U.S. Army Corps Of Engineers
Civil Works Transformation:

Planning Modernization and SMART Planning

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Role of CW Planning

Why do we Plan?

• Request by non-federal sponsor
• Must establish Federal Interest:
  – Engineering feasibility
  – Economic justification
  – Environmental acceptability
• Provide sound, credible, quality recommendations for the Nation
• About people and relationships

“To B or Not to B? That is the question!”
(B=Budget)
National Water Resource Challenges

- Energy
- Environmental Values
- Governance
- Federal Budget
- Legislative Changes
- Demographic Shifts
- Persistent Conflict
- Declining Biodiversity
- Disaster Preparedness and Response
- Water Quality
- Increasing Demand for Water
- Globalization
- Climate Change
- Flood Risk
Congressional Views on CW Planning

• Senate Report FY 11 Budget
  – “However, somewhere the planning process is breaking down. “
  – “Proper planning is critical to the success of every Corps project; however, planning for planning's sake leads to frustration with the planning process.”

• Senate Report FY 12 Budget
  – “The Committee is more concerned with the inconsistency of the planning process across the Corps.”
  – “The importance of these study reports cannot be overstated. They are the basis from which all of the Corps' work is derived and Congress depends heavily on these planning reports to inform the decision making process for authorizing and funding these infrastructure investments. “

• House Report FY 13 Budget
  – The Committee encourages the Corps to continue to focus on mechanisms to streamline project studies and increase the cost-effectiveness of federal planning investments.”

• Senate Report FY 13 Budget
  – “The Committee is pleased that the Corps continues to review its planning program and is trying to make it more responsive to the local sponsors and Congress.”
  – “What is clear is that a one-size-fits-all approach will not work due to the great variations in problems and needs throughout the country. More consistency as to how these problems and needs are evaluated should be the goal.”
Transforming Civil Works

- Planning Modernization
- Infrastructure Strategy
- Budget Development
- Methods of Delivery
Planning Modernization: Minding Our P’s and Q’s

- **PEOPLE**: Planners trained, equipped and capable of solving problems
- **PROGRAM**: Program that is proactive, relevant and responsive
- **PROCESS**: Process that delivers timely investment decision documents
- **PROJECTS**: Implementable plans and projects that solve problems
Planning Modernization

Chief’s Reports

Smart Planning

Portfolio Reduction

Education & Training
Planning Modernization Accomplishments

• Issued Feasibility Study Execution Guidance Memo and other Planning Guidance
• Reduced Active Feasibility Study Portfolio
• Completed 30 Chief’s Reports Post WRDA 2007
• Further Implementation of PCXs Issued
• OPORD Feb 12 Implementing DDN-PCX Economics Production Center
• Finalized Certification of the Container Model
• Completed U.S. Port and Inland Waterway Modernization Report
• Planning Toolbox Website (www.corpsplanning.us)
• Mandatory Training Guidance for Planners
• Updated Planning Core Curriculum & Planning Associates Program
• Reissued Environmental Operating Principles
Planning Modernization Summary

**SMART Planning**

- Planning
- Guidance
- 3x3x3
- Organizational Model
- Training
- Complete Studies
- Accountability
- Process
- Acknowledge Uncertainty
- Apply Knowledge & Experience

2011 → 2014
Accountability

- Districts, Divisions, and Headquarters work together on decision-focused solutions, supported by the appropriate level of detail.
- Each level of the organization is responsible and accountable, critical to maintaining progress:
  - District Quality Control is essential
  - Timely and appropriate reviews
  - Vertical Team engagement
  - Accurately document discussions
Critical External Partnerships

- Nonfederal Sponsors
  - Are resources aligned to continue forward?

- Engaged Communities
  - What are the next decisions / analyses?

- Other Federal Agencies

- Congressional Authorizing and Appropriations Committees
  - What decisions can be made with available data?
Focus on alternatives evaluation to identify a tentative plan for more detailed design.

Focus on scaling the measures and features for the recommended plan/LPP.
SMART Planning: What’s Different?

• Process and outputs are **decision focused**
• Risk and uncertainty is **acknowledged and managed**
  - Only collect data needed
  - Make decision and move on
  - Level of detail (of data / decision) grows over time
  - Vertical Team agreement on “acceptable” level of uncertainty and path forward to manage that
• Report developed from the beginning of the study, documenting the decisions
What Decisions Are Being Made?

• Formulate, evaluate and compare alternatives to select a plan

• Across a set of decision criteria
  – Benefits: Economic, Environmental, Safety
  – Costs: Construction, LERRDS, OMRR&R
  – Impacts: Environmental, Social, Cultural
  – Legal and Policy requirements

• In comparison to future without project conditions
Managing Risk Throughout the Study

• Identifying risk is a key element.

• SMART Planning incorporates several areas of risk identification.

• For product development their are two areas to be addressed by PDT.
  – Planning Decision Quality: Study Risk, Project Risk
  – Cost and Schedule Risk

• Both utilize Risk Registers to capture risk items which document likelihood and potential impact.
What Have We Learned

SMART Planning principles are being used to complete studies within the “3x3x3” framework.
Challenges Ahead

• Significant practice / culture change at all levels
  ▪ One Corps approach
  ▪ Risk-informed decisions at all levels
  ▪ Real and perceived pressure to “get it right the first time”
  ▪ Concurrent review and early sponsor and vertical team engagement

• Gaps in current guidance and policies

• Alignment of resources/funding
Cumulative Production of Chief’s Reports Since WRDA 2007

Have completed 30 Chief's Reports as of 30 September 2013
General Investigations

Budget vs. Appropriation

Fiscal Year

$ Millions

Budget
Approps
Stimulus

Reducing the risks of loss of life and adverse impacts to economy and jobs from river and coastal flooding.
Reducing the costs of imports and exports thru our ports and inland systems that affect jobs and the economy and the President's goal of doubling exports.
Restoring our degraded critical ecosystems.

“Ocean of Benefits”
Reduced potential for loss of inherited:
- standards of living
- economic prosperity
- quality of life

Potential for:
- More jobs
- Increased national efficiencies
- Increased exports and imports
- Reduced flood damages
- Improved fish and wildlife habitat
- Restored wetlands
So What?
Loss of accrued heritage:
• standards of living
• economic prosperity
• quality of life

National Reservoir of Needs

• Reducing the risks of loss of life and adverse impacts to economy and jobs from river and coastal flooding.
• Reducing the costs of imports and exports thru our ports and inland systems that affect jobs and the economy and the President's goal of doubling exports.
• Restoring our degraded critical ecosystems.
Recent Projects: Applying Planning Modernization
Lake Worth Inlet – Palm Beach Harbor

The Port of Palm Beach is the fourth busiest container port in Florida and the eighteenth busiest in the continental United States.

Lake Worth Inlet, the entrance channel to the port, is inadequate both in width and depth.
Sutter Basin Feasibility Study

First SMART Planning Study to reach Civil Works Review Board

• Proposed project would reduce flood risk for nearly 100,000 people and 26,000 structures
West Shore Lake Pontchartrain

First SMART Planning Study to reach Agency Decision Milestone.

- Facilitates Vertical Team evaluation and discussion of project and study uncertainty before investment of time and dollars in feasibility-level design phase of study.
Importance of CW Planning

“Planning is a very specialized discipline within the Corps. It is not something that everyone in the Corps either wants to do or is capable of doing. The Corps has been hemorrhaging talent in this area for years and has been unable to hire replacements due to budget constraints. Once this planning capability is lost, the Corps will be unable to rebuild it rapidly, if ever. This will greatly impact their relevance to water resource development.”

Roger K. Cockrell, Senate Energy and Water Appropriations Subcommittee staff
Senate Views on CW Planning FY14 Budget Report

- Timeframe within the planning process are statutory and can not be shortened as some studies may require a more in depth look.
- The basis of a well researched plan requires a determination based on facts of future project conditions as well as an array of alternatives that should always require careful evaluation. Assumptions at the beginning of the planning process, if given short shrift, is a potential major cause for concern as the recommendation of the planning process may be suspect in nature.
- The need for flexibility is essential when evaluating the planning process. There are certain instances when speed is truly essential.
- What remains clear is the fact that a one-size-fits all approach will not work due to the great variations in problems and needs throughout the country.
- The importance of these study reports can not be compromised. They are the basis from which all of the Corps’ work is derived and Congress depends heavily on these planning reports to make informed decisions regarding the process for authorizing and funding various infrastructure investments though the country.
- The Committee will continue to monitor the progress of improving the consistency of the planning process.
Questions?

For more information, visit the Planning Community Toolbox:
http://www.corpsplanning.us