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U.S. ARMY CORPS OF ENGINEERS, NORTH ATLANTIC DIVISION
FORT HAMILTON MILITARY COMMUNITY
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BROOKLYN NY 11252-6700

CENAD-PD-PP

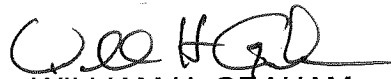
SEP 15 2016

MEMORANDUM FOR Commander, Baltimore District, (CENAB-PLP/Dave Robbins)
10 S. Howard St. Baltimore, MD 21201

SUBJECT: Review Plan Approval for Upper Susquehanna River Basin (USRB)
Comprehensive Flood Damage Reduction, New York State Feasibility Study

1. Reference CENAB-PL-P memorandum dated 8 Aug 2016, subject as above.
2. The Flood Risk Management Planning Center of Expertise of the South Pacific Division is the lead office to execute the referenced Review Plan. The Review Plan includes Independent External Peer Review.
3. The enclosed Review Plan is approved for execution and is subject to change as study circumstances require, consistent with study development under the Project Management Business Process. Subsequent revisions to this Review Plan or its execution require new written approval from the NAD Commander.
4. The point of contact is Mr. Larry Cocchieri, NAD Planning Program Manager, 347-370-4571, Lawrence.J.Cocchieri@usace.army.mil.

Encl
as


WILLIAM H. GRAHAM
Brigadier General, USA
Commanding



DEPARTMENT OF THE ARMY
BALTIMORE DISTRICT, CORPS OF ENGINEERS
10 S. HOWARD STREET
BALTIMORE, MD 21201

CENAB-PL-P

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MEMORANDUM FOR COMMANDER, U.S. Army Engineer Division North Atlantic,
(CENAD-PD-X/Mr. Cocchieri), Fort Hamilton Military Community, 302 General Lee
Avenue, Brooklyn, NY 11252-6700

SUBJECT: The Upper Susquehanna River Basin (USRB) Comprehensive Flood
Damage Reduction, New York State, Feasibility Study (P2 No. 145039) – Project
Review Plan Update

1. References:

- a. EC 1165-2-214, Civil Works Review, 15 DEC 2012.
- b. ECB 2016-9, Civil Works Review, 4 MAR 2016.
- c. Memorandum, CENAD-PD-PP, 14 DEC 2012, subject: Review Plan Approval for
Upper Susquehanna Comprehensive Flood Damage Reduction Study, New York.
- d. Memorandum, CESPDP-PDP (FRM-PCX), 2 OCT 2015, subject: Upper
Susquehanna River Basin Comprehensive Flood Damage Reduction, New York State,
Feasibility Study Review Plan.

2. The USRB feasibility study requires a project review plan (reference 1a and 1b).
The subject review plan was initially approved on 14 DEC 2012 (reference 1c). As part
of the scoping process to develop the project management plan for the USRB feasibility
study, the project review plan has been updated. Updates include revisions to review
schedules and costs.

3. The Flood Risk Management Planning Center of Expertise reviewed and endorsed
the subject review plan (reference 1d).

4. CENAB requests review and approval of the updated project review plan, dated
15 JUL 2016.

CENAB-PL-P

SUBJECT: The Upper Susquehanna River Basin (USRB) Comprehensive Flood Damage Reduction, New York State, Feasibility Study (P2 No. 145039) – Project Review Plan Update

5. If you have any questions regarding the watershed assessment or project review plan, please contact Mr. Daniel Bierly, Chief, Civil Project Development Branch, at Daniel.M.Bierly@usace.army.mil or (410) 962-6139.

A handwritten signature in black ink, appearing to read 'E. Chamberlayne', with a stylized flourish at the end.

Encl
Project Review Plan, 15 JUL 2016

EDWARD P. CHAMBERLAYNE, P.E.
COL, EN
Commanding

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CPD Branch Reading File

PL Division Reading File

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ENCLOSURE

REVIEW PLAN

**UPPER SUSQUEHANNA RIVER BASIN
COMPREHENSIVE FLOOD DAMAGE REDUCTION,
NEW YORK STATE**

Feasibility Study

**U.S. Army Corps of Engineers
Baltimore District**

**MSC Approval Date: 14 Dec 2014
Last Revision Date: 15 Jul 2016**



**US Army Corps
of Engineers**
Baltimore District

REVIEW PLAN
UPPER SUSQUEHANNA RIVER BASIN
COMPREHENSIVE FLOOD DAMAGE REDUCTION, NEW YORK STATE

TABLE OF CONTENTS

1. PURPOSE AND REQUIREMENTS.....	1
2. REVIEW MANAGEMENT ORGANIZATION (RMO) COORDINATION	1
3. STUDY INFORMATION	1
4. DISTRICT QUALITY CONTROL (DQC)	6
5. AGENCY TECHNICAL REVIEW (ATR).....	6
6. INDEPENDENT EXTERNAL PEER REVIEW (IEPR).....	9
7. POLICY AND LEGAL COMPLIANCE REVIEW	13
8. CIVIL WORKS COST ENGINEERING AND AGENCY TECHNICAL REVIEW MANDATORY CENTER OF EXPERTISE (MCX) REVIEW AND CERTIFICATION	13
9. MODEL CERTIFICATION AND APPROVAL	14
10. REVIEW SCHEDULES AND COSTS	15
11. PUBLIC PARTICIPATION	16
12. REVIEW PLAN APPROVAL AND UPDATES	16
13. REVIEW PLAN POINTS OF CONTACT	16
ATTACHMENT 1: TEAM ROSTERS.....	17
ATTACHMENT 2: SAMPLE STATEMENT OF TECHNICAL REVIEW FOR DECISION DOCUMENTS	19
ATTACHMENT 3: REVIEW PLAN REVISIONS	20
ATTACHMENT 4: ACRONYMS AND ABBREVIATIONS	21

1. PURPOSE AND REQUIREMENTS

a. Purpose. This Review Plan defines the scope and level of peer review for the Upper Susquehanna River Basin (USRB) Comprehensive Flood Damage Reduction (hereafter known as Comprehensive Flood Risk Management (CFRM)), New York, Feasibility Study.

b. References

- (1) Engineering Circular (EC) 1165-2-214, Civil Works Review, 15 Dec 2012
- (2) EC 1105-2-412, Assuring Quality of Planning Models, 31 Mar 2011
- (3) Engineering Regulation (ER) 1110-1-12, Quality Management, 30 Sep 2006
- (4) ER 1105-2-100, Planning Guidance Notebook, Appendix H, Policy Compliance Review and Approval of Decision Documents, Amendment #1, 20 Nov 2007
- (5) Planning SMART Guide (<http://planning.usace.army.mil/toolbox/smart.cfm>)
- (6) U.S. Army Corps of Engineers, Baltimore District (USACE) Quality Management Plan

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

2. REVIEW MANAGEMENT ORGANIZATION (RMO) COORDINATION

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

The RMO will coordinate with the Civil Works Cost Engineering Agency Technical Review and Mandatory Center of Expertise (MCX) to ensure the appropriate expertise is included on the review teams to assess the adequacy of cost estimates, construction schedules and contingencies.

3. STUDY INFORMATION

a. Decision Document. The study for which this review plan has been prepared is the USRB CFRM, New York, Feasibility Study. The purpose of the report is to obtain Congressional authority for construction of the recommended plan for flood risk management within the study area. The Feasibility Report requires approval of the Chief of Engineers and will require Congressional authorization. The NEPA document currently anticipated for this study will be a tiered environmental impact statement, which could evaluate environmental impacts of one or more areas across the broad study area that could be included in the recommended plan.

b. Study/Project Description. Within south central New York State, the Upper Susquehanna River Basin drains approximately 4,520 square miles. This drainage area includes most of

Broome, Chenango, Cortland, Otsego and Tioga Counties; parts of Delaware, Madison and Chemung Counties; and small portions of Schuyler, Tompkins, Onondaga, Oneida, Herkimer and Schoharie Counties. The larger subwatersheds include the Tioughnioga River Subwatershed, which includes the Otselic River Subwatershed, the Unadilla River Subwatershed, the Owego Creek Subwatershed, and the Cayuta Creek Subwatershed. Otsego Lake is the largest lake and accounts for approximately three percent of USRB basin lake acreage. The next largest lakes are Canadargo Lake, and Whitney Point Reservoir. The region is characterized by low rolling hills covered by hardwood forests and large wide valleys scattered with agricultural activity. Seventy percent of the basin is forested; agricultural land uses account for about 25 percent of the drainage area. Consequently most of the basin population is rural or located in smaller villages and hamlets. The City of Binghamton has the largest population in the study area. The following table presents existing USACE flood risk management projects in the USRB, including 13 local projects dating back to 1938, along with seven ongoing USACE clearing and snagging projects¹.

Existing USACE Flood Risk Management Projects in the USRB

Project	Type
Bainbridge, Chenango County, NY	Channel Improvement
Binghamton, Broome County, NY	Levee/Floodwall
Binghamton, Broome County, NY	Snagging/Clearing
Cincinnatus, Cortland County, NY	Snagging/Clearing
Conklin-Kirkwood, Broome County, NY	Channel Improvement
Cortland, Cortland County, NY	Snagging/Clearing
East Sidney Lake, Delaware County, NY	Reservoir
Endicott, Johnson City, & Vestal, Broome Co, NY	Levee/Floodwall
Greene, Chenango County, NY	Channel Improvement
Lisle, Broome County, NY	Levee/Floodwall
Nichols, Tioga County, NY	Levee/Floodwall
Norwich, Chenango County, NY	Channel Improvement
Oneonta, Otsego County, NY	Snagging/Clearing
Owego, Tioga County, NY	Snagging/Clearing
Oxford, Chenango County, NY	Levee/Floodwall
Port Dickinson, Broome County, NY	Snagging/Clearing
Sherburne, Chenango Co., NY	Snagging/Clearing
Unadilla, Otsego County, NY	Levee/Floodwall
Whitney Point Village, Broome County, NY	Levee/Floodwall
Whitney Point Lake, Cortland/Broome Co., NY	Reservoir

Congress authorized USACE to conduct a reconnaissance study and any ensuing feasibility level investigations by a resolution of the Committee on Transportation and Infrastructure of the United States House of Representatives adopted September 24, 2008, for the Upper Susquehanna River Basin, NY, sponsored by Congressman Michael Arcuri, 24th District-New York:

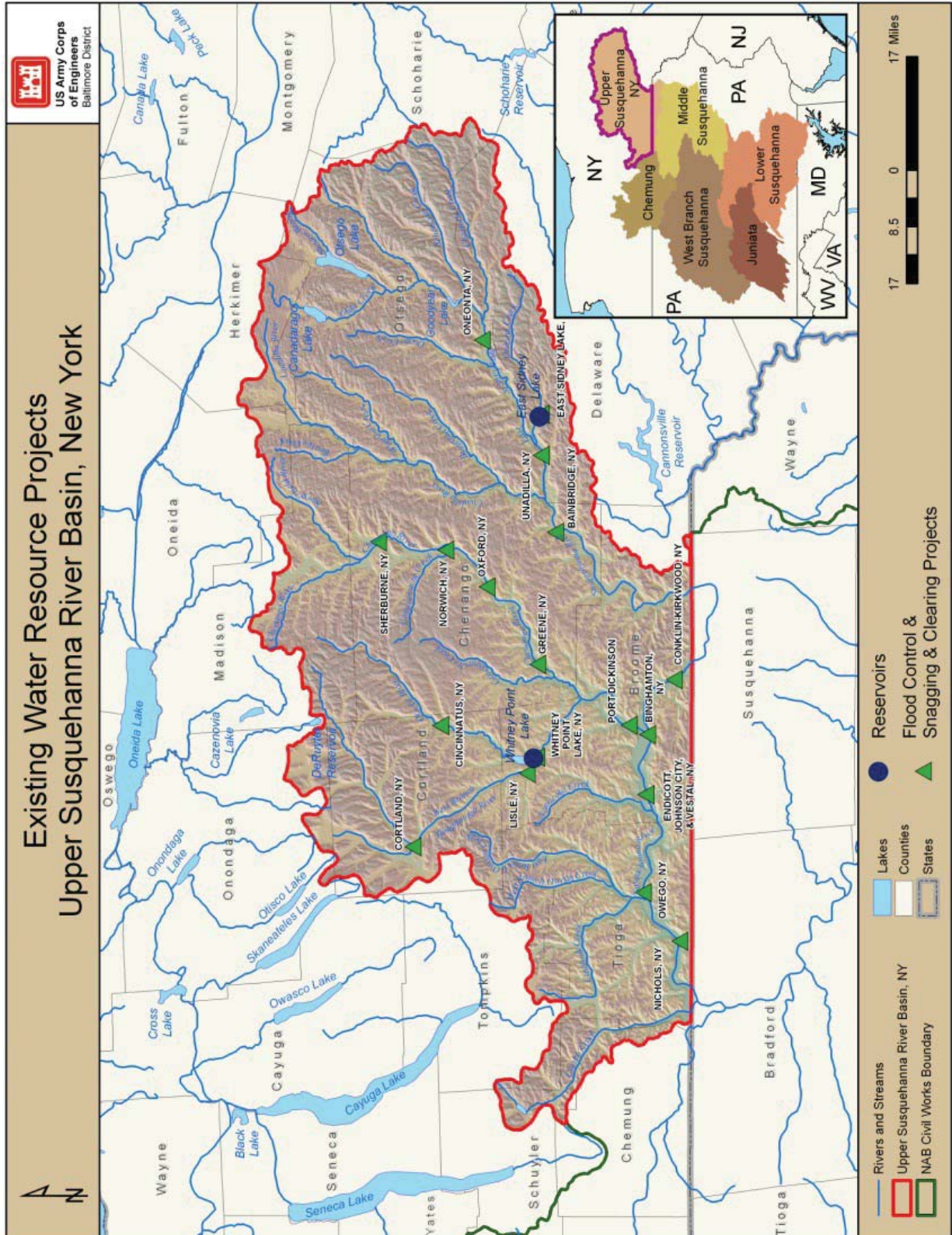
Resolved by the Committee on Transportation and Infrastructure of the United States House of Representatives, That the Secretary of the Army review the report of the Chief of Engineers on the Susquehanna River, New York, Pennsylvania, and Maryland,

¹ Section 208 of the Flood Control Act of 1954, as amended, provides local flood risk management by channel clearing and excavation actions, with limited embankment construction by use of material from the clearing operation only. Studies are funded at the full federal expense and projects are cost shared.

published as House Document 702, 77th Congress, and other pertinent reports, to determine whether any modifications of the recommendations contained therein are advisable at the present time in the interest of flood damage reduction, including an evaluation of the effectiveness of the existing flood control system in light of current and projected future conditions, and in the interest of comprehensive watershed management, including environmental restoration, structural and nonstructural flood damage reduction, and related purposes for the Upper Susquehanna River Basin, within Tioga, Broome, Chenango, Cortland, Otsego, Delaware, Schoharie, Herkimer, Oneida, Madison, Onondaga, Tompkins, Schuyler, and Chemung Counties, New York.

The Federal Interest to enter into feasibility studies with the New York Department of Environmental Conservation (NYDEC), the non-Federal sponsor, was established and documented in the project's reconnaissance phase Section 905(b) (WRDA 1986) Analysis Report, dated June 2010. The USBR CFRM feasibility study is a single purpose flood risk management investigation, and will involve evaluations and analysis of the current effectiveness and level of protection provided by the existing flood risk management projects in the USBR, flooding problems in areas that do not currently have flood risk management projects, preliminarily determine environmental and economic impacts from various levels of flooding, and strategies and management measures (including structural, nonstructural, and programmatic) that could reduce risk (and residual risk) to life and property.

Figure 1: Study Area Map



c. Factors Affecting the Scope and Level of Review. The USBR CFRM feasibility study will include detailed hydrologic and hydraulic modeling used to determine flood risk, residual flood risk, economics evaluations, and evaluation and comparisons of flood risk management alternatives.

- There is a moderate level of uncertainty associated with the study. The hydrologic and hydraulic analyses to be performed during the feasibility study will require a rigorous analysis.
- Implementation of a flood risk management project could potentially reduce flood-related risk to human life/safety. Three lives were lost due to flooding in June 2006. Fortunately, no lives were lost during the extensive flooding from the remnants of Tropical Storm Lee in September 2011, primarily attributable to the Susquehanna Flood Forecast and Warning System, implemented following the June 2006 flood.
- The study would consider structural and nonstructural alternatives. Non-performance or design exceedance of these measures could result in an increased risk to life safety. Residual flood risk communication will be required for those areas that currently include flood risk management projects.
 - The recommended plan will not likely be justified by life safety. Potential measures such as floodwalls and levees may be considered as features included in broader FRM alternative plans for evaluation and comparison. They types of structures can pose human life/safety concerns in the event of a catastrophic failure. The District Chief of Engineering, Civil Works Branch, in consultation and concurrence with the District Chief of Engineering, has determined that some of the alternative plans that would be considered as part of the study could potentially result in a significant threat to human life. Non-performance can also result in economic damages that could be greater than under existing conditions. The magnitude of these concerns is dependent on their location, height, storage capacity, and nature of the areas protected. The project delivery team will assess the alternatives for economic damages leading to the National Economic Development Plan as well as threat to life safety as the study progresses and due diligence exercised during planning, design, and construction.
- A peer review by independent experts has not been requested by the Governor of the State of New York.
- The study is likely not to involve significant public dispute as to the size, nature, or effects of the project as flood risk management is an important consideration in the flood prone region. A focus on the National Flood Insurance Program and the ability for a community to receive accreditation of existing flood risk management infrastructure will be a topic of discussion as part of public involvement activities as the study progresses.
- The study is not likely to involve significant public dispute as to the economic or environmental costs or benefits of the study. Communication of the USACE planning policy evaluation of net economic benefits leading to the National Economic Development plan or a locally preferred plan may require specific public involvement activities.
- The information contained in the study or any 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.
- At this stage of the investigation, it is unknown to what degree a proposed project design would require redundancy, resiliency, and/or robustness, unique construction, sequencing, or a reduced or overlapping design construction schedule. However,

consideration of redundancy, resilience, and robustness of management measures and alternative plans would be considered as part of the feasibility study.

- d. **In-Kind Contributions.** Products and analyses provided by non-Federal sponsors as in-kind services are subject to DQC, ATR, and IEPR. It is anticipated that the non-Federal sponsor will not contribute technical analyses or other in-kind products as part of the study partnership agreement between USACE and NYDEC.

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.

- a. **Documentation of DQC.** DQC will be documented via a memorandum signed by USACE, Baltimore District division or branch chiefs for various organizational branches/sections involved in preparation of the decision document or supporting analyses. This document will certify that DQC has been accomplished and will serve as the Quality Control Review Report. This memorandum and DQC comments and responses will be provided to the ATR Lead prior to the start of ATR.
- b. **Products to Undergo DQC.** The USRB CFRM report documentation and technical products produced during the feasibility study. The detailed existing conditions and forecasted future conditions hydrologic and hydraulic modeling will undergo a peer review by a regional technical specialist for floodplain management from USACE, Baltimore District.
- c. **Required DQC Expertise.** DQC will be conducted by senior level USACE, Baltimore District staff and supervisors of the respective functional organizations. Comments and responses will be formally documented for both the project delivery team and the DQC review.

5. AGENCY TECHNICAL REVIEW (ATR)

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

- a. **Products to Undergo ATR.** It is envisioned that the primary products to undergo ATR include the USRB CFRM tentatively selected plan draft report, and the final draft report (following agency decision milestone approval). ATR team members may also review information prior to meetings with Baltimore District staff and the vertical team primarily for the team members' preparation to participate during vertical team in-progress reviews or milestone meetings.

Based on further communications with the FRM-PCX prior to the Alternatives milestone meeting, CENAB staff will determine whether separate interim products would require review by the ATR team, such as existing and future forecast H&H conditions, and economics damages and incremental damages prevented.

- b. Required ATR Team Expertise.** The expertise represented by the ATR team reflects the significant expertise involved in the work effort and generally mirrors the expertise on the project delivery team. The following table presents the ATR Team disciplines and a description of the requisite expertise required to participate on the review team:

ATR Team Members/Disciplines	Expertise Required
ATR Lead	The ATR lead should be a senior professional with extensive experience in preparing Civil Works decision documents and conducting ATR. The lead should also have the necessary skills and experience to lead a virtual team through the ATR process. The ATR lead may also serve as a reviewer for a specific discipline (such as planning, economics, environmental resources, etc).
Planning	The Plan Formulation reviewer should be a senior water resources planner with experience in riverine flood risk management feasibility studies. The Planner should have experience associated with existing flood risk management infrastructure re-evaluation related to incremental damages prevented. In addition, the planner should have general experience with water resource planning and watershed assessment utilizing GIS and geospatial analyses and ESRI ArcInfo software products used for initial problems, needs, and opportunities screening analyses.
Economics	The reviewer should be familiar with the processes used in evaluation of FRM projects and have recent experience in preparing economic analysis plans for FRM feasibility studies. HEC-FDA will be used for analysis.
Environmental Resources	The environmental resources reviewer should be a senior water resources planner or biologist with extensive experience associated with environmental impact assessment, and NEPA environmental impact statements and environmental assessment preparation.
Hydrology and Hydraulic Engineering	The reviewer should carry a professional engineer's license and be a senior hydrologic and hydraulic engineering specialist with extensive experience associated with riverine H&H modeling. The reviewer should have experience with HEC-HMS, HEC-RAS, and HEC-FIA.
Geotechnical Engineering	The geotechnical engineering reviewer should be a senior geotechnical engineer with extensive experience associated with geotechnical requirements of structural and nonstructural riverine flood risk management measures. The reviewer should also be familiar with foundations and geotechnical investigations associated with structural flood

ATR Team Members/Disciplines	Expertise Required
	risk management measure modifications, such as levees and floodwall modifications.
Civil Engineering	The civil engineering reviewer should be a senior civil engineer with extensive experience associated with the design of structural and nonstructural riverine flood risk management measures. The reviewer should also be familiar with designs associated with existing flood risk management measure modifications.
Real Estate	The real estate reviewer should be a senior real estate specialist with experience in the preparation and evaluation of gross real estate appraisals, temporary easements, and rights-of-way associated with flood risk management projects.
Cost Engineering	The cost engineering reviewer should be a senior cost engineer with extensive experience associated with cost estimating for structural and nonstructural riverine flood risk management measures. The reviewer should also be familiar with designs and quantities associated with existing flood risk management measure modifications.
Risk Reviewer	The risk analysis reviewer will be experienced with performing and presenting risk analyses in accordance with ER 1105-2-101 and other related guidance, including familiarity with how information from the various disciplines involved in the analysis interact and affect the results. This review discipline can be combined with either the Economics or H&H review disciplines.

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 1110-1-12 or ER 1105-2-100, Appendix H, as appropriate. Unresolved concerns can be closed in DrChecks with a notation that the concern has been elevated to the vertical team for resolution.

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. The ATR Lead will prepare a Statement of Technical Review certifying that the issues raised by the ATR team have been resolved (or elevated to the vertical team). A Statement of Technical Review should be completed, based on work reviewed to date, for the USB CFM tentatively selected plan draft report and the final draft report (following agency decision milestone approval). A sample Statement of Technical Review is included in Attachment 2.

6. INDEPENDENT EXTERNAL PEER REVIEW (IEPR)

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.

- a. **Decision on IEPR.** It is anticipated that the study would not meet all of the Type I IEPR exclusion criteria. Because of the scope, H&H, and economics analyses completed on the USRB CFRM study and based on the risk informed decision as prescribed in EC 1165-2-214, Section 11.d(1), Type I IEPR is recommended. The following table summarizes these trigger and a discussion on each point is below:

Mandatory Triggers	Yes	No	To be Determined
Significant threat to human life	X		
Exceeds \$200 million (Sect 1044 of WRDA 14)			X
Governors Request		X	
Controversial by USACE Director of Civil Works		X	

The study will be subject to Type I IEPR on the basis of potential life safety risks. The general purpose of the IEPR is to consider the adequacy, appropriateness, and acceptability of the design in assuring public health, safety, and welfare. Type II IEPR, or Safety Assurance Review (SAR), is anticipated to be required on project design and implementation documents. As such, SAR considerations, including an assessment of the analyses and documentation related robustness, redundancy, and resilience of the recommended plan's features, will be completed to the furthest extent practicable on the initial designs presented in the feasibility study documentation provided to the IEPR panel.

- b. **Products to Undergo Type I IEPR.** Type I IEPR will be performed on the tentatively selected plan draft report and appendices. SAR will be addressed as part of the initial design presented as the tentatively selected plan.
- c. **Required Type I IEPR Panel Expertise.** Type I IEPR will be conducted for this study. The IEPR panel will include the necessary expertise to assess the planning, economics, environmental, and engineering analyses presented in the decision document. The following table presents the IEPR Panel disciplines and a description of the requisite expertise required to participate on the panel:

IEPR Panel Members/Disciplines	Expertise Required
Plan Formulation	The Plan Formulation Panel Member should be from academia, a public agency, a non-governmental entity, or an Architect-Engineer or Consulting Firm with a minimum of 10 years demonstrated experience in public works planning. Direct experience working previously for or with USACE is highly preferred. Panel Member must be very familiar with USACE plan formulation guidance, process, procedures,

	and standards for the evaluation and comparison of alternative plans for riverine flood risk management projects. The panel member shall have a minimum of five years experience directly dealing with the USACE six-step planning process, which is governed by ER 1105-2-100, Planning Guidance Notebook. In addition, the candidate should be familiar with the USACE flood risk management analysis and benefit calculations, including use of the USACE HEC-FDA computer program, and should have experience with the National Economic Development analysis procedures, particularly as they relate to flood risk management.
Economics	The Economics Panel Member should be from academia, a public agency, a non-governmental entity, or an Architect-Engineer or Consulting Firm. Member must have at least 10 years experience directly related to water resource economic evaluation or review, with a minimum MS degree or higher in economics. Direct experience working for or with USACE is highly preferred but not required. Panel Member should be familiar with the USACE planning process, guidance, and economic evaluation techniques. Active participation in related professional societies is encouraged. Candidate should be familiar with the USACE flood risk management analysis and economic benefit calculations, including use of standard USACE computer programs including HEC-FDA.
Environmental	The Environmental Panel Member should be a biologist/ecologist from academia, a public agency, a non-governmental entity, or an Architect-Engineer or Consulting Firm with a minimum 10 years demonstrated experience in evaluation and conducting NEPA impact assessments. The panel member should have a minimum MS degree or higher in an appropriate field of study. The panel member should have extensive background experience and working knowledge with the implementation of the NEPA compliance process.
Hydrologic and Hydraulic Engineering	The Hydrologic and Hydraulic Engineering Panel Member should be a registered professional engineer with a minimum of 15 years experience in hydrologic and hydraulic engineering with an emphasis on large public works projects, with a minimum MS degree or higher in engineering. Active participation in related professional societies is encouraged. The panel member should have extensive experience associated with flood risk management projects with an emphasis on large river control structures. The panel member should have experience modeling large river systems and possesses a thorough understanding of the dynamics of open channel flow systems, floodplain hydraulics, and interior flood control systems. The panel member should be familiar with

	USACE application of risk and uncertainty analyses in flood risk management studies. The panel member should also be familiar with standard USACE hydrologic and hydraulic computer models including HEC-1, HEC-HMS, HEC-2, HEC-RAS, HEC-FDA, and HEC-FIA.
Civil Engineering	The Civil Engineering Panel Member should be a registered professional engineer from academia, a public agency whose mission includes flood damage prevention, or an Architect-Engineer or consulting firm, having a minimum of 10 years experience in civil or construction engineering. The panel member should have demonstrated experience in performing civil engineering design for all phases of flood risk management related projects. The panel member should also be familiar with and have demonstrated experience related to concrete floodwall, earthen levee foundation, and pumping station design and construction. Experience in associated contracting procedures, total cost growth analysis and related cost risk analysis is desired. Panel member should be familiar with the construction industry. Additionally, the panel member should be capable of addressing the USACE Safety Assurance Review (SAR) aspects of all projects. Active participation in related professional engineering and scientific societies is encouraged.
Geotechnical Engineering	The Geotechnical Engineering Panel Member should be a registered professional engineer from academia, a public agency whose mission includes flood risk management, or an Architect-Engineer or consulting firm, having a minimum of 10 years experience in civil or construction engineering. The panel member should have demonstrated experience in geotechnical engineering analyses for all phases of flood risk management related projects. The panel member should have experience in the design and construction of structures in cold climates. Additional experience and familiarity of geotechnical practices associated with concrete floodwalls, earthen levee foundations and dams, and line of protection under seepage concerns. Additionally, this Panel Member should be capable of addressing the USACE SAR aspects of all projects. Active participation in related professional engineering and scientific societies is encouraged.
Cost Engineering	The panel member should be a registered professional engineer from academia, a public agency whose mission includes flood damage prevention, or an Architect-Engineer or consulting firm, having a minimum of 10 years experience in civil or construction engineering. The panel member should have demonstrated experience in performing cost engineering/construction management for all phases of flood risk management related projects. The panel member should also be familiar with and have demonstrated experience related to concrete floodwall, earthen levee

	<p>foundation, and pumping station design and construction. Experience in associated contracting procedures, total cost growth analysis and related cost risk analysis is desired. Panel member should be familiar with the construction industry. Additionally, the panel member should be capable of addressing the USACE SAR aspects of all projects. Active participation in related professional engineering and scientific societies is encouraged.</p>
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d. 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 IEPR 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 IEPR Report and prepare a written response for all recommendations adopted or not adopted. The final decision document will summarize the IEPR Report and USACE response. The IEPR Report and USACE response will be made available to the public, including through electronic means on the internet.

7. POLICY AND LEGAL COMPLIANCE REVIEW

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

8. CIVIL WORKS COST ENGINEERING AND AGENCY TECHNICAL REVIEW MANDATORY CENTER OF EXPERTISE (MCX) REVIEW AND CERTIFICATION

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

9. MODEL CERTIFICATION AND APPROVAL

EC 1105-2-412 mandates the use of certified or approved models for all planning activities to ensure the models are technically and theoretically sound, compliant with USACE policy, computationally accurate, and based on reasonable assumptions. Planning models, for the purposes of the EC, are defined as any models and analytical tools that planners use to define water resources management problems and opportunities, to formulate potential alternatives to address the problems and take advantage of the opportunities, to evaluate potential effects of alternatives and to support decision making. The use of a certified/approved planning model does not constitute technical review of the planning product. The selection and application of the model and the input and output data is still the responsibility of the users and is subject to DQC, ATR, and IEPR (if required).

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

a. Planning Models. The following table presents the planning models that 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 v1.4 (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 existing, future without-, and future with-project alternative plans.	Certified
HEC-FIA v2.2	The Hydrologic Engineering Center's Flood Impact Analysis software (HEC-FIA) calculates post-flood or forecasted-flood impacts for a user-specified event. It is also used to determine flood damage reduction benefits attributed to individual flood risk management projects (reservoirs, levees, and diversions). For the specified event, HEC-FIA computes urban and agricultural flood damage, area inundated, number of structures inundated, population at risk, and life loss. The life loss computation in HEC-FIA is based on the LifeSim methodology developed at Utah State University, and includes consideration of many factors including initial distribution of population for day and night, redistribution	Certification Pending

Model Name and Version	Brief Description of the Model and How It Will Be Applied in the Study	Certification / Approval Status
	of that population base on dam failure warning, evacuation potential, and sheltering opportunities.	

- b. Engineering Models.** The following table presents the engineering models that 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-HMS 3.5 (Hydrologic Modeling System)	The Hydrologic Modeling System (HEC-HMS) is designed to simulate the precipitation-runoff processes of dendritic watershed systems. It is designed to be applicable in a wide range of geographic areas for solving the widest possible range of problems. This includes large river basin water supply and flood hydrology, and small urban or natural watershed runoff. Hydrographs produced by the program are used directly or in conjunction with other software (e.g., HEC-RAS) for studies of water availability, urban drainage, flow forecasting, future urbanization impact, reservoir spillway design, flood risk management (including interior drainage analyses), floodplain regulation, and systems operation.	HH&C CoP Preferred Model
HEC-RAS 4.0 and 4.1 (River Analysis System)	The Hydrologic Engineering Center's River Analysis System (HEC-RAS) program provides the capability to perform one-dimensional steady and unsteady flow river hydraulics calculations. The program will be used for steady flow analysis to evaluate the future without- and with-project conditions along the Wild River and its tributaries. The models will be used for both steady and unsteady flow analysis.	HH&C CoP Preferred Model
MII	MII is the second generation of the Micro-Computer Aided Cost Estimating System (MCASES). It provides an integrated cost estimating system (software and databases) that meets USACE requirements for preparing cost estimates.	Enterprise Model

10. REVIEW SCHEDULES AND COSTS

- a. ATR Schedule and Cost.** The USACE planning modernization initiative incorporates the assumption that feasibility studies will be completed within three years. In order to comply with the current guidance presented ER 1105-2-100, Planning Guidance Notebook, Appendix H, Policy Compliance Review and Approval of Decision Documents, Amendment #1, 20 Nov 2007, activity milestones, particularly the review requirements associated with EC 1165-2-214, Civil Works Review Policy, 31 Jan 2012, must be completed within predefined and accepted durations. Approximately \$84,900 has been budgeted for the ATR team to review the tentatively selected plan draft report documentation, the draft final report documentation,

and meeting participation. Assuming an execution of the feasibility cost sharing agreement in August 2016, it is envisioned that the tentatively selected plan draft report would be available for review in May 2018, with the draft final report available in August 2019. Interim H&H and economics products that may require review by the ATR team would occur in March-June 2017, and prior to the Alternatives milestone meeting.

- b. Type I IEPR Schedule and Cost.** The estimated Type I IEPR cost is \$181,000 for the IEPR contract. Assuming an execution of the feasibility cost sharing agreement in August 2016, it is envisioned that the tentatively selected plan draft report would be available for review in May 2018.
- c. Model Certification/Approval Schedule and Cost.** This section may be updated at a later date as the study progresses; however, no models anticipated to be used as part of the study require certification at this point. If model certification/approval is required at a future date, the FRM-PCX or appropriate PCX will be notified as soon as possible. The budget estimate may need to be updated based on model certification, if necessary.

11. PUBLIC PARTICIPATION

Members of the public have opportunities to comment on the development of this study throughout the study. Public involvement including scoping meetings associated with the NEPA process will occur to solicit input into the problems, needs, and opportunities within the study area. The final report will be available to the local communities, and will be available on the Baltimore District website.

12. REVIEW PLAN APPROVAL AND UPDATES

The USACE North Atlantic Division Commander is responsible for approving this Review Plan. The Commander's approval reflects vertical team input (involving district, MSC, RMO, and HQUSACE members) as to the appropriate scope and level of review for the decision document. Like the PMP, the Review Plan is a living document and may change as the study progresses. The home district is responsible for keeping the Review Plan up to date. Minor changes to the review plan since the last 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. The latest version of the Review Plan, along with the Commanders' approval memorandum, should be posted on the Home District's webpage. The latest Review Plan should also be provided to the RMO and home MSC.

13. REVIEW PLAN POINTS OF CONTACT

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

- Planning Division, Baltimore District, (410) 962-4900.
- North Atlantic Division, (347) 370-4550.
- FRM-PCX Deputy Director, (415) 503-6852.

ATTACHMENT 1: TEAM ROSTERS

Name	Role	Affiliation/Office Symbol
Rolando Sanidad	Project Manager	CENAB-PP-C
Amy Guise	Chief, Planning Division	CENAB-PL
Daniel Bierly	Chief, Civil Projects Development Branch	CENAB-PL-P
David Robbins	Plan Formulation, Study Manager	CENAB-PL-P
Andrew Roach	Plan Formulation and Policy Advisor; Quality Control	CENAB-PL-P
TBD	Biologist	CENAB-PL-P
Michele Gomez	Environmental Resources Quality Control	CENAB-PL-P
Ed O'leary	Economics	CENAE-EPV
TBD	Design Management	CENAB-ENC-M
TBD	Hydrologic and Hydraulic Engineering	CENAB-ENC-W
TBD	Civil Engineering	CENAB-ENC-E
TBD	Geotechnical Engineering	CENAB-ENG-F
Luan Ngo	Cost Engineering	CENAB-END-T
TBD	Real Estate	CENAB-REC
Team Members, Review Management Organization		
Eric Thaut	Deputy Director, FRM-PCX	CESPD-PDP
Karen Miller	NAD Regional Manager, FRM-PCX	CELRH-PM-PD
Team Members, ATR		
TBD	ATR Lead	TBD
TBD	Planning	TBD
TBD	Economics	TBD
TBD	Environmental Resources	TBD
TBD	Cultural Resources	TBD
TBD	Hydrology and Hydraulic Engineering	TBD
TBD	Geotechnical Engineering	TBD
TBD	Civil Engineering	TBD
TBD	Cost Engineering	TBD
TBD	Real Estate	TBD
Team Members, CENAD		
Rena Weichenberg	Plan Formulation and Environmental Resources	CENAD
Hank Gruber	Policy Review	CENAD

Name	Role	Affiliation/Office Symbol
<i>Federal Team Members, HQUSACE</i>		
Ray Wimbrough	Plan Formulation, RIT	HQUSACE
TBD	Plan Formulation, Office of Water Policy Review	HQUSACE
TBD	Biologist, Office of Water Policy Review	HQUSACE

ATTACHMENT 2: SAMPLE STATEMENT OF TECHNICAL REVIEW FOR DECISION DOCUMENTS

COMPLETION OF AGENCY TECHNICAL REVIEW

The Agency Technical Review (ATR) has been completed for the <type of product> for <project name and location>. The ATR was conducted as defined in the project's Review Plan to comply with the requirements of EC 1165-2-214. 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 DrCheckssm.

SIGNATURE

Name

ATR Team Leader

Office Symbol/Company

Date

SIGNATURE

Name

Project Manager

Office Symbol

Date

SIGNATURE

Name

Architect Engineer Project Manager¹

Company, location

Date

SIGNATURE

Name

Review Management Office Representative

Office Symbol

Date

CERTIFICATION OF AGENCY TECHNICAL REVIEW

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

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

SIGNATURE

Name

Chief, Engineering Division

Office Symbol

Date

SIGNATURE

Name

Chief, Planning Division

Office Symbol

Date

¹ Only needed if some portion of the ATR was contracted

ATTACHMENT 3: REVIEW PLAN REVISIONS

Revision Date	Description of Change	Page / Paragraph Number
2 Oct 2015	Revised Review Plan Template and Content based on SMART Planning Feasibility study compliance requirements	all
15 July 2016	Format, schedule and costs update	all

ATTACHMENT 4: ACRONYMS AND ABBREVIATIONS

<u>Term</u>	<u>Definition</u>	<u>Term</u>	<u>Definition</u>
ASA(CW)	Assistant Secretary of the Army for Civil Works	NER	National Ecosystem Restoration
ATR	Agency Technical Review	NEPA	National Environmental Policy Act
CSDR	Coastal Storm Damage Reduction	O&M	Operation and maintenance
DPR	Detailed Project Report	OMB	Office and Management and Budget
DQC	District Quality Control/Quality Assurance	OMRR&R	Operation, Maintenance, Repair, Replacement and Rehabilitation
DX	Directory of Expertise	OEO	Outside Eligible Organization
EA	Environmental Assessment	OSE	Other Social Effects
EC	Engineer Circular	PCX	Planning Center of Expertise
EIS	Environmental Impact Statement	PDT	Project Delivery Team
EO	Executive Order	PAC	Post Authorization Change
ER	Ecosystem Restoration	PMP	Project Management Plan
FDR	Flood Damage Reduction	PL	Public Law
FEMA	Federal Emergency Management Agency	QMP	Quality Management Plan
FRM	Flood Risk Management	QA	Quality Assurance
FSM	Feasibility Scoping Meeting	QC	Quality Control
GRR	General Reevaluation Report	RED	Regional Economic Development
Home District/MS	The District or MSC responsible for the preparation of the decision document	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
NED	National Economic Development		