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**REVIEW PLAN**

**YUBA RIVER BASIN, CALIFORNIA**  
**FLOOD RISK MANAGEMENT**

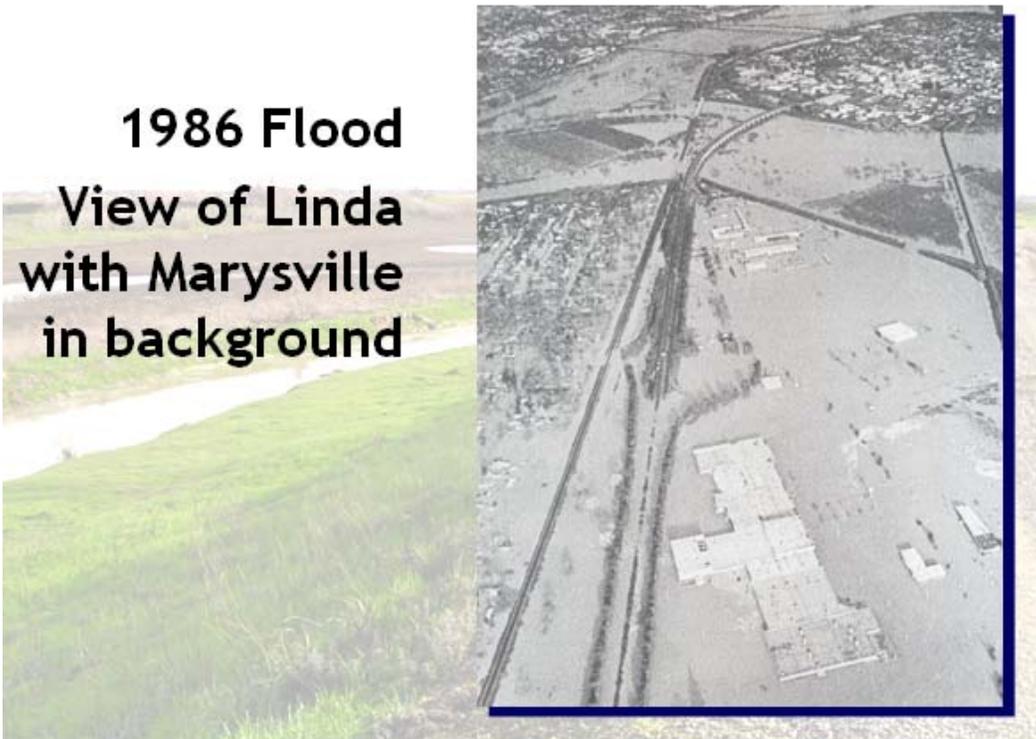
**GENERAL REEVALUATION STUDIES**

**SACRAMENTO DISTRICT**  
**CORPS OF ENGINEERS**

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**1986 Flood  
View of Linda  
with Marysville  
in background**



**MSC Approval Date: 17 March 2009**  
**Latest Revision Date: August 2012**



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## REVIEW PLAN

### YUBA RIVER BASIN, CALIFORNIA GENERAL REEVALUATION STUDY SACRAMENTO DISTRICT

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## REVIEW PLAN

### YUBA RIVER BASIN, CALIFORNIA GENERAL REEVALUATION STUDY SACRAMENTO DISTRICT

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#### 1. PURPOSE AND REQUIREMENTS

##### A. Purpose

This document presents the Review Plan for the Yuba River Basin, California Project. The Review Plan describes the review of basic science and engineering work products focused on fulfilling the project quality requirements defined in the Yuba River Basin Project Management Plan (PMP) dated March 2010. The Review Plan is a component of the PMP.

##### B. Requirements

###### (1) General

As a result of the changes to the review process in Section 2034 of WRDA 2007, Engineering Circular (EC) 1165-2-209, Water Resources Policies and Authorities, Civil Works Review Policy, on 31 January 2010 was issued. The new EC revises the technical and overall quality control review processes for decision documents. It formally distinguishes between technical review performed in-district (District Quality Control, "DQC") and out-of-district resources (formerly Independent Technical Review, "ITR," now Agency Technical Review, "ATR"). It also reaffirms the requirement for Independent External Peer Review (IEPR); this is the most independent level of review and is applied in cases that meet certain criteria where the risk and magnitude of a proposed project are such that a critical examination by a qualified team outside of USACE is warranted.

EC 1165-2-209 outlines the requirement of the three review approaches (DQC, ATR, and IEPR). This review plan addresses review of the decision document as it pertains to this approach and planning coordination with the appropriate PCX. The Yuba River Basin studies will investigate flood risk management (FRM). Therefore, the PCX for FRM is considered to be the primary PCX for coordination. The Review Plan is a comprehensive life-cycle review strategy for document review from initial planning through design, construction, sponsor Operation, Maintenance, Repair, Replacement and Rehabilitation (OMRR&R).

###### (2) Technical Review Strategy Session.

The review process begins with a technical review strategy session (TRSS). The TRSS forms the basis for the quality control plan for the GRR and is held early in the study phase. The participants establish the level of review, identify documents to be reviewed and identify policy or major technical issues that needed to be brought to the attention of CESP for resolution early in the study. This session is combined with other initial formulation/scoping meetings.

###### (3) District Quality Control

DQC is the review of basic science and engineering work products focused on fulfilling the project quality requirements defined in the Project Management Plan (PMP). It is managed in the Sacramento District and may be conducted by in-house staff as long as the reviewers are not doing the work involved in the study, including contracted work that is being reviewed. Basic

quality control tools include a Quality Management Plan (QMP) providing for seamless review, quality checks and reviews, supervisory reviews, Project Delivery Team (PDT) reviews, etc. Additionally, the PDT is responsible for a complete reading of the report to assure the overall integrity of the report, technical appendices and the recommendations before the approval by the District Commander. 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.

DQC efforts will include the necessary expertise to address compliance with published Corps policy. When policy and/or legal concerns arise during DQC efforts that are not readily and mutually resolved by the PDT and the reviewers, the district will seek immediate issue resolution support from the MSC and HQUSACE in accordance with the procedures outlined in Appendix H, ER 1105-2-100 or other appropriate guidance.

MSC and district quality manuals will prescribe specific procedures for the conduct of DQC including documentation requirements and maintenance of associated records for internal audits to check for proper DQC implementation. DCQ is required for this study.

#### (4) Agency Technical Review

EC 1165-2-209 recharacterized ATR (which replaces the level of review formerly known as Independent Technical Review) as an in-depth review, managed within USACE, and conducted by a qualified team outside of the home district that is not involved in the day-to-day production of a project/product. The purpose of this review is to ensure the proper application of clearly established criteria, regulations, laws, codes, principles and professional practices.

The USACE organization managing the review effort is designated the Review Management Organization (RMO). When preparing to initiate the review, the “charge” to the reviewers on both the ATR teams and IEPR panels will contain the instructions regarding the objective of the review and the specific advice sought. The RMO is responsible for preparing the charge. For ATR on the GRR studies, the RMO will be the Flood Risk Management Planning Center of Expertise (FRM PCX).

The ATR team reviews the various work products and assures that all the parts fit together in a coherent whole. ATR teams will be comprised of senior USACE personnel such as Regional Technical Specialists, and may be supplemented by outside experts as appropriate. To assure independence, the leader of the ATR team shall be from outside the home MSC. EC 1165-2-209 requires that DrChecks computer software (<https://www.projnet.org/projnet/>) be used to document all ATR comments, responses, and associated resolution accomplished. This Review Plan outlines the proposed approach to meeting this requirement for the Yuba River Basin GRR studies. ATR is required for this study.

The ATR should address the basic communication aspects of the documents. Quality decision documents allow the public and stakeholders to understand the planning effort and its results, and enable decision makers to reach the same conclusions as the reporting officers. The Corps’ Project Management Business Process directs that all projects, events, and issues of significant public interest have a communication plan. The goal is to provide accurate, timely, consistent information to the American public, stakeholders, and interested members of the Corps’ team. Communication is most powerful when everyone, at every level, is able to rapidly respond to questions and tell the same story, the same way.

There shall be coordination with the Cost Engineering Directory of Expertise (DX) located in the Walla Walla District, which will provide the cost engineering review and resulting

certification. The DX only reviews the cost estimate for the Recommended Plan. They do not review cost estimates for other alternatives for the AFB or Draft Report submittals, or any interim submittals.

ATR efforts will include the necessary expertise to address compliance with applicable published policy. When policy and/or legal concerns arise during ATR efforts that are not readily and mutually resolved by the PDT and the reviewers, the district will seek issue resolution support from the MSC and HQUSACE in accordance with the procedures outlined in ER 1105-2-100 (Appendix H), or other appropriate guidance.

#### (5) Independent External Peer Review

EC 1165-2-209 recharacterized the external peer review process. 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. IEPR is managed by an outside eligible organization (OEO) that is described in the Internal Review Code Section 501(c) (3), is exempted from Federal tax under Section 501(a), of the Internal Revenue Code of 1986; is independent; is free from conflicts of interest; does not carry out or advocate for or against Federal water resources projects; and has experience in establishing and administering IEPR panels. The scope of review will address all the underlying planning, engineering, including safety assurance, economics, and environmental analyses performed, not just one aspect of the project. This Review Plan outlines the planned approach to meeting this requirement.

EC 1165-2-209 established thresholds that trigger IEPR: In cases where there are public safety concerns, a high level of complexity, novel or precedent-setting approaches; where the project is controversial, has significant interagency interest, has a total project cost greater than \$45 million, or has significant economic, environmental and social effects to the nation, IEPR will be conducted.

The PCX is responsible for the accomplishment and quality of IEPR. Centers must use outside eligible organizations to manage the selection of panels, the conduct of the review, and the organization and disposition of comments. IEPR will be conducted in addition to an ATR managed or conducted by the PCX. The ATR shall be completed before initiating the IEPR.

The PCX shall ensure that reviewers serving as Federal employees (including special government employees) comply with applicable Federal ethics requirements. In selecting reviewers who are not Federal government employees, PCX shall adopt or adapt the National Academy of Sciences' policy for committee selection with respect to evaluating the potential for conflicts (e.g., those arising from investments; agency, employer, and business affiliations; grants, contracts and consulting income).

IEPR must be performed by subject matter experts from outside of USACE. Peer reviewers shall not have participated in development of the report, appendix, or other work product to be reviewed. PCXs are encouraged to rotate membership on standing panels across the pool of qualified reviewers. OEOs shall bar participation of scientists employed by USACE.

The three most important considerations in selecting reviewers are the credentials of the reviewers (which include affiliations as well as expertise), the absence of conflict of interest, and the independence of the group that selects the reviewers. Public perception may well have greater influence than the public understands in determining the fate of a project. It is often the case, however, that a minority of stakeholders reflect that "public" perception. Thus the OEO needs to structure the review such that good science, sound engineering, and public welfare are the most

important factors that determine a project's fate. Review panels shall be credible and balanced, but that also have adequate knowledge of USACE complex guidance and analytical methods.

The Water Resources Development Act of 2007 included two separate requirements for review by external experts. The first, Section 2034, required independent peer review of project studies under certain conditions. The second, Section 2035, required a Safety Assurance Review (SAR) of “the design and construction activities for hurricane and storm damage reduction and flood damage reduction projects.” USACE policy extends this to all projects with life safety issues. IEPR is divided into two types; Type I IEPR is generally for decision documents and Type II is generally for implementation documents. The differing criteria for conducting the two types of IEPR can result in work products being required to have Type I IEPR only, Type II IEPR only, both Type I and Type II IEPR, or no IEPR.

EC 1165-2-209 states that special cases exist where non-Federal interests undertake the study, design or implementation of a Federal project or a modification to a USACE project. Authorities for such actions include, but are not limited to, 33 USC 408, Sections 203 and 204 of WRDA 1986, Section 206 of WRDA 1992, and Section 211 of WRDA 1996. When a non-Federal interest undertakes a study, design, or implementation of a Federal project, or requests permission to alter a Federal project, the non-Federal interest is required to undertake, at its own expense, any IEPR that the Government determines would have been required if the Government were doing the work. The non-Federal interest shall make a risk informed decision, as described in paragraph 15 of the EC, on whether to undertake a Type I and/or Type II IEPR. The Federal Advisory Committee Act does not apply to peer reviews undertaken by non-Federal interests. The non-Federal interest is required to use the National Academies of Science (NAS) policy for selecting reviewers and is encouraged to use an OEO for management of the effort.

#### (6) Type I IEPR.

Type I IEPR is conducted on project studies. It is of critical importance for those decision documents and supporting work products where there are public safety concerns, significant controversy, a high level of complexity, or significant economic, environmental and social effects to the nation.

Type I IEPR reviews are managed outside the USACE, panel members will be selected by an Outside Eligible Organization (OEO). The panels will conduct reviews that cover the entire project concurrent with the product development. For IEPR on decision documents, the RMO will be the appropriate PCX.

#### (7) Type II IEPR (Safety Assurance Review)

In accordance with Section 2034 and 2035 of WRDA 2007, EC 1165-2-209 requires that all projects addressing flooding or storm damage reduction undergo a SAR during design and construction. Safety assurance factors (significant threat to human life, project cost thresholds, etc) must be considered in the planning and studies phases and in all reviews for those studies. This study will address safety assurance factors, which at a minimum will be included in the draft report and appendixes for public and agency review. Prior to preconstruction engineering and design (PED) for construction, the PMP will be updated to include a SAR with the selection of external panels to perform the independent external peer reviews during design and construction.

The Safety Assurance Review shall focus on the quality of the surveys and investigations, quality of in-kind-contributions and whether it is certifiable for credit in accordance with EC 1165-2-208, the range of alternatives considered, the models used to assess hazards, the level of uncertainty in assessments, and whether the quality and quantity of engineering per ER 1110-2-1150 are sufficient to ensure public welfare, safety, and health. The purpose of the Safety

Assurance Review is to ensure that good science, sound engineering, and public health, safety, and welfare are the most important factors that determine a project's fate.

The Review Management Office for Type II IEPR reviews is the USACE Risk Management Center (RMC) at IWR. Panel members will be selected using the National Academies of Science (NAS) policy for selecting reviewers.

#### (8) Quality Control of Contracted Products

The Sacramento District PM prepares a Quality Assurance Plan (QAP) that addresses the development and review efforts to be performed by the contractor and District staff. This document indicates whether the Corps is to perform a separate ATR in addition to the independent technical review required of the contractor.

The contractor develops and submits their project-specific Quality Control Plan (QCP) to the District for review and approval. The contractor shall perform a thorough QC-focused independent review of their work, as cited in their QCP, following the same basic procedures used when a project is developed by the District. The contractor shall include a QC Certification package, signed by a principle/partner in the firm, when forwarding the final project documents to the District. This certification shall serve to witness that all QC procedures required of the contractor have been properly completed. The District performs a Quality Assurance (QA) overview of the contractor's QC process.

#### (9) Computational Model Certification

Planning models 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. It includes all models used for planning, regardless of their scope or source, as specified in the following sub-paragraphs. Engineering models used in planning will be certified under a separate process.

When preparing to initiate review of a product, the "charge" to the reviewers on both the ATR teams and IEPR panels will contain the instructions regarding how the review should be conducted as well as to evaluate the soundness of models and analytic methods. The RMO shall provide reviewers with sufficient information, including background information about key studies or models, to enable them to understand the data, analytic procedures, and assumptions used to support the key findings or conclusions.

#### (10) Planning Center of Expertise (PCX ) Coordination

EC 1165-2-209 outlines PCX coordination in conjunction with preparation of the Review Plan. This Review Plan is being coordinated with the PCX for Flood Risk Management (FRM).

#### (11) Review Plan Approval and Posting

In order to ensure the Review Plan is in compliance with the principles of EC 1165-2-209 and the QMP of CESPD, the Review Plan must be approved by the Commander, South Pacific Division (SPD). Once the Review Plan is approved, the Sacramento District will post it to its district public website.

#### (12) Reporting Responsibilities

In general, the reporting responsibilities include:

(a) The PDT is responsible for project success and for delivering a quality product. The PDT is responsible for developing documents in accordance with the procedures and policies set

forth in USACE engineering regulations and circulars. The PDT is supported by the Communities of Practice for the various disciplines.

(b) CESP Office of Counsel is responsible for the legal review of each decision document and signing a certification of legal sufficiency.

(c) The CESP Commander is responsible for ensuring policy and legal compliance.

(d) HQUSACE is responsible for confirming the technical, policy and legal compliance of planning products; supporting the resolution of issues requiring HQUSACE, ASA (CW) or OMB decisions; continuously evaluating the overall project development process, including the review and policy compliance processes; and recommending appropriate changes when warranted.

Reporting of reviews in document submittals shall follow Exhibits H-3 through H-7 in ER 1105-2-100. For Intermediate Milestone and AFB submittals, the district will describe the status of all review activities and present any review documentation completed to date, including the status of unresolved issues and the most likely resolution. The documentation should address the PCX and Cost Engineering Directory of Expertise (DX) coordination and the application of the Cost Engineering DX technical review checklist.

For the AFB and draft report submittals, the district will provide the review certification(s) and the review documentation for the draft decision document, preliminary draft NEPA documentation, and the supporting analyses. Review will be complete for all supporting technical work products prior to document submission. Any unresolved review issues and the expected path to resolve these issues will be identified. The documentation will address the PCX and Cost Engineering Directory of Expertise (DX) coordination, review comments and certifications and, for the draft reports submission, include the Real Estate Gross Appraisal Review certification.

For final report submittals, the district will provide the documentation and certification of review and IEPR. The documentation will address the PCX and Cost Engineering DX coordination, review comments and certifications and include the Real Estate Gross Appraisal Review certification.

#### (13) Policy/Legal Compliance Review and Decision Document Approval

In addition to the technical reviews, decision documents will be reviewed throughout the study process for their compliance with law and policy. These reviews culminate in Washington-level 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 Chief of Engineers. Legal certification is required prior to release of the draft decision document for public review, and legal review must continue as the final report is developed, with specific focus on changes in the decision document.

Guidance for policy and legal compliance reviews and the GRR decision document approval process is addressed further in Appendix H, ER 1105-2-100. Technical reviews described in EC 1165-2-209 are to augment and complement the policy review processes by addressing compliance with published Army polices pertinent to planning products, particularly polices on analytical methods and the and the presentation of findings in decision documents.

DQC and ATR efforts are to include the necessary expertise to address compliance with published planning policy. Counsel will generally not participate on ATR teams, but may at the discretion of the district or as directed by higher authority. When policy and/or legal concerns arise during DQC or ATR efforts that are not readily and mutually resolved by the PDT and the reviewers, the district will seek issues resolution support from the MSC and HQUSACE in

accordance with the procedures outlined in Appendix H ER 1105-2-100. IEPR teams are not expected to be knowledgeable of Army and administration policies, nor are they expected to address such concerns. An IEPR team should be given the flexibility to bring important issues to the attention of decision makers. Legal reviews will be conducted concurrent with ATR of the draft and final report and environmental impact statement.

At the Washington level Civil Works Review Board (CWRB) briefing, Major Subordinate Commanders and District Commanders present the results of their water resources development studies and the recommendations contained in decision documents for projects that require authorization by Congress. The CWRB briefing will serve as the corporate checkpoint that the final decision report and NEPA document are ready for State and Agency Review as required by the Flood Control Act of 1944, as amended.

When it is determined that IEPR will be undertaken, the Chief of Engineers is required to notify the Committee on Environment and Public Works of the Senate and the Committee on Transportation and Infrastructure of the House of Representatives of the review, prior to the initiation of peer review. Upon MSC approval of each RP with Type I IEPR, the MSC will provide a copy of the signed MSC Approval Memo to its respective HQUSACE RIT. The RIT will then process a notification letter, signed by the Director of Civil Works (DCW) to both the Committee on Environment and Public Works of the Senate and the Committee on Transportation and Infrastructure of the House of Representatives with a copy to ASA (CW).

#### (14) Supporting Principles of the Review

The supporting principles of the review are:

- (1) The PDT is responsible for project success and for delivering a quality product in accordance with ER 5-1-11. The PDT is responsible for developing documents in accordance with the procedures and policies set forth in USACE engineering regulations and circulars. The PDT, supported by the district Communities of Practice, is knowledgeable of USACE water resources policies and procedures.
- (2) Home district Office of Counsel is responsible for the legal review of each decision document and signing a certification of legal sufficiency. Legal certification is required prior to release of the draft decision document for public review, and legal review must continue as the final report is developed, with specific focus on changes in the decision document.
- (3) MSC Commanders are responsible for ensuring policy and legal compliance, and documenting technical, policy and legal compliance for decision documents that have been delegated to MSCs for review and approval in accordance with ER 1165-2-502.
- (4) At the Civil Works Review Board briefing, the District Commander will address the review, including the major concerns expressed and how they were resolved. The MSC Commander will present the certifications of technical, legal and policy compliance, and any MSC quality assurance observations. They should discuss the review process and results, including the involvement of the Planning Centers of Expertise, IEPR team, and any significant and/or unresolved technical, legal or policy compliance concerns. The leader of the ATR team will participate in the CWRB to address review concerns.
- (5) HQUSACE is responsible for confirming the technical, policy and legal compliance of planning products; supporting the resolution of issues requiring HQUSACE, ASA (CW) or OMB decisions; continuously evaluating the overall project development process, including the review and policy compliance processes (including responsibilities delegated to MSCs); and recommending appropriate changes when warranted.

#### (15) Implementation.

The costs associated with DQC and ATR will be shared in accordance with the project purpose(s) and the phase of work. The costs associated with Type I IEPR, excluding the costs of contracts for panels, are also cost shared. The costs of contracts for Type I IEPR panels will be a Federal expense and will not exceed \$500,000 unless the Chief of Engineers determines that a higher cost may be appropriate in a specific case.

## **2. PROJECT AND STUDY DESCRIPTION**

a. As shown in Figure 1, the Marysville Ring Levee and the Yuba, Feather, and Bear Rivers and the Western Pacific Interceptor Canal (WPIC) levees are components of the Sacramento River Flood Control Project (SRFCP), which was authorized by the Flood Control Act, Pub. L. 64-367, 39 Stat. 948 (1917).

b. In 1991, at the request of the Yuba County Water Agency (YCWA), the Corps initiated a feasibility study of water resource problems and opportunities in the Yuba River Basin (Figure 2), pursuant to the Flood Control Act, Pub. L. 87-874, § 209, 76 Stat. 1180, 1196 (1962).

c. The recommended plan in the 1998 Yuba River Basin Investigation, California Feasibility Report was authorized for construction by the Water Resources Development Act, Pub. L. 106-53, § 101(a)(10), 113 Stat. 269, 275 (1999), as amended by the Water Resources Development Act, Pub. L. 121-114, § 3041, 121 Stat. 1041, 1116 (2007).

d. The authorized improvements for the Yuba River Basin project include constructing a combination of new and deeper slurry walls, deepening interior toe drains, and constructing or modifying berms along sections of the Yuba and Feather Rivers and Jack Slough to provide FRM benefits to three identified reaches (Figure 3): Reach 1 (Linda/Olivehurst), Reach 2 (Lower RD784), and Reach 3 (Marysville). Improvements were authorized for the Marysville Ring Levee, all of the Yuba and Feather River levees in Reach 1, and a portion of the Feather River levee in Reach 2. The remaining levees in Reach 2 as shown in Figure 4 (Lower RD 784) along the Western Pacific Interceptor Canal (WPIC), Bear River, and Feather River downstream of Star Bend were evaluated and found to be adequate. The Reclamation District 784 (RD 784) area is bounded by the Yuba, Feather, and Bear Rivers and the WPIC.

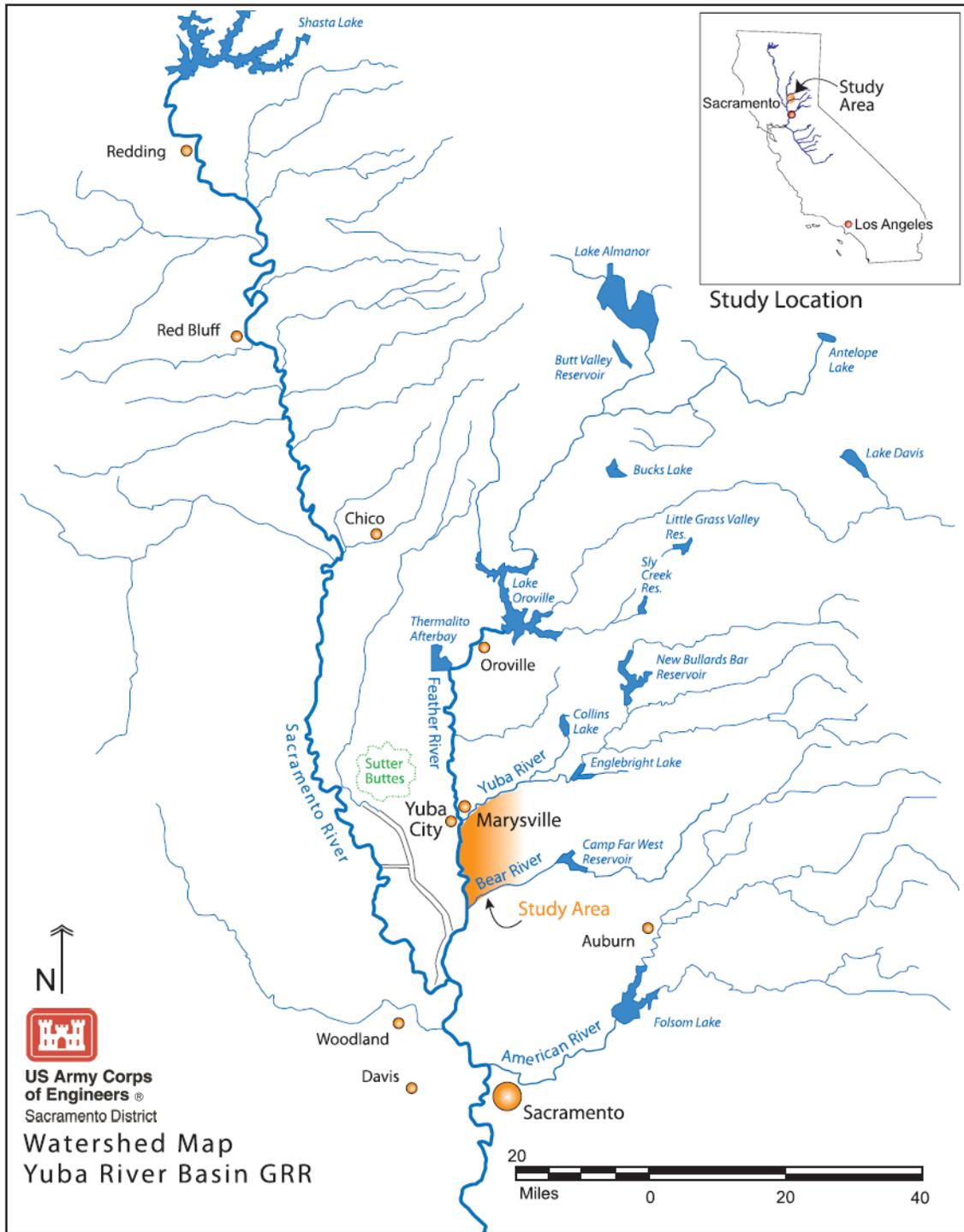


Figure 1 Vicinity Map

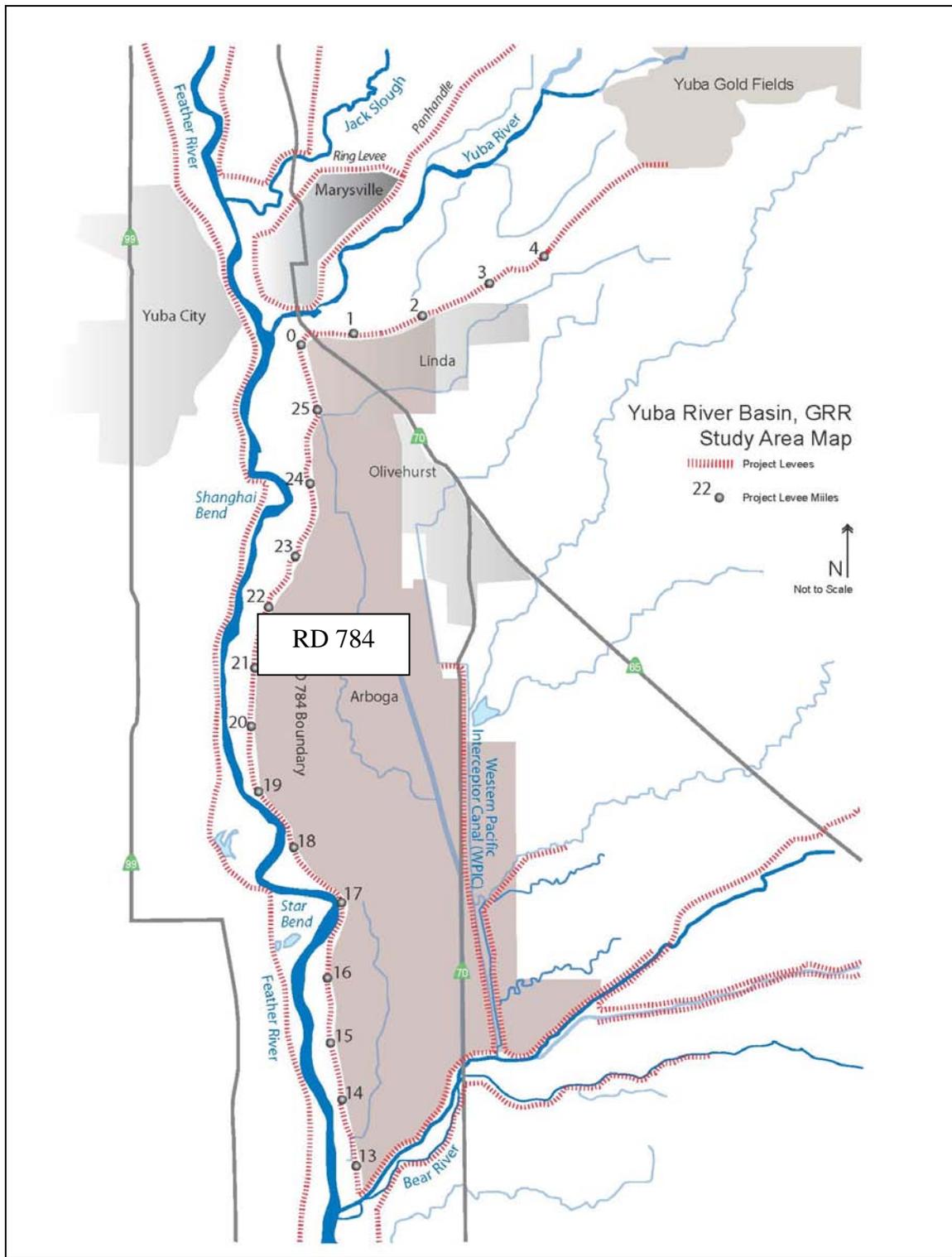


Figure 2 Study Area

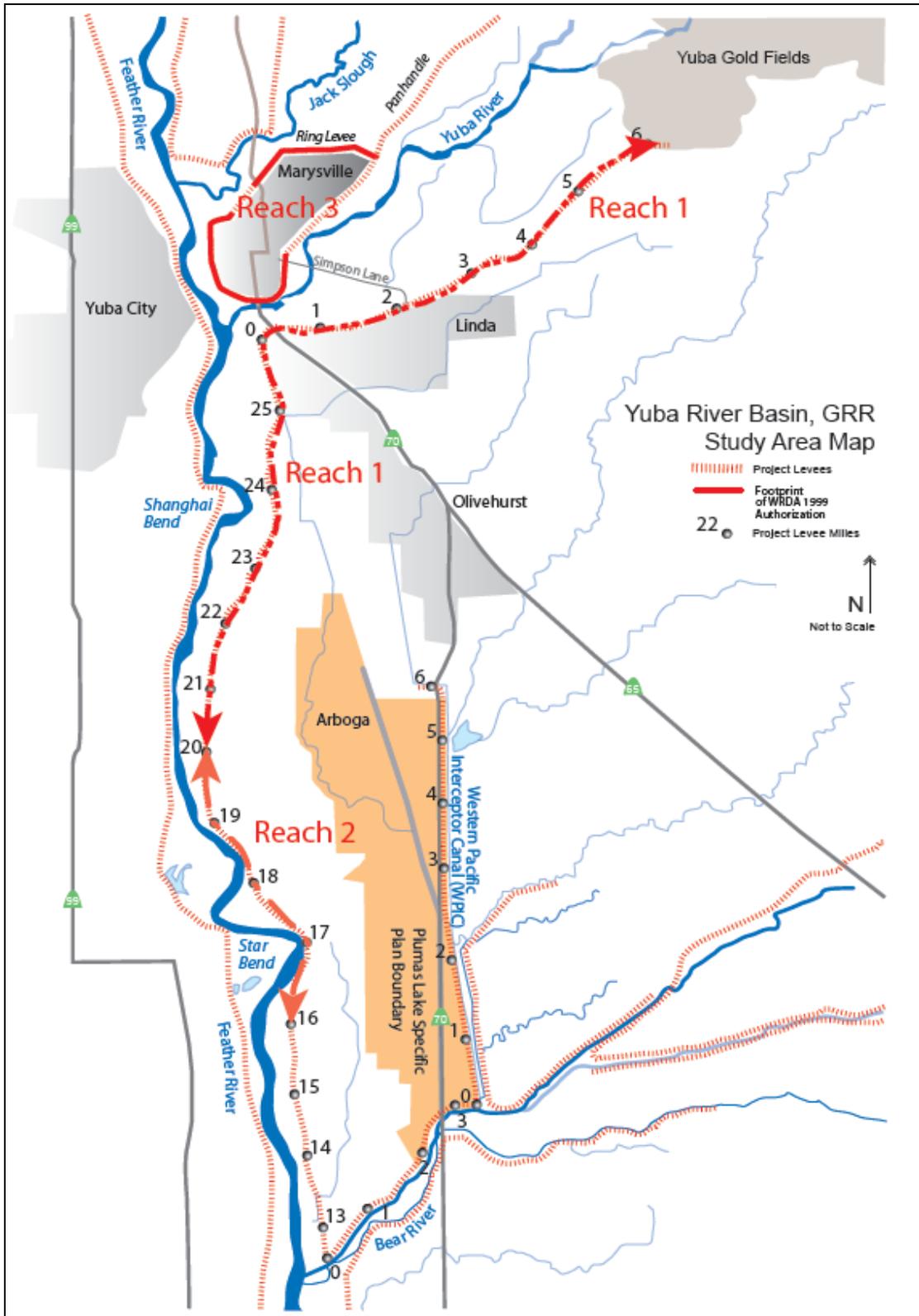


Figure 3 Authorized Plan

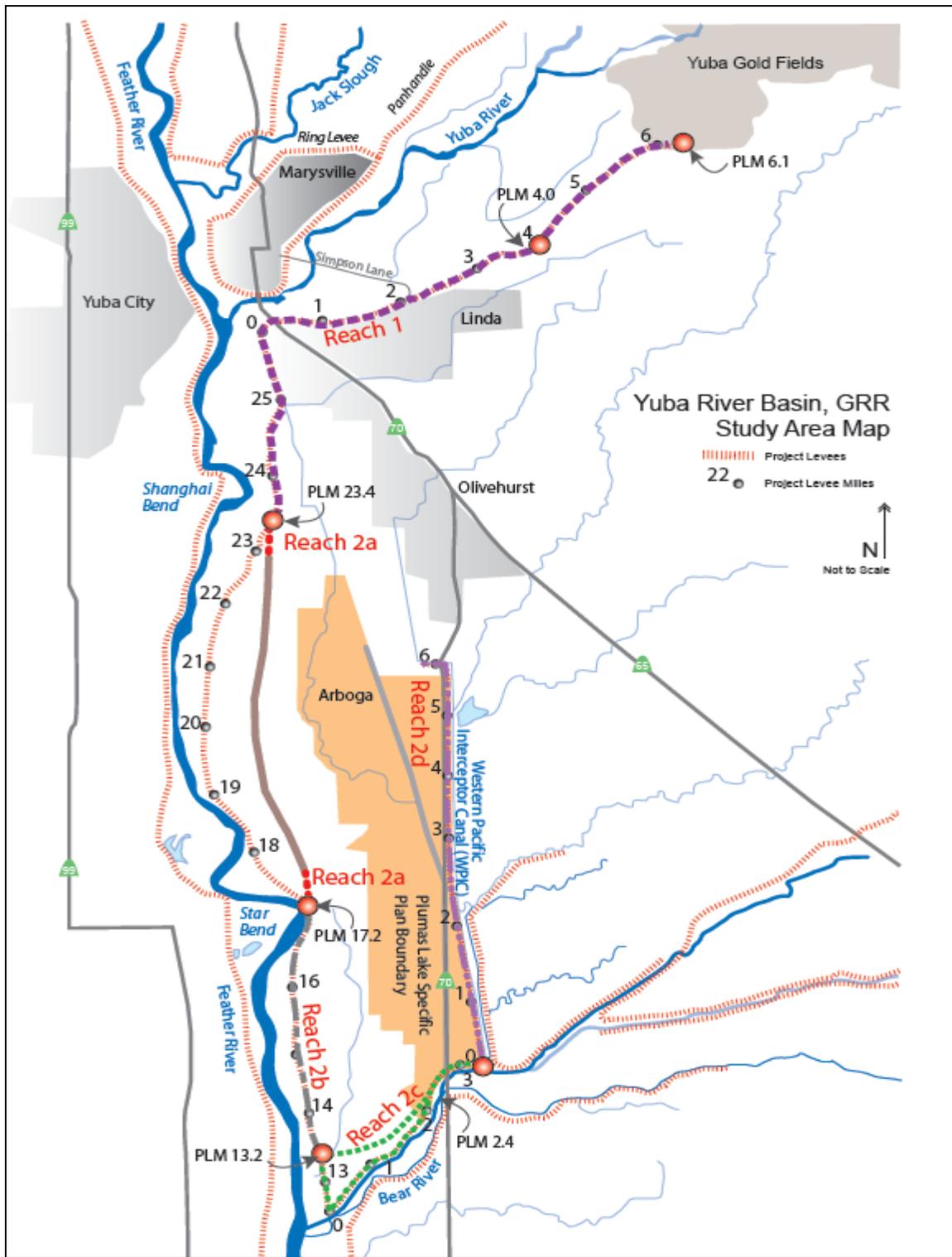


Figure 4 Plan Reaches

e. Sponsor Request to Reevaluate Authorized Project. The RD 784 area has experienced frequent flooding in the past; the most significant high water events on record occurred in 1986 and 1997. On February 20, 1986, while the Feather River and Yuba River were receding, a section of Yuba River levee near the community of Linda failed causing extensive damage. The

January 1997 flood was the largest in northern California since measured records began in 1906. Levees throughout the Sacramento River Flood Control Project sustained moderate to heavy damage including levee failures in these floods. A break in the Feather River levee near the community of Arboga occurred on January 2, 1997, prompting the evacuation of about 15,000 people from Linda and Olivehurst. Nearly 50,000 inhabitants of Yuba City, Marysville, and surrounding areas were evacuated because of fears over possible additional levee breaks. Two additional breaks occurred on the right bank levee of the Bear River near the Highway 70 Bridge which aided in draining the ponded floodwater within the lower RD 784 area. The floods of 1986 and 1997 resulted in a reevaluation of methodologies for evaluating the effect of through and under seepage in evaluating levee performance and in the revision of design criteria for strengthening existing levees. A Limited Reevaluation Report had been initiated by SPK, limited to the authorized improvements, to revise the project design and to assess the continued Federal interest in the project. As a result of the revised design standards for addressing through and under seepage, the State of California requested a reevaluation of the Federal interest in Reach 2 to determine if improvements were warranted for all of the levees in Reach 2. This resulted in the initiation of the General Reevaluation Study and potential reauthorization of the project.

f. Advanced Project Implementation by Local Interests. The floods of 1986 and 1997 as well as the devastation caused by Hurricane Katrina in 2005 resulted in the State of California taking aggressive action to assess the condition of existing flood control improvements and implementing a comprehensive plan to provide flood protection, particularly in the Central Valley. The State initiative also included immediate repairs of critical levees through the Early Implementation Program. Using funding made available through the Early Implementation Program, local interests have completed improvements to the Yuba, Feather and Bear River and WPIC levees - all of the levees providing FRM to the RD 784 area. The project sponsors have requested credit for this advanced work to be applied toward the non-Federal cost of construction of the Marysville project, which is the only element of the authorized Yuba River Basin project being constructed by the Government.

g. Implementation of the Yuba River Basin Project – Potential Federal Actions. In addition to the ongoing Federally partnered construction effort for the Marysville project, it is now clear that the only additional potential Federal action associated with the Yuba River Basin project is the affording of credit for the local work accomplished in Reach 1 and Reach 2 towards the non-Federal share of the Marysville project element. As stated in the ASA (CW) memorandum of May 5, 2011, the total project cost of the Marysville separate element was estimated to be approximately \$89 million; thus the

opportunity to afford credit to the Marysville separate element is limited to the non-Federal share of approximately \$26 million.

h. Options for Completing Post Authorization Studies.

- Proceed with completion of the Yuba River Basin GRR. The District would complete the GRR, identifying the Federal interest in improvements to all of the RD 784 levees leading to preparation of a Chief's Report recommending additional Congressional authorization, if warranted. This is consistent with the State of California's request in 2005 to reevaluate all of the levees in Reach 2 (Lower RD 784). However since 2005, local interests have completed construction of improvements to all of the RD 784 levees and completion of a GRR would not lead to Federal construction. Further investigations to date in support of the AFB Report indicate that the advance work completed by local interests in strengthening the Reach 1 (Linda/Olivehurst) levees is sufficient to support the maximum amount of credit that can be applied toward the non-Federal additional cash requirement for the Marysville element of the Yuba River Basin project.

- Alternative Approach. A PADR and subsequent IDR would support the affording of credit for local work accomplished in strengthening the existing levees in the Reach 1 (Linda/Olivehurst) element towards the non-Federal cost of the Marysville element of the authorized Yuba River Basin project. The District would also prepare a Summary Report to document studies to date and to recommend that further efforts on the GRR be deferred. A GRR would not be necessary since the PADR and IDR are sufficient to support the affording of credit to the Marysville element; there would be no additional Federal action. This approach will require agency concurrence since it represents a change from the AFB PGM requiring the completion of the GRR prior to credit consideration. This alternative approach is based upon GRR studies to date which show that sufficient credit can be supported by the local construction of Reach 1 (Linda/Olivehurst) improvements to off-set all of the required non-Federal additional cash contribution for the Marysville element. This approach consists of the preparation and approval of three documents: (a) a PADR to reaffirm the Federal Interest in the authorized improvements for Reach 1; (b) an IDR to compare the local improvements with the authorized Federal improvements to support a determination by the ASA(CW) that the local improvements are integral to the Federal plan and ASA(CW) approval to amend the Marysville PPA to include language to permit the affording of credit; and (c) a Summary Report to document the GRR efforts to date, including those contained in the PADR and IDR, and to recommend deferring further action on the GRR. These documents are discussed in further detail below. This approach supports the maximum amount of credit that can be afforded toward the non-Federal additional cash requirement for the ongoing Marysville element, does not require additional Congressional authorization, is consistent with the Planning Modernization program and addresses the concerns expressed by the ASA (CW) about approving potential credit for the Yuba River Basin project that far exceeds the opportunity to afford such credit.

i. Post Authorization Documentation Report (PADR). In June 2012, the District completed and submitted the PADR for Division approval in compliance with ER 1105-2-100, Appendix G. The PADR reaffirms the Federal interest in project improvements

within the Reach 1 (Linda/Olivehurst) area of the authorized Yuba River Basin Project. The conclusions and recommendations of the PADR are summarized below:

- Reach 1 (Linda/Olivehurst) is a separable element of the Yuba River Basin Project in accordance with Section 103(f) of WRDA 1986. The topographic gradient of the RD 784 study area slopes downward from north to south and from east to west, with a total change in elevation of about 65 feet from the Goldfields in the northeast to the confluence of the Bear and Feather Rivers in the southwest. This physical characteristic influences the extent and consequences of flooding within the study area. Flooding originating from a levee breach in Reach 1 (Linda/Olivehurst) along the Yuba or Feather River levees above Shanghai Bend, would impact the entire RD 784 study area as flood waters would flow downhill through the upper portions of the study area and would pond behind the Bear River Levee. Flooding originating from a breach in Reach 2 (Lower RD 784), downstream of Shanghai Bend would flow downhill and pond behind the Bear River levee. Deep flooding would result in the southern most portions of the RD 784 area, but the extent of flooding to the north would be limited by the height of the Bear River levees. Reach 1 improvements would reduce expected annual damages to the Yuba East and Yuba West impact areas from \$6.8 to \$1.2 million as shown in the Economic Appendix. There would be no additional reduction to expected annual damages in the Reach 1(Linda/Olivehurst) area from improvements to the existing levees in Reach 2 (Lower RD 784) area.

- In the PADR analysis, the southern limit of Reach 1 has been modified from Project Levee Mile (PLM) 20.0 as identified in the 1998 Feasibility Report to PLM 23.4. This change was made as a result of the local construction of the Feather River Setback levee which is a significant deviation from the authorized improvements between PLM 23.4 and PLM 17.0. Further, the change is more consistent with the nature of flooding as a result of levee breaches in Reach 2 which are greatly influenced by ponding behind the Bear River levee.

- Although design refinements are necessary, they do not constitute a change in scope to the authorized project and they can be incorporated within the Chief of Engineers discretionary approval authority. The changes recommended for Reach 1 are considered design refinements normal to the Preconstruction Engineering and Design (PED) phase. The refinements are due to PED detailed levee explorations, indicating an increase in the fragility of the system beyond that previously anticipated. These refinements do not increase nor decrease the authorized project's FRM outputs and are consistent with the design refinements approved for the Marysville element of the authorized project

- There is a continued Federal interest in the authorized project improvements. An Economic Appendix was prepared in support of the PADR. The economic analysis of the authorized project reaffirmed continued Federal interest in improvements for the Reach 1 (Linda/Olivehurst) element of the authorized Yuba River Basin project. The estimated first cost of the recommended improvements is \$117.2 million. FRM benefits

are estimated to be \$7.2 million, with net annual benefits of \$1.6 million; and the resulting BCR is 1.3 to 1.0.

- There will be no Federal construction in the Reach 1 area; the only Federal action will be the affording of credit which can be accomplished within the Section 902 limit.

- A document was prepared by the Corps in 1998 for the Yuba River Basin project and subsequent NEPA/CEQA documents were completed by the sponsor prior to local construction. No further NEPA compliance is required.

j. Integral Determination Report (IDR). The District has prepared an IDR, consistent with ER 1165-2-208, to support a determination by the ASA(CW) that the work completed by local interests to strengthen the existing Reach 1 (Linda/Olivehurst) levees was performed in accordance with Corps policy and that work elements are the same as would have otherwise been performed by the Government for the authorized project. The IDR also recommends amending the Marysville PPA to include language regarding the affording of credit.

- The IDR addresses the local work completed in Reach 1 that is potentially eligible for credit consideration under the provisions of Section 104 WRDA 1986 and Section 3041 of WRDA 2007. Local work accomplished prior to authorization (WRDA 1999) that was specifically addressed in the 1998 feasibility report is eligible for credit in accordance with Section 104 of WRDA 1986. Local work accomplished after project authorization but prior to execution of the Marysville PPA (July 2010) is eligible for credit in accordance with Section 3041 of WRDA 2007. Work accomplished by local interests after execution of the Marysville PPA is not eligible for credit consideration under Section 221 FCA 1970 because of the Section 221 policy that prohibits applying credit from one separable element to another separable element of the same project. An exception to this policy was provided by the ASA (CW) but limited to the processing of credit in accordance with Section 3041 of WRDA 2007.

- Local interests have reported that they have incurred costs in excess of \$42 million in strengthening the Reach 1 levees prior to July 2010 that is potentially eligible for Section 3041 credit consideration. This amount is more than sufficient to support the application of \$23.2 million of Section 3041 credits. This is the estimated required non-Federal additional cash requirement for the Marysville element, and therefore the maximum amount of in-kind credit that can be afforded.

- The 1998 feasibility report states that cost of local advance work accomplished in Reach 1 and approved for Section 104 credit consideration is \$0.9 million. Section 104 credit can be applied to non-Federal LERRD requirement.

- Application of the potential Section 104 and Section 3041 credit to the Marysville element would reduce the non-Federal cost share from \$30.9 million to \$7.6 million; with a corresponding increase to the Federal share. The final determination of the

value of in-kind contributions is subject to a Federal audit and an Integral Determination by the ASA (CW). Further, the affording of credit will be only in accordance with the Marysville PPA, which will have to be amended, with ASA (CW) approval, to include language to address the affording of credit.

k. Summary Report. The revised study strategy includes the preparation of a Summary Report documenting the GRR effort to date and recommending that further action on the GRR be deferred since approval of the PADR and IDR would support the affording of credit to the Marysville construction. The Summary Report would document the additional GRR studies since completion of the AFB and would include the PADR and IDR. No Chief’s Report, Washington Level Review or Congressional action is anticipated at this time.

### 3. STUDIES, ASSOCIATED DISCIPLINES AND LEVEL OF DIFFICULTY

The studies consist of many disciplines. The level of detail in the GRR will be sufficient to recommend a revised flood control plan for implementation in Reach 2, establish the baseline cost estimate, and assess the environmental and socioeconomic effects of the plan. Cost estimates will be based on quantity takeoffs, Microcomputer Aided Cost Estimating System (MCACES) level, and will include all real estate requirements. Analysis of alternatives in Reach 2 will be conducted at a level of detail sufficient to effectively evaluate each alternative in terms of completeness, effectiveness, efficiency, and acceptability.

NEPA compliance documents were developed by local interests as they completed portions of the project. As such, the GRR will include an evaluation of those NEPA documents.

The hydrology for the study was certified in August 2004 in accordance with CESPDR 1110-1-8, South Pacific Division Quality Management Plan.

A Value Engineering (VE) Study Report for Yuba-Feather River Basin, Marysville, California was completed. The VE Study was conducted in Marysville, CA, on 20-24 March 2006. The VE team was comprised of members of the Sacramento, Albuquerque and Los Angeles Districts. Results of the study were used by the PDT in development of the project alternatives. Another VE study will be conducted during the early design phase.

Although some aspects of the studies are complex, the project report will not contain influential scientific information or be a highly influential scientific assessment. Also, there is not significant public dispute as to the size, nature, or effects of the project or to the economic or environmental costs or benefits of the project. The following table presents the studies planned for the GRR.

**Table 1 - Study Disciplines**

Discipline/Area of Study	Level of Difficulty or Challenge
<p><u>Hydraulic studies</u> - The task includes all hydraulic analyses necessary for evaluation of alternatives and preparation of design and cost estimates for optimization studies and the development of the NED plan. Tasks will include establishing the criteria for each study task prior to design or modeling; reviewing and evaluating existing data and information on hydraulics in the study area channels; conducting field investigations;</p>	<p>The level of difficulty or results of this study are expected to be significant and challenging. The study area lies at the confluence of three rivers whose watersheds produce high peak flows resulting in</p>

<p>developing stage-discharge rating curves for use in the risk analysis. A hydraulic engineer will participate with other PDT members in risk analysis activities and report preparation; designing channels and culverts; determining the need for channel bed and/or bank protection; determining the need for new levees; analyzing interior flood control; evaluating the potential for inducing flooding; and analyzing risk and uncertainty.</p>	<p>very complex hydraulic analyses. Also, hydraulic analysis of the gold rush era goldfields along the Yuba River is complex. The hydraulic analysis is closely associated with determining levee stability and related risk of failure.</p>
<p><u>Geotechnical studies</u> - These are studies to determine the geotechnical design requirements for increased flood protection or other project features. Possible developments may include the enlargement of existing levee embankments by additional fill or floodwalls, or the construction of setback or backup levees. Determination of the extent and usability of subsurface and laboratory information previously completed. The selection of the project site and the evaluation of alternative layouts, alignments, and components will be conducted. Investigations must be adequate to determine suitability and characteristics of the foundation materials, excavation slopes, and availability and characteristics of embankment materials. A geotechnical report will be prepared that presents the results of specific tasks and design analyses and may outline further studies that may be conducted after selection of the reevaluation study alternatives.</p>	<p>The level of difficulty or results of this study are expected to be significant and challenging. The stability of levees is controversial. The area has a long history of flooding and levees were built by local farmers in the 1800's to protect their land. Low, discontinuous levees were built by individual landowners from the 1840s to the 1890s. Although the structures have seen extensive improvement and upgrades over the years, the underlying foundation of most of the levees and channels pre-date any State or Corps involvement and still retain their original materials which include dredged riverbed sands, soil and organic matter.</p>
<p><u>Economic analysis</u> - Values, evaluations, and structural characteristics (by land use) are determined using parcel information data, Marshal &amp; Swift Valuation, and site visits. Existing conditions are evaluated and future land use changes evaluated. Damages are estimated for emergency costs, automobile damage, road damage and transportation costs savings. Depth-damage relationships used will come from other studies in the district with similar characteristics. Damages, with uncertainty, will be estimated for each flood plain event using risk analysis techniques. Stage-damage curves will be developed for use in the risk program to estimate expected annual damages (requiring flow-frequency, stage-flow, and levee-failure probability relationships from Engineering Division). The economist participates with other PDT members in risk analysis activities and report preparation. Benefits will be determined for several alternatives estimating damage under with- and without-project conditions. Findings from this analysis and a summary of the methods used will be included in an economic appendix.</p>	<p>The level of difficulty or results of this study are expected to be significant and challenging. Local interests have constructed significant portions of the flood risk management plan and are aggressively seeking to have this work included in the recommended plan in order to obtain financial credit. There is a high probability that some elements of the locally implemented plan will not be in the Federal interest thus producing a potential conflict.</p>
<p><u>Formulation and Evaluation of Alternatives</u> – Alternative plans are developed and evaluated to meet the needs and desires of society as expressed in specific planning objectives consistent with the Federal Water Resources Council's Principles and Guidelines. These studies will (1) establish specific planning objectives for flood risk management, (2) define constraints and criteria for formulating an implementable plan, (3) identify management measures and alternatives that are effective and produce NED benefits at less cost than other measures, (4) compare alternatives in terms of economic cost and benefit, and identify the alternative that maximizes net NED benefits, (5) compare the plans in terms of cost and flood risk management NED benefits, (6) with the sponsor, identify and evaluate a locally implemented plan (LIP), and (7)</p>	<p>The level of difficulty or results of this analysis is expected to be somewhat challenging. The study area is at the confluence of three major river systems and surrounded by levees.</p>

reconcile differences between the NED plan and the LIP to develop a selected plan for recommendation that retains Federal interest.	
<u>Other Social Effects (OSE)</u> - The OSE account describes the potential social effects of the project that are not covered by the National Economic Development (NED), Regional Economic Development (RED), and Environmental Quality (EQ) accounts. Particular effects evaluated as a part of the OSE include social effects such as health and safety, security of life, community impacts, and displacement of persons and businesses.	The level of difficulty or results of this study are not expected to be significant.
<u>Hydrologic Studies</u> – The hydrology has been certified for this study. However, this task includes reviewing and refining, if necessary, hydrologic data from the 1998 feasibility study particularly with regard to global warming. The hydrologic engineer will participate with other PDT members in risk analysis activities and report preparation. The task also includes any required interior drainage analysis. All data used will be included in a feasibility level hydrology report and included in the Engineering Appendix.	The level of difficulty or results of this study are not expected to be significant.
<u>Civil Design</u> - Develop and prepare feasibility-level quality design and cost estimates for the alternatives to be evaluated and final design and cost estimates for the recommended modifications to the authorized project and NED/NER plan. This includes preparation of a detailed Basis of Design (BOD) report that describes all aspects of the selected features. The BOD report will include planning and design assumptions, definition of and rationale for design features, plans and profiles of embankments, hydraulic structure features, relocations, channel details, bridge crossings, and operation and maintenance requirements.	The level of difficulty or results of this study are not expected to be significant.
<u>Real Estate</u> – This task includes a Real Estate Plan, gross appraisal, mapping, acquisition and other real estate analysis of all land requirements associated with the potential project.	The level of difficulty or results of this study are not expected to be significant.
<u>Environmental, Fish And Wildlife and Cultural Resources</u> – NEPA and NHPA compliance studies for environmental, fish and wildlife and cultural resources impacts were accomplished by local interests as part of their requirements for project implementation. The GRR will include an evaluation of the local interest documentation for NEPA compliance.	The level of difficulty or results of this study are not expected to be significant.

#### 4. PROJECT MAGNITUDE AND RISK

The project magnitude is considered high overall. There is nearly \$7 billion value of development and over 60,000 residents in the floodplain. The environmental impacts due to the project are not considered high and have been mitigated to less than significant. It is important to make sound planning assumptions in application of all the modeling and judgment and to do so require application of multiple levels of review. Public and agency input are sought in order to minimize the potential for controversy. Uncertainty of success of the project ultimately will be low to moderate since the proposed review processes are implemented because the methods used for evaluating the project are standard and the concept of implementing proposed project features is not innovative.

The potential for failure is high because of the complex nature of the hydraulics. With the project in place, the residual risk is high due to the continued development in the floodplain.

A preliminary assessment of the project risks has determined that there is a significant threat to human life. Recent floods in the study area have resulted in many deaths, destruction of property and large scale evacuation.

## **5. ENVIRONMENTAL COMPLIANCE**

An EIS/EIR for the original authorized project was completed in 1998. The Corps has prepared an Environmental Documentation Report of the environmental compliance actions taken by local interests during their construction of the project. An EIS is not required for the GRR.

## **6. INTERAGENCY AND PUBLIC INTEREST**

There is interagency and public interest due to the potential for flooding. In 2006, DWR launched a multi-faceted initiative to improve public safety through integrated flood management. The FloodSAFE program is a collaborative statewide effort designed to accomplish five broad goals:

- Reduce the Chance of Flooding
- Reduce the Consequences of Flooding
- Sustain Economic Growth
- Protect and Enhance Ecosystems
- Promote Sustainability

All FloodSAFE program actions are designed to accomplish specific objectives that help satisfy the five goals. Examples include “providing 200-year level of protection to all urban areas in the Sacramento – San Joaquin Valley by December 31, 2025” and “establishing an interagency mitigation banking program that provides lasting environmental benefits by January 1, 2012.”

State legislation, State Senate Bill 5 (SB5), dubbed the “Central Valley Flood Protection Act of 2008”, is designed to update the state’s near-dormant flood-protection plan and establish a higher level of flood protection – ultimately 200 years. Areas in the watersheds of the Sacramento and San Joaquin Rivers that already have 10,000 residents or are planned to have that many residents must achieve the 200-year standard by 2025. The Yuba River Basin Project is included in the Sacramento River basin. SB5 mandates that cities and counties incorporate flood hazards into their general plans and establish minimum standards for flood protection for new developments. Assembly Bill (AB162) requires cities and counties to increase their attention to flood-related matters in the land use, conservation, safety, and housing elements of their general plans.

After the 1986 and 1997 flooding events, millions of dollars were spent on levee improvements in the basin. More specifically, after the 1986 flood, the Corps of Engineers and the then California Reclamation Board initiated the Systems Evaluation Project, which was intended to strengthen study area levees. As a result, the Corps conducted levee improvement work on the RD 784 levees consisting of 5.2 miles of toe drains and stability berms, 6.2 miles of slurry walls, and 7.5 miles of levee height restoration that was completed in 1998 at a cost of about \$32 million.

Following the 1997 flood, the Yuba County Water Agency (YCWA) initiated a Supplemental Flood Control Study to improve flood protection for Yuba County that would provide greater protection for improved public safety and economic security. The focus of this study was to go beyond improvements that would be provided under the System Evaluation Project. This study identified many cost effective measures to improve flood protection for RD 784 and surrounding areas. To address issues raised in the ongoing YCWA study, California voters approved the Costa-Machado Water Act of 2000 (Prop 13). Prop 13 has allocated \$90 million for improved flood protection and environmental enhancement in the Feather River

watershed and Colusa Drain, funding programs in Sutter, Colusa and Yuba Counties. These funds were used in part to produce a feasibility study and are also being used for implementation of the current project by the Three Rivers Levee Improvement Authority (TRLIA).

The County of Yuba adopted the Plumas Lake Specific Plan in 1993. The plan encompasses over 5,000 gross acres in the lower portion of RD 784 and allows for the construction of approximately 14,000 housing units, along with schools, parks, commercial and business park development. By 2003, infrastructure for a portion of this development was in place and construction of new homes had begun. County officials and local developers agreed to establish a Mello-Roos Community Facilities District (CFD) to generate the 30% local cost share requirement for use of the State's Proposition 13 funding and generate additional funding for project costs in excess of available Prop. 13 funds. As proposed, the CFD would provide net construction proceeds of approximately \$12 million and another \$36 million paid by the developers through an advanced funding agreement.

In 2003, the California Department of Water Resources (DWR) convened a meeting with local government agencies and the Corps to provide preliminary information on the Lower Feather River Floodplain Mapping Study. The preliminary results identified freeboard deficiencies and geotechnical issues on the RD 784 levees.

## **7. PROJECT COST**

The formulated Yuba River Basin project for Reach 2 has a total estimated cost for the tentatively selected plan of approximately \$144 million.

## **8. LOCAL SPONSOR IN-KIND CONTRIBUTION**

The Three Rivers Levee Improvement Authority (TRLIA), a joint powers agency established by Reclamation District 784 and Yuba County, has completed construction of all levee modifications to reduce the risk of flooding to RD 784. YCWA is seeking credit for this work.

## **9. STUDY PROCESS AND MILESTONES**

Post authorization studies during PED initially began as a general reevaluation study. The F4A Alternative Formulation Briefing was held in March 2011. Subsequent briefings resulted in a determination that two documents were required to provide credit for work accomplished by local interests in Reach 1 and to reformulate alternatives in the remainder of the study area in Reach 2. A Post Authorization Documentation Report/Integral Determination Report (PADR/IDR) is developed to provide credit for work in Reach 1 (Linda/Olivehurst). A General Reevaluation Report (GRR) is being developed for the reevaluation of alternatives in Reach 2 (lower RD 784).

For the GRR, the normal major reporting milestones and the corresponding CESP milestones are shown below. Reporting for milestones F2 to F4A has been completed.

- Study Initiation, F1
- Technical Review Strategy Session
- Public Scoping Meeting and Technical Review Conference, F2
- Study Scoping Meeting, F3
- Alternatives Review Conference, F4
- Alternative Formulation Conference, F4A
- Submission of Draft Final Report, F5
- Public Review on Draft Final Report, F6

- Feasibility Review Conference (FRC), F7
- Sacramento District Submission of Final Report, F8
- CESPDC Commander's Notice of Project Approval and submission to HQUSACE, F9
- Civil Works Review Board (CWRB)
- State and Agency Review
- HQUSACE Chief of Engineer's Report to Congress

The PADR was developed and submitted to SPD for approval. The IDR has been submitted to ASA(CW) for approval.

## **10. STUDY TEAMS**

### (1) Corps of Engineers

The Project Delivery Team (PDT) is comprised of those individuals and contractors directly involved in the development of the decision document. The Vertical Team includes District management, the HQUSACE District Support Team (DST) and the SPD Regional Integration Team (RIT) staff as well as members of the Planning Community of Practice. Specific points of contact are presented in Attachment 1.

### (2) Local Sponsor

Local sponsor representatives and contractors are included on the PDT. Non-Federal partners on the PDT are listed in Attachment 1.

## **11. CONDUCTING REVIEWS**

### **A. Past Reviews**

The review process began with a technical review strategy session (TRSS) that was held early in the study. There have been several reviews during development of the Yuba River Basin feasibility report and GRR. These reviews included internal Corps reviews as well as local agency and public reviews and public meetings. Documentation of the feasibility report reviews for the authorized plan are shown in the 1998 feasibility report and EIS.

Reviews of the current GRR have been held as the report has been developed. A public scoping meeting was held in August 2004 to inform the public and public agencies of the study and obtain input, public opinions for the study, and to fulfill scoping requirements for the National Environmental Policy Act (NEPA) and California Environmental Quality Act (CEQA).

### **B. Management of Review**

The management of the review is a critical factor in assuring the independence of the various levels of review. With the issuance of the new guidance for Review Plans, EC 1165-2-209, the future reviews will change slightly. In all cases, the review must be accomplished by professionals that are at arms length and not associated with development of the work that is being reviewed. DQC reviews are managed and accomplished within Sacramento District. The ATR is managed by the FRM PCX with appropriate consultation with associated Centers of Expertise such as engineering and real estate. The management of the IEPR review will be performed by an organization other than USACE and will involve independent experts.

## **C. District Quality Control (DQC)**

### (1) General

The seamless review includes quality checks and reviews, supervisory reviews, Project Delivery Team (PDT) reviews, etc. To ensure specific discipline efforts are on target with regard to compliance with policy and criteria and an acceptable level of quality, sub-products are technically coordinated and reviewed before they are integrated into the overall project. For the Yuba River Basin GRR study, non-PDT members and/or supervisory staff will conduct this review for major draft and final products, including products provided by the non-Federal sponsors as in-kind services following review of those products by the PDT.

### (2) Working with ATRT Members

During the review, PDT members consult with their ATRT counterparts at appropriate points throughout project development to discuss major assumptions and functional decisions, as well as analytical approaches and significant calculations, in order to preclude the possibility of significant comments arising during the final ATR. Reviewers need to be actively involved throughout the project development process and must maintain constant lines of communication with the PM, ATRT leader, PDT counterparts and others as appropriate. It is the responsibility of the PDT members to request these discipline-specific discussions with their ATRT counterparts throughout the project development process in a seamless manner. These discussions do not preclude ATRT members from making additional comments once the entire document is distributed for the formal ATR.

### (3) Dispute Resolution

The ATRT leader coordinates and ensures backcheck of the PDT's product revision efforts based on the ATRT comments. Any comments, which have not been appropriately addressed, are coordinated between the PDT and ATRT for resolution. A face-to-face resolution of issues shall take place whenever necessary and feasible. If resolution is not accomplished at this level, the ATRT leader and PM shall follow the SPK Issue Resolution Process (IRP) to reach a decision in a timely manner. The purpose of the IRP is to escalate an issue in a timely manner up the chain-of-command for resolution when impasses are reached, in order to minimize adverse impacts on the project development schedule. The ATRT leader, PM, and concerned ATRT and PDT members coordinate with the appropriate technical discipline supervisor, Branch Chief, and/or appropriate Functional Chief for resolution. If necessary to resolve policy issues, SPD and Headquarters (HQ) input shall be requested. The IRP shall also be applied if issues cannot be resolved during seamless review sessions between PDT and ATRT counterparts.

### (4) Flood Risk Management Program

The Flood Risk Management program requires that the District Flood Risk Manager review all flood risk management projects for compliance with Executive Order 11988, Management of Flood Plains.

### (5) Policy and Legal Compliance Review

DQC efforts are to address compliance with published planning policy. When policy and/or legal concerns arise during DQC efforts that are not readily and mutually resolved by the PDT and the reviewers, the district will seek issue resolution support from the MSC and HQUSACE.

### (6) Documentation

Each discipline engages in their own counterpart discussions and documents the conclusions/agreements reached in an e-mail message forwarded to the ATRT leader and PM,

with copies retained by each participant. All seamless reviews must be documented and included with the formal ATR documentation for QC certification.

(7) Cost

The cost of the DQC is estimated at \$25,000.

**D. Agency Technical Review (ATR)**

(1) Management of the ATR

The ATR is managed by the PCX for FRM. The PCX for FRM identified individuals to perform ATR. Sacramento District can provide suggestions on possible reviewers.

An ATR Manager outside CESPd shall be designated for the ATR process and will have expertise in project planning. The ATR Manager is responsible for providing information necessary for setting up the review, communicating with the Study Manager, providing a summary of critical review comments, collecting grammatical and editorial comments from the ATR team (ATRT), ensuring that the ATRT has adequate funding to perform the review, facilitating the resolution of the comments, and certifying that the ATR has been conducted and resolved in accordance with policy. ATR will be conducted for project planning, environmental compliance, economics, hydrology, hydraulic design, civil design, geotechnical engineering, cost engineering, real estate and cultural resources. Reviews of additional specific disciplines may be identified if necessary.

(2) Product for Review

ATR Reviews have been conducted for the various documents described earlier. Should draft and final GRR documents be prepared, the ATR will be conducted as shown in the review schedule in paragraph 13.

(3) ATR Team (ATRT)

The ATR teams are comprised of individuals that have not been involved in the development of the decision document and are chosen based on expertise, experience, and/or skills. The members roughly mirror the composition of the PDT. The table below presents the disciplines and expertise of the ATR Team.

<b>ATR Team Members/Disciplines</b>	<b>Expertise Required</b>
ATR Lead	The ATR lead should be a senior professional with extensive experience in preparing Civil Works decision and implementation documents and conducting ATR. The lead should also have the necessary skills and experience to lead a virtual team through the ATR process. Typically, the ATR lead will also serve as a reviewer for a specific discipline (such as planning, economics, environmental resources, etc).
Planning	The Planning reviewer should be a senior water resources planner with experience in economic updates and implementation documents.
Economics	The Economic reviewer should be a senior civil works economist with experience in economic updates for projects midway through construction.
Environmental Resources	The Environmental reviewer should be a senior environmental planner with experience in flood risk

	management projects as well as implementation documents for projects midway through construction.
Hydrology	The Hydrology reviewer should be a senior hydrologist with experience in flood risk management studies.
Hydraulic Engineering	The Hydraulic Engineering reviewer will be an expert in the field of hydraulics and have a thorough understanding of open channel dynamics, levees and flood wall application, sea level rise evaluations, and computer modeling techniques using HEC-RAS, RMA2, etc.
Geotechnical Engineering	The Geotechnical Engineering reviewer should be a senior geotechnical engineer with experience in levees and floodwalls as well as implementation documents for projects midway through construction.
Civil Engineering	The Civil Engineering reviewer should be a senior civil engineer with experience in flood risk management projects as well as implementation documents for projects midway through construction.
Cost Engineering	The Cost Engineering reviewer should be a senior cost engineer certified by the Department of Defense with experience in flood risk management studies as well as implementation documents for projects midway through construction.
Real Estate	The Real Estate reviewer should be a senior real estate specialist with experience in flood risk management studies as well as implementation documents for projects midway through construction.

The team of recommended members of the ATRT as shown in Attachment 1 is comprised mostly of the same team that conducted the ATR for the previous AFB (F4A) document. This team will need to be approved by the PCX for conducting future ATR's. These individuals are outside Sacramento District, have not been involved in the development of the GRR and were selected based on expertise, experience, and/or skills. The members roughly mirror the composition of the PDT with primary disciplines as shown in Table 1. The FRM-PCX is responsible for approving any new team members.

(4) Coordination with ATRT Members during DQC

Seamless Review sessions for the DQC begin early and can occur at any time during the report development cycle. For the seamless review, ATRT members need to be actively involved throughout the project development process. To ensure specific discipline efforts are on target with regard to compliance with policy and criteria and an acceptable level of quality, sub-products are technically coordinated and reviewed before they are integrated into the overall project.

PDT members may consult with their ATRT counterparts during seamless review at appropriate points throughout the planning work to discuss major assumptions, analyses, and calculations to avoid significant comments later that could adversely affect project schedules and costs. The discussion should be documented in a memo and copies retained by each participant. However, these discussions will not preclude ATR Team members from making formal comments once the entire document is distributed for ATR. The ATR Team chair will be informed of all PDT meetings in advance by the PM and offered the opportunity to participate (in

person or telephonically) as appropriate in an advisory role concerning ATR issues; however, the ATR Team Leader does not participate as a member of the PDT.

All seamless reviews must be documented and included with the formal ATR documentation for Quality Control certification.

(5) Review of Project Costs

The FRM PCX must coordinate with the Cost Engineering Directory of Expertise (DX) at the Corps' Walla Walla District to conduct the ATR of cost estimates, construction schedules and contingencies for the tentatively selected plan. The Cost Engineering DX will assign the reviewer(s) to the ATR team and will utilize USACE personnel and/or the private sector where needed. The Cost Engineering DX will inform the FRM PCX and will assist the PCX with establishing the instructions for the IEPR. The documentation for the review should address the PCX and Cost Engineering DX coordination and the application of the Cost Engineering DX technical review checklist. It should also address the review of real estate costs.

(6) Communication Plan

The communication plan for the ATR is as follows:

(a) The team will use DrChecks computer software to document the ATR process. The Study Manager will facilitate the creation of a project portfolio in the system to allow access by all PDT and ATRT members. An electronic version of the document, appendices, and any significant and relevant public comments shall be posted in Word format at: <ftp://ftp.usace.army.mil/pub/> at least one business day prior to the start of the comment period.

(b) The PDT shall send the ATR manager one hard copy (with color pages as applicable) of the document and appendices for each ATRT member such that the copies are received at least one business day prior to the start of the comment period.

(c) The PDT shall host an ATR kick-off meeting virtually to orient the ATRT during the first week of the comment period. If funds are not available for an on-site meeting, the PDT shall provide a presentation about the project, including photos of the site, for the team.

(d) The Study Manager shall inform the ATR manager when all responses have been entered into DrChecks and conduct a briefing to summarize comment responses to highlight any areas of disagreement.

(e) A revised electronic version of the report and appendices with comments incorporated shall be posted at <ftp://ftp.usace.army.mil/pub/> for use during back checking of the comments.

(f) Team members shall contact ATRT members or leader as appropriate to seek clarification of a comment's intent or provide clarification of information in the report. Discussions shall occur outside of DrChecks but a summary of discussions may be provided in the system.

(g) Reviewers will be encouraged to contact PDT members directly via email or phone to clarify any confusion. DrChecks shall not be used to post questions needed for clarification.

(h) The ATRT, the PDT, and the vertical team shall conduct an after action review (AAR) no later than 2 weeks after the policy guidance memo is received from HQUSACE for the Alternatives Formulation Briefing (AFB) document and draft reports.

(7) Funding

(a) The PDT district shall provide labor funding by cross charge labor codes. Funding for travel, if needed, will be provided through government order. The Study Manager will work with the ATR manager to ensure that adequate funding is available and is commensurate with the level of review needed. The current cost estimate is \$150,000 for all ATR reviews. Any funding shortages will be negotiated on a case by case basis and in advance of a negative charge occurring.

(b) The team leader shall provide organization codes for each team members and a responsible financial point of contact (CEFMS responsible employee) for creation of labor codes.

(c) Reviewers shall monitor individual labor code balances and alert the ATRT Study Manager to any possible funding shortages.

(8) Conducting the Review

(a) ATRT responsibilities are as follows:

(1) Reviewers shall review conference material and the draft report to confirm that work was done in accordance with established professional principles, practices, codes, and criteria and for compliance with laws and policy. Comments on the report shall be submitted into DrChecks.

(2) Reviewers shall pay particular attention to one's discipline but may also comment on other aspects as appropriate. Reviewers that do not have any significant comments pertaining to their assigned discipline shall provide a comment stating this.

(3) Grammatical and editorial comments shall not be submitted into DrChecks. Comments should be submitted to the ATR manager via electronic mail using tracked changes feature in the Word document or as a hard copy mark-up. The ATR manager shall provide these comments to the Study Manager.

(4) Review comments shall contain these principal elements:

- a clear statement of the concern
- the basis for the concern, such as law, policy, or guidance
- significance for the concern
- specific actions needed to resolve the comment

(5) The "Critical" comment flag in DrChecks shall not be used unless the comment is discussed with the ATR manager and/or the Study Manager first.

(b) PDT Team responsibilities are as follows:

(1) The team shall review comments provided by the ATRT in DrChecks and provide responses to each comment using "Concur", "Non-Concur", or "For Information Only". *Concur* responses shall state what action was taken and provide revised text from the report if applicable. *Non-Concur* responses shall state the basis for the disagreement or clarification of the concern and suggest actions to negotiate the closure of the comment.

(2) Team members shall contact the PDT and ATRT managers to discuss any "Non-Concur" responses prior to submission.

(9) Safety Assurance Review

The ATR will include safety assurance review factors. The study will address its requirements for addressing safety assurance factors, which at a minimum will be included in the draft report and appendixes for public and agency review. Prior to preconstruction engineering and design (PED) of the identified project for construction, the PMP will be revised to include safety assurance review. Safety assurance review will also be accomplished during construction.

(10) Policy and Legal Compliance Review

The ATR will address compliance with published planning policy. Counsel will generally not participate on ATR teams, but may at the discretion of the district or as directed by higher authority. When policy and/or legal concerns arise during the ATR effort that is not readily and mutually resolved by the PDT and the reviewers, the district will seek issues resolution support from the MSC and HQUSACE.

(11) Dispute Resolution

(a) Reviewers shall back check PDT responses to the review comments and either close the comment or attempt to resolve any disagreements. Conference calls shall be used to resolve any conflicting comments and responses. A face-to-face resolution of issues shall take place whenever necessary and feasible.

(b) Reviewers may “agree to disagree” with any comment response and close the comment with a detailed explanation. If reviewer and responder cannot resolve a comment, it should be brought to the attention of the ATR manager and, if not resolved by the ATR Manager, it should be brought to the attention of the planning chief who will need to sign the certification. ATRT members shall keep the ATR manager informed of problematic comments. The vertical team will be informed of any policy variations or other issues that may cause concern during HQ review.

(12) Reporting in Submittals

(a) The next document submittal would normally be the Draft GRR. For the draft report submittal, the district will provide the review certification(s) and the review documentation for the draft GRR and the supporting documentation. Review should be complete for all supporting technical work products prior to document submission. Any unresolved review issues and the expected path to resolve these issues should be identified. The documentation should address the PCX and Cost Engineering Directory of Expertise (DX) coordination and the application of the Cost Engineering DX technical review checklist. It should also address the review of real estate costs.

(b) For the final report submittal, the district will provide the documentation and certification of review and IEPR documentation. The documentation should address the PCX and Cost Engineering DX coordination and the application of the Cost Engineering DX technical review checklist. It should also address the heightened review of real estate costs. The project summary accompanying the final report will present the dates of the certifications of the technical and legal adequacy of the final feasibility report, describe the involvement of the PCX, and summarize the involvement of the Cost Engineering DX in the approval of the total project cost estimate and similar efforts in the approval of the real estate cost estimates.

(13) Certification

Indication of certification will be documented by the signing of a Statement of Technical Review and a Certification of Quality Assurance (Attachment 2). A summary report of all comments and responses will follow the statement and accompany the report throughout the report approval process. An interim certification will be provided by the ATR team lead to

indicate concurrence with the report to date until the final certification is performed when the report is considered final.

## **E. Independent External Peer Review**

### (1) Type 1 IEPR

#### (a) IEPR Criteria

The PDT has determined that IEPR is required for this study as shown by the levels of difficulty or challenging aspects of the studies in Table 1. During the July 23, 2007 in progress review teleconference, the vertical team, including representatives from SPD and HQUSACE, were informed that IEPR would be conducted for the GRR. However, no technical information is considered to be highly influential scientifically nor precedent setting. Also, it is not likely that the State Governor or other agency will request IEPR.

The IEPR panel will accomplish a review that covers the entire decision document. The panel will address all the underlying work including the engineering, economics, and environmental studies, not just one aspect of the project. The IEPR will not be involved in agency or administration policy review.

#### (b) Product for Review

The IEPR will be conducted for the draft report document and all technical appendices. Of these products that will undergo IEPR, all will be reviewed by the PDT and undergo DQC and ATR prior to submittal for IEPR.

#### (c) Policy Compliance Review

IEPR teams are not expected to be knowledgeable of Army and administration polices, nor are they expected to address such concerns. An IEPR team should be given the flexibility to bring important issues to the attention of decision makers. Legal reviews will be conducted concurrent with ATR of the draft and final report and environmental impact statement.

#### (d) Safety Assurance Review

The IEPR will include a safety assurance review as required in EC 1165-2-209, Appendix D, paragraph 2.c.3. The panel should address the following questions for the selected alternative:

- (a) In accordance with ER 1110-2-1150, is the quality and quantity of the surveys, investigations, and engineering sufficient for a concept design?
- (b) Are the models used to assess hazards appropriate?
- (c) Are the assumptions made for the hazards appropriate?
- (d) Does the analysis adequately address the uncertainty given the consequences associated with the potential for loss of life for this type of project?

The objectives during the GRR study phase include assessing the risk and uncertainty for safety and functional objectives clearly estimating and displaying the probable performance of the selected plan in accordance with current risk and uncertainty analysis policy and criteria. Proposed project alternatives that do not satisfy the safety requirements shall be recommended for withdrawal from further consideration. This recommendation shall be discussed and agreed upon by the full PDT.

#### (e) IEPR Panel Selection

It is anticipated that the IEPR panel will be selected and managed by Battelle, Inc. as the OEO, although panel members may be nominated by the USACE. It is not anticipated that the public, including scientific or professional societies, will be asked to nominate potential panel members.

Although the IEPR will address all the underlying planning, safety assurance, engineering, economic and environmental analyses of the study, the following primary disciplines or expertise are needed for the challenging aspects of the study as discussed in Table 1. It is anticipated that there would 3 to 4 panel members.

- **Hydraulics:** Experienced in the field of urban hydraulics, with a thorough understanding of the dynamics of the both open channel flow systems and floodplain hydraulics. Knowledge of the application of hydraulics for levees and flood walls in an urban environment with space constraints. Also, an understanding of computer modeling techniques that will be used for this project.
- **Design and Geotechnical:** Experienced in levee & floodwall design, post-construction evaluation, and rehabilitation. Also, experienced in levee and subsurface seepage analysis and remediation measures.
- **Economics and Evaluation of Alternative Plans:** Experienced in determining the values and structural characteristics using parcel information data, Marshal & Swift Valuation, and site visits; evaluating existing conditions and future land use changes; estimating damages with uncertainty using Corps risk analysis techniques and approved computer programs; formulation and evaluation of alternative plans based on flood risk management benefits, costs and trade-off analysis.

(f) Congressional Notification

Prior to initiation of the IEPR review, pursuant to WRDA 2007 Section 2034(c)(4), the Chief of Engineers shall notify the Committee on Environment and Public Works of the Senate and the Committee on Transportation and Infrastructure of the House of Representatives of the review.

(g) Conducting the Review, Resolution of Issues and Documentation

Prior to initiation of the review, the Chief of Engineers shall notify the Committee on Environment and Public Works of the Senate and the Committee on Transportation and Infrastructure of the House of Representatives of the review. Upon MSC approval of the Review Plan, the MSC will provide a copy of the signed MSC Approval Memo to its respective HQUSACE RIT. The RIT will then process a notification letter, signed by the Director of Civil Works to both the Committee on Environment and Public Works of the Senate and the Committee on Transportation and Infrastructure of the House of Representatives with a copy to ASA (CW).

The schedule for the review of the various work products is shown in Table 2 of Section 5. The PCX will prepare a contract for Battelle, the OEO, which then selects the panel, develops the “charge” and work plan for the review.

An electronic version of the document, appendices, and any significant and relevant public comments shall be posted in Word format at <ftp://ftp.usace.army.mil/pub/> at least one business day prior to the start of the IEPR comment period. The PDT shall also send each IEPR panel member one hard copy (with color pages as applicable) of the document and appendices such that the copies are received at least one business day prior to the start of the comment period.

The OEO will compile the comments of the IEPR panelists and forward the comments to the District. The District will consult the PDT and outside sources as necessary to develop a proposed response to each panel comment. The panel will reply to the proposed response through the OEO. This final panel reply may or may not concur with the District's proposed response and the panel's final response will indicate concurrence or briefly explain what issue is blocking concurrence. There will be no final closeout iteration.

PDT members shall contact IEPR panel members as appropriate to seek clarification of a comment's intent or provide clarification of information in the report. The Study Manager shall conduct a briefing to summarize comment responses to highlight any areas of disagreement. A revised electronic version of the report and appendices with comments incorporated shall be posted at <ftp://ftp.usace.army.mil/pub/> for use during back checking of the comments.

The District will consult the vertical team and outside resources to prepare an agency response to each comment. The initial panel comments, the District's proposed response, the panels reply to the District's proposed response, and the final District response will all be tracked and archived for the administrative record. However, only the initial panel comments and the final agency responses will be posted on the web site.

The panel will submit to USACE a final Review Report containing the panel's analysis of the project study, including the panel's assessment of the adequacy and acceptability of the methods, models, and analyses used by the Corps of Engineers, to accompany the publication of the decision document. The final Review Report to be submitted by the IEPR panel must be submitted to the PDT within 60 days of the conclusion of public review and a representative of the IEPR panel must attend any public meeting(s) held during public and agency review of the draft GRR report. The Review Report from the panel will be considered and documentation presented on how issues were resolved or will be resolved by the District Engineer before the GRR report is signed.

Sacramento District, with assistance from the PCX, shall prepare a written proposed response to the IEPR Review Report, whether the views expressed in the report are adopted or not adopted, the actions undertaken or to be undertaken in response to the report, and the reasons those actions are believed to satisfy the key concerns stated in the report (if applicable). The proposed response will be coordinated with the MSC District Support Teams and HQUSACE to ensure consistency with law, policy, project guidance, ongoing policy and legal compliance review, and other USACE or National considerations.

Regardless of whether or not the views expressed in the IEPR Review Report are adopted, the district, with assistance from the RMO, shall prepare a written proposed response to the report, detailing any actions undertaken or to be undertaken in response to the report, and the reasons those actions are believed to satisfy the key concerns stated in the review report (if applicable). All Issues in the IEPR must be addressed. The proposed response will be coordinated with the MSC District Support Teams and HQUSACE to ensure consistency with law, policy, project guidance, ongoing policy and legal compliance review, and other USACE or National considerations.

The IEPR comments and responses will be discussed at the Civil Works Review Board (CWRB) with an IEPR panel or OEO representative in attendance. Upon satisfying its concerns, HQUSACE will determine the appropriate command level for issuing the formal USACE response to the IEPR Review Report. When the USACE response is issued, the district shall disseminate the final IEPR Review Report, USACE response, and all other materials related to the review on its website, and include them in the GRR decision document. The Chief of

Engineers' report shall summarize the IEPR Review Report and USACE responses. This documentation will become a critical part of the review record and will be addressed in recommendations made by the Chief of Engineers.

(h) Cost

IEPR is a project cost and the panel review will be Federally funded. In-house costs associated with obtaining the IEPR panel contract as well as responding to IEPR comments will be cost shared expenses. The estimated cost for the IEPR is \$123,000.

(2) Type II IEPR (Safety Assurance Review)

In accordance with Section 2035 of the Water Resources Development Act of 2007, a Type II IEPR or Safety Assurance Review (SAR) shall be conducted on design and construction activities. Since all construction has been completed by local interests as in-kind work, there will be no future SAR. A SAR was conducted on those portions of the local interests in-kind advance work completed since enactment of Section 2035. This work included the Feather River Setback Levee Project and the Upper Yuba Levee Improvement Project. A SAR was also conducted for the Marysville Ring Levee project that is a separable element of the Yuba River Basin project.

**F. Non-Federal Sponsor In-Kind Work**

The Three Rivers Levee Improvement Authority (TRLIA), a joint powers agency established by Reclamation District 784 and Yuba County, has completed construction of all levee modifications to reduce the risk of flooding to RD 784. Local interests are seeking credit for this work.

**G. Contracted Products**

Contracted products for the GRR include:

HDR, Inc. – Civil Design Appendix

Gulf South Research Corp. – Environmental Compliance Summary Report

Each contracted product will include quality control in the scope-of-work for the contract. The contractor will be required to perform an independent quality control check and provide certification of review. The District would then perform a quality assurance check of the certification. The contracted work will also undergo DQC, ATR and IEPR, if appropriate, as part of the overall project documentation.

**12. PUBLIC AND AGENCY REVIEW**

The public and agencies have had and will have opportunities to participate in this study. Past public and agency reviews included those during development of the Yuba River Basin feasibility report 1992, 1996 and 1998 as documented in the 1998 EIS. Also, there was a public meeting at the initiation of the GRR in 2004 for the NEPA scoping process and most recently in 2010 for the EIS/EIR. Future public and agency reviews will be included during the report development process.

Public review of the draft GRR report will occur after issuance of the AFB policy guidance memo and concurrence by HQUSACE that the document is ready for public release. As such, public comments other than those provided at any public meetings held during the planning process will not be available to the review teams. Public review of the draft report will begin approximately 1 month after the completion of the ATR process and policy guidance memo. The GRR will include an evaluation of the NEPA compliance of the work performed by local

interests. Since it will not include a NEPA document, the length of the period of review for the draft document will be 30 days.

A public workshop will be held during the public and agency review period. Comments received during the public comment period for the draft report would be provided to the IEPR team prior to completion of the final Review Report and to the ATRT before review of the final GRR. The public review of necessary state or Federal permits will also take place during this period. A formal State and Agency review will occur concurrently with the public review. However, it is anticipated that intensive coordination with these agencies will have occurred concurrent with the planning process.

Upon completion of the review period, comments will be consolidated in a matrix and addressed, if needed. A comment resolution meeting will take place if needed to decide upon the best resolution of comments. A summary of the comments and resolutions will be included in the document.

### 13. REVIEW SCHEDULE

Table 2 shows the review schedule. This schedule shows the reviews of the various reports described in this Review Plan.

**Table 2 – Review Schedule**

<b>Activities and CESP Milestones</b>	<b>Date</b>
ITR of Feasibility Scoping Meeting (F3) Document	Completed
ITR of (F4) Document	Completed
PDT/DQC Review of Alternatives Formulation Briefing (AFB) Conference (F4A) Document	October 2010
ATR of Alternatives Formulation Briefing (AFB) Conference (F4A) Document	November 2010
Alternatives Formulation Briefing Conference (F4A)	March 2011
DQC GRR/PADR Economics Appendix	April 2012
ATR GRR/PADR Economics Appendix	May 2012
DQC GRR/PADR Geotech Appendix	June 2012
ATR GRR/PADR Geotech Appendix	June 2012
DQC of Post Authorization Documentation Report	May 2012
ATR of Post Authorization Documentation Report	June 2012
DQC Civil Design Appendix	August 2012
ATR Civil Design Appendix	August 2012
DQC of Integral Determination Report	August 2012
ATR of Integral Determination Report	August 2012
DQC Summary of General Reevaluation Studies Report	July 2012
ATR Summary of General Reevaluation Studies Report	August 2012
Initiate IEPR	September 2012
Civil Works Review Board (CWRB) Briefing	September 2012
State and Agency Review	September 2012

## 14. CERTIFICATION OF MODELS

The computational models for planning or engineering to be employed in the study have either been developed by or for the USACE. Certification and approval for all identified planning models will be coordinated through the PCX. Project schedules and resources will be adjusted to address this process for certification and PCX coordination. The planning models used in this study are shown in Table 3.

**Table 3 - Certification of Planning Models**

Model Title and Use	Certification Status
<p>HEC-FDA: This model, developed by the Corps' Hydrological Engineering Center, will assist the PDT in applying risk analysis methods for flood damage reduction studies as required by, EM 1110-2-1419. This program:</p> <ul style="list-style-type: none"> <li>• Provides a repository for both the economic and hydrologic data required for the analysis</li> <li>• Provides the tools needed to understand the results</li> <li>• Calculates the Expected Annual Damages and the Equivalent Annual Damages</li> <li>• Computes the Annual Exceedence Probability and the Conditional Non-Exceedence Probability</li> <li>• Implements the risk-based analysis procedures contained in EM 1110-2-1619</li> <li>• Evaluates possible benefits of non-structural measures such as flood proofing by analyzing the relationships among flow (discharge), water-surface elevation, and flood frequency (probability) for the building site.</li> </ul>	<p>This model has been certified.</p>
<p>Various Habitat Evaluation Procedure (HEP) models. As habitat changes through time, either by natural or human-induced processes, we can quantify the overall suitability through time by integrating the areal extent-suitability product function over time. Thus, we can quantitatively compare two or more alternative management practices of an area with regards to those practices affecting species in that area. Furthermore, HEP allows us to quantify the effects of mitigation or compensation.</p>	<p>The Ecosystem Restoration Planning Center of Expertise (PCX) will need to certify or approve the HEP model used for the study. The PDT will coordinate with the Ecosystem PCX during the study for certification approval requirements.</p>
<p>IWR-Planning Suite. This software assists with the formulation and comparison of alternative plans. While IWR-PLAN was initially developed to assist with environmental restoration and watershed planning studies, the program can be useful in planning studies addressing a wide variety of problems. IWR-PLAN can assist with plan formulation by combining solutions to planning problems and calculating the additive effects of each combination, or "plan." IWR-PLAN can assist with plan comparison by conducting cost effectiveness and incremental cost analyses, identifying the plans which are the best financial investments and displaying the effects of each on a range of decision variables.</p>	<p>This model has been certified.</p>
<p>IMPLAN: This model is a technique to measure the quantitative impacts on Regional Economic Development (RED) due to project alternatives.</p>	<p>This model is in the process of being approved by the PCX but does not require certification.</p>

The Science and Engineering Technology (SET) initiative endeavors to provide uniform science and engineering tools and practices to the Corps. Engineering models will be certified under a process established under SET. To date, no formal enterprise standard has been issued

for certification of engineering models. An interim regional process for HH&C model selection (RGM CESP-2007-006) will be followed. Engineering models anticipated to be used in this study are:

- MCACES or MII: This is a cost estimating model that was developed by Building Systems Design Inc. Crystal Ball risk analysis software will also be used.
- HEC-HMS: By applying this model the PDT is able to:
  - Define the watersheds' physical features
  - Describe the metrological conditions
  - Estimate parameters
  - Analyze simulations
  - Obtain GIS connectivity
- HEC-ResSim: This model predicts the behavior of reservoirs and to help reservoir operators plan releases in real-time during day-to-day and emergency operations. The following describes the major features of HEC-ResSim
  - Graphical User Interface
  - Map-Based Schematic
  - Rule-Based Operations
- HEC-RAS: The function of this model is to complete one-dimensional hydraulic calculations for a full network of natural and man made channels. HEC-RAS major capabilities are:
  - User interface
  - Hydraulic Analysis
  - Data storage and Management
  - Graphics and reporting
- FLO-2D: FLO-2D is a two-dimensional flood routing model to predict flood hazards, simulating urban and river overbank flooding. FLO-2D routes a flood hydrograph while predicting floodwave attenuation due to flood storage.
- Groundwater Modeling System (GMS): This model is used to conduct seepage analysis.
- UTexas4: This model is used to conduct slope stability analysis of levees.

## 15. PCX COORDINATION & POINTS OF CONTACT

The appropriate PCX for this document is the Flood Risk Management Center of Expertise (FRM PCX) located at CESP. This Review Plan will be submitted to the FRM PCX Director, for review and comment. Since it was determined that this project is high risk, an IEPR will be required. Also, the FRM PCX will manage the IEPR review. For ATR, the PCX will nominate the ATR team.

Questions about this Review Plan may be directed to Mr. Ted Werner (interim), Sacramento District Project Delivery Team Planning contact, at (916) 557-6753, or [edward.a.werner@usace.army.mil](mailto:edward.a.werner@usace.army.mil), or to Mr. Eric Thaut, Program Manager for the Planning Center of Expertise for Flood Risk Management, at (415) 503-6852, or [eric.w.thaut@usace.army.mil](mailto:eric.w.thaut@usace.army.mil).

## **16. REVIEW PLAN APPROVAL AND POSTING**

The South Pacific Division Commander is responsible for approving the RP. An MSC approval letter is required for each review plan and must be included in the posted version of the RP. The approval of each RP should be signed by the Commander. If there is disagreement over the scope, content or other aspects of the Review Plan, the MSC should coordinate resolution between the district and the RMO. Formal coordination with FRM-PCX will occur through the PDT District Planning Chief. The approved RP will be posted to the Sacramento District's public website. Any public comments on the RP will be collected by the Corps' Office of Water Project Review and provided to the Sacramento District for resolution and incorporation if needed.

This RP will serve as the coordination document to obtain vertical team consensus. Subsequent to PCX approval, the plan will be provided to the vertical team for approval. MSC approval of the plan will indicate vertical team consensus.

Upon approval of the RP, CESPDP will provide a copy of the signed Approval Memo to the HQUSACE Regional Integration Team (RIT) in charge of reviewing CESPDP documents (see Attachment 1). The RIT will then process a notification letter, signed by the HQUSACE Director of Civil Works to both the Committee on Environment and Public Works of the Senate and the Committee on Transportation and Infrastructure of the House of Representatives with a copy to ASA (CW).

The RP is a "living document" and shall be updated as needed during the study process. The FRM-PCX shall be provided an electronic copy of any revised approved RP. The PDT shall follow their DST's guidance for processing revised RPs for their respective MSCs.

## ATTACHMENT 1: TEAM ROSTERS

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### PEER REVIEW PLAN

#### YUBA RIVER BASIN, CALIFORNIA GENERAL REEVALUATION STUDY

#### SACRAMENTO DISTRICT

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### PROJECT DELIVERY TEAM (PDT)

Name	Discipline	Location	Phone
Mark Ellis	Project Manager	CESPK <sup>1</sup>	916-557-6892
Scott Parker	Study Manager/Plan Formulation	CESPK	916-557-7258
Richard Furman	Plan Formulation	CESPK	702-982-1451
Ted Werner	Plan Formulation	CESPK	916-557-6753
Aaron Schlein	Economics	CESPK	916-557-5372
Gary Bedker	Economics	CESPK	916-557-6707
Shellie Sullo	Environmental Analysis/Cultural Resources	CESPK	916-557-6818
Kim Carsell	Flood Risk Manager	CESPK	916-557-7635
John High	Hydrology/Reservoir Operations	CESPK	916-557-7136
Gene Maak	Hydraulics	CESPK	916-557-7020
Sherman Fong	Cost Engineering	CESPK	916-557-6983
Elizabeth Youn	Real Estate/Lands	CESPK	916-557-7013
Bryan Holm	Civil Design	CESPK	916-557-5140
Erik James	Geotechnical Engineering	CESPK	916-557-5259
Elizabeth Wegenka	GIS	CESPK	916-557-7640
Kent Zenobia	Non-Federal Sponsor Representative	DWR <sup>2</sup>	916-574-2639
Ric Reinhardt	Non-Federal Contractor	MBK <sup>3</sup>	916-456-0253
Tom Engler	Non-Federal Contractor	MBK	916-456-0253
Don Morris	Non-Federal Contractor	CDM <sup>4</sup>	916-567-9900
Gary Tourttelotte	Non-Federal Contractor	GSR <sup>5</sup>	225-757-8088

<sup>1</sup> Corps of Engineers, Sacramento District,

<sup>2</sup> State of California Dept. of Water Resources, Sacramento

<sup>3</sup> Murray, Burns and Kienlan, Inc., Sacramento

<sup>4</sup> CDM, Sacramento

<sup>5</sup> Gulf South Research Corporation, Baton Rouge, Louisiana

**AGENCY TECHNICAL REVIEW TEAM (ATRT)**

<b>Name</b>	<b>Discipline</b>	<b>Location</b>	<b>Phone</b>	<b>Discipline Description</b>
Roger Setters	ATR Manager	CELRL	502-315-6891	Experienced in the planning process, Plan Formulation including formulating, and evaluating.
Marvin Mai	Civil Design	CESPL	213-452-3635	Experienced in developing feasibility-level quality design and cost estimates for the alternatives to be evaluated and final design and cost estimates for the recommended modifications to the authorized project and NED/NER plan. Prepares detailed Basis of Design (BOD) report that describes all aspects of the selected features, including planning and design assumptions, definition of and rationale for design features, plans and profiles of embankments, hydraulic structure features, relocations, channel details, bridge crossings, and operation and maintenance requirements.
Tiffany Bostwick	Environmental Resources	CESPL	213-452-3845	Experienced in NEPA/CEQA process and analysis and ecosystem restoration and has a biological or environmental background.
Shih Chieh	Hydrology/ Reservoir Operations	CESPL	213-452-3571	Experienced in the field of urban hydrology and the effects of best management practices and low impact development on hydrology. Has an understanding of computer modeling techniques that will be used for this project.
Shih Chieh	Hydraulics	CESPL	213-452-3571	Experienced in the field of urban hydraulics, with a thorough understanding of the dynamics of the both open channel flow systems and floodplain hydraulics. Knowledge of the application of hydraulics for levees and flood walls in an urban environment with space constraints. The team member will have an understanding of computer modeling techniques that will be used for this project.

Arden Sansom	Economics	CESPN	415-503-6748	Experienced in determining the values and structural characteristics using parcel information data, Marshal & Swift Valuation, and site visits. Evaluates existing conditions and future land use changes. Estimates damages, with uncertainty, for each flood plain event using risk analysis techniques. Participates with other PDT members in risk analysis activities. Determines the benefits for project alternatives estimating damage under with- and without-project conditions.
Gary Smith	Cost Engineering *	CELRL	502-315-6320	Experienced with cost estimating for civil works projects using MCACES and is a Certified Cost Engineer.
Bill Brown	Real Estate/Lands	CESPL	602-230-6964	Experienced in federal civil work real estate laws, policies and guidance with experience working with respective sponsor real estate issues.
Steven Dibble	Cultural Resources	CESPL	213-452-3849	Experienced in cultural resources and tribal issues, regulations, and laws.
Paul Beaver	Geotechnical Engineering	CESPL	213-452-3588	Experienced in levee & floodwall design, post-construction evaluation, and rehabilitation.

\* The cost engineering team member nomination will be coordinated with the Cost Estimating Directory of Expertise at Northwestern Division as required. The Directory will decide if the cost estimate will need to be reviewed by Directory Staff.

### VERTICAL TEAM

Name	Discipline	Location	Phone	Email
Karen Berresford	District Support Team Mgr <sup>1</sup>	CESPD	415-503-6557	<a href="mailto:Karen.G.Berresford@usace.army.mil">Karen.G.Berresford@usace.army.mil</a>
Scott Whiteford	SPD Regional Integration Team <sup>2</sup>	HQUSACE	202-761-8990	<a href="mailto:Scott.L.Whiteford@usace.army.mil">Scott.L.Whiteford@usace.army.mil</a>

<sup>1</sup>District Support Team (DST) – The DST is a group of Division Headquarters’ resources which serve as the District advocate and expediter. DSTs are Regional assets which facilitate District execution of project-specific activities at the One Headquarters. DSTs participate in the vertical team as required, interfacing with the District and the Regional Integration team (RIT).

<sup>2</sup>Regional Integration Team (RIT) – A RIT is comprised of individuals focused on execution of the Civil Works missions. The RITs have a duty station in Washington, DC and represent the concerns of the Division and Districts to which they are assigned.

### FLOOD RISK MANAGEMENT PLANNING CENTER OF EXPERTISE (FRM PCX)

Name	Discipline	Location	Phone	Email
Eric Thaut	Program Manager, PCX Flood Risk Management	CESPD	415-503-6852	<a href="mailto:Eric.W.Thaut@usace.army.mil">Eric.W.Thaut@usace.army.mil</a>

## ATTACHMENT 2: STATEMENT OF TECHNICAL REVIEW

### COMPLETION OF AGENCY TECHNICAL REVIEW

The Agency Technical Review (ATR) has been completed for the [product type & short description of item] 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 DrChecks.

*SIGNATURE*

\_\_\_\_\_  
[Name]  
ATR Team Leader  
[Office Symbol]

\_\_\_\_\_  
Date

*SIGNATURE*

\_\_\_\_\_  
[Name]  
Project Manager (home district)  
[Office Symbol]

\_\_\_\_\_  
Date

*SIGNATURE*

\_\_\_\_\_  
[Name]  
Review Management Office Representative  
[Office Symbol]

\_\_\_\_\_  
Date

*SIGNATURE*

\_\_\_\_\_  
[Name]  
ATR Team Leader  
[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 (home district)  
[Office Symbol]

\_\_\_\_\_  
Date

*SIGNATURE*

\_\_\_\_\_  
[Name]  
Chief, Planning Division (home district)  
[Office Symbol]

\_\_\_\_\_  
Date

## ATTACHMENT 3: REVIEW PLAN REVISIONS

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### PEER REVIEW PLAN

### YUBA RIVER BASIN, CALIFORNIA GENERAL REEVALUATION STUDY

### SACRAMENTO DISTRICT

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Revision Date	Description of Change	Page / Paragraph Number
April 2010	Revise for compliance with EC 1165-2-209	Throughout
September 2010	revised schedule, the new ATR certification page, updated leadership charts, a signature page for the District Commander and other miscellaneous minor changes.	Throughout
June 2012	Update study documentation, PDT listing, review schedule, local in-kind work, various editorial corrections	Throughout
August 2012	Update for current study process and review dates.	Throughout

## ATTACHMENT 4: ACRONYMS AND ABBREVIATIONS

### PEER REVIEW PLAN

#### YUBA RIVER BASIN, CALIFORNIA GENERAL REEVALUATION STUDY

#### SACRAMENTO DISTRICT

<u>Term</u>	<u>Definition</u>	<u>Term</u>	<u>Definition</u>
ASA(CW)	Assistant Secretary of the Army for Civil Works	OMRR&R	Operation, Maintenance, Repair, Replacement and Rehabilitation
ATR	Agency Technical Review	OSE	Other Social Effects
CEQA	California Environmental Quality Act	PCX	Planning Center of Expertise
CESPD	Corps of Engineers, South Pacific Division	PDT	Project Development Team
DQC	District Quality Control	PPA	Project Partnership Agreement
DX	Directory of Expertise	PL	Public Law
EA	Environmental Assessment	QMP	Quality Management Plan
EC	Engineering Circular	RD	Reclamation District
EDR	Engineering Document Report	RED	Regional Economic Development
EIR	Environmental Impact Report	RMO	Review Management Organization
EIS	Environmental Impact Statement	TRLIA	Three Rivers Levee Improvement Authority
EO	Executive Order	WRCB	Water Resources Control Board
ER	Ecosystem Restoration	WRDA	Water Resources Development Act
FDR	Flood Damage Reduction	YCWA	Yuba County Water Agency
FEMA	Federal Emergency Management Agency		
FRM	Flood Risk Management		
GRR	General Reevaluation Report		
IEPR	Independent External Peer Review		
ITR	Independent Technical Review		
MSC	Major Subordinate Command		
NED	National Economic Development		
NER	National Ecosystem Restoration		
NEPA	National Environmental Policy Act		
O&M	Operation and maintenance		
OMB	Office and Management and Budget		