



DEPARTMENT OF THE ARMY
U.S. ARMY CORPS OF ENGINEERS
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WASHINGTON, DC 20314-1000

CECW-CO

20-Aug-2022

MEMORANDUM FOR COMMANDERS, MAJOR SUBORDINANTE COMMANDS AND
DISTRICT COMMANDS, CHIEFS, OPERATIONS DIVISIONS

SUBJECT: Programmatic Review Plan for Routine O&M Work Products at Existing
Civil Works Projects

1. Purpose. This document serves as the U.S. Army Corps of Engineers (USACE) National Programmatic Review Plan (RP) for routine O&M work products as required by ER 1165-2-217 Civil Works Review Policy. It is intended to streamline the documentation review requirements for routine O&M work products at existing Civil Works projects.

RPs are foundational documents to ensure product quality and ensure compliance with applicable requirements for work products. This National Programmatic RP defines the requirements, procedures, and specific details for product review for routine O&M work products, regardless of the funding type associated with the work product. Paragraph 3.3.1 of ER 1165-2-217 reads:

"In general, all work products or activities will be covered by an approved RP. For large projects, whether in planning, implementation, or an operating project, a single RP covering all the various work associated with the project should be developed. However, when a product 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 RP is required for that activity. For example, at an operational USACE reservoir, most routine activities, and their associated products, such as inspection reports, would be covered under an overarching or programmatic RP while other products such as major rehabilitation studies, dam safety modification reports, activities requiring a separate environmental impact statement (EIS) would require project specific RPs."

The purpose of this National Programmatic RP is to serve as a single overarching plan for routine O&M work products at existing Civil Works projects. The further intent of this RP is to highlight the requirements, procedures, and specific details of how District Quality Control (DQC) will be conducted for these routine O&M work products.

2. References.
 - a. Engineer Regulation 1165-2-217, Civil Works Review Policy, 1 May 2021
 - b. Engineer Regulation 10-1-53, Roles and Responsibilities Hydroelectric Design Center, 30 Apr 2015

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- c. Engineer Regulation 1110-2-240, Water Control Management, 11 Dec 2018
 - d. Engineer Manual 1110-2-1913, Design, Construction, and Evaluation of Levees, 30 April 2000
3. Applicability. This National Programmatic RP applies to routine O&M work products listed in Enclosures 1-4 for existing Civil Works projects that only require a DQC. In general, a work 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 RP does not apply to decision or implementation documents, or any other products that require Agency Technical Review (ATR), Independent External Peer Review (IEPR), or Safety Assurance Review (SAR).
4. Guidance. This programmatic RP applies to the routine products listed in enclosures 1-4. All routine O&M work products require DQC review. Each routine O&M work product must be evaluated with ER 1165-2-217, Chapters 5, 6 and 7, to ensure an ATR, IEPR, and/or a SAR review are not required. If it is determined that an ATR, IEPR, and/or SAR are required, then that product is outside the intended scope of this programmatic RP and must have a separate individual RP prepared, coordinated, and submitted for approval as provided in ER 1165-2-217. Refer to Enclosure 6 for the decision matrix on the process to determine if the use of this programmatic RP is appropriate.

The Routine O&M Work Product Determination Form must be completed for each routine product (Enclosure 5). The form shall include a statement that indicates the Operations Division Chief, or their delegatee (such as an Operations Project Manager), has determined that the routine product does not require an ATR, IEPR, and/or SAR.

Enclosures 1-4 include examples of routine O&M work products that are covered by this RP. The list of products covered is not all inclusive. It is the responsibility of the Operations Division Chief or delegatee to review the work product, coordinate with subject matter experts when necessary, and make a risk-informed determination whether this programmatic RP is applicable to the work being performed, coordinate with the appropriate CXs (<https://www.usace.army.mil/About/Centers-of-Expertise/>), and complete the Routine O&M work Product Determination Form with enough detail to support this conclusion.

Enclosures 1-4 also 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 the DQC procedures where District DQC

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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 of operations.

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 in nature 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 an MSC commander's or their designee's approval is required.

5. District Quality Control Review. DQC is required for all routine products covered under this National Programmatic RP. The District Quality Management System (QMS), as required in ER 1165-2-217, Chapter 4, 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 will follow the district QMS providing for seamless review, individual quality checks and reviews, peer reviews, supervisory reviews, Project Delivery Team (PDT) reviews, etc.

Quality checks and reviews occur during the development process and are carried out as routine management practices. 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 those managing/reviewing the work in the case of contracted efforts.

DQC efforts will include the necessary expertise to address compliance with current USACE policies and procedures. 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, RMO, or HQUSACE. DQC certification form(s) shall be provided for each work product covered by this programmatic RP. The DQC certification form(s) shall be signed by a representative from each reviewing organization as identified in Enclosures 1-4.

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

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7. This National Programmatic RP for routine products is a living document. Periodic reviews and updates to this plan are expected to occur and may result in improvements to this plan. As required by ER 1165-2-217, this RP will be reviewed, updated, and reapproved every three years. My point of contact for this action is Ms. Pauline Thorndike, Program Manager, Operations and Regulatory Division, who can be reached at 202-761-7552 or pauline.d.thorndike@usace.army.mil.



Signed version on file

6 Encls

1. Hydropower
2. Navigation
3. Natural Resources Management
4. Flood Risk Management
5. Routine O&M Work Product Determination Form
6. Decision Matrix for using the National Programmatic Routine O&M Products Review Plan

ALVIN B. LEE
Director of Civil Works

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Enclosure 1

Hydropower Routine O&M Products

Each document listed below needs to be evaluated on a case-by-case basis to determine whether any of these work products require Agency Technical Review (ATR), Independent External Peer Review (IEPR), or Safety Assurance Review (SAR). This programmatic RP cannot be used if ATR, IEPR, or SAR are required. (ATR applicability is summarized in chapter 5.3 of ER 1165-2-217.)

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

* As defined in ER 10-1-53

**If it includes operational technology

BLM – Local District’s Hydropower Business Line Manager

EN – Engineering Division

HDC – Hydroelectric Design Center

ISSM – Information Systems Security Manager

UCIC – USACE Critical Infrastructure Cybersecurity

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Enclosure 2

Navigation Routine O&M Products

Each document listed below needs to be evaluated on a case-by-case basis to determine whether any of these work products require Agency Technical Review (ATR), Independent External Peer Review (IEPR), or Safety Assurance Review (SAR). This programmatic RP cannot be used if ATR, IEPR, or SAR are required. (ATR applicability is summarized in chapter 5.3 of ER 1165-2-217.)

Routine Product	Review Team	
	BLM	District Offices
Advanced Maintenance Dredging Requests	X	EN ^{***} , DDCX, OPS
Condition Surveys, Hydrographic Charts, Reports and Assessments (Channels and Structures)	X	EN, OPS
Debris Removal Plans	X	OPS
Disposal Site Dike Raise Plans to Include Construction Funded	X	EN, RE, OPS
Dredged Material Management Plans ^{***}	X	EN, PD, OC, RE, OPS
Dredged Material Placement Facility Management Plans	X	EN
Emergency Dredging Requests	X	PD ^{***} , EN ^{***} , RE, OPS
Environmental Compliance Documents and Reports – Including Environmental Assessments and Biological Assessments	X	EN, PD ^{***} , OPS
Fish Monitoring Reports	X	PD, OC ^{***} , OPS
Floating Plant Procurement Documents	X	RM, MDC, OPS
Funding Agreements	X	OC, PD, OPS
Initial Appraisals (determine if candidate for a 216 study)	X	EN, PD, DDCX, INDC, RE, OPS
Letter Reports/Monitoring Plans	X	EN, PD, OPS
Lock Closure Plans	X	PA, EN, INDC ^{***} , OPS
Lock Levels of Service Plans	X	PA, OPS
Maintenance Dredging Documents	X	OPS
Maintenance Plans	X	AM, OPS
Major Maintenance Reports ^{**}	X	EN, OPS
Minor Floating Plant Repair Documents	X	OPS

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Major Floating Plant Repair Documents *	X	OPS, MDC
All Condition Assessments and Inspections (e.g. Periodic Inspections and Operational Condition Assessments)	X	EN, AM, OPS
Plan for In-Place Repairs on Major Components, including Plans and Specifications **	X	EN, OPS
Plan for In-Place Repairs on Minor Components, including Plans and Specifications	X	OPS
Plans for Structure Maintenance – Including Jetties and Bridges	X	EN, OPS
Project Operation Plans	X	OPS
Raise the Flag Requests	X	OPS
Realignment Memos (applies only to inland channels with horizontal location change but no change to depth and width)	X	EN, RE, OPS
Sampling & Analysis Plans	X	EN/OPS, PD
Sand Mitigation Documents	X	EN, OPS
Water Quality Reports & NOIs	X	EN, PD, OPS
Wreck Removal Plans	X	OC, OPS

* Items requiring PRIP funding are considered major.

** Major Component Repairs or Replacements, or Commonality of Component will also require coordination with INDC (for all locks) and AM. INDC will involve USACE Critical Infrastructure Cybersecurity in the review as needed.

*** Depends on the level of work.

AM – Asset Management

BLM – Local District’s Navigation Business Line Manager

DDCX – Deep Draft CX

EN – Engineering Division

INDC – Inland Navigation Design Center

MDC – Marine Design Center

OC – Office of Counsel

OPS – Operations Division

PA – Public Affairs

PD – Planning Division

RE – Real Estate Division

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Enclosure 3

**Natural Resources Management
Routine O&M Products**

Each document listed below needs to be evaluated on a case-by-case basis to determine whether any of these work products require Agency Technical Review (ATR), Independent External Peer Review (IEPR), or Safety Assurance Review (SAR). This programmatic RP cannot be used if ATR, IEPR, or SAR are required. (ATR applicability is summarized in chapter 5.3 of ER 1165-2-217.)

Routine Product	Review Team	
	BLM	District Offices
Annual Pesticide Management Plans	X	ECC
Annual Water Safety Plans	X	SO, OPS
Categorical Exclusion Records of Decision and Environmental Assessment Documents	X	PD, OPS
Contributions Plans	X	OC, RM, OPS
Cooperative Association Agreements	X	OC, RM, RE*, OPS
Environmental Compliance Reviews (Environmental Review Guide for Operations (ERGO))		ECC, RE, OPS
Environmental Management System Documents and Plans		ECC
Historic Properties/Cultural Resources Management Plan	X	ECC, PD, RE, OPS
Master Plans and Updates without an Environmental Impact Statement (EIS)	X	PD, RE, OC, OPS
OMB Approved Surveys	X	OPS
Operational Condition Assessments	X	AM, OPS
Operational Management Plans (includes but not limited to plans related to park, forest, wildlife, vegetation, threatened and endangered species and fire management.)	X	RE, OPS
Park Closure/Significant Operational Change Plans	X	PA, RE**, OPS
Park Development Plans	X	EN, OPS
Partnership Agreements	X	OC, RM, RE***, OPS
Preliminary Assessment Survey for Real Estate Instrument, Environmental Condition Property Report or Report of Availability (ROA) for (Outgrant) New & Renewal	X	RE, ECC

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Prescribed Fire Plans	X	SO
Project Sign Plans	X	AM, OPS
Publications/Brochures	X	PA
Routine Maintenance Plans	X	AM, OPS
Shoreline Management Plans without an EIS	X	OC, RE, PD, OPS
Spill Prevention and Control Plans	X	ECC, SO

*If a Real Estate instrument is involved

**If an outgrant is involved

***If accepting real property

AM – Asset Management

BLM – Local District’s REC or ES Business Line Manager

ECC – Environmental Compliance Coordinator

EN – Engineering Division

NRM – Natural Resources Management

OC – Office of Counsel

OPS – Operations Division

PA – Public Affairs

PD – Planning Division

RE – Real Estate

RM - Resource Management

SO – Safety Office

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Enclosure 4

**Flood Risk Management
Routine O&M Products**

Each document listed below needs to be evaluated on a case-by-case basis to determine whether any of these work products require Agency Technical Review (ATR), Independent External Peer Review (IEPR), or Safety Assurance Review (SAR). This programmatic RP cannot be used if ATR, IEPR, or SAR are required. (ATR applicability is summarized in chapter 5.3 of ER 1165-2-217.)

Routine Product	Review Team	
	BLM	District Offices
Closure Plans	X	EN, PA, RCX, OPS
Emergency Action Plans	X	OPS, EN, PA
Funding Agreements	X	OC, PD, OPS
In-Place Repairs on Major Components, including Plans and Specifications	X	EN, OPS, UCIC****
In-Place Repairs on Minor Components, including Plans and Specifications	X	OPS
Inspection of Completed Works Activities Reports	X	EN, OPS
Interim Risk Reduction Measures Plans	X	EN, RCX, PA, PD, OPS
Maintenance Plans (Dams)	X	AM, OPS, EN
Major Plant Repair Documents*	X	EN, RCX, OPS, UCIC****
Minor Plant Repair Documents	X	OPS
All Inspections and Condition Assessments Reports**	X	EN, RCX, OPS, AM
Project Operation Plans (Dams)	X	OPS, EN
Reservoir Scheduling/Routine Deviations***	X	EN, OPS

* Items requiring Plant Replacement Improvement Program (PRIP) funding are considered major

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**Follow existing DQC requirements for Dam & Levee Safety Program ECs and ERs (ER 1110-2-1156, EM 1110-2-1913, EC 1165-2-218) and their associated processes

***Follow existing requirements in ER 1110-2-240

****As needed/depends on level of work

AM – Asset Management

BLM – Local District’s FRM Business Line Manager

EN – Engineering Division

OC – Office of Counsel

OPS – Operations Division

PA – Public Affairs

PD – Planning Division

RCX – Regional Center of Expertise (If Applicable)

UCIC – USACE Critical Infrastructure Cybersecurity

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Enclosure 5

Routine O&M Work Product Determination Form

Work Product Description:

Facility:

	YES	NO
1. This work product is an "Other Work Product" per ER 1165-2-217?		
2. This work product is "Routine" per the Programmatic Review Plan for Routine O&M work Products at Existing Civil Works Projects or other USACE policy/guidance?		
3. Does this work product require an ATR per ER 1165-2-217, Chapter 5.3?		

***** NOTE: The Programmatic RP for Routine O&M work Products at Existing Civil Works Projects cannot be used if 1. or 2. above are "NO". Further, if 3. above is "YES" and the PDT recommends not to perform an ATR then the risk-informed decision shall be documented in the space below *****

If 3. above is "YES" and the PDT recommends that an ATR will not be performed, then provide the risk-informed justification(s) in the space provided:

Signature:

Name:	
Position:	
Branch/Division:	
Date:	

Enclosure 6

**DECISION MATRIX
FOR USING THE NATIONAL PROGRAMMATIC ROUTINE
O&M PRODUCTS REVIEW PLAN**

