



DEPARTMENT OF THE ARMY
MISSISSIPPI VALLEY DIVISION, CORPS OF ENGINEERS
P.O. BOX 80
VICKSBURG, MISSISSIPPI 39181-0080

REPLY TO
ATTENTION OF:

15 APR 2008

CEMVD-PD-SP

MEMORANDUM FOR Commander, St. Louis District *JS*

SUBJECT: Navigation and Ecosystem Sustainability Program,
Herculaneum Wingdam/Dike Alteration Project, Peer Review Plan
(PRP)

1. References:

a. EC 1105-2-408, 31 May 2005, Peer Review of Decision documents.

b. Memorandum, CECW-CP, 30 March 2007, subject: Peer Review Process.

c. Supplement to memorandum, CEMVD-PD-N, 30 March 2007, subject: Peer Review Process.

d. Memorandum, CEMVD-PD-N, 26 February 2008, subject: Navigation and Ecosystem Sustainability Program, Herculaneum Wingdam/Dike Alteration Project, Ecosystem Planning Center of Expertise Recommendation for Approval of Peer Review Plan (encl).

2. I hereby approve subject PRP and concur in the recommendation that external peer review of this project is not required for the following reasons: (1) implementation costs will not exceed \$45 million, (2) the project is not novel, controversial, or precedent-setting, and (3) the project will not have significant interagency interest or adverse impacts on cultural, economic, and environmental resources. The proposed PRP has been coordinated with the National Ecosystem Planning Center of Expertise (ECO-PCX) and concurred in by the ECO-PCX. The PRP complies with all applicable policy and provides an adequate independent technical review of the plan formulation, engineering and environmental analyses, and other aspects of the plan development. Non-substantive changes to this PRP do not require further approval.

REC'D APR 15 2008

15 APR 2008

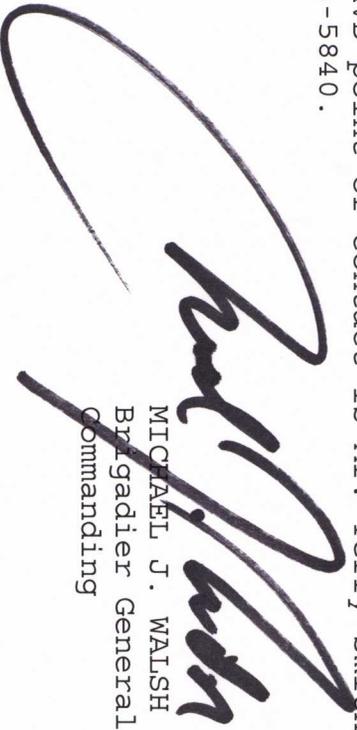
CEMVD-PD-SP

SUBJECT: Navigation and Ecosystem Sustainability Program,
Herculanum Wingdam/Dike Alteration Project, Peer Review Plan
(PRP)

3. The District should post the PRP to its web site and provide a link to the ECO-PCX for posting on their web page, as well as providing a copy of the final approved PRP to the ECO-PCX for their use. Before posting to the web site, the names of Corps/Army employees should be removed in accordance with reference 1.b. above.

4. The MVD point of contact is Mr. Terry Smith, CEMVD-PD-SP,
(601) 634-5840.

Encl



MICHAEL J. WALSH
Brigadier General, USA
Commanding



DEPARTMENT OF THE ARMY

MISSISSIPPI VALLEY DIVISION, CORPS OF ENGINEERS
P.O. BOX 80
VICKSBURG, MISSISSIPPI 39181-0080

REPLY TO
ATTENTION OF:

CEMVD-PD-N

26 February 2008

MEMORANDUM FOR Commander, Mississippi Valley Division
ATTN: (Charles Barton, CEMVD-PD-SP)

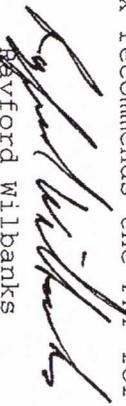
SUBJECT: Navigation and Ecosystem Sustainability Program, Herculaneum
Wingdam/Dike Alteration Project, Ecosystem Planning Center of
Expertise Recommendation for Approval of Peer Review Plan

1. References:
 - a. EC 1105-2-408, Peer Review of Decision documents, 31 May 2005.
 - b. CECW-CP Memorandum and attachment, 30 March 2007, subject:
Peer Review Process.

2. The proposed PRP has been coordinated with the National Ecosystem Planning Center of Expertise (ECO-PCX) and concurred in by the ECO-PCX. The PRP complies with all applicable policy and provides an adequate independent review of the plan formulation, engineering, and environmental analyses, and other aspects of the plan development. The ECO-PCX concurs with the conclusion that external peer review of this project is not necessary because 1) the implementation costs are not likely to be above the External Peer Review requirement for projects costing more than \$45 million, 2) the project is not novel, controversial, or precedent-setting, and 3) the project will not have significant interagency interest or significant adverse impacts on cultural, economic, and environmental resources. Non-substantive changes to this PRP do not require further approval.

3. The district should post the PRP to its web site and provide a link to the ECO-PCX for posting on their web page, as well as providing a copy of the final approved PRP to the ECO-PCX for their use. Before posting to the web site the names of Corps/Army employees should be removed in accordance with reference 1.b. above.

4. Conclusion. The ECO-PCX recommends the PRP for approval by MVD.


Rayford Wilbanks
Director, National Ecosystem Planning
Center of Expertise

CF:
CEMVD-RB-T (D. Vigh)
CEMVR-PM-F (C. Knollenberg)
CEMVD-PD-SP (T. Smith)
CEMVS-EC-HPR (D. Lamm)

Encl

CEMVR-PM-F

26 February 2008

MEMORANDUM FOR RECORD

SUBJECT: Ecosystem Restoration Planning Center of Expertise, Review of Peer Review Plan for Herculaneum Reach Wingdam/Dike Alteration Project, Navigation and Ecosystem Sustainability Program, St. Louis District.

1. The Ecosystem Restoration Planning Center of Expertise (PCX) conducted a review of the subject peer review plan. The attached version of the subject plan meets the criteria as outlined by EC 1105-2-408 and the March 2007 supplemental.
2. The plan recommends ITR only because 1) no influential scientific information will be produced by the study and 2) the risk was assessed as low. The total project cost is not likely to exceed \$5.2M which is below the proposed \$45M trigger for EPR. Standard models will likely be used for analysis. Validation of these standard models is anticipated at the Nation level. Project specific model certification will not likely be needed.



Camie Knollenberg
Ecosystem Restoration Planning Center
of Expertise
Action District - Rock Island

ATTACHMENT:

Review Comments
Endorsed Peer Review Plan
Draft Endorsement Memo from PCX

CF:

MVS-EC-HPR (Dawn Lamm)
MVS-PM-F (Michelle Kniep)
MVD-PD-SP (Terry Smith)
LRC-PM-PL-E (Frank Veraldi)

PEER REVIEW PLAN

**V1. Wing Dam/Dike Alteration-Herculanum Reach
Wing Dike Alteration/Ecosystem Restoration
PIR**

1. Purpose and Requirements.

a. This document outlines the peer review plan for the Dike Alteration – Herculanum Reach Project Implementation Report. EC 1105-2-408 dated 31 May 2005 “Peer Review of Decision Documents” 1) establishes procedures to ensure the quality and credibility of Corps decision documents by adjusting and supplementing the review process and 2) requires that documents have a peer review plan. The Circular applies to all feasibility studies and reports and any other reports that lead to decision documents that require authorization by Congress.

b. The Circular outlines the requirement of the two review approaches (independent technical review (ITR) and external peer review (EPR)) and provides guidance on Corps Planning Centers of Expertise (PCX) involvement in the approaches. This document addresses review of the decision document as it pertains to both approaches and planning coordination with the appropriate Center.

(1) ITR. Districts are responsible for reviewing the technical aspects of the decision documents through the ITR approach. ITR is a critical examination by a qualified team that was not involved in the day-to-day technical work that supports the decision document. ITR is intended to confirm that such work was done in accordance with clearly established professional principles, practices, codes, and criteria. In addition to technical review, documents should also be reviewed for their compliance with laws and policy. The Circular also requires that Dr. Checks (<https://www.projnet.org/projnet/>) be used to document all ITR comments, responses, and associated resolution accomplished.

(2) EPR. The Circular added external peer review to the existing Corps review process. This approach does not replace the standard ITR process. The external peer review approach applies in special cases where the magnitude and risk of the project are such that a critical examination by a qualified person outside the Corps is necessary. EPR can also be used where the information is based on novel methods, presents complex interpretation challenges, contains precedent-setting methods or models, or is likely to affect policy decisions that have a significant impact. The degree of independence required for technical review increases as the project magnitude and project risk increase.

(a) Projects with low magnitude and low risk may use a routine ITR.

(b) Projects with either high magnitude/low risk or low magnitude/high risk would require both Corps and outside reviewers on the ITR team to address the portions of the project that cause the project to rate high on the magnitude or risk scale.

(c) Projects with high magnitude and high risk require a routine ITR as well as an EPR.

(3) PCX Coordination. The Circular outlines PCX coordination in conjunction with preparation of the review plan. Districts should prepare the plans in coordination with the appropriate PCX. The Corps PCX are responsible for the accomplishment and quality of TTR and EPR for decision documents covered by the Circular. Centers may conduct the review or manage the review to be conducted by others. Reviews will be assigned to the appropriate Center based on business programs. The Circular outlines alternative procedures to apply to decision documents. Each Center is required to post review plans to its website every three months as well as links to any reports that have been made public. The Office of Water Policy Review (OPWR) will consolidate the lists of all review plans and establish a mechanism for soliciting public feedback on the review plans.

2. Project Description.

a. Existing stone dikes in the Herculaneum Reach will be altered (e.g. notching or removal) to allow the river's flow to create a more diverse depositional pattern, including the expected formation of a new side channel and a new island. New river training structures (e.g. chevron dikes) will be constructed to direct the flows and help create side channels and islands. This project will directly benefit the recovery efforts of the federally endangered pallid sturgeon (*Scaphirhynchus albus*). The Project is designed to modify the homogeneous flow, scour, and depositional patterns currently existing within the project area to more closely resemble the habitat to which pallid sturgeon are adapted. The ecosystem benefit analysis concluded that the recommended plan would result in 202.2 average annual habitat units for the shovelnose sturgeon, a closely related species.

b. General Site Description. The project is located on the Mississippi River from Mile 156.5 to Mile 149.5. The focus of the study is the alteration of existing dike fields for the purpose of ecosystem restoration.

c. Project Scope. The proposed project area is approximately 7 miles long. The total project cost is estimated to be around \$5.171 millions.

d. Product Delivery Team. The product delivery team (PDT) is comprised of those individuals directly involved in the development of the decision document. Contact information and disciplines are listed below.

REMOVED	Project Manager	REMOVED	REMOVED
REMOVED	Team Leader	REMOVED	REMOVED
REMOVED	Hydraulic Engineering		
REMOVED	Cost Engineering	REMOVED	REMOVED
REMOVED	Real Estate	REMOVED	REMOVED
REMOVED	Hydraulic Engineer	REMOVED	REMOVED

REMOVED	Environmental Quality	REMOVED	REMOVED
REMOVED	NEPA documentation PIR documentation	REMOVED	REMOVED
REMOVED	Economics	REMOVED	REMOVED
REMOVED	Cultural	REMOVED	REMOVED

d. Planning Models. The project will use the Aquatic Habitat Appraisal Guide (AHAG) and the Fish Habitat Appraisal Guide (FHAG) to evaluate ecosystem benefits. These models will require certification. These models are commonly used for assessing potential benefits on many regional projects (e.g., NESP and EMP); therefore, certification should be jointly conducted for the various studies using these models.

e. Vertical Team. The Vertical Team includes MVS management, the MVD District Support Team (DST) and HQ MVD Review Integration Team (RIT) staff as well as members of the Planning of Community of Practice (PCoP). The Acting District Planning Chief is James Zerega, CEMVS-PM-F at 314-331-8042. The District project manager is Richard Astrack, CEMVS-PM-F, 314-331-8491. DST manager for this project is Fred Ragan, CEMVD-PD-SP at 601-634-5857. The RIT manager is John Lucyshyn at 202-761-4515. The MVD PCoP contact is Susan Smith, CEMVD-PD-N at 601-634-5827.

3. ITR Plan. As outlined above in paragraph 1.b. (1), the District is responsible for ensuring adequate technical review of decision documents. The responsible PDT District of this decision document is St. Louis District. The ITR District will be identified by the PDT in Conjunction with PCX..

a. General. An ITR Manager shall be designated for the ITR process. The proposed ITR Manager for this project is Sue Ferguson, CELRN-PM-P, at 615-736-7192. The ITR Manager is responsible for providing information necessary for setting up the review, communicating with the Study Manager, providing a summary of critical review comments, collecting grammatical and editorial comments from the ITR team (ITRT), ensuring that the ITRT has adequate funding to perform the review, facilitating the resolution of the comments, and certifying that the ITR has been conducted and resolved in accordance with policy.

b. Team. The ITRT will be comprised of individuals that have not been involved in the development of the decision document and will be chosen based on expertise, experience, and/or skills. The members will roughly mirror the composition of the PDT. The ITRT members and their areas of expertise are:

First	Last	Discipline	Phone	Email
REMOVED	REMOVED	Plan Formulation	REMOVED	REMOVED
REMOVED	REMOVED	Real Estate	REMOVED	REMOVED
REMOVED	REMOVED	Hydraulic Engineer	REMOVED	REMOVED
REMOVED	REMOVED	Hydrologists, Sediment Analysis	REMOVED	REMOVED
REMOVED	REMOVED	Fishery Biologist- RTS	REMOVED	REMOVED
REMOVED	REMOVED	Economists	REMOVED	REMOVED
REMOVED	REMOVED	Cost Estimating	REMOVED	REMOVED

c. Communication. The communication plan for the ITR is as follows:

- (1)) The team will use DrChecks to document the ITR process. The Study Manager will facilitate the creation of a project portfolio in the system to allow access by all PDT and ITRT members. An electronic version of the draft report and appendices in Word format shall be posted at: <ftp://ftp.usace.army.mil/pub/> at least one business day prior to the start of the comment period
- (2) The PDT shall send each ITRT member one hard copy (with color pages as applicable) of the draft report and appendices such that the copies are received at least one business day prior to the start of the comment period.
- (3) The PDT shall host an ITR kick-off meeting virtually to orient the ITRT during the first week of the comment period. If funds are not available for an on-site meeting, the PDT shall provide a presentation about the project, including photos of the site, for the team.
- (4) The Study Manager shall inform the ITR manager when all responses have been entered into Dr. Checks and conduct an in progress review to summarize comment responses.
- (5) A revised electronic version of the report and appendices with comments incorporated shall be posted at <ftp://ftp.usace.army.mil/pub/> for use during back checking of the comments.
- (6) Team members shall contact ITRT members or leader as appropriate to seek clarification of a comment's intent or provide clarification of information in the report. Discussions shall occur outside of Dr. Checks but a summary of discussions may be provided in the system.

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

(8) The ITRT, PDT, and vertical team shall conduct an after action review (AAR) no later than two weeks after the policy guidance memo is received.

d. Funding.

(1) The PDT district shall provide labor funding by cross charge labor codes. Funding for travel, if needed, will be provided through government order. The Study Manager will work with the ITR manager to ensure that adequate funding is available and is commensurate with the level of review needed. The current cost estimate for this review is between \$15,000 and \$20,000. Any funding shortages will be negotiated on a case by case basis and in advance of a negative charge occurring.

(2) The ITR manager shall provide organization codes for each team members and a responsible financial point of contact (CEFFMS responsible employee) for creation of labor codes.

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

e. Timing and Schedule.

(1) Throughout the development of this document, the team will hold planning charrettes to ensure planning quality. Senior staff and subject matter experts from the PDT District and members of the vertical team (DST, Planning CoP, RIT) will attend the charrettes and provide comments on the product to date.

(2) The ITR will begin once the Peer Review Plan has been approved. The preliminary design is complete, and the environmental assessment has been performed.

(3) The PDT will hold a “page-turn” session to review the draft report to ensure consistency across the disciplines and resolve any issues prior to the start of ITR. Writer/editor services will be performed on the draft prior to ITR as well.

(3) The ITR process for this document will follow the timeline below. Actual dates will be scheduled once the period draws closer. It is estimated that review of this document will be begin March 2008.

Task	Date
Comment period begin	Week 1
Kickoff meeting	Week 1
ITR Comments due	Week 3
PDT Responses due	Week 4

Responses Backcheck	Week 5
Certification	Week 6
Alternative Formulation Briefing (AFB)	Week 14
AFB Policy Memo Issued	Week 18
After Action Review	NLT Week 20

f. Review.

(1) ITR Team responsibilities are as follows:

(a) 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 into Dr. Checks.

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

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

(d) Review comments shall contain these principal elements:

- A clear statement of the concern
- The basis for the concern, such as law, policy, or guidance
- Significance for the concern
- Specific actions needed to resolve the comment

(e) The "Critical" comment flag in Dr. Checks shall not be used unless the comment is discussed with the ITR manager and/or the Study Manager first.

(2) PDT Team responsibilities are as follows:

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

(b) Team members shall contact the PDT and ITRT managers to discuss any "non-concur" responses prior to submission.

g. Resolution.

(1) Reviewers shall back check PDT responses to the review comments and either close the comment or attempt to resolve any disagreements. Conference calls shall be used to resolve any conflicting comments and responses.

(2) Reviewers may "agree to disagree" with any comment response and close the comment with a detailed explanation. ITRT members shall keep the ITR manager informed of problematic comments. The vertical team will be informed of any policy variations or other issues that may cause concern during Headquarter review.

h. Certification. To fully document the ITR process, a statement of technical review will be prepared. Certification by the ITR manager and the Study Manager will occur once issues raised by the reviewers have been addressed to the review team's satisfaction. Indication of this concurrence will be documented by the signing of a certification statement (Appendix A). A summary report of all comments and responses will follow the statement and accompany the report throughout the report approval process.

4. External Peer Review Plan. This decision document will present the details of an ecosystem restoration study undertaken to create habitat diversity in the Herculaneum Dike Field as described paragraph 2. In accordance with the paragraphs below, this project does not meet the EPR standards outlined in the Circular.

a. Project Magnitude. The magnitude of this project is determined as low, most likely in the \$5 million to \$6 million range. At this time, it is assumed that the amount of benefits accrued by the project will justify the cost. The project is not considered complex because similar projects have been completed by MVS through various other programs.

b. Project Risk. This project is considered low risk overall. The reasoning for this project being considered a low risk is due to the fact that similar dike alterations projects have already been completed by MVS through various other programs on the Middle Mississippi River.

c. Vertical team consensus. The vertical team concurs that the subject matter covered in the decision document is not novel, controversial, or precedent-setting, and the project will not have significant interagency interest or significant economic, environmental or social effects.

d. Therefore, a separate EPR will not be conducted on the decision document and external members will not be part of the ITR team. The ITR, Public and Agency Review will serve as the main review approaches.

5. Public and Agency Review.

a. Public review of the document will occur after issuance of the AFB policy guidance memo and concurrence by HQUSACE that the document is ready for public release. As

such, public comments other than those provided at any public meetings held during the planning process will not be available to the review team.

b. Public review of this document will begin approximately one month after the completion of the ITR process and policy guidance memo. The period will last 30 days as required by law.

c. The public review of necessary State or Federal permits will also take place during this period.

d. A formal State and Agency review will occur concurrently with the public review. However, it is anticipated that intensive coordination with these agencies will have occurred concurrent with the planning process. There are no potential possible concerns identified at this time.

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

6. PCX coordination. The appropriate PCX for this document is the Planning Center for Ecosystem Restoration. This review plan will be submitted through the PDT District (MVS) Planning Chief, to the PCX Director, Rayford Wilbanks, and PCX Deputy, Dave Vigh, for approval. Since it was determined that this project is of low magnitude and low risk, an EPR will not be required. The approved review plan will be posted to the PCX website. Any public comments on the review plan will be collected by the Office of Water Policy Review (OWPR) and provided to the PDT District for resolution and incorporation if needed.

7. Approvals. The PDT will carry out the review plan as described. The Study Manager will submit the plan to the PDT District Planning Chief for review and coordination with PCX. The Commander of MVD retains final approval authority for the Peer Review Plan.

