

OBJECTIVE 2: RISK INFORMED PLANNING TOOLS FOR PROJECT DELIVERY TEAMS

Objective: Provide an initial orientation to risk informed planning tools, including rapid iteration and the risk register.



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BLUF: RISK INFORMED PLANNING TOOLS ARE FAMILIAR TO PLANNERS & TEAMS

- These tools are not just for planners – the whole planning team uses them!
- Six-step planning process is heart of planning
- Storytelling is key – not just in the report, but in presentations, meetings, internal and external
- Risk register useful to assess and document risk and risk management strategies and engage full PDT
- Ensure vertical engagement via IPRs, decision meetings, milestone meetings

PLANNING IS AN ITERATIVE PROCESS

“The PDT should complete its **first iteration** of the planning process within the first 30 days of the study’s initiation...use readily available existing knowledge and data without generating any new information to complete ...The PDT will never know less than they do for this iteration. That makes it **the most informative iteration** of all because **it will reveal information at the same time it teaches the PDT what they do not know.**” – Planning Manual Part II

What do planners do in an iteration?

They attempt to reduce uncertainty with each iteration of the planning process. Iterations repeat, elaborate, refine, correct, or complete a part of the planning process.



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ITERATE THE SIX-STEP PLANNING PROCESS AND GATHER EVIDENCE TO REDUCE UNCERTAINTY AND MANAGE STUDY AND PROJECT RISK



FCSA Signed

Project Management Plan, including Review Plan
Updated throughout study as needed

Alternatives Milestone

Tentatively Selected Plan Milestone

Agency Decision Milestone

Draft Report Released for Concurrent Review

District Final Report Transmittal to MSC

MSC Final Report Transmittal to HQ

Chief's Report Signed

- Key
- Project Management Requirements
 - Decision Milestone
 - Product Milestone



USING ITERATIONS OF THE PLANNING PROCESS AND LOOKING AT OUTCOMES THROUGH A RISK LENS IS NOT NEW

Knowledge based – get experienced input

Iterate through the 6-step planning process at least once before making many judgments about the scope

Then -

- Start with what you know
- Challenge your assumptions
- Use a risk register or similar tool to organize and communicate your thoughts

From 2014 webinar, “Strategies for Scoping 3x3x3 Studies”



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RELEVANT V. INSTRUMENTAL UNCERTAINTY

- Relevant uncertainty refers to things people may care about but things that will not change the decision
 - Reducing relevant uncertainty can feel essential, even when it's not
- Instrumental uncertainty refers to things that could affect the decision
 - Focus on instrumental uncertainty
- The goal of risk informed planning is not to eliminate uncertainty; it is to identify which uncertainties are instrumental to your decision and reduce those uncertainties through the iterative process



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YOU CAN CONDUCT THE 1ST ITERATION WITH KNOWLEDGE ON THE TEAM!

Planning is
iterative. We'll
do the entire
process.



We'll id our
biggest data
gaps, plug 'em,
then do it all
again.

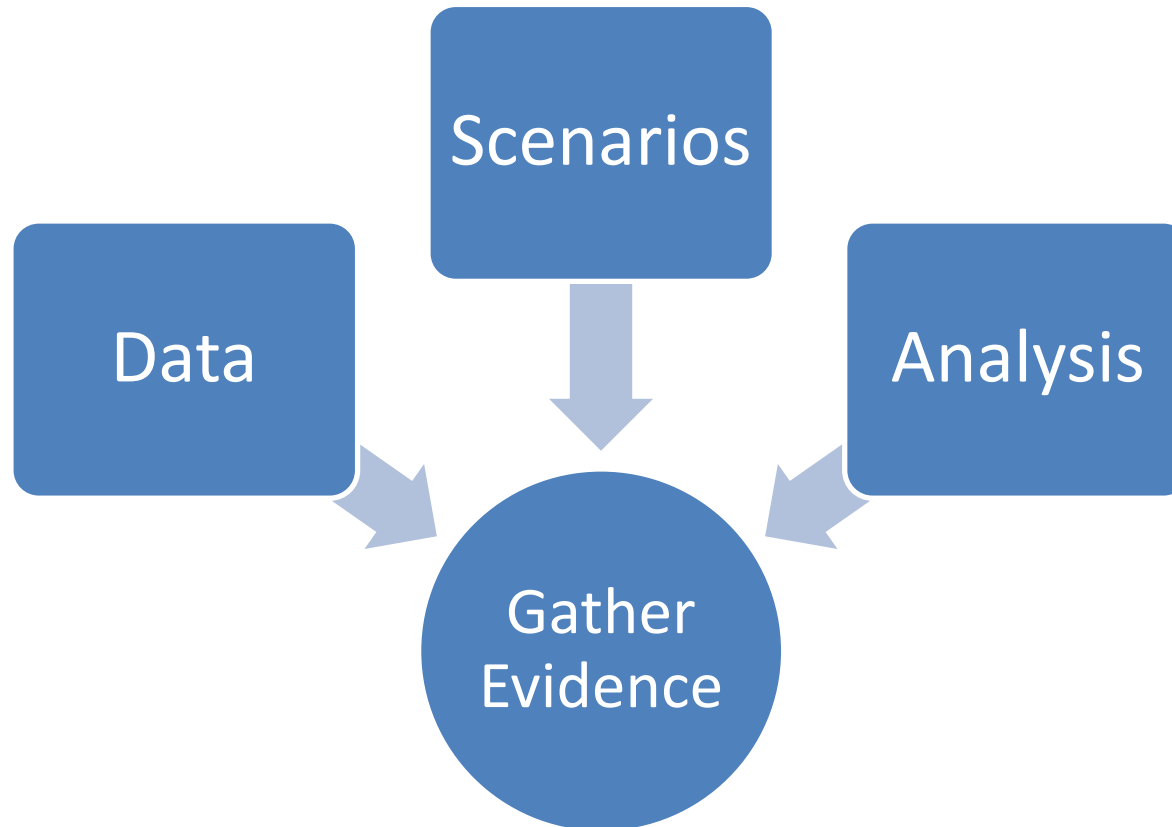
In a feasibility study, this iteration will be within first 30 days.



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GATHER EVIDENCE

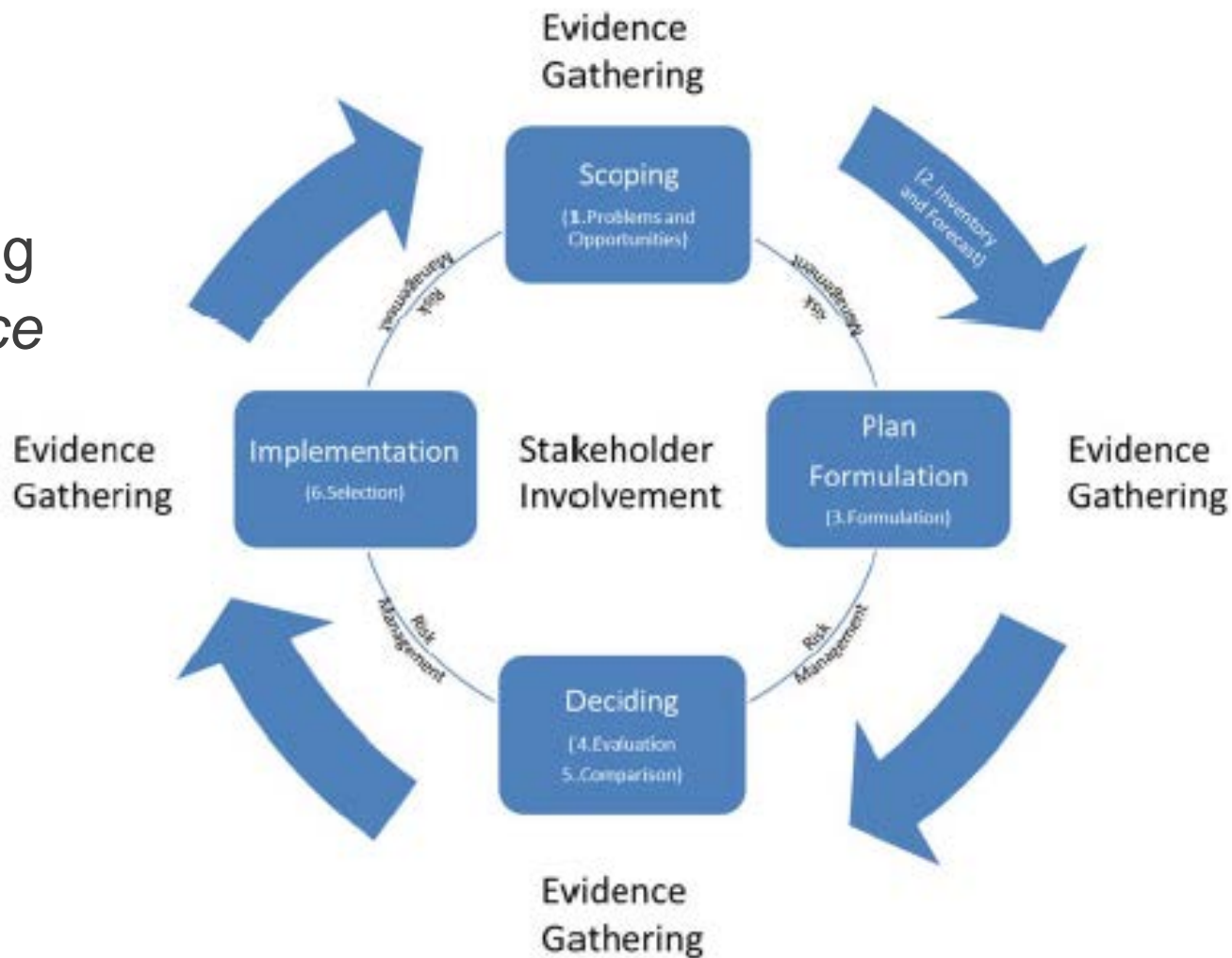


What do you need to reduce instrumental uncertainty, manage intolerable risk, and make the next decision?

WHAT'S NEXT?

Repeat!

Confirm Scoping
Gather Evidence
Formulate
Decide
Implement



2ND ITERATION: WHAT DO OTHERS KNOW



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3RD ITERATION: WHAT MUST WE LEARN?



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ITERATE THE SIX-STEP PLANNING PROCESS AND GATHER EVIDENCE TO REDUCE UNCERTAINTY AND MANAGE STUDY AND PROJECT RISK



RISK REGISTER

- The Risk Register is a tool – filling in all the boxes is less important than using it to identify, manage, and communicate risks
- You identify risks so you can manage them, not to build a case for a waiver or to check off a requirement
- Every risk has a manager
- The PDT will actively manage every H and M risk to keep undesirable consequences from developing
- The PDT will monitor L risks to make sure they do not progress
- Some risks will be resolved/managed during feasibility; others will be passed forward to be managed in PED, Construction, Operations



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RISK IS MORE THAN STUDY RISK

- Risks to the affected human and environmental community: existing risks and risk reductions realized by the recommended plan. *Are there any public, agency, technical, or policy concerns that may change the recommended plan?*
- Study Risks: what can affect the accuracy, quality, timing, and budget of the study? *Is the level of mitigation planning, engineering, cost engineering, etc. sufficient? Too much? Not enough?*
- Implementation risk: what can affect the efficacy, quality, timing, and budget of the built project? *Is “budgetability” of PED or Construction a concern of decision makers? Will that impact the corporate decision about the level of effort to complete the feasibility report and Chief’s Report?*
- Outcome risks: residual risks and how to manage them; new, transferred or transformed risks attributable to the recommended plan.



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IWR APT: ONLINE RISK REGISTER FOR WHOLE TEAM

Discipline

Choose the discipline that goes along with this risk entry. ?

--Choose Discipline--



Risk Type

--Choose Risk Type--



Scoping Choice or Event

This is the scoping choice (task, decision, problem, question, or issue) or event (action, hazard, or opportunity) that is to be managed. ?

Risk & Cause

Briefly identify the risk. Considering the entry above, what can go wrong as a result of the scoping choice or event and how can it happen? ?

Consequence

Describe the consequence of the risk entered. If things do "go wrong" in the way described what is the specific consequence for the study or project outcomes? (List the most significant consequence first if more than one.) ?

Consequence Rating & Evidence

If the most significant consequence occurs, what is its potential magnitude? Enter specific evidence used to support the consequence

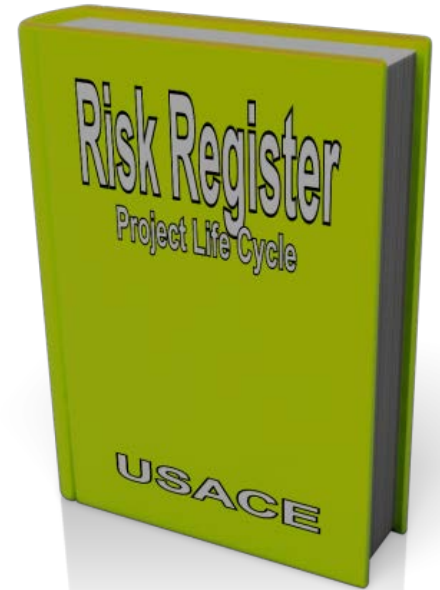
H

M

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THE RISK REGISTER IS NOT JUST FOR THE PLANNING PDT

- Risks identified in the RR carry through the lifecycle of the project
 - From inception at planning through Deauthorization
- Risks should be managed, but not every risk will be eliminated!
- Use RR as a tool – it's up to PDT to communicate with vertical team and ensure consensus on risk management strategies
- Vertical team may have different risk tolerance or perceptions



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LEARNING MORE AND GETTING HELP



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PLANNING COMMUNITY TOOLBOX

The go-to for the Planning Community of Practice for guidance, tools, and training

US Army Corps of Engineers Planning Community Toolbox

Home | **Planner's Library** | **SMART Guide** | Project Delivery | People | Tools | Processes | Training | Search/Index | Contact Us

About Corps Planning

- About Us
- Work with Us
- Current Initiatives

Popular Topics

- Reports to Congress
- Chief's Reports
- Civil Works Review Board
- Corps Civil Works Project Planning
- Corps Planning Centers of Expertise (PCXs)
- Frequently Asked Questions (FAQ) **NEW**
- Model Certification
- National Economic Development (NED) Manuals
- Planning and Policy SharePoint **NEW**
- Planning Guidance
- Review
- SMART Planning

RSS Feeds

- Week in Review
- What's New this Month
- What is RSS? RSS allows users to create customized collections of updates delivered from websites via a RSS reader, eliminating need to check "What's New" postings.

Policy and Guidance Updates

- WRRDA 2014 Information
- Guidance Memo - Water Resources Development Act of 2016 (WRRDA 2016) Implementation (01/19/17)
- Planning Bulletin 2017-01: Feasibility Study Milestones (01/17/17)
- Engineer Regulation 1110-2-1302: Civil Works Cost Engineering (12/06/16)

Planning Community Webinars

- All Upcoming & Recent Webinars
- Dealing With Costs (03/02/17)
- Environmental Resource Significance in Civil Works Planning (02/03/17)
- Scheduling and Scoping a 3 Year Feasibility Study: Key Timelines and Decisions (01/23/17)
- Southwest Coastal Louisiana NED/NER Multi-Purpose Study: Lessons Learned (01/17/17)

Other News

- Webinar - 2017 Planning Workshop and Teleconference/ Web Meeting Tips (03/02/17)
- Planning Ahead January 2017 (01/30/17)
- Feasibility Study Milestones At A Glance (01/10/17)
- Type I Independent External Peer Review Process - Standard Operating Procedures (August 2016) (11/17/16)

Google the Planning Community Toolbox

Planning plays a vital role in supporting the Corps of Engineers Civil Works water resources development mission. Through planning activities, including feasibility studies, General and Limited Reevaluation Studies, Continuing Authorities Program studies, and Post Authorization Change studies, Corps planners help decision-makers identify water resources problems, conceive solutions to them and compare the importance of the inevitable conflicting values inherent in any solution.

The Planning Community Toolbox includes a wealth of information for planners and project delivery teams, including the policy, guidance, processes, and tools that are used every day in planning.

Hot Topics **NEW**

- USACE Planner Database** **NEW** - It is time for all Planners to update their profiles. The USACE Planner Database has updated functionality and flexibility for recording Planning CoP training, workforce planning, and staffing ATR teams.
- SMART Planning Feasibility Studies: A Guide to Coordination and Engagement with the Services** - This guide was developed through a collaboration between the Corps, USFWS and NMFS. The Guide provides an overview of the SMART Planning process and demonstrates how key environmental coordination and compliance activities fit into that process. The Guide highlights opportunities for engagement and coordination at all stages of a planning study, re-emphasizing the need for early coordination.
- Single Phase Feasibility Study Resources** - Resources for District Project Delivery Teams and non-Federal sponsors beginning single phase feasibility studies post WRRDA 2014. Materials such as fact sheets and memos can be customized by the teams as needed and reflect single phase feasibility studies (no reconnaissance phase), the 3x3 rule, and SMART Planning Milestones and Processes per WRRDA Sections 1001 and 1002. If you have questions or additions to this list of tools, please let us know at hqplanning@usace.army.mil

More News/What's New Postings

www.corpsplanning.us



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HOME > MISSIONS > RISK ANALYSIS > RISK ANALYSIS GATEWAY

Corps Risk Analysis Gateway



- Risk Analysis Gateway**
- Risk Gateway Home
 - Risk Analysis
 - Risk Communication
 - Flood Risk Communication Toolbox
 - Risk Assessment
 - Risk Management
 - Learning Center
 - Contact Us

- Related Sites**
- Corps Risk Management Center
 - National Flood Risk Management Program
 - Silver Jackets
 - Planning Community Toolbox
 - Cost Engineering Branch & Directories of Expertise

Embrace Risk Informed Decision Making: Getting Started

This video describes a practical way to begin the needed changes in individual and collective behavior across USACE to better recognize, put in practice, and communicate risk management concepts and risk informed decision making. This is part of the effort by Mr. James Dalton, USACE Director of Civil Works, to embrace and operationalize risk informed decision making.

Risk-Informed Decision Making in USACE (mp4, 27 MB)

Risk Analysis Gateway

When and where will the next major flood occur? Will project bids come in under the government estimate? Will a built structure live up to its strength? How many work-related injuries can we expect on the job?

No matter where you work or what you are working on in the Corps, you face questions like these every day for which there are no easy answers. The reality is that we do not and cannot know the answers to many of the questions we run into during the performance of our jobs. What we can do, however, is to understand and manage the risks created by these uncertainties.



Risk analysis is the responsibility of every Corps employee. It is an effective way of thinking about and organizing to solve problems on the job and to address uncertainty.

This is your gateway to understanding the Corps model for risk analysis including assessing, managing and communicating risk. We invite you to start by taking one of the one-hour online training courses and then to explore other parts of the site for additional information, guidance, applications and other resources.

IWR Publishes Two Manuals on Incorporating Risk in Corps Decision Making

The Institute for Water Resources recently published two new manuals for Corps staff and other stakeholders on how to consider risk in USACE activities. These documents, *"Principles of Risk Analysis for Water Resources"* (pdf, 4.8 MB) and *"Planning Manual Part II: Risk-Informed Planning"* (pdf, 4.2 MB) expand upon and update prior resources and provide fresh thinking on risk-informed practices at the Corps.

With these new documents available, Susan B. Hughes, Deputy, Planning Community of Practice, USACE Headquarters, said *"In recent years the Corps' consideration and analysis of risk has evolved considerably, which leads to better analyses and smarter planning processes. These two manuals reflect our ongoing commitment to better understanding and incorporating risk in our work. I hope our colleagues and stakeholders will read and refer to these documents in planning and other activities."*

[Read more...](#)

USACE Publishes Updated Regulation Regarding Risk Assessment for Flood Risk Management Studies

The U.S. Army Corps of Engineers (USACE) has recently published an updated version of ER 1105-2-101, *"Risk Assessment for Flood Risk Management Studies"* (pdf, 1.44 MB). The regulation provides guidance on risk assessment requirements for flood management studies, as well as information regarding the risk framework; updates to the regulation include a break down of the parts of risk, and policies and procedures regarding life safety.

See the [report](#) (pdf, 1.44 MB) for more details.

Spotlight on Risk Communication

Check out the [Flood Risk Communication Toolbox!](#) This toolbox provides resources that can help District personnel effectively communicate flood risk to the public.

Did you know that effective risk communication can be the difference between a successful emergency planning event and one fraught with problems? Learn more about the 3 M's of [Risk Communication](#)...

IWR's Risk Analysis Gateway has many risk-related resources.

IWR-APT: ONLINE PLANNING TOOLS

IWR-Assistance for Planning Teams(APT) : Welcome, Liz!

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- [Project Tools](#)
- [Reference Tools](#)
- [Planning Links](#)
- [My Project Links](#)

Home / UPPER SUSQUEHANNA CO...

UPPER SUSQUEHANNA COMPREHENSIVE FLOOD DAMAGE REDUCTION, NY

Summary Project Information



DMPs

Decision	Last Updated	Preview
Alternatives	08/21/2017	Preview
Tentatively Selected Plan	08/22/2017	Preview

Activity Log Summary

Anastasiya Hernandez modified/added one or more decision log files on 09/20/2017
Anastasiya Hernandez modified/added one or more decision log entries on 09/20/2017

Comments

Date	Type	Name	Role	Comment	Actions
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USACE PLANNER DATABASE: FIND EXPERIENCE & EXPERTISE

Planner Database

MY INFO | SEARCH | REPORTS | CONTACTS | HELP

Cultural Resources

Economist Resources

Environment

Plan Formulation

The Planning Community of Practice's Planner Database Tool records, organizes, and reports the knowledge, skills and abilities of USACE planners filtered by Sub-Community of Practice (Sub-CoP).
PLEASE NOTE THAT OUR MENU HAS CHANGED!

[How to Find and Edit My Profile \(mp4, 0.9 MB, 18 sec\)](#)

[How to Apply for Certifications \(mp4, 1.1 MB, 19 sec\)](#)

[WATCH THIS HELP VIDEO \(mp4, 5.11 MB, 4:06 min\)](#) about the Water Resources Certified Planner application process.

Additional Resources can be found here:
 Find a Facilitator: <https://corpslakes.erdc.dren.mil/employees/facilitator/find.cfm>
 Find an Engineer: <https://maps.crrel.usace.army.mil/apex/f?p=105:53:16291659969314::NO>

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For additional inquiries, please email planningonline@usace.army.mil

BOTTOM LINE

- **Understanding and communicating uncertainty and risk empowers PDTs and leads to better decisions**
- Storytelling is key – not just in the report, but in presentations, meetings, internal and external
- Risk register tools to assess and document risk and risk management strategies and engage full PDT
- Ensure vertical engagement via IPRs, decision meetings, milestone meetings



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DISCUSSION

*Tip: Press *6 to unmute your line*



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