

Appendix G OPERATIONS DIVISION SUBPLAN

1. Purpose

This appendix provides the general policies and procedures for the execution of quality management activities in the Operations Division, Civil Works and Management Directorate, South Pacific Division and of the Operations, Regulatory and Emergency Management functions of the Districts within the South Pacific Division. Guidance provided includes:

Main Body of Appendix G	Quality Management of Operations Activities/Products
Enclosure 1	QM Guidance on Regulatory Functions
Enclosure 2	QM Guidance on Operations Functions
Enclosure 3	QM Guidance on Emergency Management

2. Applicability

2.1.1. This plan applies to operations, regulatory and emergency management activities within CESPD and its districts, including those associated with civil works, OMA, MILCON, HTRW, FMS, WFO and SFO. The quality management process applies to all Operations, Regulatory and Emergency Management services and products, including those reports and other sub-products which are integral parts of decision and implementation documents developed as part of planning, engineering and other programs.

Enclosure 1
QUALITY MANAGEMENT GUIDANCE ON
REGULATORY FUNCTIONS

1. Purpose

This enclosure provides the general policies and procedures for the execution of quality assurance activities by the Regulatory Program in the Operations Division, Civil Works and Management Directorate, South Pacific Division (CESPD-CM-O) and quality control activities of the Regulatory function of the four Districts within the South Pacific Division.

2. Applicability

This appendix supplements the guidelines provided in the main body of the Quality Management Plan and applies to all regulatory functions, activities, and products of the Operations Division and CESPD District Regulatory Branches. The policy of CESPD-CM-O is to provide quality regulatory products and services to the regulated community and all other interested parties, consistent with all applicable laws, regulations, and the public interest. The Districts are responsible for the preparation of regulatory products and the quality control necessary to produce those products. CESPD-CM-O is responsible for quality assurance of the Regulatory Program, and the products and services provided.

3. References

This appendix implements portions of the guidance presented in the following regulations:

- 33 CFR Part 325, Appendix C
- 33 CFR Part 325, Appendix B
- 33 CFR Parts 320-330
- 50 CFR Part 402
- 40 CFR Part 230

4. Definitions

The definition of terms used in this appendix are generally consistent with the definitions provided in the SPD Quality Management Plan. Within the text of this appendix, certain definitions are expanded upon to place them in a context appropriate for the Regulatory Program.

5. Relationship of the Division and Districts

5.1. Division: CESPD-CM-O is responsible for quality assurance for all regulatory functions accomplished by the Districts. CESPD-CM-O shall review and approve the regulatory functions portion of each District's Quality Management Plan; provide oversight of the quality control

process at each District; and provide policy review for regulatory functions and products within CESP

5.2. Districts: Each District Regulatory Branch is responsible for controlling the quality of all work they accomplish, including standard and general permits, jurisdictional determinations, enforcement actions, and permit compliance. To assist in the achievement of high quality regulatory products, the Districts shall develop, carry out, and keep up to date their own Quality Management Plans, as described in the SPD Quality Management Plan. The Quality Management Plans shall establish District roles, responsibilities, and processes consistent with this appendix. Districts shall also be responsible for the development and implementation of Quality Control Plans for regulatory functions, activities, and products covered by this appendix.

6. Division Quality Assurance Responsibilities

6.1. Regulatory Program Manager: At CESP-CM-O, the Regulatory Program Manager is responsible for the quality assurance of the Regulatory Program, including but not limited to the following activities:

6.1.1. Providing technical and policy oversight of the District's Regulatory Programs.

6.1.2. Developing procedures, guidelines, and implementing instructions for accomplishing regulatory mission activities within CESP.

6.1.3. Reviewing and approving the Districts' Quality Management Plan for Regulatory Branch functions.

6.1.4. Providing technical guidance and regulatory policy support to the Districts, as requested. Providing assistance to the Districts in resolving major technical and/or policy issues.

6.1.5. Assuring current policies are implemented in District regulatory products. Facilitating resolution of policy issues with HQUSACE and others.

6.1.6. Recommending Division Commander approval of Regulatory Program activities that have been delegated to CESP.

6.1.7. Evaluating Regulatory Program performance indicators.

6.1.8. Leading the regulatory portion of the Command Assistance Program.

7. District Quality Control Responsibilities

Regulatory Branch Chiefs, Section Chiefs, and Regulatory Project Managers all have significant roles and responsibilities in achieving quality regulatory products. The roles and responsibilities of all participating individuals shall be described in the District's Quality Management Plan and Quality Control Plans, and shall include the responsibilities described below.

7.1. Regulatory Branch Chiefs: The Branch Chiefs shall have the overall responsibility for the technical quality of regulatory products. It will be the responsibility of the Branch Chief to assure that the Quality Management/Control Plan is implemented and that any discrepancies discovered as a result of training, audits, field evaluations, or Command Assistance Visits are corrected.

7.2. Section Chiefs: Quality control is the appropriate evaluation of regulatory products, services, and processes to ensure that they meet the requirements of, and are in compliance with all applicable laws, regulations, and recognized technical practices of the disciplines involved. In large part, this shall be accomplished by the Section Chiefs through their independent review process of staff actions and products.

7.3. Quality Control Plans: Regulatory Branch Quality Control Plans shall be prepared by each District, and should rely heavily on their approved Quality Management Plans, through reference, and highlight only exceptions. The review and approval responsibility for QCPs has been delegated by CESPD to the district. A Quality Control Plan shall, as a minimum, include the following:

7.3.1. A statement of the Quality Control Plan objectives.

7.3.2. A statement of the applicable regulations and guidelines, and regulatory actions and products covered by the plan.

7.3.3. A statement of the quality control criteria, consistent with established regulations and policies, to evaluate the acceptability of regulatory products and actions produced by the Branch, including but not limited to, the proper application of regulations, guidance, and procedures; appropriate protection of the aquatic environment; and efficiency of actions consistent with established timeliness goals.

7.3.4. A statement of actions taken to insure that all Regulatory Branch products and actions meet the above identified criteria, such as training, audits of completed actions, and field evaluations of staff skills in making accurate jurisdictional determinations, including but not limited to, wetland delineations, ordinary high water mark determinations, and any other field skills required to perform their duties as Regulatory Project Managers.

7.4. Product Review:

7.4.1. Products: The Quality Control Plan shall identify all regulatory products and actions produced by Regulatory Project Managers to be reviewed by Section and Branch Chiefs. These products include, but are not limited to: Standard Permits, General Permits, jurisdictional determinations, including wetland delineations, enforcement actions, and permit compliance. These products shall be essentially complete before review is undertaken, and the Section and Branch Chiefs shall be responsible for the technical and policy accuracy of all products and resultant decisions

8. Quality Assurance Process

In addition to the oversight of technical and policy issues indicated above, quality assurance by CESPD-CM-O shall include, but not be limited to, the following activities:

- a. Informal Consultation.
- b. Review of Sample Regulatory Products.
- c. Issue Resolution.
- d. Technical Workshops.
- e. Monitoring Technical Competency.

Enclosure 2

QUALITY MANAGEMENT GUIDANCE ON OPERATIONS FUNCTIONS

1. Purpose

This appendix provides the general policies and procedures for the execution of quality assurance activities in the Operations Division, Civil Works Management Directorate, South Pacific Division, and of quality control activities for the operations functional elements in the CESPD Districts.

2. Applicability

2.1. This appendix supplements the guidelines provided in the main body of the Quality Management Plan and applies to all activities of the Operations Division and CESPD Districts having responsibility for Operations activities.

2.2. The quality management process applies to all Operations services and products, including those sub-products which are integral parts of decision and implementation documents developed as part of the Planning, Engineering and Operations programs including the following:

2.2.1. Planning Reports (Reconnaissance, Feasibility, etc.)

2.2.2. Engineering Reports (Design Memorandums, etc.)

2.2.3. Operations Reports and Program Management Plans

2.3. Operations Reports include Reservoir Regulation Manuals/Plans, Periodic Inspection Reports, Dredge Material Management Plans, Dam Safety Emergency Action Plans, Water Quality Management Plans, Operations and Maintenance Manuals, Master Plans and Operational Management Plans, and Program Management Plans for the Critical Project Security Program and associated updates, supplements and amendments to plans. The technical review processes for all documents are described in the other appendices to this Division office memorandum.

3. References

3.1. ER 1110-1-12, Quality Management

3.2. EC 1165-2-203 Implementation of Technical Policy Compliance Review.

3.3. EP 37-1-6 Resource Management Functional Guide

3.4. CECG/AASA(CE) Joint Memorandum, dated 31 March 1995, Subject: Technical Review Process

3.5. CECW-A Policy Memorandum No. 2, dated 6 April 1995, Subject: Civil Works Decision Document Review -- Policy Compliance

4. Definitions

See main Quality Management Plan.

5. District Quality Control Responsibilities

5.1. Objective: District Operations activities shall be responsible for developing and following quality control management practices and business procedures to insure the quality of Operations products and services. These objectives shall be met by development and execution of District Operations Quality Management and Quality Control Plans.

5.2. Quality Management Plan (QMP): District Operations activities shall establish, and update annually, an Operations QMP or the Operations portion of the District's QMP which complies with the policies and principles presented in this memorandum and in applicable USACE regulations. District QMPs will establish the roles, responsibilities and processes of District Operations activities for each major Operations function and activity. The QMP shall be reviewed and approved by CESPDP.

5.3. Quality Control Activities:

5.3.1. Responsibilities: The District Chief of Operations function shall have overall responsibility for the technical quality of Operations products and services. Other subordinate managers, leaders, and individuals within Operations also have significant roles and responsibilities in achieving quality products and services. The roles and responsibilities of these individuals shall be described in the District's Operations Quality Management Plan.

5.3.2. Independent Technical Review: Independent technical review is applicable to only those reports, memoranda, and other documents prepared by Operations that are an integral part of a Civil Works decision or implementation document. Key to the successful execution of the quality control process for the products developed by Operations and its contractors is the independent technical review of a product. This review shall be accomplished by individuals having expertise in disciplines involved in the type of product being developed and reviewed, and who were not involved in the product development.

5.3.3. Products Developed by Contractors: Some Operations products may be developed by other than in-house staff, noted herein as contractors or other Corps support activities such as the Huntsville Design Center. For Operations products developed by contractors, the quality control activities shall be the responsibility of the contractor. Quality assurance activities, including development of a quality assurance plan for a contractor's product, shall be the

responsibility of the District Operations activities. The Chief of Operations, CESPD, will exercise general oversight of the District's quality assurance activities.

6. CESPD Quality Assurance Responsibilities

6.1. Responsibilities: The Chief of Operations Division at CESPD shall be responsible for reviewing and approving the Districts' Operations Quality Management Plans, and Quality Assurance Plans for contracted Operations work; for the conduct of quality assurance activities to ensure District compliance with this plan and for recommending changes in District Operations activities, quality management and quality control processes, as needed.

6.2. Quality Assurance Activities: At CESPD, the Chief, Operations Division is responsible for the following quality assurance activities:

6.2.1. Providing technical guidance concerning the District's Operations programs and activities. This includes conducting site inspections of project O&M activities to assess effectiveness of support given to Water Resources Project Sites and Visitors Centers.

6.2.2. Developing procedures and guidelines for accomplishing interdisciplinary Operations activities. Also administer the Navigation, Recreation, Natural Resources, Environmental Compliance, Flood Control O&M Programs and the Critical Project Security Program.

6.2.3. Assuring quality of District technical review programs for Operations studies, reports and activities. Includes all recreation and natural resources studies, Master Plans, Dredge Material Management Plans, Operational Management Plans and Environmental Assessment reports. Selected spot checks will be accomplished to assess the District Quality Control Program.

6.2.4. Approving the District's QMPs for Operations services and products.

6.2.5. Assuring existing policies are implemented and adhered to in developing District Operations products and conducting Operations and procedures. Facilitating resolution of policy issues with HQUSACE and others.

6.2.6. Participating in issue resolution conferences.

6.2.7. Forwarding District Operations documents to HQUSACE for policy review and processing, and providing oversight of the Washington-level review.

6.2.8. Assuring the adequacy of Operations input into environmental impact statements and other documents, which demonstrate MSC compliance with environmental statutes.

6.2.9. Monitoring customer satisfaction with District Operations products and services.

6.2.10. Leading the Operations portion of the Command Assistance Program.

6.2.11. Participating in District Support Teams.

7. Quality Assurance Process

In addition to the oversight of the Operations technical review process as indicated above, quality assurance by the Division will include the following:

7.1. Informal Consultation: The cornerstone of CESPD-CM-O's role in quality assurance is to provide informal consultation regarding technical and policy issues. Such consultations will serve to ensure that District Operations activities are in compliance with approved quality control plans and to quickly resolve technical and policy issues.

7.2. Review of Sample Products: CESPD-CM-O will conduct oversight reviews of selected Operations products produced by the District Operations activities. These reviews are for the purpose of identifying systemic problems, trends and possible improvements to the process, and assure compliance with current policy.

7.3. Issue Resolution Conferences: CESPD-CM-O will participate in issue resolution conferences when District Operations activities request technical assistance or policy guidance to address issues raised as a result of Operations quality assurance activities.

7.4. Technical Workshops: To promote technology transfer and exchange of ideas on innovative technologies, CESPD-CM-O will host periodic technical workshops.

7.5. Command Assistance Visits: During command assistance visits, reviews will be made to ensure that District Operations activities comply with the provisions of this sub-plan and of District Operations quality management plans.

7.6. Performance Indicators and Measures: MSCs and Headquarters have been developing a program to measure performance through specific indicators. The Performance Measurement Program will be added to the overall QA/QC process as it is finalized.

Enclosure 3

QUALITY MANAGEMENT GUIDANCE ON EMERGENCY MANAGEMENT

1. Purpose

This appendix provides the general policies and procedures for the execution of quality assurance activities in the Operations Division, Civil Works Management Directorate, South Pacific Division, and of quality control activities for the Emergency Management functional elements in the CESPD Districts.

2. Applicability

2.1. This appendix supplements the guidelines provided in the main body of the Quality Management Plan and applies to all activities of the Operations Division and CESPD Districts having responsibility for Emergency Management activities.

2.2. The quality management process applies to all Emergency Management services and products, including those sub-products, which are integral parts of decision and implementation documents.

2.3. Due to its special requirements, Natural Disaster Procedures are classified as a unique function of the Corps as described in the Division Organizational Guidelines. Quality assurance and quality control of these products shall be performed at CESPD as prescribed in the existing engineering regulations and guidance and following the general quality management principles set forth in this quality management plan. (See also the Engineering Subplan for additional guidance on quality control of flood recovery efforts.) ER 500-1-1, dated 30 Sep 2001, EP 500-1-1, dated 30 Sep 2001 ER 11-1-320, dated 1 Oct 1998 and EP 37-1-6, dated 31 May 2001, prescribe the policies for the Disaster Preparedness and Response Program with ER 50-1-26 providing a comprehensive evaluation process for this program. Checklists have been developed as part of both ER 500-1-1 and ER 500-1-26 to validate readiness-oriented activities and to provide MSCs with a consistent means of evaluating District Response Plans.

3. References

3.1. ER 500-1-1, EP 500-1-1, Natural Disaster Procedures

3.2. ER 500-1-26, Evaluation and Corrective Action

3.3. EP 500-1-8, Command and Control Doctrine

4. Definitions

See main Quality Management Plan.

5. District Quality Control Responsibilities

5.1. Objective: District Emergency Management activities shall be responsible for developing and following quality control management practices and business procedures to insure the quality of Emergency Management products and services. These objectives shall be met by development and execution of District Quality Management and Quality Control Plans.

5.2. Quality Management Plan (QMP): District Emergency Management activities shall establish, and update annually the Emergency Management portion of the District's QMP which complies with the policies and principles presented in this memorandum and in applicable USACE regulations. District QMPs will establish the roles, responsibilities and processes of District Emergency Management activities.

5.3. Quality Control Activities:

5.3.1. Responsibilities: The District Chief of Operations shall have overall responsibility for the technical quality of Emergency Management products and services. Other subordinate managers, leaders, and individuals within Operations also have significant roles and responsibilities in achieving quality products and services. The roles and responsibilities of these individuals shall be described in the District's Quality Management Plan.

5.3.2. Independent Technical Review: Independent technical review is applicable to only those reports, memoranda, and other documents prepared by Emergency Management that are an integral part of a Civil Works decision or implementation document. Key to the successful execution of the quality control process for the products developed by Emergency Management and its contractors is the independent technical review of a product. This review shall be accomplished by individuals having expertise in disciplines involved in the type of product being developed and reviewed, and who were not involved in the product development.

5.3.3. Products Developed by Contractors: Some Emergency Management products may be developed by other than in-house staff, noted herein as contractors. For Emergency Management products developed by contractors, the quality control activities shall be the responsibility of the contractor. Quality assurance activities, including development of a quality assurance plan for a contractor's product, shall be the responsibility of the District. The Chief of Operations, CESPD, will exercise general oversight of the District's quality assurance activities.

6. CESPD Quality Assurance Responsibilities

6.1. Responsibilities: The Chief of Operations Division at CESPD shall be responsible for reviewing and approving the Districts' Quality Management Plans, and Quality Assurance Plans for contracted Emergency Management work; for the conduct of quality assurance activities to

ensure District compliance with this Plan and for recommending changes in District activities, quality management and quality control processes, as needed.

6.2. Quality Assurance Activities: At CESPD, the Chief, Operations Division is responsible for the following quality assurance activities:

6.2.1. Providing technical guidance concerning the District's Emergency Management programs and activities. This includes conducting site inspections of project O&M activities to assess effectiveness of flood protection.

6.2.2. Assuring quality of District technical review programs for Emergency Management studies, reports and activities. Selected spot checks will be accomplished to assess the District Quality Control Program.

6.2.3. Approving the District's QMPs for Emergency Management services and products.

6.2.4. Assuring existing policies are implemented and adhered to in developing District Emergency Management products and conducting Emergency Management procedures. Facilitating resolution of policy issues with HQUSACE and others.

6.2.5. Participating in issue resolution conferences.

6.2.6. Forwarding District documents to HQUSACE for policy review and processing, and providing oversight of the Washington-level review.

6.2.7. Assuring the adequacy of input into environmental impact statements and other documents, which demonstrate MSC compliance with environmental statutes as it relates to levee rehabilitation and/or advance measures projects.

6.2.8. Monitoring customer satisfaction with District products and services.

6.2.9. Leading the portion of the command assistance program associated with Emergency Management.

6.2.10. Participating in District Support Teams.

7. Quality Assurance Process

In addition to the oversight of the technical review process as indicated above, quality assurance by the Division will include the following:

7.1. Informal Consultation: The cornerstone of CESPD-CM-O's role in quality assurance is to provide informal consultation regarding technical and policy issues. Such consultations will

serve to ensure that District activities are in compliance with approved quality control plans and to quickly resolve technical and policy issues.

7.2. Review of Sample Products: CESPD-CM-O will conduct oversight reviews of selected Emergency Management products produced by the District . These reviews are for the purpose of identifying systemic problems, trends and possible improvements to the process, and assure compliance with current policy.

7.3. Issue Resolution Conferences: CESPD-CM-O will participate in issue resolution conferences when District Emergency Management activities request technical assistance or policy guidance to address issues raised as a result of Emergency Management quality assurance activities.

7.4. Technical Workshops: To promote technology transfer and exchange of ideas on innovative technologies, CESPD-CM-O will host periodic technical workshops.

7.5. Command Assistance Visits: During command assistance visits, reviews will be made to ensure that District Emergency Management activities comply with the provisions of this sub-plan and of District Quality Management Plans.

7.6. Performance Indicators and Measures: MSCs and Headquarters have been developing a program to measure performance through specific indicators. The Performance Measurement Program will be added to the overall QA/QC process as it is finalized.