

REVIEW PLAN

**VILLAGE OF HATCH, NEW MEXICO
SECTION 205 PROJECT**

ALBUQUERQUE DISTRICT

**MSC Approval Date: March 6, 2012
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**US Army Corps
of Engineers®**

REVIEW PLAN

**Village of Hatch, New Mexico
Section 205 Project**

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1. PURPOSE AND REQUIREMENTS

a. Purpose. This Review Plan defines the scope and level of peer review for the Village of Hatch, New Mexico, Section 205 project decision document.

Section 205 of the Flood Control Act of 1948, as amended, 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. Traditional USACE civil works projects are of wider scope and complexity and are specifically authorized by Congress. The Continuing Authorities Program is a delegated authority to plan, design, and construct certain types of water resource and environmental restoration projects without specific Congressional authorization.

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

b. Applicability. This review plan satisfies the project review requirements contained in Engineering Circular 1165-2-214, Water Resources Policies and Authorities, Civil Works Review, 15 Dec 2012.

This review plan does not cover implementation products. A review plan for the design and implementation phase of the project will be developed prior to approval of the final decision document in accordance with EC 1165-2-214.

c. References

- (1) Engineering Circular (EC) 1165-2-214, Civil Works Review Policy, 15 Dec 2012
- (2) Director of Civil Works' Policy Memorandum #1, CECW-P dated 19 January 2011
- (3) EC 1105-2-412, Assuring Quality of Planning Models, 31 March 2010
- (4) Engineering Regulation (ER) 1110-1-12, Quality Management, 30 Sep 2006
- (5) ER 1105-2-100, Planning Guidance Notebook, Appendix F, Continuing Authorities Program, Amendment #2, 31 Jan 2007
- (6) ER 1105-2-100, Planning Guidance Notebook, Appendix H, Policy Compliance Review and Approval of Decision Documents, Amendment #1, 20 Nov 2007
- (7) USACE Quality Management System

d. 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). It provides procedures for ensuring the quality and credibility of U.S. Army Corps of Engineers (USACE) decision, implementation and operations and maintenance documents and work projects. The EC outlines three levels of review: District Quality Control (DQC), Agency Technical Review (ATR), and Independent External Peer Review (IEPR). 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 1105-2-407).

2. REVIEW MANAGEMENT ORGANIZATION (RMO) COORDINATION

The RMO is responsible for managing the overall peer review effort described in this review plan. The RMO for Section 205 decision documents is the home MSC. The MSC will coordinate and approve the review plan and manage the ATR. If Type I IEPR will be performed, the MSC will coordinate with the IEPR effort with the appropriate PCX, which will administer the Type I IEPR. The home District will post the approved review plan on its public website. A copy of the approved review plan (and any updates) will be provided to the FRM-PCX to keep the PCX apprised of requirements and review schedules.

3. STUDY INFORMATION

a. Decision Document. The Village of Hatch, New Mexico, Section 205 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 home MSC. An Environmental Assessment (EA) will be prepared along with the decision document.

b. Study/Project Description. This single purpose Section 205, Continuing Authorities Program (CAP) project is located within the Village of Hatch, New Mexico. The Village of Hatch is located in the northwest corner of Doña Ana County, New Mexico, near the Rio Grande. Is approximately 35 miles northwest of Las Cruces, New Mexico at the intersection of US Highway 85 and state Highway 26.

Hatch is situated east of the Continental Divide within the subdivision of the Mexican Highland Section of the Basin and Range Physiological Province. The area is characterized by gently sloping plains separated by rugged mountain ranges. It is located within the Rio Grande floodplain, bounded to the north by the north-south aligned Caballo Mountains and the Sierra de Las Uvas mountains. Spring Canyon rises in the Las Uvas Mountains and flows west through the Village of Hatch toward the Rio Grande. An existing upstream detention dam controls 5.4 square miles of drainage area.

The project area for the proposed earthen dam is located approximately a half mile south of the railroad tracks near the head of the Colorado Drain. Elevations range from almost 6000 feet in the Las Uvas Mountains to 4030 feet at the confluence with the Rio Grande. Stream slopes are steep throughout most of the watershed, but are mild in the Rio Grande Valley. Development is rural and agriculture in the valley and non-existent elsewhere in the watersheds.

The entire Village of Hatch is in the 100- year floodplain. Significant flooding occurred on August 23-4, 1987 with up to two feet of water in the streets of Hatch. The Doña Ana Flood Commission had contracted through the Corps of Engineers, Albuquerque District and Resource Technology, Incorporated, for detailed without project floodplains and for estimated costs for a proposed project to capture flows from Spring Canyon and Placitas Arroyo respectively. Flow comes from two sources from the west, which travel through the town toward the Rio Grande.

Spring Canyon, 8.1 square miles total drainage area, has an upstream detention dam controlling 5.4 square miles and detention storage areas at its downstream end. As the flow goes overbank it enters Hatch and leaves several smaller ponding areas at Main Street and at the Railroad embankments. In addition, Placitas Arroyo is an uncontrolled drainage basin of 31.5 square miles. The downstream reach of this arroyo is the western municipal limit of the town of Hatch. This reach is affected by levees that are not adequately designed and constructed. In addition there are three major road crossings-a concrete pier and beam bridge at NM 26, a wooden trestle bridge at NM 187 and concrete box culverts at Cedar Road.

Combined flows exceed 2,300 cfs for the 10% annual chance event and 7,000 cfs for the 1% annual chance event.

1996 USGS aerial photography was evaluated to estimate the number of structures affected by flooding. There are 159 residential, 139 commercial/public, 43 mobile homes, and 197 detached outbuildings within the 100-year floodplain. This evaluation does not identify streets, utilities, vehicles, agricultural properties, which would add to the number of damageable property units. The Village of Hatch experienced two major flood events in 1988 and 1992 with floodwaters reaching up to three feet deep in residential areas. Flood damages totaled approximately \$1,400,000 in 1988 and \$1,750,000 in 1992. Numerous homes and businesses received flood damage and many families lost the majority of their belongings and were displaced from their homes for several months.

Although there is no single defined drainage path or river in Hatch, there are numerous parallel flow paths that travel through the community in a general northwest to southeast direction. Since the early 1950's, underground storm drainage systems have been installed in the Village of Hatch, but due to the high cost of the systems, they were only designed to handle a five-year design storm. They are of little use in a major flood event.

Alternatives considered and eliminated from further study included non-structural, channelization and other possible locations for the dam. The final alternatives examined an earthen embankment dam with a concrete spillway and an inlet channel from Spring Canyon. Several different heights and configurations of the proposed dam were optimized. The proposed earthfill dam would be located just west of where the Colorado Drain and the Rodey Lateral meet. Borrow material for the dam would be obtained from directly behind the proposed dam. The outlet works would drain water from the reservoir into the Colorado drain. The inlet channel, which would bring water from the Spring Canyon to the dam, would be constructed with riprap. An additional channel would also be needed on the exterior of the dam to drain the water that collects there currently and direct it into the Colorado drain. Two relocations would have to be performed prior to any borrow excavation. These consist of a large leach field and an existing waterline both located within the reservoir area. In addition, an existing spoil levee, 1,100 feet in length, would have to be removed prior to the excavation of a new trapezoidal channel. The existing levee is located at the south end of the proposed reservoir, near the mouth of Spring Canyon.

The total project cost is about \$7.8 million, and the Doña Ana County Flood Control Commission, NM has been identified as project sponsor for this effort.

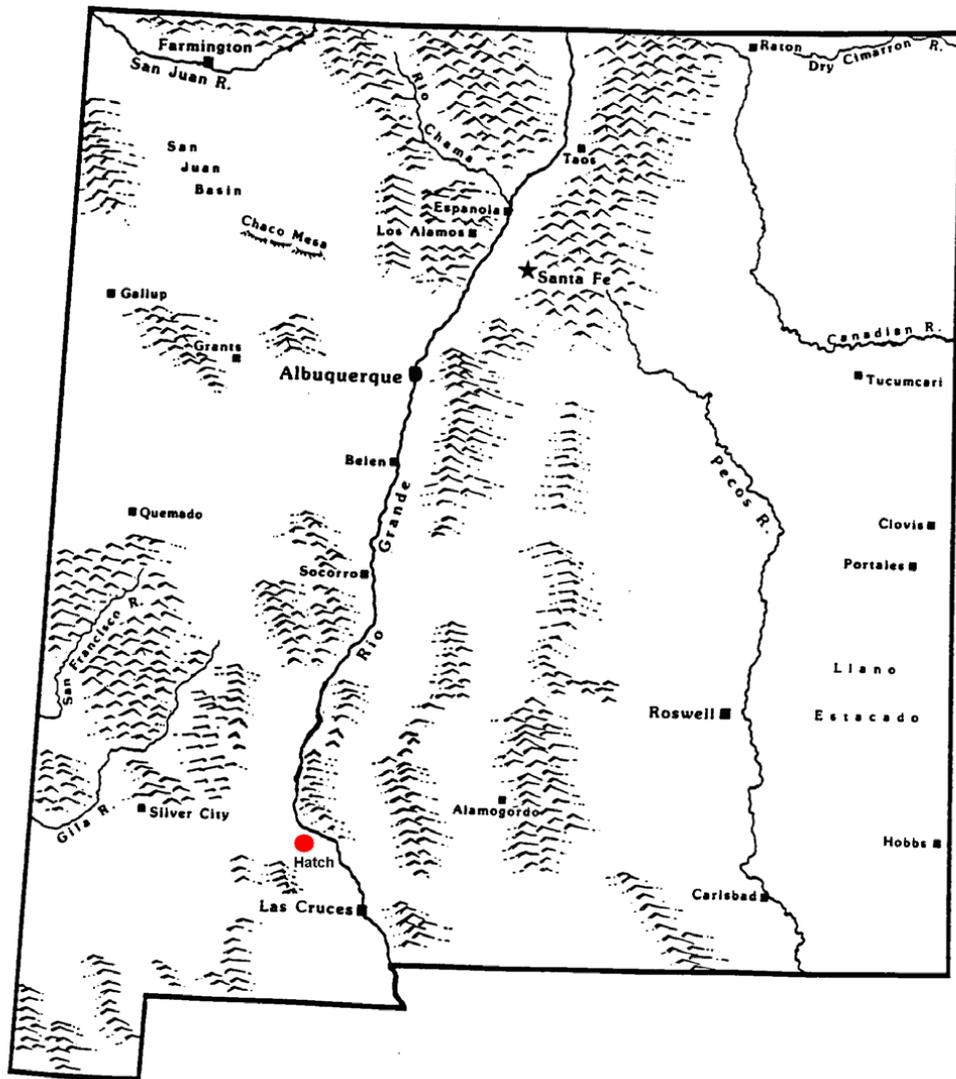
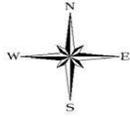
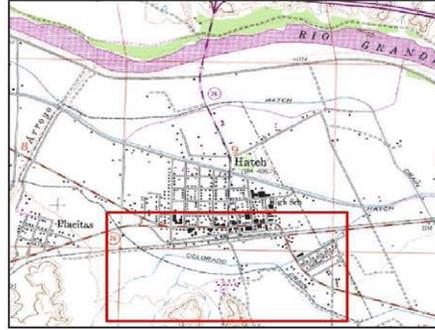
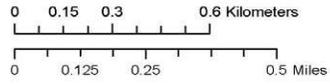


Figure 1- New Mexico Map



This map is a graphical representation provided for illustrative purposes only. The geographical data used to create this map are not the definitive source for determining area boundaries. The US Fish & Wildlife Service gives no warranty, expressed or implied, as to the accuracy, reliability, or completeness of these data.



Locator Map (not to scale)

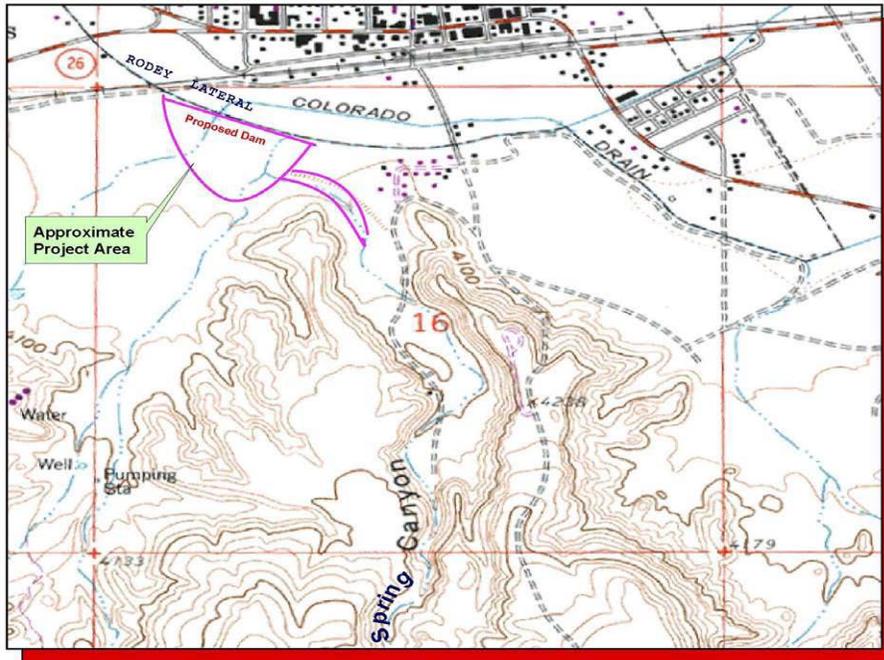


Figure 2- Hatch Topography Map

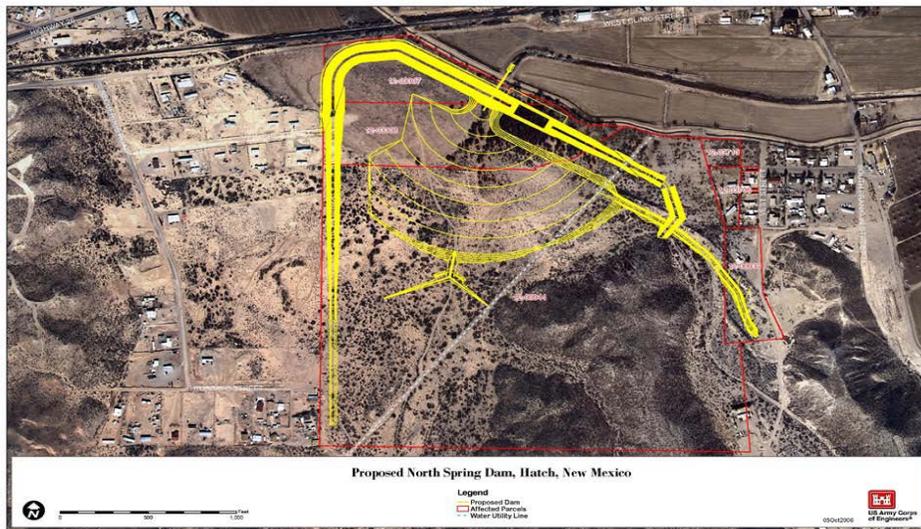


Figure 3- Project Location Map

c. Factors Affecting the Scope and Level of Review. Quality Control [QC] will be reviewed through DQC, ATR, and IEPR reviews where the following factors will also be evaluated:

Safety Assurance factors include:

- Where failure leads to significant threat to human life,
- Novel methods\complexity\precedent setting models\policy changing conclusions,
- Innovative materials or techniques,
- Design lacks redundancy, resiliency or robustness,
- Unique construction sequence or acquisition plans,
- Reduced\overlapping design construction schedule.

Challenges include:

- (1) Properly incorporating a decade's long project history through many personnel changes; and
- (2) Rigorous schedules.

This project is considered to have significant overall life-safety risk because the population of Hatch would be at risk if the dam breached with a full reservoir during a precipitation event.

This study will require an IEPR due to life safety risk.

The PDT has determined that the study / project:

- (1) Is not expected to be controversial;
 - Public meetings have not shown there to be any public dispute as to the size, nature or effects of the project.
 - Public meetings have not shown there to be any public dispute as to the economic or environmental cost or benefit of the project.
- (3) Is not expected to have adverse impacts on scarce or unique cultural, historic, or tribal resources;
- (4) Is not expected to have adverse impacts on any fish or wildlife species or their habitat whether or not they be listed as endangered or threatened under the Endangered Species Act of 1973;
 - Experience with similar Corps projects within SPA has shown that adverse impacts are unlikely.
- (5) Is not likely to contain influential scientific information, nor is it likely to be a highly influential scientific assessment;
 - Experience with similar Corps projects within SPA has shown that adverse impacts are unlikely.
- (6) Does not involve the rehabilitation or replacement of existing hydropower turbines, lock structures, or flood control gates;
- (7) 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.

- Flood risk management within New Mexico is an activity for which SPA has ample experience and industry to treat this activity as routine and to be able to determine what methods and models will be used.
- (2) Has life safety risk.
- The Village of Hatch sits downstream of the proposed project in the study area.
 - There are a significant number of structures within the floodplain.
 - Floodplain flow velocities could reach 25 FPS immediately downstream of the dam.
 - Inundation in the event of a breach or overtopping could exceed five feet.
 - Warning time could be variable since the proposed structure will be operated as a dry dam.

This project does not have any significant interagency interest.

As a result, DQC, ATR and IEPR will focus on:

- (1) Completeness and compliance of H&H analysis;
- (2) Review of the planning process and criteria applied;
- (3) Review of the methods of preliminary analysis and design;
- (4) Compliance with sponsor, program and NEPA requirements;
- (5) Completeness of preliminary design and support documents; and
- (6) Spot checks for interdisciplinary coordination.

In accordance with Section 2035 of WRDA 2007, EC 1165-2-214 requires that all projects addressing flooding or storm damage reduction undergo a safety assurance review during design and construction. Safety assurance factors must be considered in all reviews for those studies. Implementation guidance for Section 2035 is under development. When guidance is issued, the study will address its requirements for addressing safety assurance factors, which at a minimum will be included in the draft report and appendixes for public review. Prior to design and implementation of the project identified for construction, a PMP will be developed that will include safety assurance review. Safety assurance review will also be accomplished during construction.

d. 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. Additional in-kind contributions provided by the local sponsors may be:

- (1) Existing reports and hard data that they contribute to the study / project;
- (2) Assistance during public involvement actions;
- (3) Assistance during the formulation of alternatives.

The in-kind contributions listed above do not require peer review.

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.

All District and Contractor products will undergo DQC review. Dr Checks review software will be used to document all DQC 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 be 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.

5. AGENCY TECHNICAL REVIEW (ATR)

a. General. 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 members will reflect the significant disciplines involved in the planning efforts.

b. Required ATR Team Expertise. The ATRT will be comprised of individuals that have not been involved in the development of the Plans and Specifications and will be chosen based on expertise, experience, and/or skills. The members will reflect the significant disciplines involved in the planning, engineering, design, and construction efforts. The ATRT members will be identified at the time the review is conducted and will be presented in Appendix B. General descriptions of A TR disciplines are as follows:

ATR Team Members/Disciplines*	Expertise Required
ATR Lead	The ATR lead should be a senior professional preferably with experience in preparing Section 205 decision documents and conducting ATR. The lead should also have the necessary skills and experience to lead a virtual team through the ATR process. Typically, the ATR lead will also serve as a reviewer for a specific discipline (such as planning, economics, environmental resources, etc). The ATR Lead MUST be from outside FRM PCX.
Economics	The reviewer should be familiar with the processes used in evaluation of flood risk management projects and have recent experience in preparing economic analysis plans for flood risk management feasibility studies. HEC-FDA will be used for the analysis.
Flood Risk Analysis	The reviewer should have extensive experience with multi-discipline flood risk analysis to ensure consistent and appropriate identification, analysis and written communication of risk and uncertainty. The flood risk analysis reviewer may also serve as a reviewer for a specific discipline (for example, hydraulics or economics).
Geotechnical Engineering	The reviewer should carry a Professional Engineer’s license and 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.
Hydraulic Engineering	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.
Hydrology	The reviewer should have extensive knowledge of hydrology of arid-land, flashy wash systems and the Rio Grande or similar river system.
Natural Resources	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 influence the reestablishment of native species and should have extensive experience in the National Environmental Policy Act and arid southwestern ecology.
Planning	The reviewer should have recent experience in reviewing Plan Formulation processes for multi-objective studies and be able

	to draw on “lessons learned” in advising the PDT of best practices.
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*Note: SPA reserves the right to nominate specific reviewers by technical discipline. Final approval authority of review team rests with the FRM PCX.

Other disciplines/functions involved in the Project included as needed with similar general experience and educational requirements.

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:

- (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.

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 prior to the District Commander signing the final report.

6. INDEPENDENT EXTERNAL PEER REVIEW (IEPR)

a. General. 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:

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), 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. It is the policy of USACE that Section 205 project decision documents should undergo Type I IEPR unless ALL of the following criteria are met:

- Federal action is not justified by life safety or failure of the project would not pose a significant threat to human life;

- Life safety consequences and risk of non-performance of a project are not greater than under existing conditions;
- There is no request by the Governor of an affected state for a peer review by independent experts;
- The project does not require an EIS;
- The project/study is not likely to involve significant public dispute as to the size, nature, or effects of the project;
- The project/study is not likely to involve significant public dispute as to the economic or environmental cost or benefit of the project;
- 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;
- The project design is not anticipated to require redundancy, resiliency, and/or robustness, unique construction sequencing, or a reduced or overlapping design construction schedule; and
- There are no other circumstances where the Chief of Engineers or Director of Civil Works determines Type I IEPR is warranted.

Further, if Type I IEPR will not be performed:

- Risks of non-performance and residual flooding must be fully disclosed in the decision document and in a public forum prior to final approval of the decision document;
- The non-Federal sponsor must develop a Floodplain Management Plan, including a risk management plan and flood response plan (and evacuation plan if appropriate for the conditions), during the feasibility phase; and
- The non-Federal sponsor must explicitly acknowledge the risks and responsibilities in writing in a letter or other document (such as the Floodplain Management Plan) submitted to the Corps of Engineers along with the final decision document.

The decision on whether the above criteria are met (and a Type I IEPR exclusion is appropriate) is the responsibility of the MSC Commander. Additional factors the MSC Commander might consider include in deciding if an exclusion is appropriate include, but are not limited to: Hydrograph / period of flooding, warning time, depth of flooding, velocity of flooding, nature of area protected, and population protected.

Type I IEPR will be required. It is recommended that the panel conduct a site visit if possible.

The IEPR will be conducted by a contractor and managed by the FRM-PCX. The FRM-PCX will follow the process established in EC 1165-2-214 in managing the IEPR.

Type II IEPR will be required on design and construction activities.

c. Products to Undergo Type I IEPR. In addition to the design and specifications, additional documents that will require IEPR include the EA, the entire decision document, planning model documentation, tech appendices, and other supporting documentation. The planning models will be reviewed for how these were applied to the decision making of the project.

d. Required Type I IEPR Panel Expertise. The IEPR will focus on the formulation of the flood risk management plan. The review panel will be composed of individuals with expertise in arid region riverine systems ecology, groundwater surface water interactions, geotechnical engineering, hydraulic, hydrologic and sediment modeling. The entire feasibility report with appendices will be provided to the IEPR team. It is not anticipated that the public, including scientific or professional societies, will be asked to nominate potential external peer reviewers.

IEPR Panel Members/Disciplines	Expertise Required
Economics	The reviewer should have extensive experience with the processes used in evaluation of flood risk management projects and have recent experience in preparing economic analysis plans for flood risk management feasibility studies. HEC-FDA will be used for the analysis.
Engineering (Geotechnical Engineer)	The reviewer should have an extensive experience in geotechnical evaluation of flood risk management structures such as static and dynamic slope stability evaluation, evaluation of the seepage through earthen embankments and underseepage 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.
Flood Risk Analysis	The reviewer should have extensive experience with multi-discipline flood risk analysis to ensure consistent and appropriate identification, analysis and written communication of risk and uncertainty. The flood risk analysis reviewer may also serve as a reviewer for a specific discipline (for example, hydraulics or economics).
Hydraulic Engineering	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.
Hydrology	The reviewer should have extensive knowledge of hydrology of arid-land, flashy wash systems and the Rio Grande or similar river system.

e. Documentation of Type I IEPR. 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:

- 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.

6. 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.

7. COST ENGINEERING DIRECTORY OF EXPERTISE (DX) REVIEW AND CERTIFICATION

All decision documents shall be coordinated with the Cost Engineering DX, located in the Walla Walla District. For decision documents prepared under the National Programmatic Review Plan Model, Regional cost personnel that are pre-certified by the DX will conduct the cost engineering ATR. The DX will provide the Cost Engineering DX certification. The RMO will coordinate with the Cost Engineering DX on the selection of the cost engineering ATR team member.

8. MODEL CERTIFICATION AND APPROVAL

EC 1105-2-407 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).

EC 1105-2-407 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).

- 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	Certification/ Approval Status
HEC-FDA 1.2.5 (Certified)	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.	Certified

- 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
HEC RAS 4.0	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. This model was used for with project flood stages and levee design for this project. It was reviewed in house June 2009.	HH&C CoP Preferred Model
MCACES	This is a cost estimating model that was developed by Building Systems Design Inc. The Corps began using this model in 1989. This will be used as a tool to determine cost estimates for project alternatives before Design	Enterprise Model

9. REVIEW SCHEDULES AND COSTS

- a. 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 ATRT 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 ATRT 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 ATRT Leader to any possible funding shortages.

Once actual costs are determined, this RP will be revised. Until then, ATR review and assistance is estimated to be about \$70,000 for the study.

The initial technical review strategy session (TRSS) forms the basis for a quality control plan for all major projects and is held early in the project development phase. All members of the project delivery (including representatives of the customer) and independent technical review teams as well as functional chiefs are required to participate in the initial TRSS. An ITR team was identified in the past, but an ATR team has not been selected. TRSS will occur when they have been identified. It is anticipated that TRSS will occur in June 2010.

Value Engineering (VE) studies will be in the Design and Implementation phase in accordance with CESP R 1110-1-8.

- b. Type I IEPR Schedule and Cost.**

Village of Hatch MILESTONE SCHEDULE

Task	Activity	Completion Date
Finalize Draft Report	DQC of Draft Report	6 May 2015
	Incorporate Comments	1 Sept 2015
	DQC Backcheck	30 Nov 2015
	Final Draft Document	1 Oct 2016
Agency Technical Review	Review	10 Oct 2016
	Incorporate Comments	1 Mar 2017
	ATR Backcheck	10 Apr 2017
IEPR	Initiate IEPR SOW	Feb 2017
	A/E Review of IEPR SOW	Mar 2017
	Award Contract	Apr 2017
	Review	May 2017 – Aug 2017
	Incorporate Comments	21 Aug 2017
	IEPR Backcheck	6 Sep 2017
SPD Alternative Review Conference	Review	Est: Apr - May 2018
	ARC	Est: May 2018
	Policy Guidance Memo	Est: June 2018
	Policy Compliance Memo	
	Backcheck	Est: July 2018
NEPA	Public Review	5 Mar 2017 – 5 Apr 2017
	Public Meeting	15 Mar 2017
Address Public and Incorporation of SPD & IEPR Comments	Incorporate Comments	6 Sep 2017
Final Draft to SPD Sign PPA	Review Start	Est: Apr 2018
		Est: Jul 2018

Since the focus of the IEPR is Life Safety, the number of members on the IEPR panel should be minimal and include economics, H&H and plan formulation. The estimated cost of IEPR is \$75,000.

- c. Model Certification/Approval Schedule and Cost.** For decision documents prepared under the model National Programmatic Review Plan, use of existing certified or approved planning models is encouraged. Where uncertified or unapproved model are used, approval of the model for use will be accomplished through the ATR process. The ATR team will apply the principles of EC 1105-2-407 during the ATR to ensure the model is theoretically and computationally sound, consistent with USACE policies, and adequately documented. If specific uncertified models are identified for repetitive use within a specific district or region,

the appropriate PCX, MSC(s), and home District(s) will identify a unified approach to seek certification of these models.

HEC- FDA 1.2.4 is a certified model, therefore no additional model certification is anticipated

10. PUBLIC PARTICIPATION

State and Federal resource agencies may be invited to participate in the study covered by this review plan as partner 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. The ATR team will be provided copies of public and agency comments. Public involvement is anticipated throughout the Feasibility Study. Two public workshops were held. Public comments were received during those public meetings and were addressed as requested.

Public Comment Action	Date
Public Comments or Questions	5 March to 5 April 2017
Draft EA Public Meetings	March 15, 2017

The public had the opportunity to provide written comments on the draft EA in 2017.

Dissemination of Public Comment

Release of the draft EA for public review will occur after issuance of the SPD policy guidance memo and concurrence by HQUSACE. The District will make the draft decision document available to the public for comment at the same time it is submitted for review (or during the review process) and sponsor a public meeting where oral presentations on scientific issues can be made to the reviewers by interested members of the public. ATR and IEPR reviewers will be provided with all public comments. The public review of necessary State or Federal permits will also take place during this period.

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.

11. REVIEW PLAN APPROVAL AND UPDATES

The home MSC Commander is responsible for approving this review plan. 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 MSC Commander approval are 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. Significant changes may result in the MSC Commander determining that use of the Model Programmatic Review Plan 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 review plan, along with the Commanders' approval memorandum, will be posted on the home district's webpage.

12. REVIEW PLAN POINTS OF CONTACT

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

- Ryan Gronewold- SPA Contact, Planning Chief (505-342-3201)
- Eric Thaut- Deputy Director, Flood Risk Management National PCX, (415-503-6852)
- Caleb Conn- SPD Reviewer, District Support Team Lead, (415-503-6558)

ATTACHMENT 1: TEAM ROSTERS

<u>Name</u>	<u>Discipline</u>	<u>Phone</u>
Michael Martinez	Project Management	505-343-6262
Robert Grimes	Economics	505-342-3366
Otis Dickey	Environmental Engineering	505-342-3139
Michael Mills	Geotechnical Studies	505-342-3427
Steve Boberg	Hydrology & Hydraulics	505-342-3336
Daniel Galloway	Environmental Studies	505-342-3661
Jeremy Decker	Cultural Resources	505-342-3671
Mark Doles	Plan Formulation	505-342-3204
Ted Solano	General Engineering	505-342-3419

**ATTACHMENT 2: SAMPLE STATEMENT OF TECHNICAL REVIEW FOR
DECISION DOCUMENTS**

HATCH, NEW MEXICO PRELIMINARY DRAFT DETAILED PROJECT REPORT AND
ENVIRONMENTAL ASSESSMENT, OCTOBER 2016
CESWF-PEC-PF (Tulsa)

04 April 2017

COMPLETION OF AGENCY TECHNICAL REVIEW

The Agency Technical Review (ATR) has been completed for the **HATCH, NEW MEXICO, SECTION 205, SMALL FLOOD RISK MANAGEMENT PROJECT, PRELIMINARY DRAFT DETAILED PROJECT REPORT AND ENVIRONMENTAL ASSESSMENT, OCTOBER 2016**, Albuquerque District. The ATR was conducted as defined in the project's Review Plan to comply with the requirements of EC 1165-2-214, 15 December 2012, Water Resources Policies and Authorities, CIVIL WORKS REVIEW, as amended by PB2016-02 Civil Works Review Interim, dated 4 March 2016. During the ATR, compliance with established policy principles and procedures, utilizing justified and valid assumptions, was verified. This included review of: assumptions, methods, models, procedures, and material used in analyses, 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. Documentation of District Quality Control (DQC) was not provided. The District should review their quality control plan to ensure DQC is conducted and documented in advance of ATR.



Marc L. Masnor, P.E.
ATR Team Leader
CESWF-PEC-PF (Tulsa, OK)

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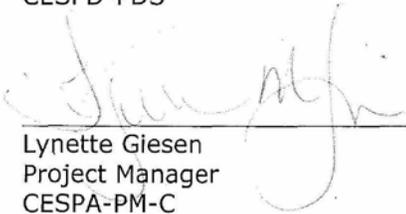
Date



Eric Thaut
Deputy Director, Flood Risk Management
Planning Center of Expertise
CESPD-PDS

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Date: 2017.04.06 10:51:30 -07'00'

Date



Lynette Giesen
Project Manager
CESPA-PM-C

4.10.17

Date

CERTIFICATION OF AGENCY TECHNICAL REVIEW
ALBUQUERQUE DISTRICT'S CERTIFICATION STATEMENT OF AGENCY
TECHNICAL REVIEW,
04 APRIL 2017

Subject: Certification Statement of Agency Technical Review of the Preliminary Draft Detailed Project Report and Environmental Assessment for the Section 205 Small Flood Risk Management Project Hatch, New Mexico, October 2016, Albuquerque District.

- a. This Agency Technical Review report was prepared in response to EC 1165-2-214, 15 December 2012, Water Resources Policies and Authorities, CIVIL WORKS REVIEW, as amended by PB2016-02 Civil Works Review Interim, dated 4 March 2016.
- b. Review Management Organization: Flood Risk Management Center of Expertise.
- c. DrChecks™ Information:
 - Project ID: 103820
 - Project Name: Sec 205 Hatch, NM
 - Review: ATR – Sec 205 Hatch, NM
- d. The ATR review report is titled: *Review Management Organization: Flood Risk Management Planning Center of Expertise, Review Management Organizations Technical Review Report, 04 April 2017 for Hatch New Mexico, Small Flood Risk Management Project, Preliminary Draft Detailed Project Report and Environmental Assessment, October 2016*, and contains the ATR Completion Statement.

I certify that all comments resulting from ATR of the subject report have been closed to the satisfaction of the agency technical review team and the project delivery team.



Kris Schafer
Chief of Planning
CESPA-PM-L

4/10/17

Date



Ben Alanis
Chief of Engineering and Construction
CESPA-EC-EC

4/10/17

Date



REPLY TO
ATTENTION OF

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

CESPD-PDP (FRM-PCX)

6 September 2017

MEMORANDUM FOR Commander Albuquerque District, U.S. Army Corps of Engineers
(CESPA-PM-C / Mr. Michael Martinez)

SUBJECT: Final Comment Response Record for the Independent External Peer Review
(IEPR) of the Preliminary Draft Detailed Project Report and Environmental Assessment
for the Village of Hatch

1. References:

- a. EC 1165-2-214, Civil Works Review, 15 December 2012.
- b. Type I Independent External Peer Review Process Standard Operating Procedure, Version 3.0, August 2016.
- c. Memorandum, CESPD-PDP (FRM-PCX), 5 May 2017, subject: Final Independent External Peer Review (IEPR) Report, Preliminary Draft Detailed Project Report and Environmental Assessment for the Village of Hatch.

2. Enclosed is the final comment response record for the Preliminary Draft Detailed Project Report and Environmental Assessment for the Village of Hatch.

3. The Flood Risk Management Planning Center of Expertise (FRM-PCX) coordinated the IEPR, which was conducted by an external panel of experts selected and managed by Logistic Management Institute (LMI). The IEPR panel comments are documented in the LMI Report titled Independent External Peer Review of the Preliminary Draft Detailed Project Report and Environmental Assessment for the Village of Hatch dated 28 April 2017.

4. Eighteen IEPR final comments were developed by the panel, none of which were identified as having high significance. The enclosed comment response record documents the Albuquerque District responses to the panel comments and the IEPR panel backcheck of the responses. Concurrence was reached between the panel and District on all 18 responses.

5. Based on the comment response record, the Albuquerque City District should prepare a written proposed response to the Final IEPR Report in accordance with reference 1a. The proposed response should be coordinated with the Major Subordinate Command District Support Team and HQUSACE to ensure consistency with law, policy, project guidance, ongoing policy and legal compliance review, and other USACE or National considerations.

CESPD-PDP (FRM-PCX)

SUBJECT: Final Comment Response Record for the Independent External Peer Review (IEPR) of the Preliminary Draft Detailed Project Report and Environmental Assessment for the Village of Hatch

6. For further information, please contact me at (415) 503-6852 or Ms. Anastasiya Hernandez, the FRM-PCX IEPR Lead for this effort, at (410) 962-2558.

Encl

ERIC THAUT
Deputy Director, Flood Risk Management
Planning Center of Expertise

CF:

CENAB-PL-P (Anastasiya Hernandez)

CEMVP-PD-F (Michelle Kniep)

CESPK-PD-W (Miki Fujitsubo)

CESPA-PM-LP (Mark Doles)

CESPA-PM-L (Ryan Gronewold)

CESPD-PDS (Josephine Axt)

CECW-SPD (Charles Wilson)

CECW-SPD (Bradd Schwichtenberg)

CECW-CP (Stuart McLean)

ATTACHMENT 3: REVIEW PLAN REVISIONS

Revision Date	Description of Change	Page / Paragraph Number
21 March 2013	<ul style="list-style-type: none"> • Updated Review Plan to bring into compliance with new guidance EC-1165-214; • Updated schedule • Updated PDT roster 	<ul style="list-style-type: none"> • References to EC-1165-214 are throughout • Schedule is on pg 17 • PDT roster is Attachment 1 on pg 20
13 June 2013	<ul style="list-style-type: none"> • Updated schedule 	<ul style="list-style-type: none"> • Schedule is on pg 17
13 February 2014	<ul style="list-style-type: none"> • Updated schedule • Updated Completion of Agency Technical Review Personnel • Updated Certification of Agency Technical Review Personnel 	<ul style="list-style-type: none"> • Schedule is on pg 17 • Agency Technical Review sheets are pp 21-22
19 May 2016	<ul style="list-style-type: none"> • Updated schedule 	<ul style="list-style-type: none"> • Schedule is on pg 17
20 October 2016	<ul style="list-style-type: none"> • Updated schedule 	<ul style="list-style-type: none"> • Schedule is on pg 17
6 September 2017	<ul style="list-style-type: none"> • Updated schedule • Added Final Comment Response Record for the IEPR • Updated PDT roster 	<ul style="list-style-type: none"> • Schedule is on pg 17 • IEPR sheets are pp 23-24 • PDT roster is Attachment 1 on pg 20

ATTACHMENT 4: ACRONYMS AND ABBREVIATIONS

<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
CAP	Continuing Authorities Program	O&M	Operation and maintenance
CSDR	Coastal Storm Damage Reduction	OMB	Office and Management and Budget
DPR	Detailed Project Report	OMRR&R	Operation, Maintenance, Repair, Replacement and Rehabilitation
DQC	District Quality Control/Quality Assurance	OEO	Outside Eligible Organization
DX	Directory of Expertise	OSE	Other Social Effects
EA	Environmental Assessment	PCX	Planning Center of Expertise
EC	Engineer Circular	PDT	Project Delivery Team
EIS	Environmental Impact Statement	PAC	Post Authorization Change
EO	Executive Order	PMP	Project Management Plan
ER	Ecosystem Restoration	PL	Public Law
FDR	Flood Damage Reduction	QMP	Quality Management Plan
FEMA	Federal Emergency Management Agency	QA	Quality Assurance
FRM	Flood Risk Management	QC	Quality Control
FSM	Feasibility Scoping Meeting	RED	Regional Economic Development
GRR	General Reevaluation Report	RMC	Risk Management Center
HQUSACE	Headquarters, U.S. Army Corps of Engineers	RMO	Review Management Organization
IEPR	Independent External Peer Review	RTS	Regional Technical Specialist
ITR	Independent Technical Review	SAR	Safety Assurance Review
LRR	Limited Reevaluation Report	USACE	U.S. Army Corps of Engineers
MSC	Major Subordinate Command	WRDA	Water Resources Development Act