



REPLY TO
ATTENTION OF

DEPARTMENT OF THE ARMY
NORTH ATLANTIC DIVISION, US ARMY CORPS OF ENGINEERS
FORT HAMILTON MILITARY COMMUNITY
BROOKLYN, NEW YORK 11252-6700

DEC 14 2012

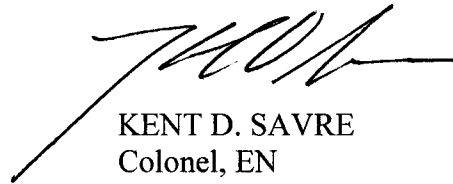
CENAD-PD-PP

MEMORANDUM FOR Commander, New England District, ATTN: CENAE-PP-P

SUBJECT: Review Plan Approval for Long Island Sound Dredged Material Management Plan, Connecticut and New York

1. The attached Review Plan for the subject study has been prepared in accordance with EC 1165-2-209, Civil Works Review Policy.
2. The Review Plan has been coordinated within North Atlantic Division, as it the lead office to execute this plan. The Review Plan currently does not include independent external peer review and will be revised after a risk-informed decision analysis has been made.
3. I hereby approve this Review Plan, which 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 will require new written approval from this office.

Encl



KENT D. SAVRE
Colonel, EN
Commanding

REVIEW PLAN

***Long Island Sound Dredged Material Management Plan
Connecticut and New York***

New England District

MSC Approval Date:

Last Revision Date: None



**US Army Corps
of Engineers** ®

REVIEW PLAN

Long Island Sound Dredged Material Management Plan, CT & NY

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1. PURPOSE AND REQUIREMENTS

a. **Purpose.** This Review Plan defines the scope and level of peer review for the Long Island Sound Dredged Material Management Plan, Connecticut and New York

b. References

- (1) Engineering Circular (EC) 1165-2-209, Civil Works Review Policy, 31 Jan 2010
- (2) EC 1105-2-412, Assuring Quality of Planning Models, 31 Mar 2010
- (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) PMP for the Long Island Sound Dredged Material Management Plan
- (6) MSC and/or District Quality Management Plan(s)

c. **Requirements.** This review plan was developed in accordance with EC 1165-2-209, 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 1165-2-209) 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. However, in the case of the LIS DMMP since the DMMP deals with existing Federally authorized projects and is not seeking any new authorizations, the RMO for the ATR review would be NAE. Another NAD District, likely NAN which has DMMP experience, would be requested to conduct the ATR. The RMO will coordinate with the Cost Engineering Directory of Expertise (DX) to ensure the appropriate expertise is included on the review teams to assess the adequacy of cost estimates, construction schedules and contingencies.

3. STUDY INFORMATION

a. **Decision Document.** The Long Island Sound Dredged Material Plan, Connecticut and New York is a feasibility type decision document. The scope of the LIS DMMP is comprehensive in nature and will identify primary and contingency options needed to meet the dredging requirements of the various Corps Federal Navigation Projects in the Long Island Sound region giving consideration to beneficial uses of the dredged material. The LIS DMMP will consider dredging needs based upon potential new projects and existing Federal navigation projects, and will factor State, local, and private dredged material placement needs into the formulation of alternatives, where appropriate. It will be approved by the MSC and will not require Congressional authorization. In conjunction with the DMMP, a Programmatic

Environmental Impact Statement (PEIS) will be prepared. Preparation of the DMMP/SEIS will enable NAE /NAN to comply with the requirement of ER 1105-2-100 to prepare a DMMP for each Federally authorized navigation channel.

- b. Study/Project Description.** In June 2005, the Environmental Protection Agency (EPA) designated two open water dredged material disposal sites in Long Island Sound (LIS) to provide long-term, environmentally acceptable disposal options for potential use by Federal, state, municipal and private entities, which must dredge river and harbor channels, anchorages, turning and maneuvering basins, marinas, and other tidal and subtidal areas in the Long Island Sound region in order to maintain conditions safe for marine commerce and recreational navigation and other purposes. The Final Rule "Designation of Dredged Material Disposal Sites in Central and Western Long Island Sound, Connecticut" anticipated the development of a regional Dredged Material Management Plan (DMMP) for LIS. Subsequent to the publication of the Designation Rule, EPA, the Corps, and appropriate Federal and state resource agencies agreed to partner in the development of a LIS DMMP. The LIS DMMP will include an in-depth analysis of all potential dredged material management alternatives which could be used by dredging proponents in developing alternatives analyses for dredging in the LIS vicinity. The DMMP will identify base and recommended dredged material management plans for Federal Navigation Projects in Long Island Sound. Figure 1 shows the scope of the DMMP study area.

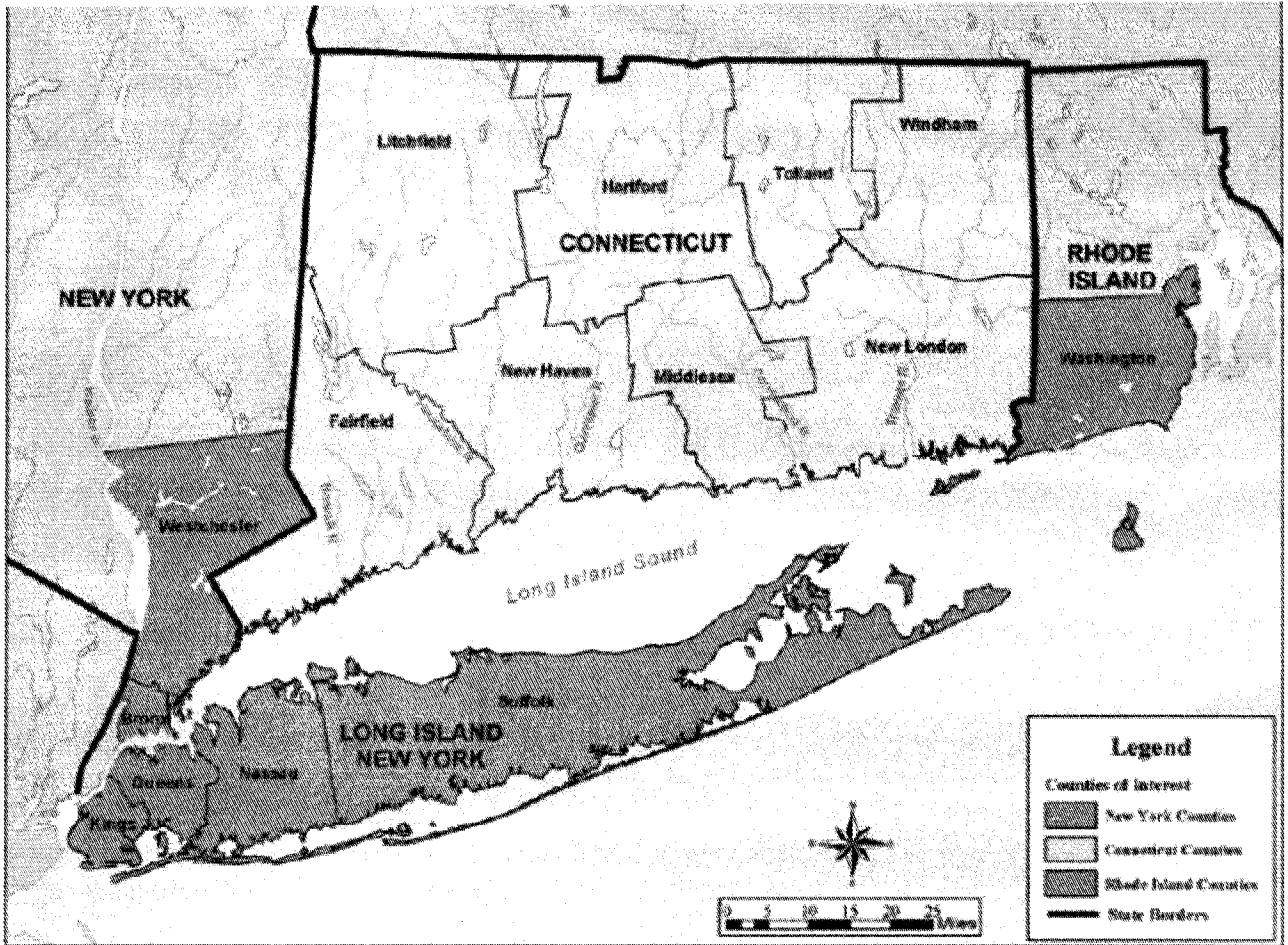


Figure 1 – LIS DMMP Study Area

c. **Factors Affecting the Scope and Level of Review.** The LIS DMMP is a feasibility type decision document but does not lead to any project authorization or implementation. Rather the DMMP identifies and evaluates potential dredged material management options for existing Federal Navigation Projects. Implementation of these options would require additional analyses at the time of potential implementation. The DMMP and PEIS will be reviewed by a multi-agency PDT. It is believed that an Agency Technical Review (ATR) is the appropriate level of review for the DMMP. 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. 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.

- **Purpose:** Ensure the quality and credibility of the government's scientific information and verify compliance with National Environmental Policy Act (NEPA) and other environmental compliance documents

- **Managed by:** ATR Leader
 - **Performed by:** Senior Technical Team Members, preferably recognized subject matter experts (Outside New England District)
 - **Required for:** Dredged Material Management Plan and Programmatic Environmental Impact Statement
 - **Documentation:** Dr. Checks and Review Report
 - **Review Management Organization:** New England District
- d. **In-Kind Contributions.** This is a Federally funded effort with no sponsor and therefore no in-kind contributions

4. DISTRICT QUALITY CONTROL (DQC)

Initial Quality Control (QC) review of feasibility study products is handled with in the Section or Branch at New England District performing the work, and by contractors submitting the results of specific field investigations and reports. Additional QC will be performed by the multi-Agency project delivery team (PDT) during the course of the feasibility plan formulation and evaluation process, and during preparation and assembling the draft and final DMMP documents. These District level internal checks of engineering, technical, and scientific methodology applied, computations, and assessment are standard operating procedure and normally conducted by Section Chiefs and Team Leaders.

- a. **Documentation of DQC.** DQC will be documented through the use of Dr. Checks and a DQC report, which will be signed by all reviewers.
- b. **Products to Undergo DQC.** Products that will undergo DQC include the DMMP, PEIS and Cost Estimates.
- c. **Required DQC Expertise.** DQC will be performed by Section Chiefs and Team Leaders in NAE that are not directly involved in the study. The required disciplines for review will vary by product. The DQC supplements the reviews provided by the Project Delivery Team during the course of completing these products.

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.** The products that will undergo ATR are DMMP, PEIS and Cost Estimates.

b. **Required ATR Team Expertise.**

ATR Team Members/Disciplines	Expertise Required
ATR Lead	The ATR lead should be a senior professional with extensive experience in preparing Civil Works decision documents and conducting ATR. The lead should also have the necessary skills and experience to lead a virtual team through the ATR process. The ATR lead may also serve as a reviewer for a specific discipline (such as planning, economics, environmental resources, etc).
Planning	The Planning reviewer should be a senior water resources planner with experience in dredging
Environmental Resources	The Environmental Resources reviewer should be a senior professional with experience in the NEPA process and in preparation and review of environmental assessments and Environmental Impact Statements.
Civil Engineering	The Civil Engineering reviewer should be a senior professional with experience in dredging and civil layout.
Cost Engineering	The Cost Engineering reviewer should be an experienced cost engineer. The Walla Walla PCX will be assigned the cost review on this project.

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 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.

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 AFB, draft report, and final report. A sample Statement of Technical Review is included in Attachment 2.

6. INDEPENDENT EXTERNAL PEER REVIEW (IEPR) – Not Applicable

- a. **Decision on IEPR.** The project documents will not result in implementation or project authorizations and therefore does not require an IEPR.
- b. **Products to Undergo Type I IEPR.** N/A
- c. **Required Type I IEPR Panel Expertise.** N/A
- d. **Documentation of Type I IEPR.** N/A.

7. POLICY AND LEGAL COMPLIANCE REVIEW

All decision documents will be reviewed throughout the study process for their compliance with law and policy. 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 the home MSC Commander. DQC and ATR augment and complement the policy review processes by addressing compliance with pertinent published Army policies, particularly policies on analytical methods and the presentation of findings in decision documents.

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

The DMMP cost estimates shall be coordinated with the Cost Engineering DX, located in the Walla Walla District. The DX will assist in determining the expertise needed on the ATR team and assignment of the appropriate ATR member. The DX will also provide the Cost Engineering DX certification. The RMO is responsible for coordination with the Cost Engineering DX.

9. MODEL CERTIFICATION AND APPROVAL – N/A

- a. Planning Models.** The following planning models are anticipated to be used in the development of the decision document: N/A
- b. Engineering Models.** The following engineering models are anticipated to be used in the development of the decision document: N/A

10. REVIEW SCHEDULES AND COSTS

- a. ATR Schedule and Cost.** It is anticipated that the 5 ATR reviewers will require a combined \$25,000 to conduct the ATR of the DMMP and PEIS. The anticipated start of the ATR would be June 2013.
- b. Type I IEPR Schedule and Cost.** N/A.
- c. Model Certification/Approval Schedule and Cost.** N/A

11. PUBLIC PARTICIPATION

The public will have several opportunities to comment on the project study through a public involvement plan that was developed as part of Project Management Plan. All completed inventory reports are posted on a project web page, periodic newsletters are posted and distributed, public meetings and workshops have and will continue to be held throughout the project to gather and provide feedback from the public, formulate a consensus, and generally keep interested parties informed.

12. REVIEW PLAN APPROVAL AND UPDATES

The North Atlantic Division Commander is responsible for approving this Review Plan. The Commander's approval reflects appropriate 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 will be documented. Significant changes to the Review Plan (such as changes to the scope and/or level of review) would 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, will 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:

- Mike Keegan, Project Manager, New England District,
michael.f.keegan@usace.army.mil, 978-318-8087.
- George Nieves, Operations Program Manager, North Atlantic Division
George.nieves@usace.army.mil, 347-370-4556

ATTACHMENT 1: TEAM ROSTERS

NOTE: The Project PDT is a multi-Agency PDT. Listed below are the primary points of contact on the PDT. This listing does not include other PDT members that have specific assignments on the project.

LONG ISLAND SOUND DREDGED MATERIAL MANAGEMENT PLAN PROJECT DELIVERY TEAM		
AGENCY	MEMBER	MEMBER
USACE New England District (NAE)	Mike Keegan, Project Manager 978-318-8087 michael.f.keegan@usace.army.mil	Mark Habel 978-318-8871 mark.l.habel@usace.army.mil
USACE New York District (NAN)	Nancy Brighton 917-790-8703 nancy.j.brighton@usace.army.mil	
EPA Region I	Mel Cote 617-918-1553 cote.mel@epa.gov	Jean Brochi 617-918-1536 Brochi.jean@epa.gov
EPA Region II	Doug Pabst 212-637-3797 pabst.douglas@epa.gov	Patricia Pechko 212-637-3796 pechko.patricia@epa.gov
National Marine Fisheries Service	Diane Rusanowsky 203-882-2671 drusano@clam.mi.nmfs.gov	
New York State Dept. of State	Jennifer Street 518-474-1737 Jennifer.Street@dos.state.ny.us	Fred Anders 518-473-2477 fanders@dos.state.ny.us
New York State Dept. of Environmental Conservation	John Ferguson 518-402-8829 jjfergus@gw.dec.state.ny.us	
Connecticut Dept. of Energy and Environmental Protection	George Wisker 860-424-3034 george.wisker@po.state.ct.us	Diane Duva 860-424-3271 diane.duva@po.state.ct.us
Connecticut Dept. of Transportation	Joe Salvatore 860-594-2539 joseph.salvatore@po.state.ct.us	
Rhode Island Coastal Resources Management Council	Dan Goulet 401-783-3370 dgoulet@crmc.state.ri.gov	

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

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

SIGNATURE

Name

ATR Team Leader

Office Symbol/Company

Date

SIGNATURE

Michael F. Keegan, P.E; L.C.S

Project Manager

CENAE-PP-P

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-Planning Division

CENAE-EP

Date

¹ Only needed if some portion of the ATR was contracted