**DEPARTMENT OF THE ARMY**
CORPS OF ENGINEERS, NORTHWESTERN DIVISION
PO BOX 2870
PORTLAND OR 97208-2870

REPLY TO
ATTENTION OF

CENWD-RBT

05 APR 2013

MEMORANDUM FOR Commander, Walla Walla District (CENWW-PPM/Mark Mendenhall)

SUBJECT: Review Plan (RP) Approval for Rural Idaho Section 595 Environmental Infrastructure Project, Seattle and Walla Walla Districts, Northwestern Division

1. References:

a. RP for Rural Idaho Section 595 Environmental Infrastructure Project, Seattle and Walla Walla Districts, Northwestern Division (Encl).

b. EC 1165-2-214, Civil Works Review, 15 December 2012.

2. Reference 1.a. above has been prepared in accordance with reference 1.b. above.

3. The RP has been coordinated within the Business Technical Division, Northwestern Division, U.S. Army Corps of Engineers. The RP includes both District Quality Control (DQC) and Agency Technical Review (ATR) for work products. NWD will be the Review Management Organization for those work products requiring ATR.

4. I hereby approve this RP, which is subject to change as circumstances require, consistent with the study development process and the Project Management Business Process. Subsequent revisions to this Review Plan or its execution will require written approval from this office.

5. For further information, please contact Mr. Steve Bredthauer at (503) 808-4053.

Encl

ANTHONY C FUNKHOUSER, P.E.
BG, USA
Commanding

DEPARTMENT OF THE ARMY
WALLA WALLA DISTRICT, CORPS OF ENGINEERS
201 NORTH THIRD AVENUE
WALLA WALLA, WA 99362-1876

REPLY TO
ATTENTION OF

06 MAR 2013

CENWW-PPM

MEMORANDUM FOR Commander, Northwestern Division, P.O. Box 2870, Portland, OR 97209-4141

SUBJECT: Rural Idaho Section 595 Environmental Infrastructure Project, Seattle and Walla Walla Districts, Northwest Division, Review Plan Submittal

1. Enclosed for Major Subordinate Command (MSC) Commander approval is the overarching Rural Idaho Project Review Plan. This review plan has been prepared in accordance with EC 1165-2-214, Civil Works Review.

2. Please contact Mark Mendenhall, Rural Idaho Project Manager, at 208-345-2064 or email Mark.A.Mendenhall@usace.army.mil if you have any questions or concerns with this review plan.

Encl

ANDREW D. KELLY
LTC, EN
Commanding

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# PROJECT REVIEW PLAN

## Rural Idaho Section 595 Environmental Infrastructure Project
## Design Only, Design and Construction, Construction Only Partnerships

## Seattle and Walla Walla Districts

**March 2013**

**MSC Approval Date:** Pending

**Last Revision Date:** None

US Army Corps
of Engineers ®

**PROJECT REVIEW PLAN**

*Rural Idaho Section 595 Environmental Infrastructure Project*
*Design Only, Design and Construction, Construction Only Partnerships*

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## 1. PURPOSE AND REQUIREMENTS

a. **Purpose.** This document will serve as both the Seattle and Walla Walla Districts' (NWS and NWW) overarching project level review plan for all work products within the Rural Idaho Section 595 Environmental Infrastructure Project (Rural Idaho, CWIS 075575). This plan identifies the process necessary for determining what products are required to undergo Agency Technical Reviews (ATR) in addition to District Quality Control (DQC). It is not anticipated that any work product within the Rural Idaho Project will require an Independent External Peer Review (IEPR). The purpose of this Project Review Plan (RP) is to ensure that a consistent review process is applied to all work products within the Rural Idaho project, from initial planning through construction. The Chief of Engineering and Construction in each of the respective District's is responsible for ensuring that the integrity of this process is upheld for all work products.

b. **Applicability.** This RP is applicable to all Rural Idaho work products as defined in EC 1165-2-214 Civil Works Review. It defines the types, partnering agreements and anticipated levels of review for Rural Idaho Project work products. All work products requiring DQC only fall under the umbrella of this RP and will not require separate RP approvals. In all cases where an ATR is determined to be necessary for a Rural Idaho work product, a product specific RP will be prepared at the time the determination is made and will be submitted for approval under separate cover. This RP is a component of the Section 595 Environmental Infrastructure Program Management Plan (PgMP) developed August 2008 and will be referenced as an appendix to any future updates to the PgMP. It encompasses all partnering possibilities under the project and meets applicable quality standards for both NWS and NWW.

c. **References.**

(1) Engineering Circular (EC) 1165-2-214 "Civil Works Review", 15 December 2012
(2) Engineering Regulation (ER) 1110-1-12, Quality Management, 30 September 2006
(3) Section 595 Environmental Infrastructure Program Management Plan, August 2008
(4) Section 595 Program Guidelines
(5) NWW QMS 5502 – Civil Works Review Process (Review Plans), 28 September 2012
(6) NWS QMS 100 – Quality Management Systems (Quality Manual), 23 November 2012

## 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 Rural Idaho projects requiring DQC only will be the respective executing District. For work products requiring an ATR the RMO will be the Northwestern Division (NWD). The home District will post any approved product specific review plans on its public website and ensure that a copy of the approved review plan (and any updates) is provided to the dedicated review team.

## 3. PROJECT INFORMATION

a. **Program and Project Authority**. The Water Resource and Development Act (WRDA) of 1999, as amended, authorized the Section 595 Environmental Infrastructure Program (Public Law 106-53). Through this authority USACE established a program for providing environmental infrastructure assistance to non-federal interests in rural communities of several western states. The Rural Idaho Section 595 project is a geographically specific project that falls under the purview of the broader program and is jointly executed by NWS and NWW.

b. **Project Description**. The primary objective of the Rural Idaho Section 595 Project is to assist rural communities throughout Idaho with design and/or construction of water-related environmental infrastructure and resource protection and development projects. All work products are cost-shared at a 75% federal - 25% non-federal split and the subject work can be performed by the Government or by the non-federal sponsor. Typically, work is performed by the non-federal sponsor and costs are reimbursed consistent with the cost-share requirements. It is the responsibility of the non-federal sponsor (usually through their Architect/Engineer) to implement a quality management plan, if they choose to complete the work.

## 4. WORK PRODUCT TYPE, PARTNERING OPTIONS AND SCOPE OF REVIEW

a. **Type of Work Products.** As defined in EC 1165-2-214, all Rural Idaho products are categorized as "Other Work Products" as there are no decision documents requiring higher Headquarters' (HQ's) approval and the program is not implementing any actions as a result of HQ approved decision documents. Instead, actions implemented are in response to WRDA 1999 Section 595 (as amended) and the project is adaptively managed as sponsors identify project needs, the needs are prioritized, and appropriations are made available. Therefore, "DQC Only" is an acceptable review for products where the risk is determined not to rise to the threshold that would require an ATR. EC 1165-2-214 Section 8.a states that 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.

b. **Risk Based Decisions.** Review approaches will be scalable and customized for each effort, commensurate with the level of complexity and relative importance of the actions being supported. All decisions on the types and scopes of review required on a particular product will be "risk-informed" per EC 1165-2-214. Both NWS and NWW have developed local procedures to address the risk informed decision process and preparation of review plans (NWS QMS 100 – Quality Management Systems (Quality Manual) and NWW QMS 5502 – Civil Works Review Process (Review Plans)). These processes will be employed to determine the level of review required and will be documented within the Quality Management Plan (QMP) for each specific work product.

c. **Partnering Options and Anticipated Level of Review.** The Section 595 program allows for six options to partner by means of model Project Partnership Agreements (PPA). These can best be summarized by who is to perform the work; the Government or the non-federal sponsor. Once determined, a partner may elect for work product assistance by means of a Design Only, Design and Construction, or Construction Only agreement. The required level of review varies for each, based on the risk-informed analysis, but in general, if funds are to be applied towards a construction project, National Environmental Policy Act (NEPA) compliance, real estate certification and design reviews are required to be performed by USACE.

The scope and anticipated level for review for each possible partnership is as follows:

- When work is performed by the non-federal sponsor it is their responsibility to ensure Quality Control (QC) while USACE assumes a Quality Assurance (QA) role. Section 595 Model Project Partnership Agreements include language indicating that the Government may participate in the review of the design at each stage, and shall perform a final review to verify that the design is complete and is necessary for the project. The Government also has the opportunity to review contract solicitations and modifications. In general the following would apply:

- Design Only – additional levels of review are not required, but may be performed at the discretion of the District office or at the request of the partner. Typically, only DQC would be required.

- Design and Construction – it is required that USACE perform a Biddibility, Constructability, Operability and Environmental Soundness (BCOE) level review of the project and appropriate documentation maintained. An Environmental Assessment/Finding Of No Significant Impact (EA/FONSI) also needs to be prepared; this could either be completed by the sponsor and reviewed by USACE, or completed by USACE, with review by the sponsor. Additionally, the partner can request further USACE review. Typically, only DQC would be required.

- Construction Only – same as for Design and Construction (see above).

- When work is to be performed by the Government the following would typically apply, based on the risk-informed analysis. It should be noted that these types of partnerships are rarely, if ever, pursued:

  - Design Only – Typically, ATR on plans and specifications would be required in addition to DQC.

  - Design and Construction – Typically, ATR on plans and specifications and EA/FONSI would be required in addition to DQC.

  - Construction Only - same as for Design and Construction (see above).

d. **In-Kind Contributions.** In order to meet cost share requirements, a sponsor may attribute lands, easements, relocations, rights-of-way, and disposal sites (LERRDs) towards the 25% share. Similarly, work may actually be performed by the sponsor (not an AE on their behalf) and may be attributed to the project as well, through appropriate cost share records. All in-kind contributions will be reviewed through DQC.

## 5. DISTRICT QUALITY CONTROL (DQC)

a. **General.** DQC is an internal technical review process of basic science and engineering work products focused on fulfilling the project quality requirements defined in the Project Management Plan (PMP). Basic quality control tools include a QMP as part of the PMP, providing for seamless review, quality checks and reviews, supervisory reviews, and PDT reviews. The DQC is managed by the home District and is performed on all work products. Rural Idaho work products requiring DQC only fall under the purview of this review plan and will not require a separate product specific review plan to be submitted for approval. See EC 1165-2-214 Appendix C for detailed process description. All work products will be reviewed within the district to ensure they meet project and customer objectives, comply with regulatory and engineering guidance, and meet USACE and customer expectations of quality. 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.

b. **Documentation of DQC.** The PM will document the DQC process. This includes recording comments, responses to comments and the back-checking process. This will typically be done through the use of DrChecks.

c. **Required DQC Expertise.**

| DQC Discipline | Required Expertise |
|---|---|
| Environmental/NEPA Compliance | The reviewer should be a senior biologist or environmental specialist with experience in compliance with NEPA and other environmental laws. |
| Infrastructure Design | The reviewer should be a senior civil or environmental engineer with experience in the design of water-related environmental infrastructure. |
| Infrastructure Construction | The reviewer should be a senior civil or environmental engineer with experience in the construction of water-related environmental infrastructure. |

## 6. AGENCY TECHNICAL REVIEW (ATR)

a. **General.** An ATR is a technical review by a qualified person or team not affiliated with the development of a project or product for the purpose of confirming the proper application of established criteria, regulation, laws, codes, principles and professional procedures. This level of review may still be referenced as "Independent Technical Review" in other guidance or publications. Management of ATR is dependent upon the phase of work, and the reviews are all conducted by professionals outside of the home district. The ATR team "lead" shall be obtained from outside of the originating MSC. A product specific review plan will be submitted for approval under separate cover for all Rural Idaho work products determined to require an ATR. See EC 1165-2-214 Appendix C for detailed process description.

b. **Required ATR Team Expertise.** Due to the nature of the work products within the Rural Idaho project, a scalable and efficient process needs to be employed for review. ATR will consist of a review from Environmental Compliance and the appropriate engineering disciplines. For work products executed by the Government, the current ATR plan is to include at least two reviewers with expertise in each of the following disciplines:

| ATR Discipline | Required Expertise |
|---|---|
| ATR Lead | The ATR lead should be a senior-level individual experienced in the design and construction of water-related environmental infrastructure, and have the necessary skills and experience to lead the virtual ATR team through the review process. The ATR lead may also serve as one of the technical reviewers. The ATR lead may be from within the host district. |
| Environmental/NEPA Compliance | The reviewer should be a senior biologist or environmental specialist with experience in compliance with National Environmental Policy Act (NEPA) and other environmental laws. |
| Infrastructure Design | The reviewer should be a senior civil or environmental engineer with experience in the design of water-related environmental infrastructure. |
| Infrastructure Construction | The reviewer should be a senior civil or environmental engineer with experience in the construction of water-related environmental infrastructure. |

South Pacific Division and its Districts is a likely candidate for this level of review as they also have work products implemented under the Section 595 Program.

**d.** Documentation of ATR. Comments during the ATR process will be documented in DrChecks. These include recording comments, responses to comments and the back-checking process.

## 7. REVIEW SCHEDULES AND COSTS

The DQC/ATR schedule and cost estimate will be custom for each project and vary with each type of agreement. Generally, if construction is involved, the cost of an ATR may range from $15,000 - $45,000, and require one month to complete. DQC costs for any project may range from $10,000 – $35,000. Each will need to be funded, scheduled, and reported as documented in the approved scope of work. Schedules and milestones will be tracked in P2.

## 8. PUBLIC PARTICIPATION

Coordination and notification of the general public is an important aspect of these projects. Generally, this coordination is performed by the local sponsor. Public input and comments are also required as part of the NEPA process, if construction is part of a project. Additionally this project review plan and any required work product specific review plans will be posted on the home District's web site for public review and comment.

## 9. REVIEW PLAN APPROVAL AND REVISIONS

The NWD Commander is responsible for approving this review plan. NWD staff will review this plan and route by NWD staffing sheet. If the plan is deemed complete and appropriate for the risk and complexity of this project, NWD staff will recommend approval by the Commander. The NWD approval memorandum will be sent to the NWW Lead Rural Idaho Program Manager who is responsible for this plan. The NWD approval memorandum shall be documented with the review plan, and the approval date should be noted on the cover sheet of this document.

Approved revisions should be recorded in the A-9 block below. Work products requiring ATR should be submitted as a supplement to this review plan, and will require NWD Commander approval.

### A-9 REVIEW PLAN REVISIONS

| Revision Date | Description of Change | Page / Paragraph Number | Date Approved |
|---|---|---|---|
| Original | | | |
| Revision 1 | | | |
| | | | |

## 10. REVIEW PLAN POINTS OF CONTACT

Questions and/or comments on this RP can be directed to the following points of contact:

- Mark Mendenhall, Idaho 595 Program and Project Manager, Walla Walla District, 208.345.2064
- Lynn Wetzler, Idaho 595 Project Manager, Seattle District, 206.764.3695
- Rebecca Kalamasz, Chief, Planning Branch, Walla Walla District, 509.527.7277
- Steve Bredthauer, Technical Review Program Manager, Northwest Division