



REPLY TO
ATTENTION OF

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

3. March 2014

CESPD-PDC

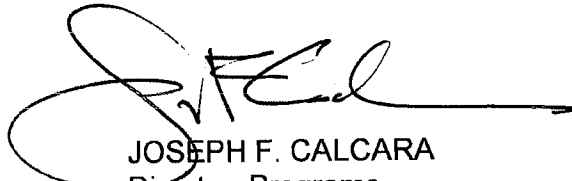
MEMORANDUM FOR Commander, Sacramento District US Army Corps of Engineers,
ATTN: Mr. James Baker (CESPK-PM)

Subject: Review Plan Approval for the Rural Nevada and Utah Section 595
Environmental Infrastructure Projects Managed by the Sacramento District (CESPK)

1. The enclosed Review Plan for the Rural Nevada and Utah Section 595 Environmental Infrastructure Projects, dated August 2013, has been prepared in accordance with EC 1165-2-214. The Review Plan has been coordinated internally within the South Pacific Division, Planning and Policy Division, Regional Business Technical Division and District Support Team. The South Pacific Division Regional Business Technical Division will serve as the Review Management Office for the project.
2. With MSC approval the Review Plan will be made available for public comment via the internet and the comments received will be incorporated into future revisions of the Review Plans. The Review Plan includes Safety Assurance Independent External Peer Review.
3. I hereby approve this Review Plan, which is subject to change as circumstances require, consistent with study development under the Project Management Business Process. Subsequent revisions to this Review Plan or its execution will require new written approval from this office.
4. For any additional information or assistance, contact Karen Berresford, District Support Team Lead, (415) 503-6557, Karen.G.Berresford@usace.army.mil.

Building Strong From New Mexico All The Way To The Pacific!

Encl
Review Plan


JOSEPH F. CALCARA
Director, Programs



REPLY TO
ATTENTION OF

DEPARTMENT OF THE ARMY
U.S. ARMY ENGINEER DISTRICT, SACRAMENTO
CORPS OF ENGINEERS
1325 J STREET
SACRAMENTO, CALIFORNIA 95814-2922

DEC 13 2013

CESPK-PM-C


MEMORANDUM FOR: Commander, South Pacific Division, ATTN: CESPD-PD-C,
(Berresford)

SUBJECT: Request for Approval of Review Plan for the Rural Nevada and Utah Section 595
Environmental Infrastructure Projects Managed by the Sacramento District (CESPK)

1. The enclosed review plan titled, "PROJECT REVIEW PLAN, Rural Nevada and Utah Section 595 Environmental Infrastructure Projects – Design Only, Design and Construction, Construction Only Partnerships, Sacramento District" (Section 595 Review Plan), dated August 2013 was prepared in accordance with EC 1165-2-214. The Review Plan Checklist for Implementation Documents is included in the Section 595 Review Plan as Appendix A. The CESPD Regional Supplemental Review Plan Checklist is included as Appendix B.
2. This Section 595 Review Plan describes the overall quality management strategy established for the completion of three (3) active projects under the two (2) subject programs as described in Section 3.d of the plan. Based on the current status of these projects, only District Quality Control (DQC) activities are expected as necessary to support project completion and closeout. No additional Agency Technical Review (ATR) or Independent External Peer Review (IEPR) activities are anticipated. This plan will be revised and resubmitted for approval by the RMO if additional projects beyond these three become active in either program.
3. CESPK requests written approval of the enclosed Section 595 Review Plan dated August 2013 by the RMO in accordance with EC 1165-2-214. Please direct any questions regarding this plan to the CESPK Project Manager, Mr. James Baker, at (916) 557-5394.

FOR THE COMMANDER:

Encl


RICK L. POEPELMAN, P.E.
Chief, Engineering Division

PROJECT REVIEW PLAN

**Rural Nevada and Utah Section 595 Environmental Infrastructure Projects -
Design Only, Design and Construction, Construction Only Partnerships**

Sacramento District

August 2013

MSC Approval Date: Pending

Last Revision Date: None



**US Army Corps
of Engineers** ®

PROJECT REVIEW PLAN

*Rural Nevada and Utah Section 595 Environmental Infrastructure Projects -
Design Only, Design and Construction, Construction Only Partnerships*

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1. PURPOSE AND REQUIREMENTS

- a. **Purpose.** This document will serve as the Sacramento District (SPK) overarching program and project level review plan for all remaining work products within the Rural Nevada and Utah Section 595 Environmental Infrastructure Project (Rural Nevada, CWIS 013777, Rural Utah CWIS 125025). This plan identifies the process necessary for determining what products are required to undergo Agency Technical Reviews (ATR) in addition to District Quality Control (DQC). It is not anticipated that any work product within the Rural Nevada or Rural Utah Programs will require an Independent External Peer Review (IEPR). The purpose of this Project Review Plan (RP) is to ensure that a consistent review process is applied to all work products within the Rural Nevada and Utah projects. The District is responsible for ensuring that the integrity of this process is upheld for all work products.
- b. **Applicability.** This RP is applicable to all Rural Nevada and Utah work products as defined in EC 1165-2-214 Civil Works Review. It defines the types, partnering agreements and anticipated levels of review for Rural Nevada and Utah Project work products. All work products requiring DQC only fall under the umbrella of this RP and will not require separate RP approvals. In all cases where an ATR is determined to be necessary for a Rural Nevada or Utah work product, a product specific RP will be prepared at the time the determination is made and will be submitted for approval under separate cover. This RP is a component of the Section 595 Environmental Infrastructure Program Guidelines, model Project Partnership Agreements, Executed Partnership Agreements, and project scopes of work and will be referenced as an appendix to any future updates. It encompasses the current partnership Agreements with the Sponsor responsible for the contracting of the design and construction activities.
- c. **References.**
 - (1) Engineering Circular (EC) 1165-2-214 "Civil Works Review", 15 December 2012
 - (2) Engineering Regulation (ER) 1110-1-12, Quality Management, 30 September 2006
 - (3) Section 595 Program Guidelines

2. REVIEW MANAGEMENT ORGANIZATION (RMO) COORDINATION

The RMO is responsible for managing the overall peer review effort described in this review plan. The RMO for Rural Nevada and Utah projects requiring DQC only will be the District. For any work products requiring an ATR the RMO will be the South Pacific Division (SPD). The home District will post any approved product specific review plans on its public website and ensure that a copy of the approved review plan (and any updates) is provided to the dedicated review team.

3. PROJECT INFORMATION

- a. **Program and Project Authority.** The Water Resource and Development Act (WRDA) of 1999, as amended authorized the Section 595 Environmental Infrastructure Program (Public Law 106-53). Through this authority USACE established a program for providing environmental assistance to non-federal interests in rural communities of several western states. The Rural Nevada Program is managed jointly by SPK (northern Nevada) and SPL (southern Nevada). The Utah Section 595 program is managed by SPK. This Review Plan only applies to those Nevada and Utah projects managed by SPK.
- b. **Program Description.** The primary objective of the Rural Nevada and Utah Section 595 Program is to assist rural communities throughout rural Nevada and Utah with design and/or construction of water-related environmental infrastructure and resource protection and development projects. All

work products are cost-shared 75% federal and 25% non-federal after a Project Partnership Agreement (PPA) is executed. The Program allows for the design and construction to be performed by the Government or by the non-Federal Sponsor. For all Section 595 projects managed by SPK, the Sponsor has performed the design and construction. The environmental compliance has consisted of an Environmental Assessment and Findings of No Significant Impact (FONSI) and has been performed by the Government in cooperation with the non-Federal sponsor. It is the responsibility of the non-federal sponsor (usually through their Architect/Engineer) to implement a quality management plan, if they choose to complete the work. Funding for the Section 595 program is a Congressional earmark and is not budgeted by the Corps. Due to funding constraints, no further Congressional funding is anticipated for the near future. The available funding is being used to complete or partially complete existing projects with signed PPAs. No new PPAs are anticipated.

- c. **Project Execution.** When projects have been identified that meet the requirements of WRDA 99, a Project Partnership Agreement is negotiated using the model agreement for either a design only project, design and construction project, or a construction only project. The authority to approve the draft PPA for execution has been delegated to the MSC. Once the MSC has approved the PPA for execution, the agreement is signed by the Sponsor and the District Commander. All agreements require legal review and certification prior to approval for execution by the MSC. All projects are funded up front by the Sponsor. As the project progresses, the Sponsor submits invoices for completed work with a request for reimbursement. The District reviews the invoices and determines whether the invoices are reasonable and allowable and when found to be acceptable recommends a reimbursement of up to 75% using Federal appropriated funds.
- d. **Specific Project Description.** The following projects are currently active and will require additional Federal funding to complete. The description includes the type of work being performed and the current status of the progress. All project design only or design and construction is performed by the Sponsors and their contractors. Maps of each project are contained in Appendix C.

1) NEVADA

- **Spanish Springs Valley Phased Sewering Project - Phase 1b, Nevada – P2 #332468.** Project consists of the design and construction of facilities necessary to complete the sewer collection system for 168 single family residences. The phase is planned to consist of approximately 10,100 linear feet of piping and 28 sanitary sewer manholes. The design by the Sponsor is 90% complete. A VE Study is complete. A 100% design review by the Government will be performed and undergo a DQC review. The EA/FONSI is complete. An ATR is not anticipated to be required. If it is determined that an ATR is required a separate review plan will be prepared and submitted for approval. The total estimated project cost is \$3,370,000.

2) UTAH

- **Eureka City Water and Wastewater Improvement Project, Utah – P2 # 333827.** Project consists of the design and construction water and sewer lines in the community of Eureka, Utah. Only partial funding is available and although the project will be designed only a portion of water system will be constructed due to limited available Federal funding. The project is 35% designed and an environmental assessment is underway. A VE Study will be performed for any construction contracts exceeding \$2,000,000. A 100% design review will be completed and the EA will undergo a DQC review. An ATR is not anticipated to be

required. If it is determined that an ATR is required a separate review plan will be prepared and submitted for approval. The total estimated project cost is \$6,670,000.

- **Whiterocks Pipeline Project, Uintah County, Utah – P2 # 330387.** The project consists of the design and reconstruction of approximately 4.5 miles of water supply pipeline in the Whiterocks area of Uintah County, Utah. Only the lower portion of the pipeline has been constructed. Construction was completed by September 2013. All design reviews have been completed. An EA/FONSI was completed by the Corps prior to construction. No further reviews are required. The upper Pipeline has not been designed due to on-going Native American issues. Environmental documentation will need to be performed on the Upper Pipeline once design commences. The Upper Pipeline is currently on hold. The total estimated project cost is \$4,000,000.

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

- a. Type of Work Products.** As defined in EC 1165-2-214, all Rural Nevada and Utah products are categorized as “Other Work Products” as there are no decision documents requiring higher Headquarters’ (HQ’s) approval and the program is not implementing any actions as a result of HQ approved decision documents. Instead, actions implemented are in response to WRDA 1999 Section 595 and the program is adaptively managed as sponsors have identified project needs. Project Partner Agreements (PPAs) have been executed for all current projects. Therefore, “DQC Only” is an acceptable review for products where the risk is determined not to rise to the threshold that would require an ATR. No model certifications are required.
- b. Risk Based Decisions.** Review approaches will be scalable and customized for each effort, commensurate with the level of complexity and relative importance of the actions being supported. All decisions on the types and scopes of review required on a particular product will be “risk-informed” per EC 1165-2-214. These processes will be employed to determine the level of review required and will be documented within the Quality Management Plan (QMP) for each specific work product.
- c. Partnering Options and Anticipated Level of Review.** The Section 595 program allows for six options to partner by means of model Project Partnership Agreements (PPA). These can best be summarized by who is to perform the work; the Government or the non-federal sponsor. In all current Nevada and Utah projects the Sponsors have elected to perform the design and construction in accordance with State and local contracting procedures. The NEPA compliance is performed by the Government in cooperation with the Sponsor. The Findings of No Significant Impact (FONSI) is signed by the District Commander after DQC and legal review.

The scope and anticipated level for review is as follows:

- **Sponsor Design:** When work is performed by the non-federal sponsor it is their responsibility to ensure Quality Control (QC) while USACE assumes a Quality Assurance (QA) role. The Corps will perform a QA review at the 30% design submittal and at the 100% completed design. Additional levels of review are not required but may be performed at the discretion of the District office or at the request of the partner.
- **Environmental Compliance:** The Corps completes the environmental compliance documentation for the Sponsor design. To date all environmental compliance has resulted in an Environmental Assessment and a Findings of No Significant Impact (EA/FONSI). A

DQC is required for the EA/FONSI. If it is determined that the product requires an ATR, then a separate review plan would be prepared and submitted for approval.

- **Sponsor Construction:** Quality assurance reviews are periodically performed by the District when issues arise or requested by the Sponsor. A final inspection is conducted upon project completion. All construction quality control and assurance is the responsibility of the Sponsor.
- **In-Kind Contributions:** Reimbursement of Sponsor costs is based on the invoices of actual design and construction contracts and the efforts to manage those contracts. These Sponsor costs are not considered in-kind contributions. No other in-kind contributions are anticipated.

5. DISTRICT QUALITY CONTROL (DQC)

- General.** DQC is an internal technical review process of basic science and engineering work products focused on fulfilling the project quality requirements. Basic quality control tools include a QMP providing for seamless review, quality checks and reviews, supervisory reviews, and PDT reviews. The DQC is managed by the home District and is performed on all work products. Rural Nevada and Utah work products requiring DQC only fall under the purview of this review plan and will not require a separate product specific review plan to be submitted for approval. See EC 1165-2-214 Appendix C for detailed process description. All work products will be reviewed within the district to ensure they meet project and customer objectives, comply with regulatory and engineering guidance, and meet USACE and customer expectations of quality.
- Quality Assurance.** When work is performed by the non-federal sponsor it is their responsibility to ensure Quality Control (QC) while USACE assumes a Quality Assurance (QA) role. The Corps will perform a QA review at the 30% design submittal and at the 100% completed design. Additional levels of review are not required but may be performed at the discretion of the District office or at the request of the partner. Quality Assurance is performed by the project delivery team for rural Nevada and Utah Section 595 projects.
- Documentation of DQC.** The PM will document the DQC process. This includes recording comments, responses to comments and the back-checking process. Reviewers shall review 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 and provided as part of the report in subsequent compliance packages.

Reviewers shall pay 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.

Review comments shall contain these principal elements:

- 1) A clear statement of concern;
- 2) The basis for concern, such as law, policy, or guidance;
- 3) Significance for the concern; and
- 4) Specific actions needed to resolve the comment.

A copy of the DQC comments and resolution will be submitted to the ATR Team when necessary.

d. District Quality Control Team

Name	Discipline	Phone	Years of Experience	Credentials
Lynne Stevenson	Environmental Resources	916-557-6774	29	M.S. Water Science
Nikki Polson	Cultural Resources	916-557-6977	14	M.A. Anthropology
James Stellmach	Environmental Engineering	916-557-6893	12	Professional Engineer (Environmental)
TBD	Civil Engineering Design Branch		10	Professional Engineer (Civil-water/wastewater)

6. AGENCY TECHNICAL REVIEW (ATR)

- a. ATR Requirement.** As defined in EC 1165-2-214, all Rural Nevada and Utah products are categorized as “Other Work Products” as there are no decision documents requiring higher Headquarters’ (HQ’s) approval and the program is not implementing any actions as a result of HQ approved decision documents. Instead, actions implemented are in response to WRDA 1999 Section 595 and the program is adaptively managed as sponsors have identified project needs. Project Partner Agreements (PPAs) have been executed for all current projects. Therefore, “DQC Only” is an acceptable review for products where the risk as determined by EC 1165-2-214, Paragraph 15 does not rise to the threshold that would require an ATR. If it is determined that any product requires an ATR, then a separate review plan would be prepared and submitted for approval.
- b. General.** Whenever an ATR is deemed to be required (per paragraph 15 of EC 1165-2-214), the following process will be used. An ATR is a technical review by a qualified person or team not affiliated with the development of a project or product for the purpose of confirming the proper application of established criteria, regulation, laws, codes, principles and professional procedures. This level of review may still be referenced as “Independent Technical Review” in other guidance or publications. Management of ATR reviews is dependent upon the phase of work and the reviews are all conducted by professionals outside of the home district. The ATR team “lead” shall be obtained from outside of the originating MSC. A product specific review plan will be submitted for approval under separate cover for all Rural Nevada and Utah work products determined to require an ATR. See EC 1165-2-214 Appendix C for detailed process description.
- c. Required ATR Team Expertise.** Due to the nature of the work products within the Rural Nevada and Utah projects, a scalable and efficient process would be employed for review in the event that an ATR was required. ATR would consist of a review from Environmental Compliance and the appropriate engineering disciplines. For work products executed by the Government, the current ATR plan would be to include at least two reviewers with expertise in each of the following disciplines:
- Environmental/NEPA
 - Infrastructure Design

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

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

7. INDEPENDENT EXTERNAL PEER REVIEW (IEPR)

- a. **General.** Independent External Peer Review (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. Any work product, report, evaluation, or assessment that undergoes DQC and ATR also may be required to undergo IEPR under certain circumstances. A risk-informed decision, as described Engineering Circular (EC) 1165-2-214, will be made as to whether IEPR is appropriate for that product.
- b. **TYPE I IEPR.** A Type I IEPR is conducted for decision documents if there is a vertical team decision (involving the district, MSC, PCX, and HQUSACE members) that the covered subject matter meets certain criteria (described in EC 1105-2-410) where the risk and magnitude of the proposed project are such that a critical examination by a qualified team outside the USACE is warranted. No decision documents are prepared for the Section 595 Rural Nevada and Utah program, therefore a Type I IEPR is not required.
- c. **TYPE II IEPR.** A Type II IEPR (SAR) shall be conducted on design and construction activities for any project where potential hazards pose a significant threat to human life (public safety). This applies to new projects and to the major repair, rehabilitation, replacement, or modification of existing facilities.
- d. **Decision on IEPR.** The decision to conduct IEPR is made by comparing EC 1105-2-410 criterion to the study, as shown in Appendix D. Based on these factors, Type I or Type II IEPRs will not be conducted during the design and construction of the current Section 595 Rural Nevada and Utah projects.

Decision on Type I IEPR

EC 1105-2-410, Appendix D Criteria	Section 595, Rural Nevada and Utah Projects
Is there significant threat to human life?	No. All projects are for water and wastewater systems
Is the total project cost more than \$45M?	All projects are less than \$45M.
Has the Governor of Nevada or Utah requested a Type I IEPR?	The Governors have not requested a Type I IEPR.
Has the head of a Federal or state agency charged with reviewing the project study requested a Type I IEPR?	No requests have been received for a Type I IEPR.
Will there be significant public controversy as to size, nature, or effects of the project?	Public controversy is not anticipated.
Will there be significant public controversy as to the economic or environmental cost or benefit of the project?	Public controversy is not anticipated.

EC 1105-2-410, Appendix D Criteria	Section 595, Rural Nevada and Utah Projects
Will the work be based on information from novel methods, present complex challenges or interpretation, contain precedent-setting methods or models, or present conclusions that are likely to change prevailing practices?	Projects do not involve novel methods, complex challenges or interpretation, precedent-setting methods or models.

Decision on Type II IEPR

EC 1105-2-410, Appendix E Criteria	Section 595, Rural Nevada and Utah Projects
Does the project involve the use of innovative materials or techniques where the engineering is based on novel methods, presents complex challenges for interpretations, contain precedent-setting methods or models, or present conclusions that are likely to change prevailing practices?	No. All projects are for water and wastewater systems and do not involve the use of innovative materials or techniques where the engineering is based on novel methods, presents complex challenges for interpretations, contain precedent-setting methods or models, or present conclusions that are likely to change prevailing practices.
Do the project designs require redundancy, resiliency, and robustness?	All project use standard design practices for the construction of water and wastewater systems.
Do the projects have unique construction sequencing or a reduced or overlapping design construction schedule; for example, significant project features accomplished using the Design-Build or Early Contractor Involvement (ECI) delivery systems?	All project use standard design practices for the construction of water and wastewater systems and do not have any unique construction sequencing or overlapping design-construction schedules.

8. **VALUE ENGINEERING (VE).** A VE Study will be prepared for all construction contracts expected to be greater than \$2,000,000. The VE Study will be either performed by the Sponsor or the District.
9. **BIDDABILITY, CONSTRUCTABILITY, OPERABILITY, ENVIRONMENTAL, AND SUSTAINABILITY (BCOES).** ER 415-1-11 requires a BCOES for all U.S. Army Corps of Engineers (USACE) organizations that perform design or award or administer contracts requiring construction or design-build (D-B) construction activities. All construction contracts are prepared, awarded, and administered by the project Sponsor, therefore a BCOES will not be conducted.
10. **REVIEW SCHEDULES AND COSTS**

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

Task	Cost	Schedule
Eureka VE Study	\$30,000	FY 14
Eureka EA/FONSI - DQC	\$15,000	FY 14
Spanish Springs Final Design	\$10,000	FY 14
Eureka Construction QA	\$5,000	FY 14
Spanish Springs Construction QA	\$5,000	FY 14

11. PUBLIC PARTICIPATION

Coordination and notification of the general public is an important aspect of these projects. Generally, this coordination is performed by the local sponsor. Public input and comments are also required as part of the NEPA process. Public Review of the environmental document is normally 30 days. Any public review comments are addressed in the final document. Additionally this project review plan and any required work product specific review plans will be posted on the home District's web site for public review and comment. It is not anticipated that any public, scientific, or professional societies would be asked to nominate professional reviewers.

12. REVIEW PLAN APPROVAL AND REVISIONS

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

Approved revisions should be recorded in the block below.

REVIEW PLAN REVISIONS

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

13. REVIEW PLAN POINTS OF CONTACT

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

- Michelle Kuhl, Rural Nevada and Utah 595 Program and Project Manager, Sacramento District, 916.557.7619
- MSC contact, Karen Berresford, 415-503-6557, Karen.G.Berresford@usace.army.mil

APPENDIX A

REVIEW PLAN CHECKLIST FOR IMPLEMENTATION DOCUMENTS

Date: NOVEMBER 2012

Originating District: SACRAMENTO DISTRICT

Project/Study Title: CALIFORNIA

PWI #:

District POCPCX Reviewer:

Please fill out this checklist and submit with the draft Review Plan when coordinating with the appropriate RMO. For DQC, the District is the RMO; for ATR of Dam and Levee Safety Studies, the Risk Management Center is the RMO; and for non-Dam and Levee Safety projects and other work products, SPD is the RMO; for Type II IEPR, the Risk Management Center is the RMO. Any evaluation boxes checked 'No' indicate the RP possibly may not comply with EC 1165-2-214 and should be explained. Additional coordination and issue resolution may be required prior to MSC approval of the Review Plan.

REQUIREMENT	REFERENCE	EVALUATION
1. Is the Review Plan (RP) a stand alone document?	EC 1165-2-214, Appendix B Para 4a	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
a. Does it include a cover page identifying it as a RP and listing the project/study title, originating district or office, and date of the plan?		a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
b. Does it include a table of contents?		b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
c. Is the purpose of the RP clearly stated and EC 1165-2-214 referenced?	EC 1165-2-214 Para 7a	c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
d. Does it reference the Project Management Plan (PMP) of which the RP is a component including P2 Project #?	EC 1165-2-214 Para 7a (2)	d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
e. Does it include a paragraph stating the title, subject, and purpose of the work product to be reviewed?	EC 1165-2-214 Appendix B Para 4a	e. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
f. Does it list the names and disciplines in the home district, MSC and RMO to whom inquiries about the plan may be directed?*	EC 1165-2-214, Appendix B, Para 4a	f. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
*Note: It is highly recommended to put all team		

<i>member names and contact information in an appendix for easy updating as team members change or the RP is updated.</i>		
2. Documentation of risk-informed decisions on which levels of review are appropriate.	EC 1165-2-214, Appendix B, Para 4b	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
a. Does it succinctly describe the three levels of peer review: District Quality Control (DQC), Agency Technical Review (ATR), and Independent External Peer Review (IEPR)?	EC 1165-2-214 7a	a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
b. Does it contain a summary of the CW implementation products required?	EC1165-2-214 Para 15	b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
c. DQC is always required. The RP will need to address the following questions:	EC1165-2-214 Para 15a	
i. Does it state that DQC will be managed by the home district in accordance with the Major Subordinate Command (MSC) and district Quality Management Plans?	EC1165-2-214 Para 8a	i. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
ii. Does it list the DQC activities (for example, 30, 60, 90, BCOE reviews, etc)	EC 1165-2-214 Appendix B (1)	ii. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
iii. Does it list the review teams who will perform the DQC activities?	EC 1165-2-214 Appendix B 4g	iii. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
iv. Does it provide tasks and related resource, funding and schedule showing when the DQC activities will be performed?	EC 1165-2-214 Appendix B Para 4c	iv. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
d. Does it assume an ATR is required and if an ATR is not required does it provide a risk based decision of why it is not required? If an ATR is required the RP will need to address the following questions:	EC1165-2-214 Para 15a	d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
i. Does it identify the ATR District, MSC, and RMO points of contact?	EC 1165-2-214 Para 7a	i. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> ATR Not Required
ii. Does it identify the ATR lead from outside the home MSC?	EC 1165-2-214 Para 9c	ii. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> ATR Not Required

iii. Does it provide a succinct description of the primary disciplines or expertise needed for the review (not simply a list of disciplines)? If the reviewers are listed by name, does the RP describe the qualifications and years of relevant experience of the ATR team members?*	EC 1165-2-214 Appendix B 4g	iii. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> ATR Not Required
iv. Does it provide tasks and related resource, funding and schedule showing when the ATR activities will be performed?	EC 1165-2-214 Appendix C Para 3e	iv. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> ATR Not Required
v. Does the RP address the requirement to document ATR comments using Dr Checks?	EC 1165-2-214 Para 7d (1)	v. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<i>*Note: It is highly recommended to put all team member names and contact information in an appendix for easy updating as team members change or the RP is updated.</i>		
e. Does it assume a Type II IEPR is required and if a Type II IEPR is not required does it provide a risk based decision of why it is not required including RMC/ MSC concurrence? If a Type II IEPR is required the RP will need to address the following questions:	EC1165-2-214 Para 15a	e. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
i. Does it provide a defensible rationale for the decision on Type II IEPR?	EC 1165-2-214 Para 7a	i. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
ii. Does it identify the Type II IEPR District, MSC, and RMO points of contact?	EC 1165-2-214 Appendix B Para 4a	ii. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Type II IEPR Not Required
iii. Does it state that for a Type II IEPR, it will be contracted with an A/E contractor or arranged with another government agency to manage external to the Corps of Engineers?	EC 1165-2-214 Appendix B Para 4k (4)	iii. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Type II IEPR Not Required
iv. Does it state for a Type II IEPR, that the selection of IEPR review panel members will be made up of independent, recognized experts from outside of the USACE in the appropriate disciplines, representing a balance of expertise suitable for the review being conducted?	EC 1165-2-214 Appendix B, Para 4k(1) & Appendix E, Para's 1a & 7	iv. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Type II IEPR Not Required

<p>v. Does it state for a Type II IEPR, that the selection of IEPR review panel members will be selected using the National Academy of Science (NAS) Policy which sets the standard for "independence" in the review process?</p> <p>vi. If the Type II IEPR panel is established by USACE, has local (i.e. District) counsel reviewed the Type II IEPR execution for FACA requirements?</p> <p>vii. Does it provide tasks and related resource, funding and schedule showing when the Type II IEPR activities will be performed?</p> <p>viii. Does the project address hurricane and storm risk management or flood risk management or any other aspects where Federal action is justified by life safety or significant threat to human life?</p> <p><i>Is it likely? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></i> <i>If yes, Type II IEPR must be addressed.</i></p> <p>ix. Does the RP address Type II IEPR factors?</p> <p>Factors to be considered include:</p> <ul style="list-style-type: none"> Does the project involve the use of innovative materials or techniques where the engineering is based on novel methods, presents complex challenges for interpretations, contains precedent setting methods or models, or presents conclusions that are likely to change prevailing practices? Does the project design require redundancy, resiliency and robustness Does the project have unique construction sequencing or a reduced or overlapping design construction schedule; for example, significant project features accomplished using the Design-Build or Early Contractor Involvement (ECI) delivery systems. 	<p>EC 1165-2-214 Para 6b (4) and Para 10b</p> <p>EC1165-2-214 Appendix E, Para 7c(1)</p> <p>EC1165-2-214 Appendix E, Para 5a</p> <p>EC1165-2-214 Appendix E Para 2</p>	<p>v. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Type II IEPR Not Required</p> <p>vi. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Type II IEPR Not Required</p> <p>vii. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Type II IEPR Not Required</p> <p>viii Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Water and Wastewater projects only</p> <p>ix Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>
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<p><i>Is it likely? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></i> <i>If yes, Type II IEPR must be addressed.</i></p> <p>g. Does it address policy compliance and legal review? If no, does it provide a risk based decision of why it is not required?</p>	EC 1165-2-214, Para 14	g. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
3. Does the RP present the tasks, timing, and sequence of the reviews (including deferrals)?	EC 1165-2-214, Appendix B, Para 4c	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<p>a. Does it provide and overall review schedule that shows timing and sequence of all reviews?</p> <p>b. Does the review plan establish a milestone schedule aligned with the critical features of the project design and construction</p>	<p>EC 1165-2-214, Appendix C, Para 3g</p> <p>EC 1165-2-214, Appendix E, Para 6c</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>
4. Does the RP address engineering model certification requirements?	EC 1165-2-214, Appendix B, Para 4i	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<p>a. Does it list the models and data anticipated to be used in developing recommendations?</p> <p>b. Does it indicate the certification /approval status of those models and if certification or approval of any model(s) will be needed?</p> <p>c. If needed, does the RP propose the appropriate level of certification??? /approval for the model(s) and how it will be accomplished?</p>		<p>a. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Engineering Model Certification Not Required</p> <p>b. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>c. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
5. Does the RP explain how and when there will be opportunities for the public to comment on the study or project to be reviewed?	EC 1165-2-214, Appendix B, Para 4d	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<p>a. Does it discuss posting the RP on the District website?</p>		a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

b. Does it indicate the web address, and schedule and duration of the posting?		b. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
6. Does the RP explain when significant and relevant public comments will be provided to the reviewers before they conduct their review?	EC 1165-2-214, Appendix B, Para 4e	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable for Engineering Design but only for the EA.
a. Does it discuss the schedule of receiving public comments? b. Does it discuss the schedule of when significant comments will be provided to the reviewers?		a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable for Engineering Design but only for the EA. b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
7. Does the RP address whether the public, including scientific or professional societies, will be asked to nominate professional reviewers?*	EC 1165-2-214, Appendix B, Para 4h	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
a. If the public is asked to nominate professional reviewers then does the RP provide a description of the requirements and answer who, what, when, where, and how questions? * Typically the public will not be asked to nominate potential reviewers		a. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
8. Does the RP address expected in-kind contributions to be provided by the sponsor?	EC 1165-2-214, Appendix B, Para 4j	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
a. If expected in-kind contributions are to be provided by the sponsor, does the RP list the expected in-kind contributions to be provided by the sponsor?		a. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> No In-Kind Contributions
9. Does the RP explain how the reviews will be documented?		Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
a. Does the RP address the requirement to document ATR comments using Dr Checks and Type II IEPR published comments and responses pertaining to	EC 1165-2-214, Para 7d	a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

the design and construction activities summarized in a report reviewed and approved by the MSC and posted on the home district website?		
b. Does the RP explain how the Type II IEPR will be documented in a Review Report?	EC 1165-2-214 Appendix B Para 4k (14)	b. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> IEPR Not Required
c. Does the RP document how written responses to the Type II IEPR Review Report will be prepared?	EC 1165-2-214 Appendix B Para 4k (14)	c. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> IEPR Not Required
d. Does the RP detail how the district/PCX/MSD and CECW-CP will disseminate the final Type II IEPR Review Report, USACE response, and all other materials related to the Type II IEPR on the internet?	EC 1165-2-214 Appendix B Para 5	d. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> IEPR Not Required
10. Has the approval memorandum been prepared and does it accompany the RP?	EC 1165-2-214, Appendix B, Para 7	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Will be drafted after MSD Review

APPENDIX B

CESPD SUPPLEMENTAL REVIEW PLAN CHECKLIST

Review Plan: Date of review:

Reviewed by:

References: CESP R 1110-1-8, Appendix C, Planning; EC 1165-2-214, Civil Works Review Policy

Note: Any “No” answer requires explanation in the comment field.

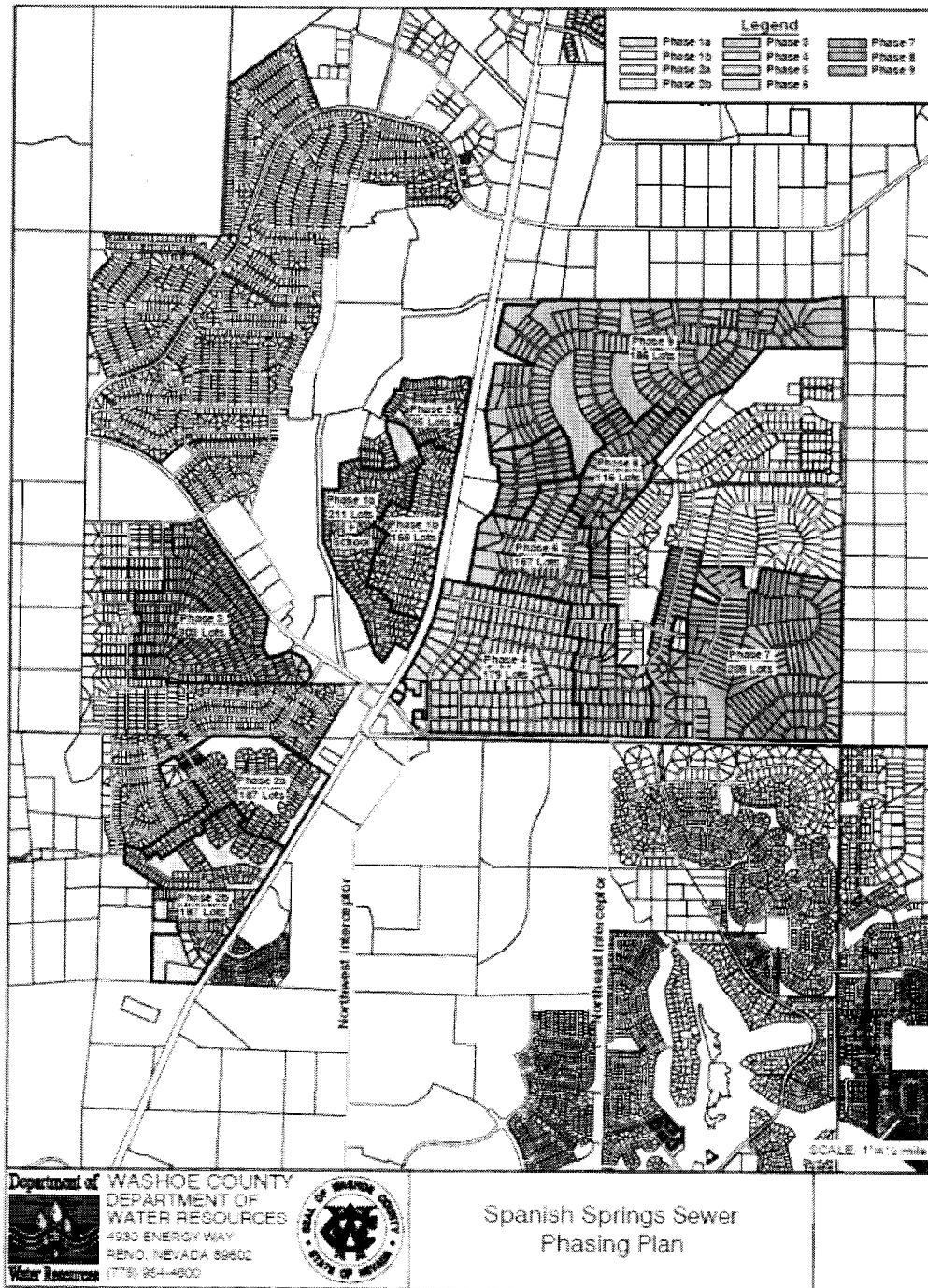
	Item	Yes	No	Comment
1	Is there a Technical Review Strategy Session identified early in the study process? (See Appendix C paragraph 8.2,)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Project is past the TRSS stage,
2	Are potential Continuing Authority Program (CAP) “spinoffs” identified, along with the appropriate QCP identified for them?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No possible CAP spinoffs.
3	Are the review costs identified?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
	For District Quality Control (DQC)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
	ATR?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	ATR Not Required
	Independent External Peer Review (IEPR)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	ATR Not Required
4	Does the RP identify seamless DQC technical review (8.4), including supervisory oversight of the technical products? (See Appendix C paragraph 8.5)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5	Does the RP identify the recommended review comment content and structure? (See Appendix C paragraph 8.5.4)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6	Does the RP encourage face-to-face resolution of issues between the PDT and reviewers? (See Appendix C paragraph 8.5.5)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
7	If issues remain, does the RP must identify an appropriate dispute resolution process? (See Appendix C paragraph 8.6)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	ATR Not Required
8	Does the RP require documentation of all significant decisions, and leave a clear audit trail? (See Appendix C paragraph 8.5.6)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	ATR Not Required
9	Does the RP identify all requirements for technical certifications? (See Appendix C paragraph 8.5.7)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	ATR Not Required
10	Does the RP identify the requirement that without-project hydrology will be certified by the Feasibility Scoping Meeting? (See Appendix C paragraph 8.5.8)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No, this RP is for the implementation phase.
11	Does the RP fully address products developed by contractors? (See Appendix C paragraph 8.10)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
12	Is the need for a VE study identified, and incorporated into the review process, after the feasibility scoping meeting? (See Appendix C paragraph 8.11)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	VE Required for Design
13	Does the RP include a Feasibility Alternative Review Milestone, where CESP buy-in to the recommended plan is obtained? (See Appendix C paragraph 12.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No, this RP is for the implementation phase.

	Item	Yes	No	Comment
14	Does the RP identify the final public meeting milestone? (See Appendix C, Enclosure 1, SPD Milestones)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No, this RP is for the implementation phase.
15	Does the RP identify the report approval process, and if there is a delegated approval authority?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No, this RP is for the implementation phase.
16	Does the RP reference CESP milestones, along with PGN milestones?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

Revised 10May10

Appendix C Project Maps

1. **Spanish Springs, Nevada Phased Sewering Map.** Phase 1b is approximately in the center of the map.



2. Eureka, Utah Existing Sewer Lines Map



Eureka, Utah Existing Water Lines Map



3. **Whiterocks Lower Pipeline Project, Uintah County, Utah (Constructed)**

