DEPARTMENT OF THE ARMY
U.S. ARMY CORPS OF ENGINEERS
441 G STREET, NW
WASHINGTON, D.C. 20314-1000

CECW

DEC 20 2012

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Programmatic Review Plan for Routine Operations and Maintenance Products

1. Purpose. This document is to serve as the U.S. Army Corps of Engineers (USACE) National Programmatic Review Plan (RP) for routine Operations and Maintenance (O&M) products as required by EC 1165-2-214 (Civil Works Review Policy). RPs are in place to ensure product credibility and serve to ensure compliance with applicable requirements for products. The purpose of this National Programmatic RP is to define the requirements, procedures, and specific details of how District Quality Control (DQC) will be conducted for routine O&M products. Appendix B of EC 1165-2-214 states:

> "For large projects, whether in planning, design, construction, or an operating project, a single RP covering all the various work associated with the project should be developed. However, when an activity generally covered under such an overarching RP involves complexities, controversy, or other attributes that would require review beyond that envisioned in the overall RP, a separate review plan is required for that activity. For example, at an operational Corps Lake, most routine activities would be covered under the overarching RP while others such as major rehabilitation studies, dam safety modification reports, activities requiring a separate environmental impact statement, etc. would require individual RP's".

The purpose of this National Programmatic RP is to serve as a single overarching plan to meet this requirement for all routine O&M products. The further intent of this RP is to highlight the requirements, procedures and specific details of how DQC will be conducted for routine O&M products.

2. References.

a. Engineering Circular No. 1165-2-214 - Water Resources Policies and Authorities Civil Works Review Policy.

b. USACE Memorandum Subject: Civil Works Response to Engineer Inspector General "Inspection of USACE Civil Works Review Processes, 22 August 2012".

c. USACE Memorandum Subject: Operations under a Fiscal Year 2013 Continuing Resolution-Civil Works Program, 12 September 2012.

3. Applicability. This National Programmatic RP applies to all routine O&M products that only require a DQC. In general, a product is a written document (e.g. plan, report, agreement, manual, contract, etc.), that presents results or findings of work activities that have been performed. This Review Plan does not apply to Decision or Implementation documents, or any other products that require Agency Technical Review (ATR) or Independent External Peer Review (IEPR).

4. Guidance. At a minimum, all routine O&M products require DQC review. Each routine O&M product must be evaluated against EC 1165-2-214; paragraph 15 to ensure an ATR and/or an IEPR is not required. If it is determined that an ATR and/or an IEPR are required, that routine O&M product must have a separate individual review plan submitted for approval. Refer to Enclosure 6 for a decision matrix on the process to determine if an ATR and/or an IEPR are required. The Routine O&M Product Determination Form must be completed for each routine O&M product (see Enclosure 7). The form shall include a statement that supports that the district has determined that the routine O&M product does not require an ATR and/or IEPR and be signed by the District Operations Chief or their designee. In addition, any routine O&M product that triggers any of the criteria contained within EC 1165-2-214, paragraph 15, should be coordinated with MSCs to ensure consistent and effective review are accomplished throughout a region.

Enclosures 1-5 include examples of routine O&M products that are covered by this Review Plan. This Review Plan is a living document and the list of products covered is not all inclusive. The appendices define, as a minimum, what office(s) must be involved in the DQC review for each product type. MSC business line managers, subject matter experts, etc., should be involved in DQC procedures where district DQC processes or MSC quality management processes dictate higher level review and/or coordination to ensure greatest efficiency and effectiveness of program and product delivery and to reduce disruption to regional systems, improve life safety, or to foster enhanced regional consistency and operations (see EC 1165-2-214 Appendix F).

In addition, review procedures addressed in existing technical engineering circulars and/or engineering regulations should be followed, as required, even if those activities are routine and may be covered by this RP.

This RP does not obviate the need for districts to provide a complete package for routine O&M products for MSC approval where MSC commander or their designee's approval is required.

5. District Quality Control Review. DQC is required for all routine O&M products covered under this National Programmatic RP. District quality control 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. Basic quality control tools include a Quality Management Plan providing for seamless review, quality checks and reviews, supervisory reviews, Project Delivery Team reviews, etc.

Quality checks and reviews occur during the development process and are carried out as a routine management practice. Quality checks may be performed by staff responsible for the work, such as supervisors, work leaders, team leaders, designated individuals from the senior staff, or other qualified personnel. However, they should not be performed by the same people who performed the original work, including managing/reviewing the work in the case of contracted efforts.

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 resolution support from the MSC and HQUSACE.

6. By my signature below, this RP is approved and will be posted on the HQUSACE website. O&M projects that develop the routine O&M products covered in this RP shall use the approval date of this memorandum for their P2 CW035 milestone.

7. This National Programmatic RP for routine O&M products is a living document. Periodic reviews and updates to this plan are expected to occur and may result in improvements to this plan. My point of contact for this action is Ms. Margaret Gaffney-Smith, Acting Deputy Chief, Operations and Regulatory Division who can be reached at 202-761-8560 or meg.e.gaffney-smith@usace.army.mil.

FOR THE COMMANDER:

STEVEN L. STOCKTON, P.E.
Director of Civil Works

Encls
1. Hydropower
2. Navigation
3. Natural Resource Management
4. Flood Risk Management
5. Other Miscellaneous O&M Products
6. Decision Matrix Prior to Using Routine O&M Review Plan
7. Routine O&M Work Product Determination Form

Enclosure 1

Hydropower
Routine O&M Products

Routine O&M Product	Review Team		
	District BLM	District Offices	HDC
Changes to Control System, SCADA Systems, PLC Based Systems and Other Software Configurable Devices	X	Rg HTC, IAM	X
Changes to Telecommunications Systems that are Used for SCADA/Control Systems	X	Rg HTC, IAM	
Development/Update of Drawings and Manuals	X	Rg HTC	
Equipment and System Repairs and Direct Component Replacement for Hydropower Equipment*	X	Rg HTC	X
Equipment and System Repairs and Direct Component Replacement for non-Hydropower Equipment	X	EN, Rg HTC	
Maintenance Plans	X	Rg HTC	
Project Operation Plans – e.g. Black Start	X	Rg HTC	
Protective Relaying – Replacements or Setting Changes	X	Rg HTC	X
Testing Plans and Procedures	X	Rg HTC	

* As defined in ER 1110-2-109

BLM – Local District's Hydropower Business Line Manager
EN – Engineering Division
HDC – Hydroelectric Design Center
IAM – Information Assurance Manager
Rg HTC – Regional Hydropower Technical Center (If Applicable)

Enclosure 2

Navigation
Routine O&M Products

Routine O&M Product	Review Team		
	BLM	District Offices	MDC
Advanced Maintenance Dredging Requests	X	EN	
Condition Surveys, Reports and Assessments (Channels and Structures)	X	EN	
Debris Removal Plans	X		
Disposal Site Dike Raise Plans to Include Construction Funded	X	EN	
Dredged Material Management Plans	X	EN, PD, OC, RE	
Dredged Material Placement Facility Management Plans	X	EN	
Emergency Dredging Requests	X	PD	
Environmental Compliance Documents and Reports – Including Environmental Assessments and Biological Assessments	X	EN/PD	
Fish Monitoring Reports	X	PD	
Floating Plant Procurement Documents	X		X
Funding Agreements	X	OC, PD	
Letter Reports/Monitoring Plans	X	EN, PD	
Lock Closure Plan	X	PA, NAV CX	
Lock Levels of Service Plans	X	PA	
Maintenance Dredging Documents	X		
Maintenance Plans	X		
Major Floating Plant Repair Documents*	X		X
Major Maintenance Reports	X	EN	
Minor Floating Plant Repair Documents	X		
Periodic Inspections and Operational Condition Assessment	X	EN	
Plan for In-Place Repairs on Major Components, including Plans and Specifications	X	EN	
Plan for In-Place Repairs on Minor Components, including Plans and Specifications	X		
Plans for Structure Maintenance – Including Jetties and Bridges	X	EN	
Project Operation Plans	X		
Raise the Flag Requests	X		
Safety Sign Plans/Replacement (Structures)	X	EN	
Sampling & Analysis Plans	X	EN, PD	

Sand Mitigation Documents	**X**	**EN**	
Sounding Charts	**X**	**EN**	
Water Quality Reports & NOIs	**X**	**EN, PD**	
Wreck Removal Plans	**X**		

* Items requiring PRIP funding are considered major.

BLM – Local District's Navigation Business Line Manager
EN – Engineering Division
MDC – Marine Design Center
NAV CX – Navigation Regional Center of Expertise (If Applicable)
OC – Office of Counsel
PA – Public Affairs Office
PD – Planning Division
RE – Real Estate Division

Enclosure 3

Natural Resource Management
Routine O&M Products

Routine O&M Product	Review Team	
	OP NRM/BLM	District Offices
Accessibility Survey/ Transition Plans	X	
Annual Pesticide Mgt Plans	X	ECC
Annual Water Safety Plan	X	SO
Annual Work Plan	X	
Categorical Exclusion Records of Decision and Environmental Assessment Documents	X	PD
Contributions Plans	X	OC, RM
Cooperative Association Agreements	X	OC, RM, RE
Environmental Compliance Reviews (ERGO)		ECC
Environmental Management System Documents and Plans.		ECC
Historic Properties/Cultural Resources Management Plan	X	ECC, PD
Master Plans and Updates w/o an EIS	X	PD, RE, OC
OMB Approved Surveys	X	
Operational Management Plans (includes but not limited to plans related to park, forest, wildlife, vegetation, threatened and endangered species and fire management.)	X	
Park Closure/Significant Operational Change Plans	X	PA
Park development plans	X	EN
Partnership Agreements	X	OC, RM, RE
Preliminary Assessment Survey for Real Estate Instrument, Environmental Condition Property Report or Report of Availability (ROA) for (Lease/License) New & renewal	X	RE, ECC
Prescribed Fire Plan	X	SO
Project Sign Plans	X	
Publications/Brochures	X	PA
Routine Maintenance Plans	X	
Shoreline Mgt Plans w/o an EIS	X	OC, RE, SO
Spill Prevention and Control Plans	X	ECC, SO

BLM – Local District's REC or ES Business Line Manager
ECC – Environmental Compliance Coordinator
EN – Engineering Division
NRM – Natural Resource Manager
OC – Office of Counsel
PA – Public Affairs
PD – Planning Division
RE – Real Estate
RM - Resource Management
SO – Safety Office

Enclosure 4

Flood Risk Management
Routine O&M Products

Routine O&M Product	Review Team	
	BLM	District Offices
Closure Plan	X	RCX
Emergency Action Plans	X	OPS, EN, PAO
Funding Agreements	X	OC, PD
In-Place Repairs on Major Components, including Plans and Specifications	X	EN
In-Place Repairs on Minor Components, including Plans and Specifications	X	OPS
Interim Risk Reduction Measures	X	EN, RCX, PAO
Maintenance Plans (Dams)	X	OPS, EN
Major Plant Repairs*	X	EN, RCX
Minor Plant Repairs	X	OPS
Periodic Assessments	X	EN, RCX
Periodic Inspections**	X	EN
Project Operation Plans (Dams)	X	OPS, EN
Reservoir Scheduling/Deviations	X	EN
Routine Inspections**	X	EN

* Items requiring PRIP funding are considered major.
**Follow existing DQC requirements for Dam & Levee Safety Program ECs and ERs and their associated processes.

BLM – Local District's FRM Business Line Manager
EN – Engineering Division
OC – Office of Counsel
PD – Planning Division
RCX – Regional Center of Expertise (If Applicable)
OPS – Operations Division

Enclosure 5

Other Miscellaneous O&M Products

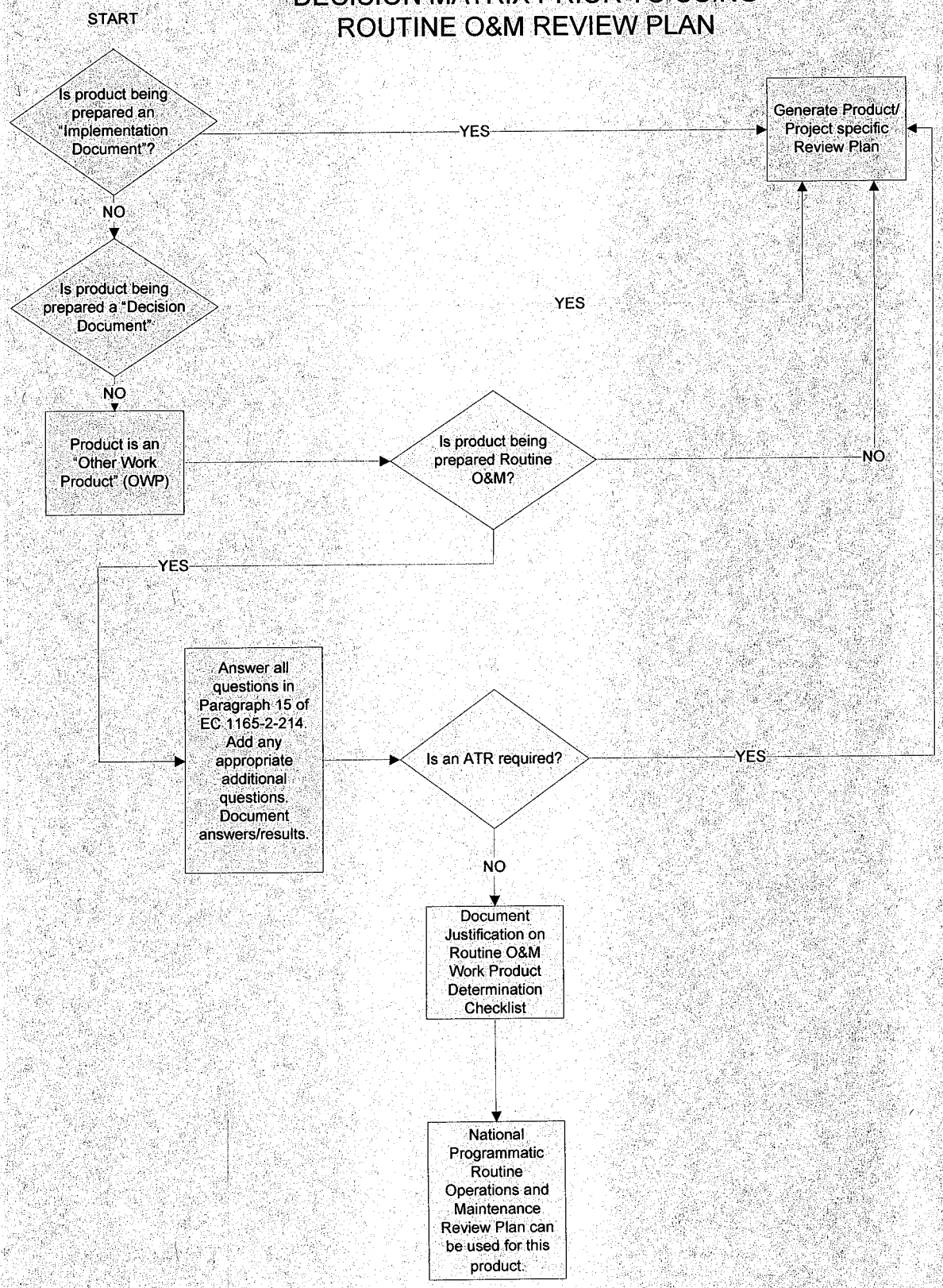
Routine O&M Product	Review Team	
	District OPS	District Offices
Communications Plans	X	PA, RCX, EN
COR Reports	X	
District Budgets (i.e. Operating Budget)	X	
District Workload Assessment	X	PM
Facility and Equipment Maintenance (FEM) Program Plans	X	RMM
Operational Condition Assessments (OCA) Program Plans	X	EN, BLM, RAM, RMM
PRIP Requests	X	RM
Routine Contracts* Including Plans & Specifications	X	CT
Sustainability Reports	X	
Visa Reports	X	

* District contracting procedures must be followed including BCOE review if applicable

BLM – Local District's Business Line Manager for the Work Product
PA – Public Affairs Office
CT – Contracting
PM – Project Management
RAM – Regional Asset Manager
RMM – Regional Maintenance Manager

Enclosure 6

DECISION MATRIX PRIOR TO USING ROUTINE O&M REVIEW PLAN



Enclosure 7

Routine O&M
Work Product Determination Form

Work Product Description: _____

Facility: _____

This work product is an Other Work Product per EC 1165-2-214 **Y / N**

This work product is Routine O&M **Y / N**

Does not require an ATR per EC 1165-2-214 paragraph 15 **Y / N**

Justification: _____

_____

_____

Note: If any of the above are no, the Routine O&M Review Plan cannot be used.

_____ _____

Chief, Operations Division **Date**