

Aligning Expectations

Review Roles and Responsibilities

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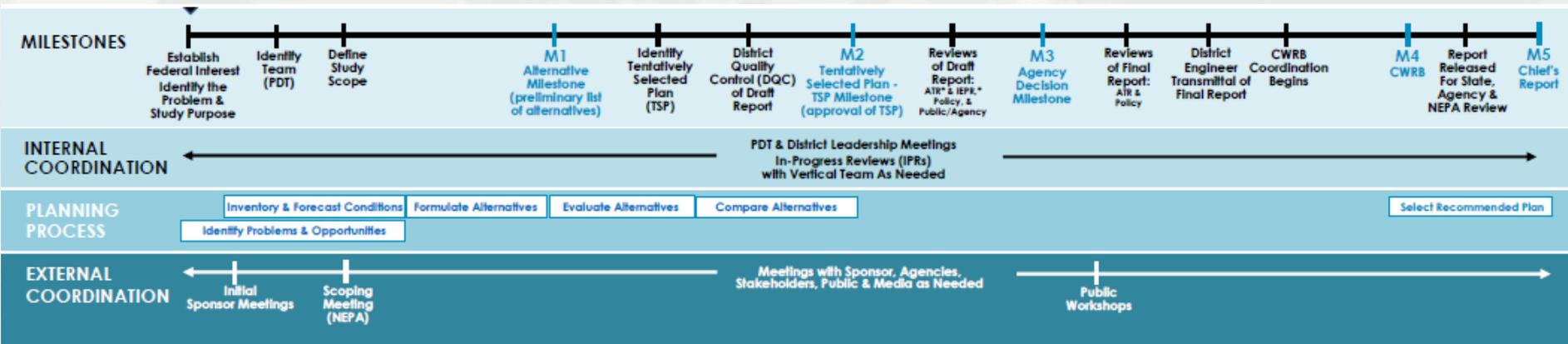
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US Army Corps of Engineers
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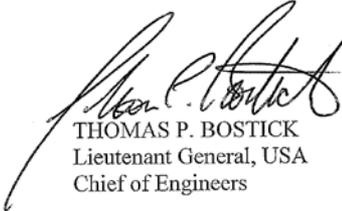


Review Session Milestones



Purpose of Review

- The goal of the variety of reviews conducted throughout the development of the decision document is for the reporting officers to **present the Chief of Engineers with legally and policy compliant recommendations for technically correct solutions** that can be endorsed without modification to the Administration and the Congress



THOMAS P. BOSTICK
Lieutenant General, USA
Chief of Engineers



Types of Review

- Technical
 - ▶ Internal: District Quality Control (DQC)* and Agency Technical Review (ATR)*
 - ▶ External: National Environmental Policy Act (NEPA)*, Independent External Peer Review (IEPR), and State & Agency (S&A)*
- Legal
- Policy
- Quality Assurance (QA)
- Sponsor



*These reviews have sessions of their own



New and Upcoming Review Guidance

- WRRDA 14 Sec 1001 Implementation Guidance (concurrent review)
- WRRDA 14 Sec 1044 (IEPR)
- Upcoming Policy Guidance Notebook (update of ER 1105-2-100, App G&H)
- Upcoming CW Review interim EC (formally EC 1165-2-214)



Evolution Under Planning Modernization

- PDT plays an unique role in being involved with **every** review level, and is responsible for all responses and updates to the documents
- Focus on **vital DQC** and connection to MSC QA
- **QA** role going back to original intent of PGN, but with new processes and **focus on risk**
- ATR and IEPR are risk-informed
- Policy reviewers only formally review reports



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Both DQC and ATR

- Ensure technical and policy compliance through evaluation of presented methods, assumptions, criteria, decision factors, applications, and explanations
- Reviewers must be independent
- Other reviews may overlap, but never substitute
- PDTs/Reviewers must buy into review process as effective reviews lead to time and money savings...which translates to quality products



DQC

- **All** work products must undergo DQC; procedures prescribed in MSC/District QMP.
- Accomplished by those not involved directly with study. Final approval of DQC team lies with the MSC.
- For small Districts or complex studies DQC team may come from outside District/MS.
- Must be documented in accordance with QMP.
- Must be completed **prior** to other reviews.



ATR

- Mandatory for all decision and implementation documents
- Required, **targeted, scalable**...throughout study process
- Reviews the DQC
- ATR Team established by RMO (PCX) for that mission area (except CAP which is managed by MSC)
- Documented in DrChecks using 4-part comment structure



IEPR

- IEPR must focus on its independence!
 - ▶ PCX IEPR Lead as PDT/OEO Liaison
- IEPR moved to concurrent review
 - ▶ Review Plan must be more thoughtful (especially considering budget)
 - ▶ Much lower level of detail (more planning focused)
 - ▶ Must be *more* risk-informed
 - ▶ PDT must clarify important points and details to Panel
 - ▶ Initiate Type II (Safety Assurance Review) earlier
- IEPR costs not deducted from \$3M study cost



WRRDA 14 IEPR Process Changes

- Cost threshold increased from \$45M to \$200M
- More frequent and quicker reporting on decisions
 - ▶ Public and Congressional notification:
 - When IEPR *is not* conducted
 - When IEPR *is* conducted
 - ▷ Review beginning and ending dates
 - ▷ Entity conducting the review
 - ▷ Panel member names and qualifications
 - Final Report
 - Agency Response
- WRDA 2007, Section 2034 extended til Nov 2019



IEPR SOP and Templates

- SOP is being updated
 - ▶ Reflects changes from SMART Planning
 - ▶ Appendix E (District Agency Response Preparation)
 - ▶ Appendix F (Vertical Team Agency Response Processing)
- Templates being developed
 - ▶ Performance Work Statement
 - ▶ Independent Government Estimate
 - ▶ Transmittal Memos
 - ▶ Kick-Off Call Agenda
 - ▶ Proposal Evaluation Memo
 - ▶ Panel Backcheck Record Memo
 - ▶ Charge to Reviewers



MSC Roles and Responsibilities

- Ensure QA for conduct and reporting of analyses and recommendations
- Support District and PDT by securing additional skilled resources as needed
- Assist with resolution of technical and policy issues as required
- Key part of Charette process
- Coordination with HQ
 - ▶ Early identification of issues
 - ▶ Awareness of upcoming reviews
 - ▶ Alignment of expectations
- Coordination with National Planning Centers of Expertise (PCX)
 - ▶ Ensures Review Plans
 - ▶ Ensures Review Team Coordination
 - ▶ Ensures Review comments are adequately addressed/closed out
 - ▶ Facilitates resolution of conflicts between review team and district



MSC Roles Cont'd

- Draft Report
 - ▶ QA: Ensure DQC comments, ATR comments have been resolved. Ensure that decision log is reflected in process and report. Ensures all reviews done as outlined in review plan.
- Agency Decision MS
 - ▶ QA that all review issues are 'resolved' or path to resolution enough to present to panel. Help resolve conflicting comments and comment priorities.
- Final Report
 - ▶ QA: review of the report for the MSC Commander endorsement memo, stating support of final report.



MSC Roles Cont'd

- CWRB
 - ▶ Resolving/coordinating any remaining review issues.
Present how QA was performed in CWRB presentation
- Chief Report
 - ▶ Facilitate support towards a timely Chiefs Report, Facilitate timely distributions and finalization of NEPA responses
- Post Authorization Change Reports



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Legal

- Legal review begins **early** in the study process so that issues are identified and addressed promptly, with elevation to higher authority as appropriate.
- Legal Sufficiency Review by District Counsel of Draft Report.
- Legal Certification of Final Report by HQUSACE Counsel.



PCX / MCX /RMC

- Engage appropriate PCXs – early and often
 - ▶ Not all created or operated alike
 - ▷ e.g. DDNPCX mandatory Economic production center
 - ▶ Key member of Charrette Cadre
 - ▶ Assists / advises on model selection / usage
 - ▶ Assists with Review Plan, DQC and ATR teams
 - ▶ Executes IEPR, assists with issue resolution
- Cost MCX – engage as part of ATR, allow sufficient time for Cost Review and Certification
- RMC – err on the side of caution and engage them. PCX can help advise
 - ▶ Traditionally thought of with Dam and Levee Safety but skills can be used elsewhere too
 - ▶ Nature of their role requires review before DQC and ATR
 - ▶ Resource for DQC and ATR comment responses
 - ▶ Risk Assessment and Evaluation skills can help focus study



Policy

- **HQUSACE** is responsible for the policy review and approval of all decision documents requiring approval by the DCW, DCG, or ASA(CW), all decision documents recommending Congressional action, and documents intended to inform the Congress.
- The policy review team is engaged **throughout** project development to identify potential policy conflicts, to address conflicts when they can be most efficiently and effectively addressed, and to ensure that the **ultimate recommendations of the reporting officers are policy compliant** so that they can be supported by the Chief of Engineers.



Sponsor Reviews

- Varies by study and sponsor
- Begins with Scoping Charette
- Should be included at a minimum at each major milestone
- Include during study execution – seek input feedback as effort progresses – head off surprises
- Include in IPR's if possible
- Seek their review on vertical team meeting read aheads
- Must Review and understand recommendation of Draft Report and Final reports
- Can participate as part of DQC process



Other Review Sessions at Workshop

- DQC and Agency Technical Review – What you Should Know
- How to Effectively Write and Respond to Review Comments
- Lessons Learned in Concurrent Review and Issue Resolution Process Strategies
- Understanding the 3x3x3 Rule and Exemption Process



The A-Team

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