Planning Production Center for CAP, with the intent of establishing a regional SPD CAP review cadre of subject matter experts and regional technical specialists. **To the extent possible, ATR of SPD CAP decision documents and associated products and analyses should be conducted by members of this SPD regional review cadre, to include the ATR lead**. Because SPD has developed regional guidelines to incorporate SMART Planning principles and milestones in the CAP program, as a regional variation to national guidance but consistent with national Civil Works Transformation initiatives, having the ATR lead assigned outside the home district, but within the MSC, is considered a more efficient and effective way to streamline the review process. For those studies where the MSC is the RMO and the ATR lead is from the CAP regional production center review cadre, the ATR lead exception will be granted (i.e., the ATR lead can be from within the home MSC). For those studies where the PCX is the RMO, the ATR lead can come from outside the MSC, but the ATR lead exception will be granted (for SPD ATR lead) if an appropriate rationale is provided in Section 3a of the Project Factsheet.

a. Products to Undergo ATR. ATR will be performed throughout the study in accordance with the district and MSC Quality Management Plans. Targeted ATR on interim products, and ATR on any planning or engineering models, shall be documented and discussed at the Tentatively Selected Plan (TSP) milestone. Certification of the ATR on the DPR will be provided prior to the District Commander signing the final DPR. The following table outlines the proposed products to undergo ATR.

Type of Product	**Product(s) to be Reviewed**
Interim products	As applicable - Targeted ATR
Draft decision document	Draft DPR
Final decision document	Final DPR
Draft decision document (Section 14 & 208), as needed	Draft Planning and Design Analysis (PDA) report
Final decision document (Section 14 & 208), as needed	Final Planning and Design Analysis (PDA) report
Engineering Model(s)	As applicable - Draft model, Final model
Planning Model(s)	As applicable - Draft model, Final model

b. Required ATR Team Expertise. Specific ATR team makeup would be determined by the scope and magnitude of each product undertaken as a part of the CAP project. The expertise represented on the ATR team reflects the significant expertise involved in the work effort and will generally mirror the expertise on the PDT. The PDT will 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 1 of the Project Factsheet and may suggest candidates. The RMO, in cooperation with the PDT and vertical team, will determine the final make-up of the ATR team.

For **Section 14, 103, 107, 205 and 208** projects, at a minimum, Plan Formulation, NEPA Compliance, Engineering/Hydraulics and Hydrology, Real Estate, Economics and Cost Estimating will be represented on the ATR Teams. **Section 103 and 205** projects will also include a coastal or flood risk analysis reviewer on the ATR team, as appropriate (EC 1165-2-214, Appendix C, Paragraph 3.f.3.). The Flood Risk Management and Coastal Storm Risk Management PCXs maintain a roster of qualified risk analysis reviewers. For **Section 204** projects, at a minimum, Plan Formulation, Biology/NEPA/Ecosystem Output Evaluation, Engineering/Hydraulics and Hydrology, Real Estate, Economics (CE/ICA), Operations/Dredging and Cost Estimating will be represented on the ATR Teams. For **Section 206 and 1135** projects, at a minimum, Plan Formulation, Biology/NEPA/Ecosystem Output Evaluation, Engineering/Hydraulics and Hydrology, Real Estate, Economics(CE/ICA) and Cost Estimating will be represented on the ATR Teams. In general, the **ATR team should mirror the significant disciplines involved in the accomplishment of the work** (EC 1165-2-214, Appendix C, Paragraph 3.f.2.).

The ATR Team Leader role can be assigned to any of the ATR team members. An ATR Team member may serve multiple roles if warranted by the scope of the study and the level of effort. The ATR Team Leader should use the "ATR Lead Checklist" and "ATR Charge Template" developed by the National Planning Centers of Expertise as resources when conducting the review: http://planning.usace.army.mil/toolbox/current.cfm?Title=Peer%20Review&ThisPage=Peer&Side=No. Section 3b of the Project Factsheet provides a list of potential ATR disciplines required and briefly describes the types of expertise that will be represented on the ATR team. If a targeted ATR is deemed necessary by the PDT, this should also be laid out in the Project Factsheet. The names, organizations, contact information, credentials, and years of experience of the ATR members should be included in the Project Factsheet once the ATR team is established.

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.

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

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 1110-2-12 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.

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:

- Identify the document(s) reviewed and the purpose of the review;
- Disclose the names of the reviewers, their organizational affiliations, and include a short paragraph on both the credentials and relevant experiences of each reviewer;
- Include the charge to the reviewers;
- Describe the nature of their review and their findings and conclusions;
- Identify and summarize each unresolved issue (if any); and
- 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.

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. Prior to the District Commander signing the final report, the ATR Lead will prepare a Statement of Completion of ATR documenting that the ATR has been completed and the issues raised by the ATR team have been resolved (or elevated to the vertical team). Subsequently, the District will prepare (with ATR Lead assistance, upon request) a Statement of Certification of ATR that certifies all concerns resulting from the ATR of the project have been fully resolved. **Sample Statements of Completion and Certification of ATR are included in Attachment 2**.

VI. INDEPENDENT EXTERNAL PEER REVIEW (IEPR)

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:

- 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.

- Type II IEPR. Type II IEPR, or Safety Assurance Review (SAR), is managed outside the USACE and is 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. Type II IEPR is not warranted for any of the products addressed by this PgRP; a project-specific review plan should be developed for projects entering the implementation phase.

a. Decision on IEPR. Section 4a of the Project Factsheet should describe if Type I IEPR is applicable, per the discussion in Section 1.b. of the PgRP.

b. Products to Undergo Type I IEPR. If Type I IEPR is required, 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. IEPR can be initiated earlier in the study process, which can reduce the chances of significant changes to the decision document occurring at the end of the study due to IEPR panel findings and recommendations. For example, for more complex studies, IEPR could be performed for key interim technical products. Per EC 1165-2-214 and the IEPR SOP, IEPR review cannot be completed until the panel has reviewed the comments received during public review and USACE responses to public comment. The following table outlines the proposed (minimum) products to undergo Type I IEPR.

Type of Product	**Product(s) to be Reviewed**
Draft decision document	Draft DPR

c. Required Type I IEPR Panel Expertise. If Type I IEPR is applicable, Section 4b of the attached Factsheet 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 4c of the attached Factsheet and may suggest candidates. An Outside Eligible Organization (OEO), per EC 1165-2-214, Appendix D, will determine the final participants on the panel.

d. Documentation of Type I IEPR. The IEPR panel will be selected and managed by an Outside Eligible Organization (OEO). 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 4d above. The OEO will prepare a final Review Report that will accompany the publication of the final decision document and shall:

- Disclose the names of the reviewers, their organizational affiliations, and include a short paragraph on both the credentials and relevant experiences of each reviewer;
- Include the charge to the reviewers;
- Describe the nature of their review and their findings and conclusions; and
- 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.

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.

e. Anticipated Type II IEPR. Section 4c of the Project Factsheet should describe if Type II IEPR is anticipated during the design and implementation phase.

VII. 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 and supplemental regional guidance provided in the CESPD-PDP memorandum dated 27 May 2014. Specifically, the 27 May 2014 CESPD-PDP Memorandum reinforces ER 1105-2-100 by delegating the approval authority for all interim documents and study milestones with the exception of the final DPR, and provides regional guidance as follows:

> **Delegation of Approval Authority.** The Districts are hereby delegated approval of all interim documents and study milestones for CAP studies, including the FID pursuant to agreement of MSC and District Planning Chiefs, as described above [i.e., if the MSC Planning Chief and District Planning Chief both agree there is Federal Interest, the FID documentation and decision shall be captured in the study Decision Log and approval for the FID is then delegated to the District Commander], with the exception of the final DPR approval milestone. Approval by the MSC of the final DPR milestone is required by ER 1105-2-100. The Districts shall develop internal procedures to deliver appropriate District Quality Control (DQC) of interim documents and shall follow existing Corps guidance relevant to peer review (Agency Technical Review (ATR) and Independent External Peer Review, as appropriate) per EC 1165-2-214. Evidence of successful and certified DQC and ATR will be presented to the MSC to support approval of the DPR decision document. To expedite development of review plans for CAP projects, a CAP Regional Programmatic Review plan will be developed as a separate action.

MSC reviews will culminate in a determination 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.

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

For CAP projects, ATR of the cost estimate may be conducted by pre-certified district cost personnel within the region as designated by the Walla Walla Cost Mandatory Center of Expertise (MCX). The pre-certified list of cost personnel has been established and is maintained by the Cost MCX. The cost ATR member will coordinate with the Cost MCX for execution of cost ATR and cost certification. The Cost MCX will be responsible for final cost certification and may be delegated at the discretion of the Cost MCX.

IX. MODEL CERTIFICATION AND APPROVAL

a. Planning Models. Per the CECW-P Memorandum dated 19 January 2011, approval of planning models under EC 1105-2-412 is not required for CAP projects. MSC Commanders remain responsible for assuring the quality of the analyses used in these projects. DQC and ATR will be used to ensure that models and analyses are compliant with USACE policy, theoretically sound, computationally accurate, transparent, described to address any limitations of the model or its use, and documented in study reports. Section 5a of the Project Factsheet lists the planning models that are anticipated to be used in the development of the decision document. While EC 1105-2-412 does not apply to CAP, planning models still need to undergo peer review. Existing certified and approved models should be used to the extent practical as a preferred first option. Where this is not practical, a justification for use of non-approved models should be provided in Section 5a of the Project Factsheet. Non-approved models still require DQC review and may require ATR under certain circumstances. A description of, and rationale for, the proposed peer review strategy of all planning models should also be provided in Section 5a of the Project Factsheet.

b. Engineering Models. DQC and ATR will be used to ensure that models and analyses are compliant with USACE policy, theoretically sound, computationally accurate, transparent, described to address any limitations of the model or its use, and documented in study reports. Section 5b of the Project Factsheet lists the engineering models that are anticipated to be used in the development of the decision document. Existing certified and approved models should be used to the extent practical as a preferred first option. Where this is not practical, a justification for use of non-approved models should be provided in Section 5b of the Project Factsheet. Enterprise Standard 08-101 Software Validation for the Hydrology, Hydraulics and Coastal Community of Practice (HH&C CoP) defines various approval categories for HH&C models and when justification is required for use of a model in a study (generally whenever a model is not designated as “CoP Preferred”). Non-approved models still require DQC review and may require ATR under certain circumstances. A description of, and rationale for, the proposed peer review strategy of all planning models should also be provided in Section 5b of the Project Factsheet.

X. REVIEW SCHEDULES AND COSTS

a. DQC Schedule and Cost. Section 6a of the Project Factsheet should identify the project-specific estimated schedule and cost for DQC. **On average, a minimum of 4 weeks duration for DQC** with 2 weeks for comment submittal and another 2 weeks for response, backcheck and revisions should be anticipated. The duration can vary by products; for example, interim products may require less while draft and final decision documents may require more.

b. ATR Schedule and Cost. Section 6b of the Project Factsheet should identify the project-specific estimated schedule for ATR and provide an estimated cost for the ATR effort. Coordination with the

RMO may be needed to complete this section. The ATR schedule and budget should include participation of the ATR Lead in the TSP milestone conference to address the ATR process and any significant and/or unresolved ATR concerns. For ATR, the PCXs generally advise a **minimum of 6 weeks duration for ATR of a complete draft decision document** package when developing study schedules: minimum of 2 weeks for comment submittal and approximately 4 weeks total for response, backcheck, and report preparation. Actual durations can sometimes be less (or more), but that is highly dependent on the quality and complexity of the document provided for ATR, which generally cannot be fully anticipated up front. A final report review can be more limited than a draft report review, depending on the changes between draft and final, but a minimum of 2 weeks for planning purposes is recommended. Interim reviews also can vary greatly, depending on the product.

c. IEPR Schedule and Cost. If IEPR will not be conducted for this study, indicate 'Not-Applicable' in Section 6c of the Project Factsheet; otherwise, Section 6c should identify the estimated schedule for IEPR and provide an estimated cost for the IEPR effort. Typical timelines are provided in Section 6c of the Project Factsheet; any deviations from the typical timelines should include a robust rationale.

d. Planning Models and Engineering Models Schedule and Cost. All models require some peer review: DQC at a minimum, and ATR under certain circumstances. A justification for using models not already approved and certified should be provided in Section 6d of the Project Factsheet, along with a peer review strategy and anticipated costs. *ATR on any planning or engineering models shall be completed prior to the Tentatively Selected Plan (TSP) milestone*.

XI. PUBLIC PARTICIPATION

State and Federal resource agencies may be invited to participate in the study covered by this PgRP as partner agencies or NEPA cooperating agencies, or as technical members of the PDT, as appropriate. Agencies with regulatory review responsibilities will be contacted for coordination as required by applicable laws and procedures and integrated NEPA and feasibility documents are encouraged. In addition to agencies with a formal regulatory role, public involvement should include stakeholder outreach and collaboration with the public, local, state and federal agencies and Non-Governmental Organizations. The ATR team will be provided copies of public and agency comments. Section 7 of the Project Factsheet should describe how and when there will be opportunities for public comment on the development of the decision document and how the final decision document and associated review reports will be made available to the public.

XII. FACTSHEET APPROVAL AND UPDATES

The Project Factsheet is a living document and may change as the study progresses. The home district is responsible for keeping it up to date. Minor changes to the Project Factsheet since the last approval will be documented in Section 8 of the Project Factsheet. Significant changes (such as changes to the scope and/or level of review) require approval by the MSC following the process used for initially approving the plan. Significant changes may result in the MSC determining that use of the PgRP is no longer appropriate. In these cases, a project specific review plan will be prepared and approved in accordance with EC 1165-2-214. The latest version of the Project Factsheet with accompanying approval memorandum and most recently approved PgRP, attached, will be posted on the home district's webpage.

XIII. REVIEW PLAN POINTS OF CONTACT

Section 9 of the Project Factsheet should list the points of contact to which public questions and/or comments on this review plan can be directed.

XIV. TEAM ROSTERS

Section 10 of the Project Factsheet should provide a roster and contact information for the PDT, ATR team, and MSC. The credentials and years of experience for the ATR team should also be included when available.

DEPARTMENT OF THE ARMY
SOUTH PACIFIC DIVISION, CORPS OF ENGINEERS
1455 MARKET STREET
SAN FRANCISCO, CALIFORNIA 94103-1399

REPLY TO
ATTENTION OF

CESPD-PDC

Feb 19, 2015

MEMORANDUM FOR Commander, Albuquerque District, US Army Corps of Engineers, ATTN: CESPA-PM-C [redacted]

Subject: Approval for the Janes-Wallace CAP Section 206 Aquatic Ecosystem Restoration Project, Santa Rosa, New Mexico Review Plan

1. References:

a. Engineering Circular 1165-2-214, 15 December 2012, subject: Civil Works Review.
b. CESPD-PDP Memorandum, 27 May 2014, subject: USACE Civil Works Program; CESPD Regional Guidance and Policy Framework for Execution of the Continuing Authorities Program (CAP).
c. Decision Document Programmatic Review Plan for SPD CAP, dated 19 September 2014.

2. The attached Project Factsheet for the Decision Document Programmatic Review Plan for SPD CAP (Reference 1.c.) specific to the Janes-Wallace CAP Section 206 Aquatic Ecosystem Restoration Project, Santa Rosa, New Mexico was prepared in accordance with References 1.a. and 1.b. The Review Plan was reviewed by the DST and members of the Review Management Organization (RMO). CESPD will serve as the RMO (Encl).

3. The Project Factsheet confirms independent external peer review (IEPR) is not required.

4. I hereby approve this Project Factsheet, which is subject to change as circumstances require, consistent with project development under the Project Management Business Process. Subsequent revisions to this Project Factsheet will require new written approval from this office.

5. For any additional information or assistance, contact [redacted] CESPD-PDC, (415) 503-6558, [redacted]

BUILDING STRONG *and Taking Care of People!*

FOR THE COMMANDER:

[redacted]

Albuquerque District Support Team Lead
Civil Works Integration Division

Encl

SPD CAP Programmatic Review Plan

ATTACHMENT 1A

Project Factsheet

Project Title: Janes Wallace Dam – Sec 206

CAP Section: Section 206 – Aquatic Ecosystem Restoration

MSC and RMO to whom inquiries about the Project Factsheet may be directed:

- [redacted], CESPD Civil Works Integration Division, 415-503-6558
- [redacted], CESPD-PDP, 415-503-6591

1. PROJECT INFORMATION

a. Project Description. This single purpose ecosystem restoration project is located on El Rito Creek, a tributary of the Pecos River, downstream of Santa Rosa, NM. The project sponsor is the City of Santa Rosa, NM.

The Janes Wallace Memorial Dam, a.k.a. Power Dam, was constructed in 1929 of a combination of earthen materials and concrete. It measured 25 feet in height and approximately 400 feet in length. The dam is owned and operated by the City of Santa Rosa, and was used to generate hydroelectric power. The City of Santa Rosa stopped using the dam for hydroelectric power in 1971. The dam stored approximately 65 acre feet of water. There are no residences downstream of the dam on El Rito Creek.

In 1999, the concrete portion of the dam sustained structural damage after a large storm event. Due to the damage, the State of New Mexico breached the dam. Currently, the dam measures 20 feet in height and 290 feet in length. Due to the deteriorated condition of the dam, the City of Santa Rosa will replace the dam, and is in the process of obtaining the approvals of the design of the replacement dam from the State of New Mexico's Dam Safety Bureau. The City expects to start dam reconstruction within 18 months, in accordance with all applicable Dam Safety regulations.

The pool has decreased from 9 acres to approximately 4 acres, due to the breach of the dam. The lowering of the water table has led to a decrease in native wetland vegetation and an increase in exotic vegetation around the lake's perimeter. The lake supports approximately 5 acres of adjacent wetland and exotic vegetation. El Rito Creek from the dam to its confluence with the Pecos River is approximately 1,100 feet and supports riparian and wetland type vegetation.

The lake is currently used for recreation including fishing. Until recently, the New Mexico State Game Commission leased the area from the City of Santa Rosa. The State Game Commission designated Janes Wallace Memorial Dam as a State Wildlife Area.

The proposed ecosystem restoration project would restore degraded ecosystem structure, function and dynamic processes to a less degraded, more natural condition by increasing the pool size from 4 to 9 acres, removing approximately 25,000 cubic yards of

fine grain sediments in the lake and removing exotic woody vegetation from around the lake, along El Rito Creek and the surrounding areas. The restoration features would be designed to avoid any impacts to the dam operations. The City of Santa Rosa owns all water rights of El Rito creek at Janes Wallace Memorial Dam. No additional water rights acquisition would be required.

Maintenance of lake water levels would allow for continued support of the adjacent littoral shelf and shoreline wetlands and continued recreational use for the public. Removing 25,000 cubic yards of sediment would increase the depth of the existing lake from 5 feet to 15 feet. Increasing the depth of the lake would improve the diversity and types of aquatic habitat for native fish and other aquatic species. Once the project is complete, the New Mexico Department of Game and Fish could once again stock the lake with Rainbow Trout, Bluegill, Sunfish and Catfish, thus increasing the fishing opportunities in the area.

The expected outputs would include 5 additional acres of surface water, greater flow control from the outlets of the dam to manage for wetland and aquatic species. The depth of the lake would be increased from 5 feet to 15 feet. The volume of the lake would increase from approximately 4,453,610 gallons (1.4 acre-feet) to 44,683,159 gallons (6 acre-feet). The restoration of this significant ecosystem will benefit aquatic organisms, fishery, migratory bird species as well as resident wildlife species. Removing exotic vegetation would restore approximately five acres of wetland habitat and may increase the presence of the Pecos sunflower.

The Study and project costs are estimated at $3 million.

b. Factors Affecting the Scope and Level of Review. The use of a PgRP for this study is supported as this is a CAP Section 206 decision document that does not require Type I Independent External Peer Review (IEPR) as defined in EC 1165-2-214 Civil Works Review and does not include an Environmental Impact Statement (EIS). Additionally, this project is considered to have low overall risk because:

- SPA has recently and successfully completed studies and projects of this nature that include ecosystem restoration management measures;
- This project does not have any significant interagency or NGO interest;
- There has been no request by the Governor of an affected state for a peer review by independent experts;
- The sponsor owns the property where management measures are currently being considered;
- This project is not expected to have significant adverse impacts on scarce or unique cultural, historic, or tribal resources;
- This project is not likely to contain influential scientific information, nor is it likely to be a highly influential scientific assessment;
- This project is not expected to be based on novel methods, does not present complex challenges for interpretation, does not contain precedent-setting methods or models, and will not present conclusion that are likely to change prevailing practices;
- Does not involve the rehabilitation or replacement of existing hydropower turbines, lock structures, or flood control gates;

- The dam will be replaced by the Sponsor in accordance with all State of New Mexico Dam Safety regulations; and
- Health and human safety risks are currently believed to be minimal.

The PDT has read and understood EC 1165-2-214. The PDT met to discuss Type I IEPR, has agreed upon the items listed in section 3.C. (Safety Assurance Factors, Planning Challenges and Project Risk), and has determined that Type I IEPR is not warranted.

During the Feasibility phase, the SPA Chief of Engineering and Construction Division will continue to assess the threat to human life and safety to determine if Type I or Type II IEPR are warranted.

c. In-Kind Contributions. Products and analyses provided by non-Federal sponsors as in-kind services are subject to DQC, ATR and IEPR, similar to any products developed by USACE. The in-kind products and analyses expected to be provided by the non-Federal sponsor include, but are not limited to:

- Existing reports and hard data that they contribute to the study / project;
- Assistance during public involvement actions;
- Assistance during the formulation of alternatives.
- Existing reports or data provided as part of the study are subject to peer review requirements.

2. DISTRICT QUALITY CONTROL (DQC)

a. DQC Documentation. All decision documents (including supporting data, analyses, environmental compliance documents, etc.), and district or contractor products will 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; product issues identified via DQC should be resolved prior to ATR.

DrChecks review software will be used to document all DQC comments, responses and associated resolutions accomplished throughout the review process. Comments and responses will be included as part of the package for later reviews. Comments should be limited to those that are required to ensure adequacy of the product.

The four key parts of a quality review comment should include:

i. The review concern;
   a) Identify the product's information deficiency or incorrect application of policy, guidance, or procedures.

ii. The basis for the concern;
   b) Cite the appropriate law, policy, guidance, or procedure that has not been properly followed.

iii. The significance of the concern;

c) Indicate the importance of the concern with regard to its potential impact on plan selection, recommended plan components, efficiency (cost), effectiveness (function/outputs), implementation responsibilities, safety, Federal interest, or public acceptability.

iv. The probable specific action needed to resolve the concern.

d) Identify the action(s) that the reporting officers must take to resolve the concern.

Required DQC Team Expertise.

DQC Disciplines	DQC Team Members	Expertise Required
Planning	**TBD**	The reviewer should have recent experience in reviewing Plan Formulation processes for ecosystem restoration studies and be able to draw on "lessons learned" in advising the PDT of best practices.
Economics	**TBD**	The economics reviewer should be either from the certified list by business line, or for exceptions, be approved as developmental reviewer by the Econ Sub-CoP.
Environmental Resources	**TBD**	The reviewer should have a solid background in the habitat types to be found in the arid southwestern United States, and understand the factors that may impact native species of plants and animals.
Cultural Resources	**TBD**	The reviewer should have extensive Corps' experience regarding cultural resources on public and tribal lands. They need to be familiar with Department of Defense as well as USACE policies and procedures as they pertain to Corps studies and projects. http://www.usace.army.mil/CECW/Pages/cultural.aspx
Hydrology	**TBD**	The reviewer should have extensive knowledge of hydrology of arid-land, flashy wash systems and the Rio Grande or similar river system.
Hydraulic Engineering	**TBD**	The reviewer should have extensive knowledge of HEC-RAS modeling including the use of GIS (ARC-INFO) inputs to the model. The reviewer should also have a solid understanding of the geomorphology of alluvial rivers.
Geotechnical Engineering	**TBD**	The reviewer should have recent experience in the Corps' design requirements. This person should also have experience in investigating existing subsurface conditions and materials; determining their physical/mechanical and chemical properties that are relevant to the project considered, assessing risks posed by site conditions; designing earthworks and structure foundations; and monitoring site conditions, earthwork and foundation construction.
Civil Engineering	**TBD**	The reviewer should have recent experience in the design and of plans and specifications for various

		ecosystem restoration features such as flow excavation, channel design, and revegetation.
Cost Engineering	**TBD**	Cost MCX Staff or Cost MCX Pre-Certified Professional with experience preparing cost estimates for ecosystem restoration projects and the application of scientific principles and techniques to problems of cost estimating, cost control, business planning and management science, profitability analysis, project management, planning and scheduling.
Construction/ Operations	**TBD**	Construction reviewers will have knowledge of implementation of channel excavation and restoration plantings.
Real Estate	**TBD**	Real Estate reviewers should be senior real estate specialist with experience in ecosystem restoration studies.

b. Review Manager. Lynette Giesen will be the Review Manager who will coordinate all review tasks. Ms. Giesen has more than 10 years experience in the Civil Works mission of USACE: two years as a biologist in the Environmental Resources Section, five years as a study manager in the Plan Formulation Section and just over five years as a Civil Works Project Manager. Ms. Giesen has conducted several DQC and ATRs for a different Civil Works projects, including a variety of CAP projects, watershed studies and other feasibility studies.

3. AGENCY TECHNICAL REVIEW (ATR)

a. ATR Lead. Marc Masnor, SWD Regional Technical Specialist, will be the ATR lead who will coordinate all ATR tasks in accordance with SPD regional guidelines to incorporate SMART Planning principles and milestones for CAP projects.

b. Required ATR Team Expertise. For Section 206 projects, at a minimum, Plan Formulation, Economics (CE/ICA), Biology/NEPA/Ecosystem Output Evaluation, Geotechnical Engineering, Hydrology, Hydraulics, Real Estate, and Cost Estimating will be represented on the ATR team:

ATR Disciplines	ATR Team Members	Expertise Required
ATR Lead	**Marc Masnor,**	The ATR lead should be a senior professional with experience in preparing CAP decision documents and conducting ATR. The lead should also have the necessary skills and experience to lead a virtual team through the ATR process.
Planning	**TBD**	The reviewer should have recent experience in reviewing Plan Formulation processes for ecosystem restoration studies and be able to draw on “lessons learned” in advising the PDT of best practices.
Economics	**TBD**	The economics reviewer should be either

		from the certified list by business line, or for exceptions, be approved as developmental reviewer by the Econ Sub-Cop and should be familiar with the processes used in evaluation of ecosystem restoration projects and have recent experience in preparing economic analysis plans using the IWR Planning Suite..
Biology/NEPA/Ecosystem Output Evaluation	**TBD**	The reviewer should have a solid background in the habitat types to be found in the arid southwestern United States, and understand the factors that may impact native species of plants and animals.
Geotechnical Engineering	**TBD**	The reviewer should have recent experience in the Corps' design requirements. This person should also have experience in investigating existing subsurface conditions and materials; determining their physical/mechanical and chemical properties that are relevant to the project considered, assessing risks posed by site conditions; designing earthworks and structure foundations; and monitoring site conditions, earthwork and foundation construction.
Hydrology	**TBD**	The reviewer should have extensive knowledge of hydrology of arid-land, flashy wash systems and the Rio Grande or similar river system. The reviewer must be a certified reviewer in the CERCAP system.
Hydraulic Engineering	**TBD**	The reviewer should have extensive knowledge of HEC-RAS modeling including the use of GIS (ARC-INFO) inputs to the model. The reviewer should also have a solid understanding of the geomorphology of alluvial rivers. The reviewer must be a certified reviewer in the CERCAP system.
Real Estate	**TBD**	The reviewer should have extensive USACE experience regarding real estate on public and private lands and have experience in ecosystem restoration studies.
Cost Engineering	**TBD**	Cost DX Staff or Cost DX Pre-Certified Professional with experience preparing cost estimates for ecosystem restoration projects.

4. INDEPENDENT EXTERNAL PEER REVIEW (IEPR)

a. Decision on Type I IEPR. The PDT has read and understood EC 1165-2-214. The PDT met to discuss Type I IEPR, has agreed upon the items listed in section 3.C. (Safety

Assurance Factors, Planning Challenges and Project Risk), and has determined that Type I IEPR is not warranted.

b. Required Type I IEPR Panel Expertise. Not Applicable.

c. Anticipated Type II IEPR. Based on the criteria in EC 1165-2-214 and the information provided in Section 1.b "Factors Affecting the Scope and Level of Review", Type II IEPR will not be conducted on the implementation documents. However, the SPA Chief of Engineering and Construction Division will continue to assess the threat to human life and safety to determine if Type II IEPR is warranted. If it is determined that Type II IEPR is warranted during implementation, a project-specific review plan would be developed as the project enters the implementation phase.

5. MODEL CERTIFICATION AND APPROVAL

a. Planning Models.

The following planning models are anticipated to be used in the development of the decision document:

Model Name and Version	Brief Description of the Model and How It Will Be Applied in the Study	Approval Status	Peer Review Anticipated
HEC-FDA 1.2.5a (Flood Damage Analysis)	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 to aid in the selection of a recommended plan to manage flood risk.	Certified	DQC/ATR
Habitat Evaluation Procedures (HEP)	▪ Primary Purpose – To document the quality and quantity of available habitat for selected wildlife species or functionality of the Bosque ecosystem. HEP may be used in three planning activities: wildlife habitat assessments (including both baseline and future conditions), trade-off analyses, and compensation analyses. ▪ Applicable habitat types – most terrestrial, wetland, and aquatic habitats in the United States ▪ Category assessed – Habitat suitability for selected fish, wildlife, or invertebrates ▪ Output – habitat suitability for each cover type and the entire project area for each evaluation species ▪ Comparison of habitat types – Can directly compare habitats within the geographic ranges of the evaluation species ▪ In accordance with the Model Certification White	Certified	DQC/ATR

	Paper dated Mar 08 drafted by the Eco-PCX, HEP has been recommended for use in Ecosystem Restoration Projects without further certification required as long as indicator species used in the Habitat Suitability Index (HSI) have published Blue Books (listed in white paper). ▪ Eco-PCX states that HEP has been cleared for use in Ecosystem Restoration Projects without further certification required as long as the indicator species used in the Habitat Suitability Index (HSI) have Blue Books.		
Habitat Suitability Index Model (HSI)	▪ Primary Purpose – To document the existing and forecast future quality and quantity of available habitat within the study area. The model will be used to quantify changes in quantity and quality of habitat resulting from the future with and without projects. The model outputs will also facilitate evaluation of alternative plans and use of CE/ICA if applicable. ▪ Provides habitat information useful for impact assessment and habitat management. Several types of habitat information are provided. The HSI can be used to derive quantitative relationships between key environmental variables and habitat suitability. The model synthesizes the habitat use information into a framework appropriate for field application and is scaled to produce an index value between 0.0 (unsuitable habitat) and 1.0 (optimum habitat). The model is a hypothesis of species-habitat relationships.	Certified	DQC/ATR
IWR Plan	IWR Planning Suite assists with plan formulation by combining user-defined solutions to planning problems and calculating the effects of each combination, or "plan." The program can assist with plan comparison by conducting cost effectiveness and incremental cost analyses, identifying the plans which are best financial investments and displaying the effects of each on a range of decision variables.	Certified	DQC/ATR

b. Engineering Models

The following engineering models are anticipated to be used in the development of the decision document:

Model Name and Version	Brief Description of the Model and How It Will Be Applied in the Study	Approval Status	Peer Review Anticipated
HEC-RAS 4.0 (River Analysis System)	HEC-RAS 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	HH&C CoP Preferred Model	DQC/ATR

	project conditions along the Rio Grande and its tributaries. This model will be used for with project flood stages and levee design.		
MCACES MII 4.1	MII provides an integrated cost estimating system (software and databases. This will be used as a tool to determine cost estimates for project alternatives.	Enterprise Model	DQC/ATR
FLO-2D	It is used by the Corps Flood Plain Management Group and includes graphics and reporting. This model will be used for hydrologic routing for with and without project floodplains and flood stages.	Allowed for Use for flood routing and floodplain mapping	DQC/ATR

6. REVIEW SCHEDULES AND COSTS

Review Schedules:

Review	Planned Start	Planned Finish
DQC	06-Jul-15	31-Jul-15
ATR	10-Aug-15	15-Oct-15
TSP	22-Sep-15	22-Sep-15
Public Review	22-Sep-15	03-Nov-15

a. DQC Schedule and Cost. Current DQC review, assistance, and updates for a draft and final review are estimated to be $25,000. All project documents will undergo DQC.

b. ATR Schedule and Cost.
The Albuquerque District shall provide labor funding by cross charge labor codes. Funding for travel, if needed, will be provided through government order. The Project Manager will work with the ATR Team Leader to ensure that adequate funding is available and is commensurate with the level of review needed. Any funding shortages will be negotiated on a case by case basis and in advance of a negative charge occurring.

The ATR Team Leader shall provide organization codes for each team member and a responsible financial point of contact (CEFMS responsible employee) for creation of labor codes. Reviewers shall monitor individual labor code balances and alert the ATR Leader to any possible funding shortages. Current ATR review, assistance, and updates for a draft and final review are estimated to be $45,000. The following products will undergo ATR:

1. Draft and Final Detailed Project Report / Environmental Assessment
2. Hydrologic, Hydraulic, Sediment and Risk Analyses
3. Economic Analysis
4. Existing or Future Sponsor or Contractor Provided Products
5. Cost Engineering Products - Cost/Schedule risk analysis and the MCACES will be certified by the Cost Engineering MCX, Walla Walla District, also as part of the ATR.

c. IEPR Schedule and Cost. Not Applicable

d. Planning Models and Engineering Models Schedule and Cost. The estimated schedule for peer review of Planning and Engineering models used and estimated cost for this effort are incorporated into the ATR.

7. PUBLIC PARTICIPATION

To date there have been no public meetings for Janes Wallace Memorial Dam, Section 206. The public will have opportunity to provide written comments on the draft EA in January - March 2015.

Release of the draft combined Feasibility Report/EA for public review will occur after issuance of the TSP policy guidance memo and concurrence by the MSC. The public for comment period will coincide with finalization of the policy compliance review. Upon completion of the review periods, comments will be consolidated in a matrix and addressed, if needed. A summary of the comments and resolutions will be included in the document.

8. REVIEW PLAN POINTS OF CONTACT

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

- **Lynette M. Giesen, Project Manager, 505-342-3187**
- **Paul Devitt, Civil Works Integration Division, 415-503-6558**

9. TEAM ROSTER

PDT Disciplines	PDT Team Members	Expertise Required
Project Management	[redacted]	
Plan Formulation / Study Management	[redacted]	
Economics	[redacted]	
Hydrology, Hydraulics & Sedimentation [H&H]	[redacted]	
Cultural Resources	[redacted]	
Geotechnical	[redacted]	
Cost Engineering	[redacted]	
Environmental Resources	[redacted]	
Civil Engineering	[redacted]	
Environmental Engineering	[redacted]	
Real Estate	[redacted]	
DQC Disciplines	**DQC Team Members**	**Expertise Required**
Planning	**TBD**	The reviewer should have recent experience in reviewing Plan Formulation processes for ecosystem restoration studies and be able to draw on “lessons learned” in advising the PDT of best practices.
Economics	**TBD**	The economics reviewer should be either from the certified list by business line, or for exceptions, be

		approved as developmental reviewer by the Econ Sub-CoP.
Environmental Resources	**TBD**	The reviewer should have a solid background in the habitat types to be found in the arid southwestern United States, and understand the factors that may impact native species of plants and animals.
Cultural Resources	**TBD**	The reviewer should have extensive Corps' experience regarding cultural resources on public and tribal lands. They need to be familiar with Department of Defense as well as USACE policies and procedures as they pertain to Corps studies and projects. http://www.usace.army.mil/CECW/Pages/cultural.aspx
Hydrology	**TBD**	The reviewer should have extensive knowledge of hydrology of arid-land, flashy wash systems and the Rio Grande or similar river system.
Hydraulic Engineering	**TBD**	The reviewer should have extensive knowledge of HEC-RAS modeling including the use of GIS (ARC-INFO) inputs to the model. The reviewer should also have a solid understanding of the geomorphology of alluvial rivers.
Geotechnical Engineering	**TBD**	The reviewer should have recent experience in the Corps' design requirements. This person should also have experience in investigating existing subsurface conditions and materials; determining their physical/mechanical and chemical properties that are relevant to the project considered, assessing risks posed by site conditions; designing earthworks and structure foundations; and monitoring site conditions, earthwork and foundation construction.
Civil Engineering	**TBD**	The reviewer should have recent experience in the design and of plans and specifications for various ecosystem restoration features such as flow excavation, channel design, and revegetation.
Cost Engineering	**TBD**	Cost MCX Staff or Cost MCX Pre-Certified Professional with experience preparing cost estimates for ecosystem restoration projects and the application of scientific principles and techniques to problems of cost estimating, cost control, business planning and management science, profitability analysis, project management, planning and scheduling.
Construction/Operations	**TBD**	Construction reviewers will have knowledge of implementation of channel excavation and restoration plantings.
Real Estate	**TBD**	Real Estate reviewers should be senior real estate

		specialist with experience in ecosystem restoration studies.
ATR Disciplines	**ATR Team Members**	**Expertise Required**
ATR Lead	[redacted]	The ATR lead should be a senior professional within the regional review cadre, preferably with experience in preparing CAP decision documents and conducting ATR. The lead should also have the necessary skills and experience to lead a virtual team through the ATR process.
Planning	**TBD**	The reviewer should have recent experience in reviewing Plan Formulation processes for ecosystem restoration studies and be able to draw on "lessons learned" in advising the PDT of best practices.
Economics	**TBD**	The economics reviewer should be either from the certified list by business line, or for exceptions, be approved as developmental reviewer by the Econ Sub-Cop and should be familiar with the processes used in evaluation of ecosystem restoration projects and have recent experience in preparing economic analysis plans using the IWR Planning Suite..
Biology/NEPA/Ecosystem Output Evaluation	**TBD**	The reviewer should have a solid background in the habitat types to be found in the arid southwestern United States, and understand the factors that may impact native species of plants and animals.
Geotechnical Engineering	**TBD**	The reviewer should carry have recent experience in the Corps' design requirements. This person should also have experience in investigating existing subsurface conditions and materials; determining their physical/mechanical and chemical properties that are relevant to the project considered, assessing risks posed by site conditions; designing earthworks and structure foundations; and monitoring site conditions, earthwork and foundation construction.
Hydrology	**TBD**	The reviewer should have extensive knowledge of hydrology of arid-land, flashy wash systems and the Rio Grande or similar river system. The reviewer must be a certified reviewer in the CERCAP system.
Hydraulic Engineering	**TBD**	The reviewer should have extensive knowledge of HEC-RAS modeling including the use of GIS (ARC-INFO) inputs to the model. The reviewer should also have a solid understanding of the geomorphology of alluvial rivers. The reviewer must be a certified reviewer in the CERCAP system.

Real Estate	**TBD**	The reviewer should have extensive USACE experience regarding real estate on public and private lands and have experience in ecosystem restoration studies.
MSC Disciplines	**MSC Team Members**	**Expertise Required**
Ecosystem Restoration	**TBD**	The MSC Team Member should have extensive knowledge of habitat types to be found in the arid southwestern United States, and understand the factors that may impact native species of plants and animals.

10. PROJECT FACTSHEET REVISIONS

Revision Date	Description of Change	Page / Paragraph Number
4 Feb 2015	Revised to conform with SPD CAP PgRP	all

11. CURRENT APPROVED SPD CAP PgRP

SPD CAP Programmatic Review Plan

ATTACHMENT 2

Statements of Completion and Certification of ATR for Decision Documents

COMPLETION OF AGENCY TECHNICAL REVIEW

The Agency Technical Review (ATR) has been completed for the Feasibility Study for the Janes Wallace Dam – Section 206 Aquatic Restoration Project. The ATR was conducted as defined in the project's Review Plan to comply with the requirements of EC 1165-2-214. 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 DrChecks[sm].

ATR Team Leader
CESWF-PEC-PF (Tulsa, OK)

Date

[redacted]
Project Manager, *PMC*
Office symbol

Date

[redacted]
Operations Direction, Ecosystem Restoration National Planning Center of Expertise

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.

[redacted]
Chief, Engineering and Construction Division

Date

SIGNATURE
[redacted]
Chief, Planning Division

Date

[1] Only needed if some portion of the ATR was contracted