

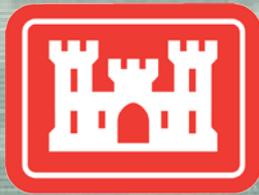
Planning Bulletin 2014-02: SMART Planning in the Reconnaissance Phase

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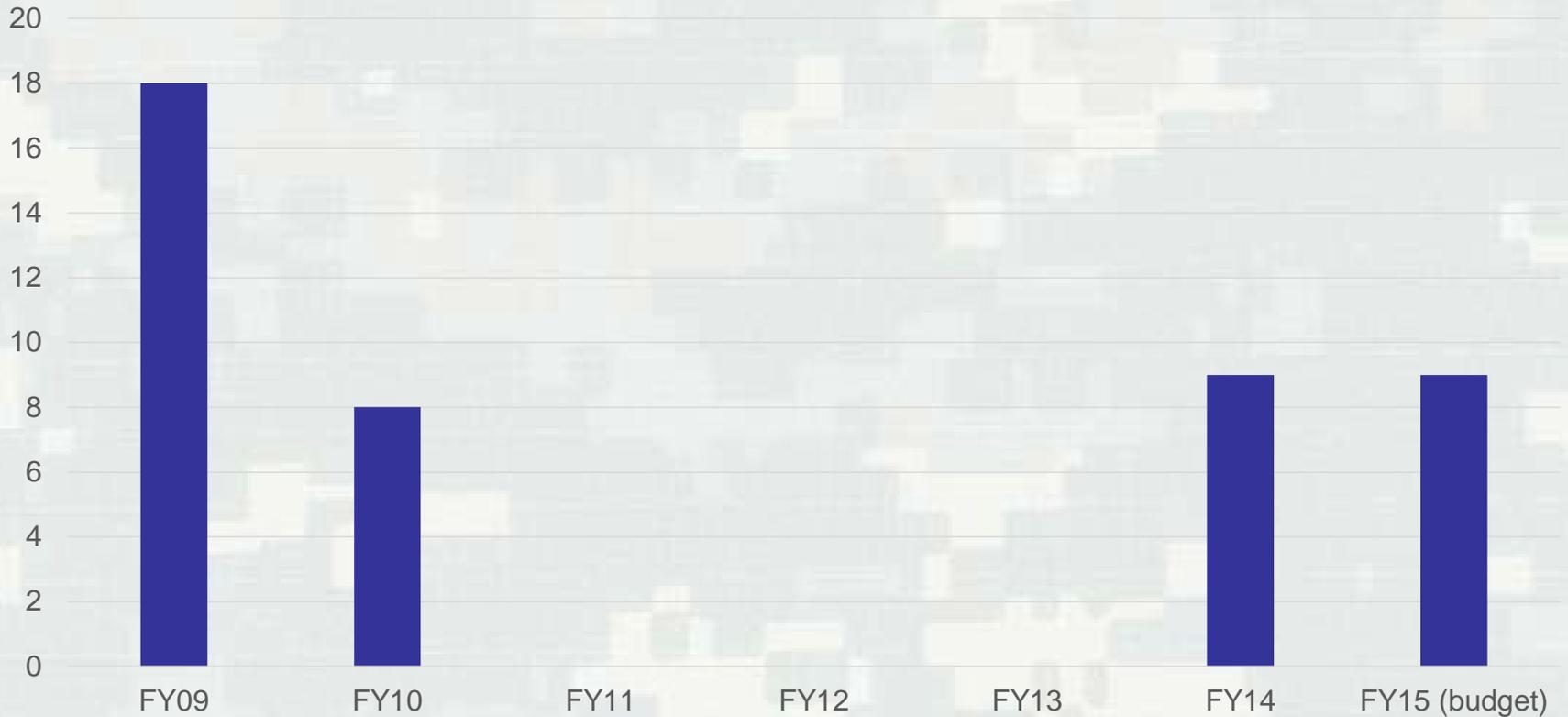
17 April 2014



US Army Corps of Engineers
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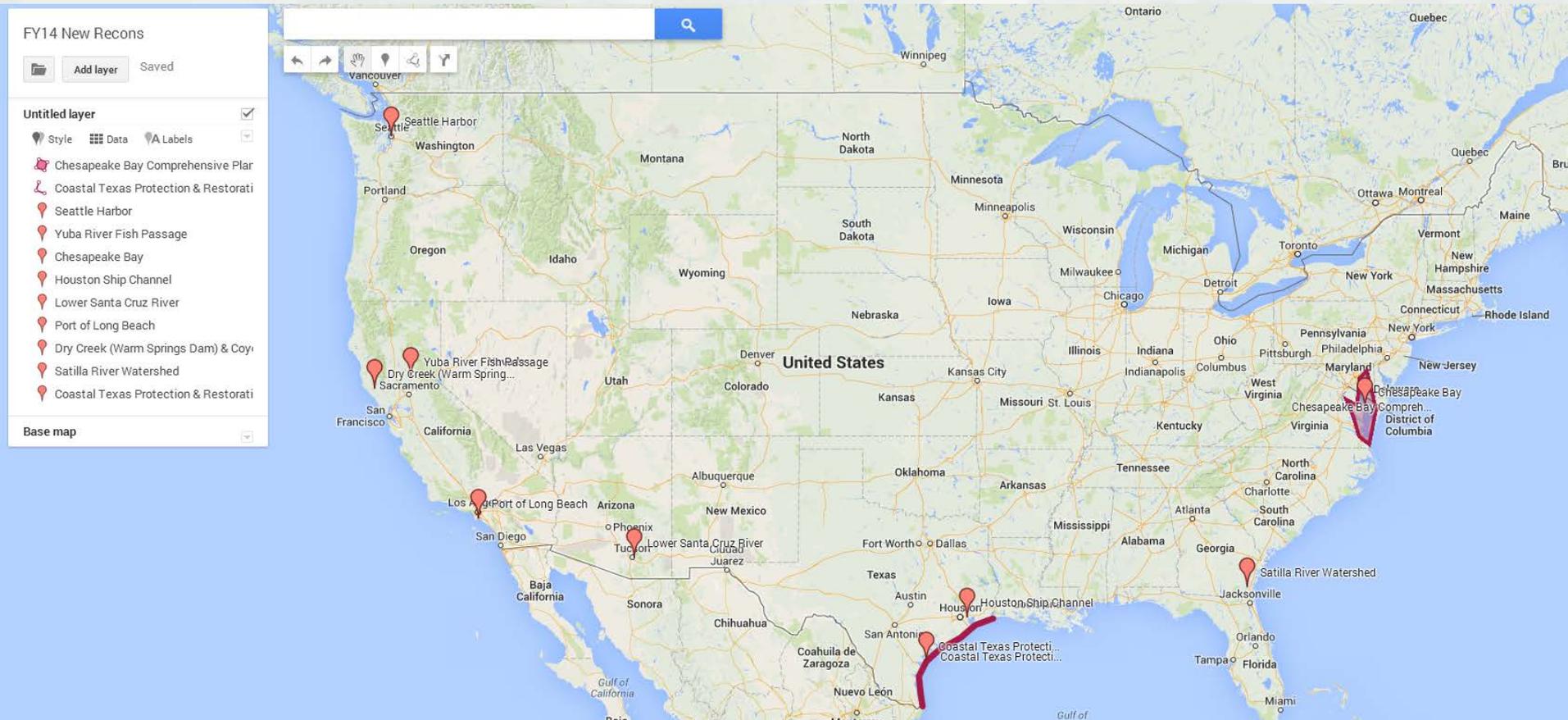


Trends in New Recons



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New Start Recons in FY2014



Recons in FY15 Budget

Recons in FY15 Budget

Add layer Saved

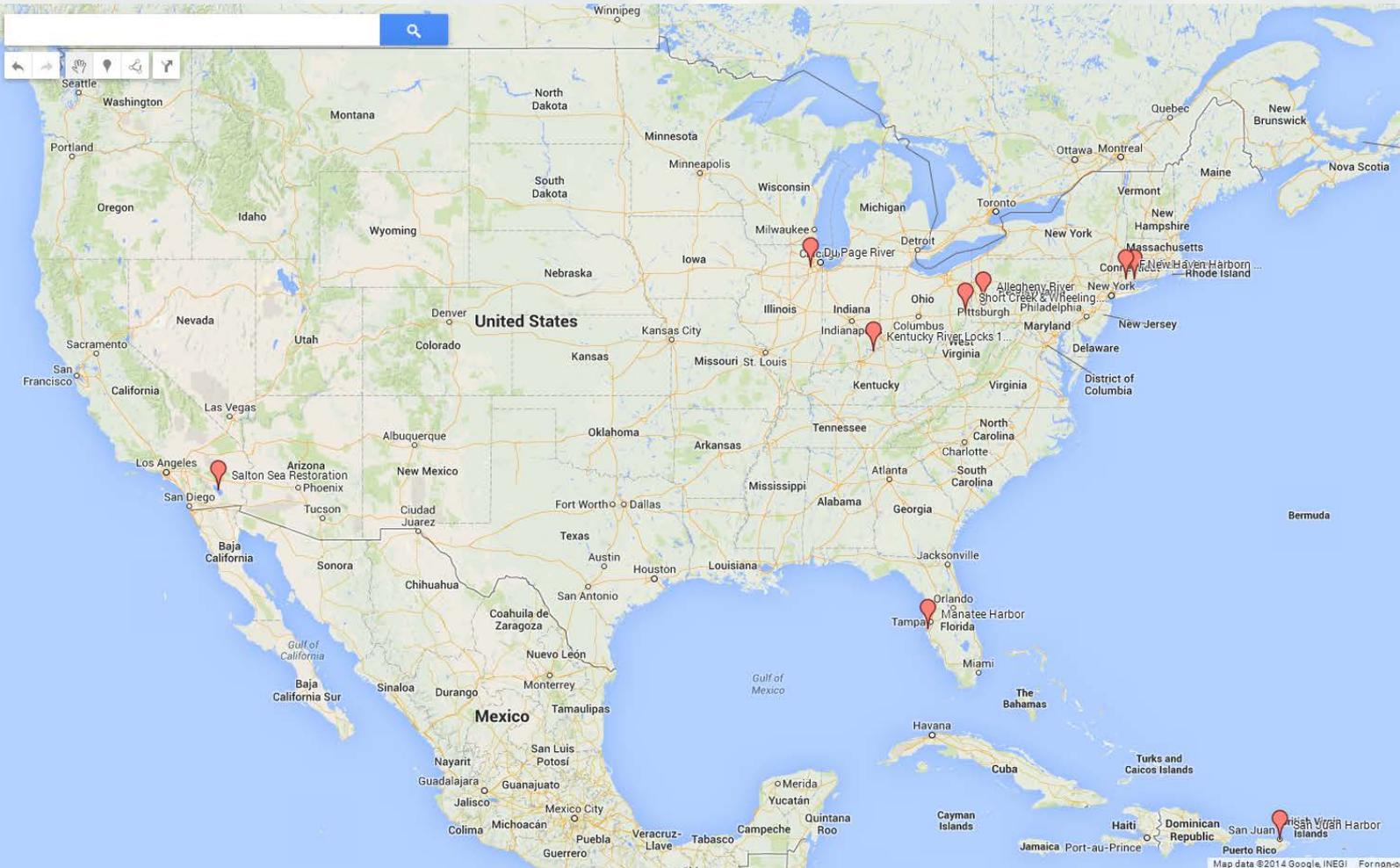
Untitled layer

Style Data Labels

name

- Salton Sea Restoration
- Allegheny River
- Du Page River
- Fairfield & New Haven Counties
- Kentucky River Locks 1-4
- Manatee Harbor
- New Haven Harbor
- San Juan Harbor
- Short Creek & Wheeling Creek

Base map



Google Maps Engine LITE

Map data ©2014 Google, INEGI, Forman



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Civil Works Reconnaissance Investment Strategy

- **Vision:** Use a risk-informed investment strategy based on President's Plan & CW Transformation & Strategic Goals to buy down Nation's water resources vulnerabilities
- **Outcome:** Present a portfolio of new start studies addressing both existing infrastructure and new projects leading to a responsive and sustainable investigations program
- **What's Different?** – Not a collection of “eaches” from the bottom-up. But a “top-down” approach from a national view to develop a coherent proposal that focuses on regional and/or functional vulnerabilities and produces Value to the Nation.



Applicability

- Planning Bulletin supports and augments the Planning Guidance Notebook (ER1105-2-100)
 - ▶ Current policy is still applicable
 - ▶ *Appendix G updates are not expected to significantly change Recon guidance*
- PB applies to all recon studies except initial watershed assessments



SMART Planning Principles in the PGN

c. Basic Requirements

(7) District will describe the major feasibility phase assumptions that will provide the ***basis for the study, discussion of alternatives that will be considered***, and estimate of feasibility study cost and schedule.

(8) to be used as the ***basis for making the decision to proceed or not proceed*** into the feasibility phase.

e. Study Conduct

(1) “study team shall be organized as a multi-disciplinary group, ***consisting at least*** of the affected ***functional*** elements of the District...”

(2) “District commanders will ensure that ***experienced and qualified personnel are assigned to the study team*** for reconnaissance phase. Due to short time available to conduct the study, ***many decisions*** will necessarily be ***based primarily upon professional judgment, without all the desirable information available.***”



What Makes a Recon SMART?

- Explicitly identifies uncertainty
- **Risk-informed** study scoping
- Scoping “buys down” your uncertainty
- Lays groundwork for feasibility
- Experienced Team identification
- Early Vertical Team communication & alignment



How Long? How Much?

- Duration normally 12 months – limited to 18 months
- Typically Recon Report (905(b) analysis) completed within six months
- Cost is 100% Federally funded
- No more than \$150k for recon phase



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Conducting the Recon Analysis

- Use existing, readily-available data
- Sources
 - ▶ Potential non-federal sponsor
 - ▶ Other agencies
 - ▶ State & local government agencies
- Include additional info **ONLY** when the information is required for determining if the problems warrant Federal participation



The PDT is Key

- “The Project Delivery Team (PDT) will employ risk-informed decision making based on professional and technical judgment throughout this phase of study”
- Experienced staff on – or advising – the PDT
- Use a Risk Register to support decision making and communicate risks
- Use Vertical Team – technical and policy expertise – throughout Recon as needed



Talk about Risk

- Discussions begin with non-federal sponsor at the start of recon and continue throughout
 - ▶ Source of study risk
 - ▶ Significance of study risk
 - ▶ What can be done
 - ▶ Remaining uncertainties
 - ▶ What it means



Coordinate

- Initiate coordination with applicable federal and state agencies
 - ▶ US Fish and Wildlife Service
 - ▶ National Marine Fisheries Service
 - ▶ The State Historic Preservation Officer
 - ▶ Tribal Historic Preservation Officer
- Obtain information pertinent to the study at the initiation of recon



The Report

- Analysis commensurable with this phase of study.
- Economic, environmental and cultural investigations will be limited to qualitative assessments of benefits and costs ... in sufficient detail to indicate that a solution will likely warrant Corps participation.
- Quantification of benefits and costs is not required.
- Describe areas of risk and remaining uncertainties that affect feasibility phase assumptions



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Lay the Groundwork

- Recon Report is foundation for first version of Feasibility Report Synopsis
- Recon phase activities will be carried forward and used in feasibility phase
 - ▶ 6-step Planning Process
 - ▶ Coordination with non-federal sponsor
 - ▶ Coordination with state and Federal agencies
 - ▶ Development of a risk-informed PMP



Delegated Approval Authority

- MSCs have delegated authority to approve a policy compliant Section 905(b) analysis
- *Then*
 - ▶ Approval Memorandum and 905(b) analysis provided to RIT
 - ▶ Development of PMP begins



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Developing the PMP

- Areas of risk and uncertainty inform the development of the PMP and the scope and scale of tasks within the PMP
- Communicate! District Commander must discuss with the prospective non-federal sponsor(s):
 - ▶ Objectives of the feasibility study
 - ▶ Necessary level of detail
 - ▶ Cost of studies
 - ▶ Scheduling of feasibility study activities



Vertical Team Engagement

- Vertical team alignment with the scope and scale of the PMP is required via the 3x3x3 Compliance Memorandum
- Other Vertical Team – including MSC, PCXes, OWPR – engagement as needed



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FCSA can be signed after:

- MSC Commander approval of 905(b) analysis.
- Completion of PMP negotiation.
- Approval of the feasibility study Review Plan by the MSC Commander.
- 3x3x3 Compliance Memorandum submitted to the HQUSACE Chief of Planning & Policy, or approved 3x3x3 exemption approved by the DCG-CEO.
- ASA(CW) approval of any requested deviations to the model FCSA.
- Receipt of the initial feasibility work allowance



Reportable Recon Milestones

For the PMs, FY14 HQ reportable Milestones for Recon that Programs will use at DMRs:

- Submit Draft Reconnaissance Report (CW150)
- Recon Report Approval (CW170)
- Project Management Plan Approval (CW040)
- Execution of Feasibility Cost Sharing Agreement (CW130)



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Key Points

- Most existing guidance still applies
- Significant expectations and obligations to deliver
- We must utilize the most qualified planners
- MSCs maintain delegated authority
- Use resources to help
- VT alignment starts in Recon



Questions?

Type questions in the chat box.
We will answer as many
as time allows.

For more information:
<http://www.corpsplanning.us>

