DECISION DOCUMENT REVIEW PLAN

USING THE PROGRAMMATIC REVIEW PLAN MODEL

for

Continuing Authorities Program

Section 107 Ogdensburg Harbor, NY Feasibility Study

Buffalo District

Project Title: Ogdensburg Harbor, NY
Project No.: 323654

Location: Ogdensburg Harbor is a deep draft commercial harbor located in the upper northeastern portion of New York State, in the city of Ogdensburg, St Lawrence County. It is located on the St. Lawrence River about 60 miles below Lake Ontario. It is the easternmost Buffalo District harbor on the St. Lawrence River and it is located 13 miles west of the St. Lawrence Rivers Iroquois Lock and 33 miles east of Alexandria Bay, directly across from Prescott, Ontario. The harbor is situated at the mouth of the Oswegatchie River, in the City of Ogdensburg, St. Lawrence County, New York.

MSC Approval Date: 21 FEB 2013
Last Revision Date: 12 Feb 2013

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1. PURPOSE AND REQUIREMENTS

a. Purpose. This Review Plan defines the scope and level of peer review for the Ogdensburg Harbor, NY, Section 107 single purpose navigation project decision document.

Section 107 of River and Harbor Act of 1960, as amended, authorizes the Corps to study, adopt, construct and maintain navigation projects. This is a Continuing Authorities Program which focuses on water resource related projects of relatively smaller scope, cost and complexity. Unlike the traditional Corps' civil works projects that are of wider scope and complexity, the Continuing Authorities Program is delegated authority to plan, design, and construct certain types of water resource and environmental restoration projects without specific Congressional authorization.

Additional Information on this program can be found in Engineering Regulation 1105-2-100, Planning Guidance Notebook, Appendix F.

b. Applicability. This review plan is based on the model Programmatic Review Plan for Section 14, 107, 111, 204, 206, 208 and 1135 project decision documents, which is applicable to projects that do not require Independent External Peer Review (IEPR), as defined in ER 1165-2-214 Civil Works Review. A Section 14, 107, 111, 204, 206, 208 and 1135 project does not require IEPR if ALL of the following specific criteria are met:

- The project does not involve a significant threat to human life/safety assurance;
- The total project cost is less than $45 million;
- There is no request by the Governor of an affected state for a peer review by independent experts;
- The project does not require an Environmental Impact Statement (EIS),
- The project/study is not likely to involve significant public dispute as to the size, nature, or effects of the project;
- The project/study is not likely to involve significant public dispute as to the economic or environmental cost or benefit of the project;
- The information in the decision document or anticipated project design is not likely to be based on novel methods, involve the use of innovative materials or techniques, present complex challenges for interpretation, contain precedent-setting methods or models, or present conclusions that are likely to change prevailing practices;
- The project design is not anticipated to require redundancy, resiliency, and/or robustness, unique construction sequencing, or a reduced or overlapping design construction schedule; and
- There are no other circumstances where the Chief of Engineers or Director of Civil Works determines Type I IEPR is warranted.

If any of the above criteria are not met, the model Programmatic Review Plan is not applicable and a study specific review plan must be prepared by the home district, coordinated with the appropriate Planning Center of Expertise (PCX) and approved by the home Major Subordinate Command (MSC) in accordance with EC 1165-2-214.

Applicability of the model Programmatic Review Plan for a specific project is determined by the home MSC. If the MSC determines that the model plan is applicable for a specific study, the MSC Commander may approve the plan (including exclusion from IEPR) without additional coordination

with a PCX or Headquarters, USACE. The initial decision as to the applicability of the model plan should be made no later than the Federal Interest Determination (FID) milestone (as defined in Appendix F of ER 1105-2-100, F-10.e.1) during the feasibility phase of the project. A review plan for the project will subsequently be developed and approved prior to execution of the Feasibility Cost Sharing Agreement (FCSA) for the study. In addition, per EC 1165-2-214, the home district and MSC should assess at the Alternatives Formulation Briefing (AFB) whether the initial decision on Type I IEPR is still valid based on new information. If the decision on Type I IEPR has changed, the District and MSC should begin coordination with the appropriate PCX immediately.

This review plan does not cover implementation products. A review plan for the design and implementation phase of the project will be developed prior to approval of the final decision document in accordance with EC 1165-2-214.

c. References

(1) Engineering Circular (EC) 1165-2-214, Civil Works Review, 15 Dec 2012
(2) Director of Civil Works' Policy Memorandum #1, Jan 19, 2011
(3) EC 1105-2-412, Assuring Quality of Planning Models, 31 Mar 2010
(4) Engineering Regulation (ER) 1110-1-12, Quality Management, 30 Sep 2006
(5) ER 1105-2-100, Planning Guidance Notebook, Appendix F, Continuing Authorities Program, Amendment #2, 31 Jan 2007
(6) ER 1105-2-100, Planning Guidance Notebook, Appendix H, Policy Compliance Review and Approval of Decision Documents, Amendment #1, 20 Nov 2007

d. Requirements. This programmatic review plan was developed in accordance with EC 1165-2-214, which establishes an accountable, comprehensive, life-cycle review strategy for Civil Works products by providing a seamless process for review of all Civil Works projects from initial planning through design, construction, and operation, maintenance, repair, replacement and rehabilitation (OMRR&R). The EC outlines four general levels of review: District Quality Control/Quality Assurance (DQC), Agency Technical Review (ATR), Independent External Peer Review (IEPR), and Policy and Legal Compliance Review. In addition to these levels of review, decision documents are subject to cost engineering review and certification (per EC 1165-2-214) and ensuring that planning models and analysis are compliant with Corps policy, theoretically sound, computationally accurate, transparent, described to address any limitations of the model or its use, and documented in study reports (per EC 1105-2-412).

2. REVIEW MANAGEMENT ORGANIZATION (RMO) COORDINATION

The RMO for peer review management of Section 107 decision documents is typically the home MSC. After coordination with the MSC, it has been decided that the RMO for this Review Plan (RP) and the ATR is the Deep Draft Navigation Planning Center of Expertise (DDNPCX). The MSC will coordinate and approve the review plan. The home District will post the approved review plan on its public website. A copy of the approved review plan (and any updates) will be provided to the DDNPCX who will post a link to the RP on its website.

3. STUDY INFORMATION

a. Decision Document. The Ogdensburg Harbor, NY decision document will be prepared in accordance with ER 1105-2-100, Appendix F. The approval level of the decision document (if policy compliant) is the home MSC. An Environmental Assessment (EA) will be prepared along with the decision document.

b. Study/Project Description.

Ogdensburg Harbor is authorized in River & Harbor Acts of 1910, 1919 and 1935 and is a Deep Draft commercial harbor with authorized depths of 19 feet in the upper entrance channel and city front channel, 21 feet in the lower basin and 27 feet in the lower entrance channel. It is the 197th leading U.S. port with 118,413 tons of material shipped or received in 2010 and it is ranked 49th among the Great Lakes Ports. Major stakeholders include U.S Coast Guard, Ogdensburg Bridge and Port Authority, commercial shipping interests (road salt and corn gluten) and the recreational boating community. The harbor requires dredging on an infrequent basis, and was last dredged in 1984. The current sediment backlog within the functional harbor areas is estimated at approximately 74,000 cubic yards. USACE initiated a study under Section 107, Small Navigation Projects program. The Ogdensburg Bridge and Port Authority is the non-Federal sponsor. A determination of Federal interest was completed by the USACE, Buffalo District on August 31, 2011 and found a positive interest in moving forward to the cost-shared Feasibility study phase. Feasibility will commence once a Feasibility Cost-Sharing Agreement is signed. Each project is limited to a Federal cost of $4,000,000.

Per the Federal Interest Determination the description of the Recommended Plan is Deepening the western end of the Lower Entrance Channel (Figure 1). This area currently is limited to a 20 foot LWD. Directly adjacent to this area to the east, is a part of the dock with water depth of 27 feet (LWD). Deepening the western end of the Lower Entrance Channel would eliminate the need to reposition the vessels during unloading operations and would eliminate the cost of moving the lightered tons to the main stockpile area. It is estimated that about 66,500 cubic yards of material needs to be removed, based on dredging needed to be performed adjacent to the dock and west of the dock for vessel turning purposes. The provision of consistently deep channels will have multiple positive impacts on shippers using the ports facilities in the future, as well as the cost of the services the port provides. Selective channel deepening can result in decreases in a number of vessel operator related transportation costs, as well as reductions in port commodity handling costs. A list of potential cost saving categories that could be realized by vessel operators and port handling operations was developed. The applicability of these potential benefit categories follows, as well as the derivation of specific benefit categories. The estimate of project costs was developed to include: Contractors Earnings plus Contingencies (mobilization and demobilization costs, dredging costs, disposal costs etc), Construction Package Development, Project Management Overhead, Engineering Supervision during Construction, and Real Estate costs to arrive at Total First Costs. Interest during Construction was added to these costs to arrive at Investment Costs. These Investment Costs were then converted to average annual costs using a 4.125% annual interest and a 50-year project life. Annual Maintenance costs were added to Investment Costs to arrive at Average Annual Costs. The estimated first costs of this alternative is roughly [redacted], which is within the authorized Federal limit.

The Section 107 Fact Sheet prepared for approval by HQUSACE in consultation with the OASA (CW) during the fully Federal funded portion of the feasibility phase of the study was approved in FY12.

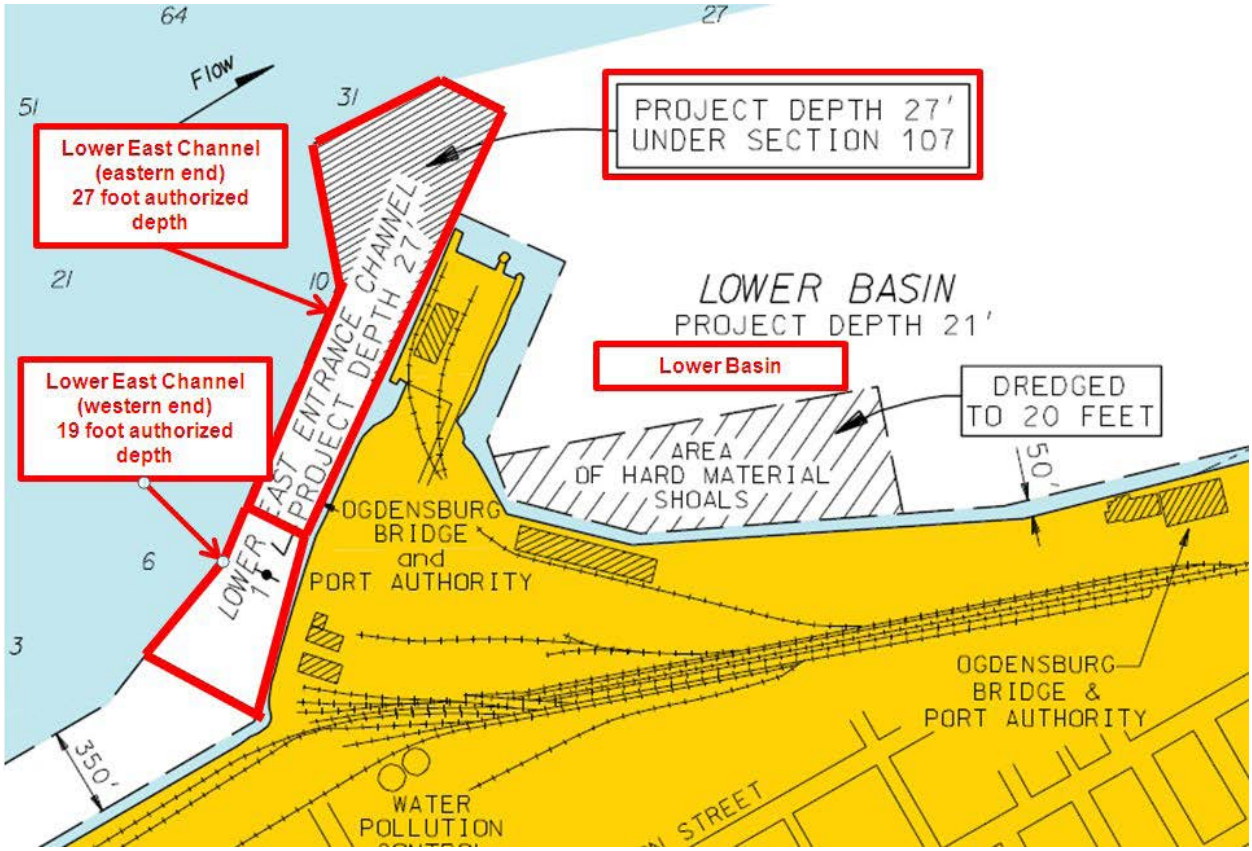

FIGURE 1 – Ogdensburg Harbor – Potential Project Areas

c. Factors Affecting the Scope and Level of Review.

Challenges: The measures involved in the Section 107 Ogdensburg harbor project are not expected to generate significant technical, institutional, or social challenges.

Project Risks: Preliminary project risks are outlined in Attachment 5. The risks associated with this project are generally considered low due to the routine nature of dredging and dredge material placement operations that the Corps conducts regularly.

Life Safety: The project will neither be justified by life safety or will involve significant threat to human life/safety assurance. There is no reason to believe that any measures involved in the project are associated with a significant threat to human life.

Governor Request for Peer Review: The Governor **has not** requested peer review by independent experts.

Public Dispute: The project/study is not anticipated to be controversial nor result in 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.

Decision Document Information: The information in the decision document will take advantage of prevailing practices and methodologies. It is not expected to be based on novel methods or involve the use of innovative techniques, or present complex challenges for interpretation.

Construction Sequencing/Redundancy: It also **not** anticipated that the project will require unique construction sequencing or redundancy.

d. In-Kind Contributions. Products and analyses provided by non-Federal sponsors as in-kind services are subject to DQC and ATR, similar to any products developed by USACE. Geotechnical drilling and lab testing may be done by the non-Federal sponsor. If so, all will work be included in the DQC and ATR reviews.

4. DISTRICT QUALITY CONTROL (DQC)

All decision documents (including supporting data, analyses, environmental compliance documents, etc.) shall undergo DQC. DQC is an internal review process of basic science and engineering work products focused on fulfilling the project quality requirements defined in the Project Management Plan (PMP) of which this RP is a part. The home district shall manage DQC. Documentation of DQC activities is required and should be in accordance with the Quality Manual of the District and the home MSC.

a. Documentation of DQC. Following the completion of the DQC review by the PDT members and their respective counterparts as necessary, the PDT will sign a certification sheet documenting DQC. The Chief of Planning will also sign a certification sheet documenting that District Quality Control has been completed. Upon request, both certification sheets will be provided to the ATR team prior to their review of the draft Feasibility Study. Review comments, evaluations, and backchecks will be input into DrChecks**.**

b. Products to Undergo DQC.

(1) Review Plan
(2) Alternative Formulation Briefing Documentation
(3) Feasibility Study

c. Required DQC Expertise. Additional DQC of all products will be accomplished by senior (GS-12 or above) staff not directly involved in preparation of the products from the following disciplines:

(1) Planning
(2) Project Management
(3) Coastal/Geotechnical
(4) Design
(5) Cost Estimating
(6) Environmental
(7) Office of Counsel
(8) Real Estate

5. AGENCY TECHNICAL REVIEW (ATR)

ATR is mandatory for all decision documents (including supporting data, analyses, environmental compliance documents, etc.). The objective of ATR is to ensure consistency with established criteria, guidance, procedures, and policy. The ATR will assess whether the analyses presented are technically correct and comply with published USACE guidance, and that the document explains the analyses and results in a reasonably clear manner for the public and decision makers. ATR is managed within USACE by the designated RMO and is conducted by a qualified team from outside the home district that is not involved in the day-to-day production of the project/product. ATR teams will be comprised of senior USACE personnel and may be supplemented by outside experts as appropriate. The ATR team lead will be from outside the home MSC. The DDNPCX is responsible for identifying the ATR team members and no candidates will be nominated by the home district/MSC.

a. Products to Undergo ATR. ATR will be performed throughout the study in accordance with the District and Regional Quality Management System (QMS). The ATR shall be documented and discussed at the Alternative Formulation Briefing (AFB) milestone. Certification of the ATR will be provided prior to the District Commander signing the final report. Products to undergo ATR include the draft Feasibility Report and any supporting Draft Appendices.

b. Required ATR Team Expertise. (Note: All team members should be experienced with Section 107 Harbor deepening project).

ATR Team Members/Disciplines	Expertise Required
ATR Lead	The ATR lead should be a senior professional preferably with experience in preparing Section 107 decision 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). The ATR Lead MUST be from outside the Great Lakes and Ohio River Division.
Planning	The Planning reviewer should be a senior water resources planner with experience in operations and maintenance of Federal harbors.
Economics	Team member will be experienced in operations and maintenance of Federal harbors.
Environmental Resources	Technical specialist for environmental assessment related to operations and maintenance of Federal harbors. Familiar with the NEPA process.
Geotechnical/Coastal Engineering	Team member will be experienced in operations and maintenance of Federal harbors.
Civil Engineering	Team member will be experienced in operations and maintenance of Federal harbors.
Cost Engineering	Cost DX Staff or Cost DX Pre-Certified Professional with experience preparing cost estimates for harbor deepening projects.

Real Estate	Team member will be experienced with lands, easements, rights-of-way, relocation, and disposal real estate processes.

c. Documentation of ATR. DrChecks review software will be used to document all ATR comments, responses and associated resolutions accomplished throughout the review process. Comments should be limited to those that are required to ensure adequacy of the product. The four key parts of a quality review comment will normally include:

(1) The review concern – identify the product's information deficiency or incorrect application of policy, guidance, or procedures;
(2) The basis for the concern – cite the appropriate law, policy, guidance, or procedure that has not been properly followed;
(3) The significance of the concern – indicate the importance of the concern with regard to its potential impact on the plan selection, recommended plan components, efficiency (cost), effectiveness (function/outputs), implementation responsibilities, safety, Federal interest, or public acceptability; and
(4) The probable specific action needed to resolve the concern – identify the action(s) that the reporting officers must take to resolve the concern.

In some situations, especially addressing incomplete or unclear information, comments may seek clarification in order to then assess whether further specific concerns may exist.

The ATR documentation in DrChecks will include the text of each ATR concern, the PDT response, a brief summary of the pertinent points in any discussion, including any vertical team coordination (the vertical team includes the district, RMO, MSC, and HQUSACE), and the agreed upon resolution. If an ATR concern cannot be satisfactorily resolved between the ATR team and the PDT, it will be elevated to the vertical team for further resolution in accordance with the policy issue resolution process described in either ER 1110-2-12 or ER 1105-2-100, Appendix H, as appropriate. Unresolved concerns can be closed in DrChecks with a notation that the concern has been elevated to the vertical team for resolution.

At the conclusion of each ATR effort, the ATR team will prepare a Review Report summarizing the review. Review Reports will be considered an integral part of the ATR documentation and shall:

- Identify the document(s) reviewed and the purpose of the review;
- Disclose the names of the reviewers, their organizational affiliations, and include a short paragraph on both the credentials and relevant experiences of each reviewer;
- Include the charge to the reviewers;
- Describe the nature of their review and their findings and conclusions;
- Identify and summarize each unresolved issue (if any); and
- Include a verbatim copy of each reviewer's comments (either with or without specific attributions), or represent the views of the group as a whole, including any disparate and dissenting views.

ATR may be certified when all ATR concerns are either resolved or referred to the vertical team for resolution and the ATR documentation is complete. The ATR Lead will prepare a Statement of Technical Review certifying that the issues raised by the ATR team have been resolved (or elevated to the vertical team). A Statement of Technical Review should be completed prior to the District

Commander signing the final report. A sample Statement of Technical Review is included in Attachment 2.

6. INDEPENDENT EXTERNAL PEER REVIEW (IEPR)

IEPR may be required for decision documents under certain circumstances. 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. A risk-informed decision, as described in EC 1165-2-214, is made as to whether IEPR is appropriate. IEPR panels will consist of independent, recognized experts from outside of the USACE in the appropriate disciplines, representing a balance of areas of expertise suitable for the review being conducted. There are two types of IEPR:

- Type I IEPR. Type I IEPR reviews are managed outside the USACE and are conducted on project studies. Type I IEPR panels assess the adequacy and acceptability of the economic and environmental assumptions and projections, project evaluation data, economic analysis, environmental analyses, engineering analyses, formulation of alternative plans, methods for integrating risk and uncertainty, models used in the evaluation of environmental impacts of proposed projects, and biological opinions of the project study. Type I IEPR will cover the entire decision document or action and will address all underlying engineering, economics, and environmental work, not just one aspect of the study. For decision documents where a Type II IEPR (Safety Assurance Review) is anticipated during project implementation, safety assurance shall also be addressed during the Type I IEPR per EC 1165-2-214.

  For Section 14, 107, 111, 204, 206, 208 and 1135 decision documents prepared under the model Programmatic Review Plan, Type I IEPR is not required.

- Type II IEPR. Type II IEPR, or Safety Assurance Review (SAR), are managed outside the USACE and are conducted on design and construction activities for hurricane, storm, and flood risk management projects or other projects where existing and potential hazards pose a significant threat to human life. Type II IEPR panels will conduct reviews of the design and construction activities prior to initiation of physical construction and, until construction activities are completed, periodically thereafter on a regular schedule. The reviews shall consider the adequacy, appropriateness, and acceptability of the design and construction activities in assuring public health safety and welfare.

  For Section 14, 107, 111, 204, 206, 208 and 1135 decision documents prepared under the model Programmatic Review Plan, Type II IEPR is not anticipated to be required in the design and implementation phase, but this will need to be verified and documented in the review plan prepared for the design and implementation phase of the project.

a. Decision on IEPR. Based on the information and analysis provided in the preceding paragraphs of this review plan, the project covered under this plan is excluded from IEPR because it does not meet the mandatory IEPR triggers and does not warrant IEPR based on a risk-informed analysis. If any of the criteria outlined in paragraph 1(b) are not met, this model Programmatic Review Plan is not applicable and a study specific review plan must be prepared by the home district, coordinated with the appropriate PCX and approved by the home MSC in accordance with EC 1165-2-214.

b. Products to Undergo Type I IEPR. Not applicable.

c. Required Type I IEPR Panel Expertise. Not Applicable.

d. Documentation of Type I IEPR. Not Applicable.

7. POLICY AND LEGAL COMPLIANCE REVIEW

All decision documents will be reviewed throughout the study process for their compliance with law and policy. Guidance for policy and legal compliance reviews is addressed in Appendix H, ER 1105-2-100. These reviews culminate in determinations that the recommendations in the reports and the supporting analyses and coordination comply with law and policy, and warrant approval or further recommendation to higher authority by the home MSC Commander. DQC and ATR augment and complement the policy review processes by addressing compliance with pertinent published Army policies, particularly policies on analytical methods and the presentation of findings in decision documents.

8. COST ENGINEERING MANDATORY CENTER OF EXPERTISE (MCX) REVIEW AND CERTIFICATION

All decision documents shall be coordinated with the Cost Engineering MCX, located in the Walla Walla District. For decision documents prepared under the model Programmatic Review Plan, Regional cost personnel that are pre-certified by the MCX will conduct the cost engineering ATR. The MCX will provide the Cost Engineering Certification. The RMO will coordinate with the Cost Engineering MCX on the selection of the cost engineering ATR team member.

9. MODEL CERTIFICATION AND APPROVAL

The approval of planning models under EC 1105-2-412 is not required for CAP projects. MSC Commanders are responsible for assuring models for all planning activities to ensure the models are technically and theoretically sound, compliant with USACE policy, computationally accurate, and based on reasonable assumptions. Therefore, the use of a certified/approved planning model is highly recommended and should be used whenever appropriate. 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. The selection and application of the model and the input and output data is still the responsibility of the users and is subject to DQC and ATR.

The responsible use of well-known and proven USACE developed and commercial engineering software will continue and the professional practice of documenting the application of the software and modeling results will be followed. As part of the USACE Scientific and Engineering Technology (SET) Initiative, many engineering models have been identified as preferred or acceptable for use on Corps studies and these models should be used whenever appropriate. The selection and application of the model and the input and output data is still the responsibility of the users and is subject to DQC and ATR.

a. Planning Models. The following planning models are anticipated to be used in the development of the decision document:

Model Name and Version	Brief Description of the Model and How It Will Be Applied in the Study	Certification / Approval Status
Study specific spreadsheet model expected from Economics		The DDNPCX will obtain approval for use.

b. Engineering Models. The following engineering models are anticipated to be used in the development of the decision document:

Model Name and Version	Brief Description of the Model and How It Will Be Applied in the Study	Approval Status
MII	Microcomputer-Aided Cost Estimation System; Used to generate detailed cost estimates for each alternatives.	Approved

10. REVIEW SCHEDULES AND COSTS

a. ATR Schedule and Cost.

Item to Undergo ATR	Schedule	Estimated Cost (by PDT) for ATR
Draft DPR and Appendices	TBD	$[redacted]

b. Type I IEPR Schedule and Cost. Not applicable.

c. Model Review Schedule and Cost. For decision documents prepared under the model Programmatic Review Plan, use of existing certified or approved planning models is encouraged. Where uncertified or unapproved model are used, review of the model for use will be accomplished through the ATR process. The ATR team should apply the principles of EC 1105-2-412 during the ATR to ensure the model is theoretically and computationally sound, consistent with USACE policies, and adequately documented. If specific uncertified models are identified for repetitive use within a specific district or region, the appropriate PCX, MSC(s), and home District(s) will identify a unified approach to seek certification of these models.

11. PUBLIC PARTICIPATION

State and Federal resource agencies may be invited to participate in the study covered by this review plan as partner agencies or as technical members of the PDT, as appropriate. Agencies with regulatory review responsibilities will be contacted for coordination as required by applicable laws and procedures. The ATR team will be provided copies of public and agency comments. Throughout the scoping process, stakeholders and interested parties are invited to provide comment on the alternatives that will be evaluated in the Section 107 Ogdensburg Harbor study. An Environmental Analysis will address the potential social, economic and environmental benefits and adverse impacts that would result from each

alternative plan selected for detailed analysis. A mandatory public comment period will be included for the Environmental Assessment.

12. REVIEW PLAN APPROVAL AND UPDATES

The home MSC Commander is responsible for approving this review plan and ensuring that use of the Model Programmatic Review Plan is appropriate for the specific project covered by the plan. The review plan is a living document and may change as the study progresses. The home district is responsible for keeping the review plan up to date. Minor changes to the review plan since the last MSC Commander approval are documented in Attachment 3. Significant changes to the review plan (such as changes to the scope and/or level of review) should be re-approved by the MSC Commander following the process used for initially approving the plan. Significant changes may result in the MSC Commander determining that use of the Model Programmatic Review Plan is no longer appropriate. In these cases, a project specific review plan will be prepared and approved in accordance with EC 1165-2-214 and Director of Civil Works' Policy Memorandum #1. The latest version of the review plan, along with the Commanders' approval memorandum, will be posted on the home district's webpage.

13. REVIEW PLAN POINTS OF CONTACT

Public questions and/or comments on this review plan can be directed to the following points of contact:

USACE Buffalo District (LRB) Points of Contact

- [redacted], Project Manager [redacted]

Great Lakes and Ohio River Division Points of Contact

- [redacted] (CELRD), [redacted]
- [redacted] (CELRD), [redacted]
- [redacted] (CECW-LRD), [redacted], [redacted]

Review Management Organization Points of Contact

- [redacted] (CESAM-PD-D), DDNPCX lead, [redacted]
- [redacted] (CESAM-PD-d), DDNPCX reviewer, [redacted]

ATTACHMENT 1: TEAM ROSTERS

PROJECT DELIVERY TEAM

Team Member	Role	e-mail Address	Phone Number
[redacted]	Project Manager	[redacted]	[redacted]
[redacted]	CAP Program Manager	[redacted]	[redacted]
[redacted]	Supervisory Coastal Engineer	[redacted]	[redacted]
[redacted]	Coastal Engineer	[redacted]	[redacted]
[redacted]	Coastal Engineer – Sampling/Borings	[redacted]	[redacted]
[redacted]	Lead Planner	[redacted]	[redacted]
[redacted]	Economist	[redacted]	[redacted]
[redacted]	Regional Economist (ATR experience w/ Alaska District – possible DQC lead)	[redacted]	[redacted]
[redacted]	Environmental Specialist	[redacted]	[redacted]
[redacted]	Cost Engineering	[redacted]	[redacted]
[redacted]	Safety Office	[redacted]	[redacted]
[redacted]	Real Estate	[redacted]	[redacted]
[redacted]	Civil/Structural	[redacted]	[redacted]
[redacted]	LRB Dredging Program Manager	[redacted]	[redacted]
[redacted]	Executive Director, Ogdensburg Bridge and Port Authority (Sponsor)	[redacted]	[redacted]
[redacted]	Director of Commercial & Industrial Development (OBPA)	[redacted]	[redacted]
[redacted]	Director of Operations (OBPA)	[redacted]	[redacted]
[redacted]	NYS Department of State (Deputy Secretary for Local Government - Dredging window)	One Commerce Plaza, 99 Washington Ave., Albany, NY 12231-0001	[redacted]
[redacted]	NYS Department of Environmental Conservation Region 6 (Permits Supervisor, Division of Regulatory Affairs)	317 Washington Street, Watertown, NY 13601	[redacted]
[redacted]	St. Lawrence Seaway Development Corporation (Associate Administrator)	180 Andrews Street, Massena, NY 13662	[redacted]

ATR TEAM

Name	Organization	Contact Information	Discipline
[redacted]	CEPOA-PM-C-PL	[redacted]	ATR Lead
[redacted]	CESAM-PD-FP	[redacted]	Planning
[redacted]	CESAM-PD-D	[redacted]	Economics
[redacted]	CESAM-PD-EC	[redacted]	Environmental Resources
[redacted]	CESAM-EN-GG	[redacted]	Civil Engineering
[redacted]	CECCE-PM	[redacted]	Cost Engineering
[redacted]	CEMVD	[redacted]	Real Estate

VERTICAL TEAM

Name	Location	Phone	Email
[redacted]	LRD	[redacted]	[redacted]
[redacted]	LRD-OR	[redacted]	[redacted]
[redacted]	CECW-LRD	[redacted]	[redacted]
[redacted]	DDNPCX	[redacted]	[redacted]

ATTACHMENT 2: SAMPLE STATEMENT OF TECHNICAL REVIEW FOR DECSION DOCUMENTS

COMPLETION OF AGENCY TECHNICAL REVIEW

The Agency Technical Review (ATR) has been completed for the Feasibility Study (Detailed Project Report) for CAP Section 107 Ogdensburg Harbor, NY. The ATR was conducted as defined in the project's Review Plan to comply with the requirements of EC 1165-2-214. 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[sm].

_____ _____

TBD
ATR Team Leader
CE

Date

_____ _____

[redacted]
Project Manager
CELRB-PM-PM

Date

_____ _____

[redacted],. (DDNPCX – Mobile District)
[redacted] (DDNPCX – Mobile District)
Review Management Office Representatives

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.**

Per email by Hank Jarboe on 01 DEC 2011, "The submitted decision document for Section 107 Ogdensburg Harbor, NY has undergone all the appropriate levels of review (District Quality Control, Agency Technical Review, Independent External Peer Review, and Policy and Legal Review) as required by EC 1165-2-214."

As noted above, all concerns resulting from the ATR of the project have been fully resolved.

_____ _____

[redacted]
Chief, Engineering Division (home District)
TD-D

Date

_____ _____

[redacted]
Chief, Planning Division (home District)
PM-PL

Date

ATTACHMENT 3: REVIEW PLAN REVISIONS

Revision Date	Description of Change	Page / Paragraph Number

ATTACHMENT 4: ACRONYMS AND ABBREVIATIONS

Term	Definition	Term	Definition
AFB	Alternative Formulation Briefing	NED	National Economic Development
ASA(CW)	Assistant Secretary of the Army for Civil Works	NER	National Ecosystem Restoration
ATR	Agency Technical Review	NEPA	National Environmental Policy Act
CAP	Continuing Authorities Program	O&M	Operation and maintenance
CSDR	Coastal Storm Damage Reduction	OMB	Office and Management and Budget
DPR	Detailed Project Report	OMRR&R	Operation, Maintenance, Repair, Replacement and Rehabilitation
DQC	District Quality Control/Quality Assurance	OEO	Outside Eligible Organization
DX	Directory of Expertise	OSE	Other Social Effects
EA	Environmental Assessment	PCX	Planning Center of Expertise
EC	Engineer Circular	PDT	Project Delivery Team
EIS	Environmental Impact Statement	PAC	Post Authorization Change
EO	Executive Order	PMP	Project Management Plan
ER	Ecosystem Restoration	PL	Public Law
FDR	Flood Damage Reduction	QMP	Quality Management Plan
FEMA	Federal Emergency Management Agency	QA	Quality Assurance
FRM	Flood Risk Management	QC	Quality Control
FSM	Feasibility Scoping Meeting	RED	Regional Economic Development
GRR	General Reevaluation Report	RMC	Risk Management Center
HQUSACE	Headquarters, U.S. Army Corps of Engineers	RMO	Review Management Organization
IEPR	Independent External Peer Review	RTS	Regional Technical Specialist
ITR	Independent Technical Review	SAR	Safety Assurance Review
LRR	Limited Reevaluation Report	USACE	U.S. Army Corps of Engineers
MSC	Major Subordinate Command	WRDA	Water Resources Development Act

ATTACHMENT 5: PRELIMINARY RISK EVALUATION

Risk Factor	Event	Probability of Occurrence	Severity of Risk	Overall Project Risk	Risk Response/Control (Ac)-Accept (Av)-Avoid (M)-Mitigate
HEALTH & SAFETY	Minor injury requiring first aid	Seldom	Negligible	Low	(Av) Follow Health & Safety Plan
	Minor injury/accident	Seldom	Marginal	Low	(Av) Follow Health & Safety Plan
	Major accident with permanent partial/temporary total disability >3 months	Unlikely	Critical	Low	(Av) Follow Health & Safety Plan
	Major accident causing death or permanent total disability	Unlikely	Catastrophic	Moderate	(Av) Follow Health & Safety Plan
COST SHORTAGE/ OVERRUN	Insignificant cost increase	Likely	Negligible	Low	(Ac) Update 2101 form monthly
	5-10% cost increase	Seldom	Marginal	Low	(M) Update 2101, reallocate resources
	10-20% cost increase	Unlikely	Critical	Low	(M) Update 2101, reallocate resources
	>20% cost increase	Unlikely	Catastrophic	Moderate	(Av) Revise Scope of Work
SCHEDULE DELAYS	Insignificant schedule slippage	Likely	Negligible	Low	(Ac) Adjust Milestone date
	5-10% schedule slippage	Seldom	Marginal	Low	(M) Adjust Milestone date; Increase progress reporting frequency
	10-20% schedule slippage	Unlikely	Critical	Low	(M) Adjust Milestone date; Increase progress reporting frequency
	>20% schedule slippage	Unlikely	Catastrophic	Moderate	(M) Adjust project completion date
SCOPE OF WORK	Scope change barely noticeable	Seldom	Negligible	Low	(M) Update PMP; Follow Communications Plan
	Minor areas of scope are affected	Seldom	Marginal	Low	(M) Update PMP; Follow Communications Plan
	Scope change unacceptable to customer	Unlikely	Critical	Low	(Av) Review SOW w/Stakeholders
	Project end item is effectively useless	Unlikely	Catastrophic	Moderate	(Av) Review goals & objectives
QUALITY ISSUES	Quality degradation barely noticeable	Seldom	Negligible	Low	(Av) ITR; Follow QCP/QAP
	Quality reduction requires customer approval	Unlikely	Marginal	Low	(Av) ITR; Follow QCP/QAP
	Quality reduction unacceptable to customer	Unlikely	Critical	Low	(Av) ITR; Follow QCP/QAP
	Project end item is effectively useless	Unlikely	Catastrophic	Moderate	(Av) ITR; Follow QCP/QAP
	Cost of Implementation Prohibitively Expensive for Non-Federal Sponsor	Likely	Critical	Moderate	(Ac) LRD will reprogram funds as needed regardless of program strategy; (Av) Communicate critical repayment needs and the project (factors) affected by lack of repayment; (Av) Create and maintain repayment schedule and coordinate with DPM and Programs; (M) Proactively communicate situation and program affects with customer as needed with a positive path forward plan; (M) Pool available resources to try and meet critical needs.

PROJECT SPECIFIC	Recommended Alternative is not accepted by the Non-Federal sponsor	Unlikely	Marginal	Moderate	(Ac) Scientific scrutiny is part of regional context, scientific critics exist and are unavoidable; (Av) Utilize peer review processes proactively and throughout project process; (Av) Engage critics through proactive information sharing and utilize strategic communication plan; (M) Listen to critics and weight input.
	Unavailability of non-federal sponsor provided supporting information required to complete the Feasibility study	Likely	Critical	Moderate	(Av) Follow Communication Plan and coordinate necessary information needs with the appropriate principals identified in the PDT.
	Conflicts with USACE resource availability as compared to higher priority projects – impacts timely completion of the Feasibility study	Likely	Critical	High	(Ac) Follow Communications plan within the USACE PDT to include the Program Advocates as to the effect of other competing project needs for resources as they relate to this project and other district needs. Communicate changes with PDT and Customer.
	Delays in schedule may impact availability of funding for the timely completion of this project.	Likely	Critical	High	(Av) Execute the established schedule, make changes to the schedule following internal Project Change Request process. (Av) Communicate closely with PDT and resource providers as to availability of PDT members and search for new PDT members as resource issues become apparent.
	Placement of dredged material	Likely	Critical	High	(Ac) Dredged material must be placed elsewhere after dredging occurs (M) If dredged material cannot be open lake placed or placed in Confined Dredged Disposal Site (Site No.5), beneficial use (Brownfields, etc.) may have to be looked at.
	Borings to determine capability to dredge (top of rock)	Likely	Critical	High	(Ac) Borings must be done to determine if dredging can occur at allowable depths. (M) Blasting could occur to allow for allowable depths. (Av) Determine if the cost of the borings would lead to a project cost over the $4,000,000 Federal authorized limit.
	Dredging	Likely	Critical	Moderate	(Ac) There will likely be a high cost and low availability of obtaining a dredging company. (Av) There is a $4,000,000 Federal authorized limit for completing a Section 107 project. (M) The sponsor can provide funding above the $4,000,000 authorized limit.
	Dredging - Shipments	Likely	Critical	High	(Ac) All dredging activities need to be coordinated with the Port's shipments schedule. (M) Specify logistics as it relates to shipping time schedules before awarding the project contract. (Av) Avoid dredging when shipments are being received and loaded.

	Environmental Windows for dredging	Likely	Critical	High	(Ac) There is no known dredging window per Mr. Asquith's records but, if there is one as we progress in the study, it will be accepted and coordinated into the schedule. The determination is made by NYSDEC and NYS Dept. of State. (Av) An environmental window cannot be avoided. (M) An environmental window cannot be mitigated.
	St. Lawrence Seaway closure	Guaranteed	Marginal	Low	(Ac) The PDT and Port must accept the closure of the St. Lawrence Seaway from January to March due to ice formation on the river when conducting project activities.
	Dredging – Oswegatchie river water levels	Unlikely	Negligible	Low	LRB H&H determined that water levels should not be impacted due to backwater affects from the St. Lawrence River if dredging is done (15 OCT 12). If the study determines that water levels could be impacted, H&H will need to be involved.
	Sheet pile depth near project area	Likely	Critical	Moderate	(Ac) Per the design team, the sheet pile near the project area needs to be deep enough to dredge down to the 27 feet (or whatever depth is selected) (M) Review the Port records as well as do a stability analysis for $20k with 3 weeks time. (Av) Sheet pile must be stable and deep enough to dredge to the selected depth and cannot be avoided.
	Environmental evaluations	Guaranteed	Marginal	Moderate	(Ac) The environmental work has cost impacts per the following description: We assume the dredged material will be placed in the existing partner owned CDF. If the placement does not result in any discharge of return water to the river or harbor, additional sampling may not be necessary and would also eliminate the need for a 401 WQC and 404(b)(1) evaluation. If material is open lake placed, then the sampling and evaluations must be done. (M)(Av) Environmental work cannot be mitigated or avoided due to laws and regulations.
	Canadian vs. U.S. dredging company	Guaranteed	Critical	Moderate	(Ac) A U.S. company has a higher mobilization cost than a Canadian dredger. (M) Work with the St. Lawrence Seaway Development Corporation for dredging (note: environmental and water controls may be a major concern for them). Can we use a Canadian dredger to help reduce project costs? If so, who determines that we can? (Av) If the selected alternative is deepening the harbor, then selecting a dredger cannot be avoided.