

Transition to Automated Ground-based Measurements

RA-V Workshop Day 3 Risks

Jitze van der Meulen



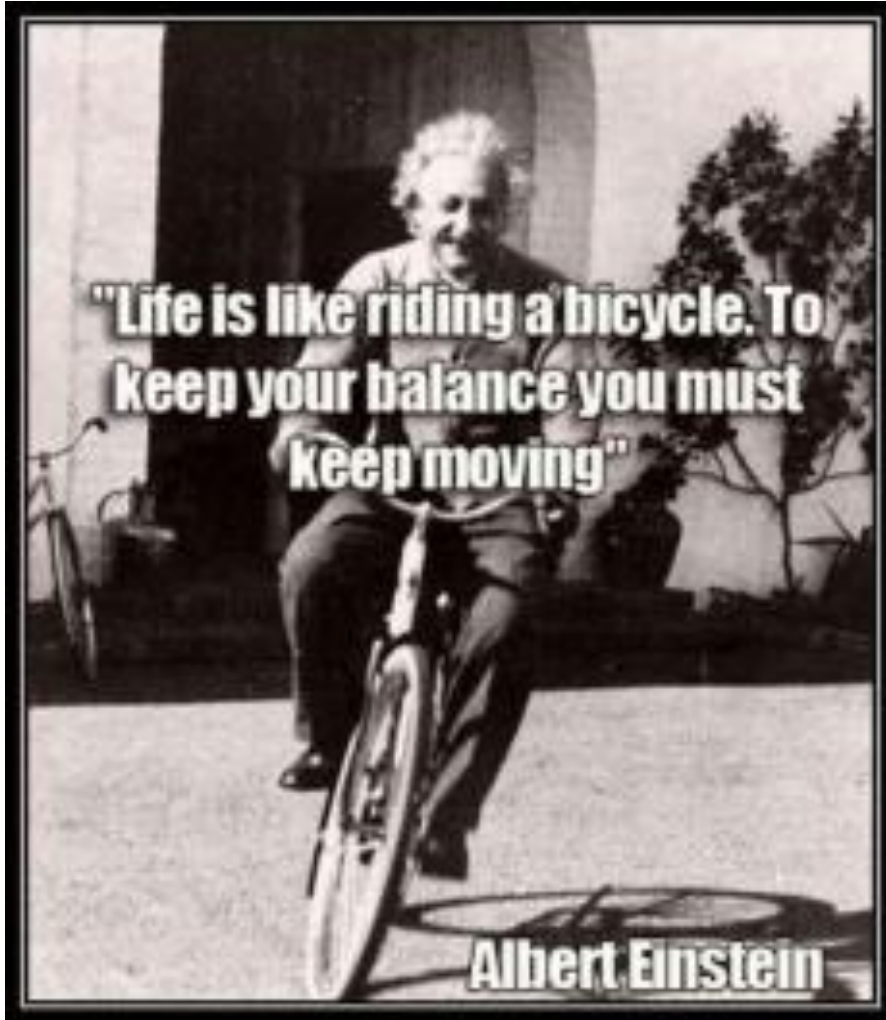
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2 December 2021

Risk precautions



- Risk Analysis
- Risk Register

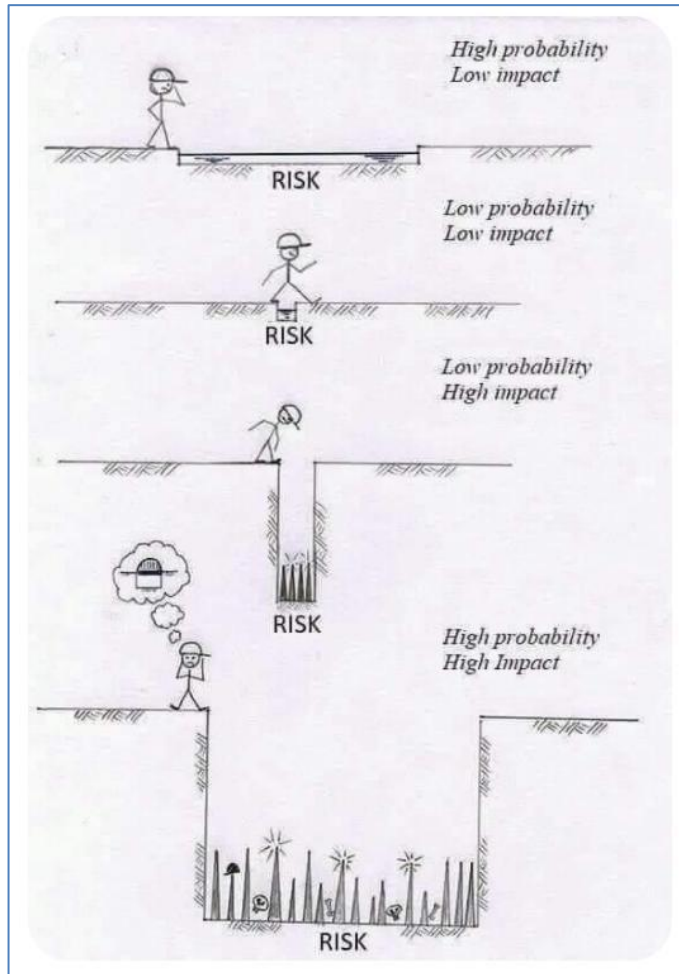
Jitze van der Meulen

Understanding Risk



Usually, we all know that some activities will be quite risky, but we don't know what the risk is, neither the consequences

Understanding Risk



It is important to quantify risk.

We need to translate the general more or less *subjective* meaning into *objective* quantities.

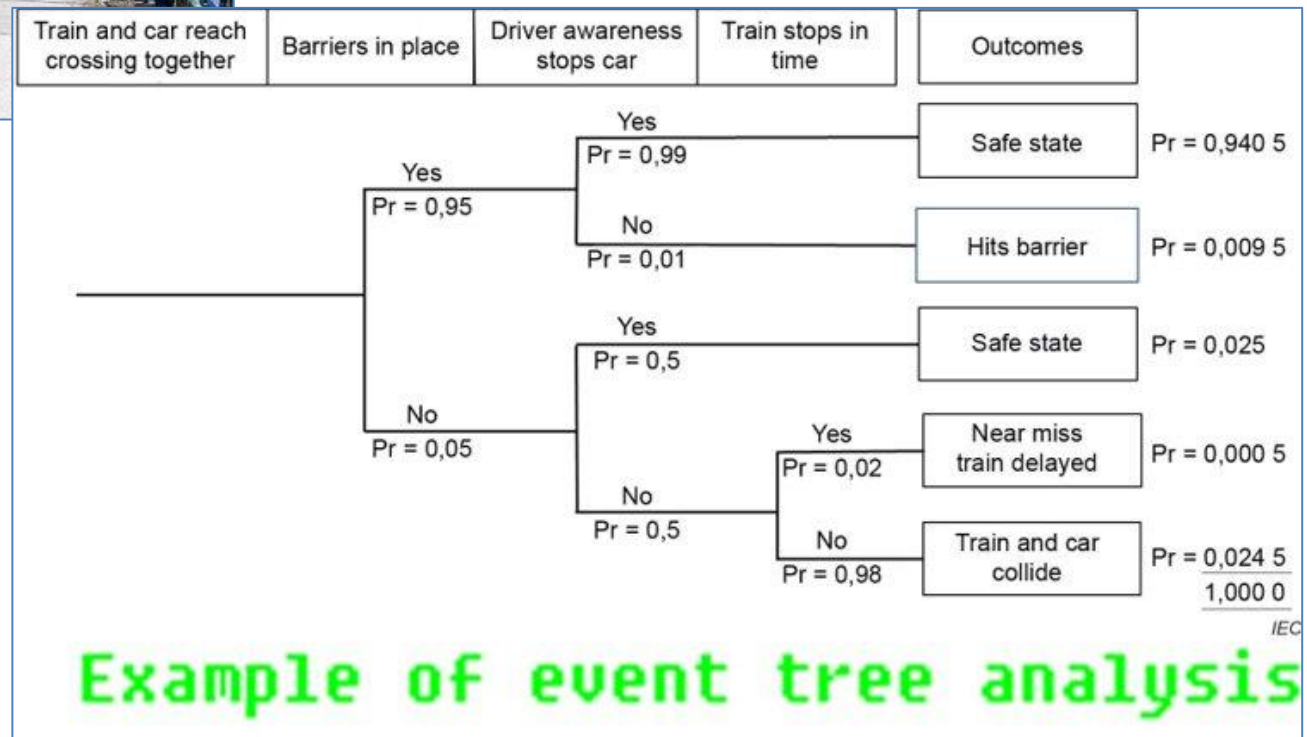
Making risk objective will help to *prioritize* risk reduction and prevention

In objective terms:

$$\text{Risk} = \text{Probability} \times \text{Impact}$$

Understanding Risk

How to quantify?

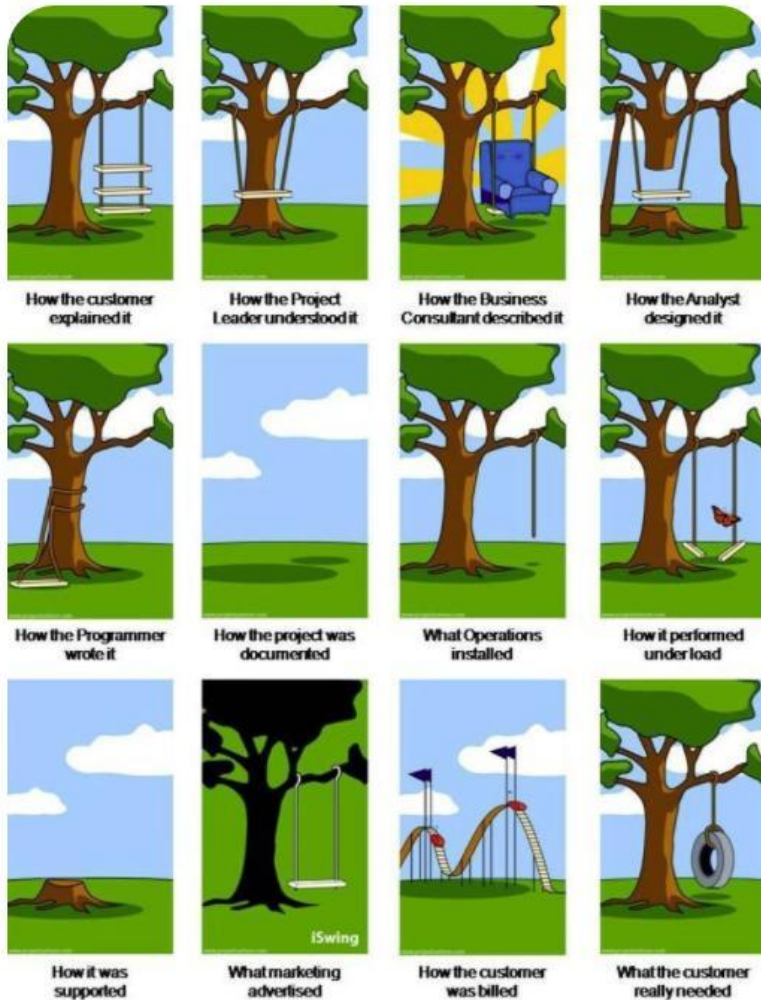


Example of event tree analysis

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Understanding Risk



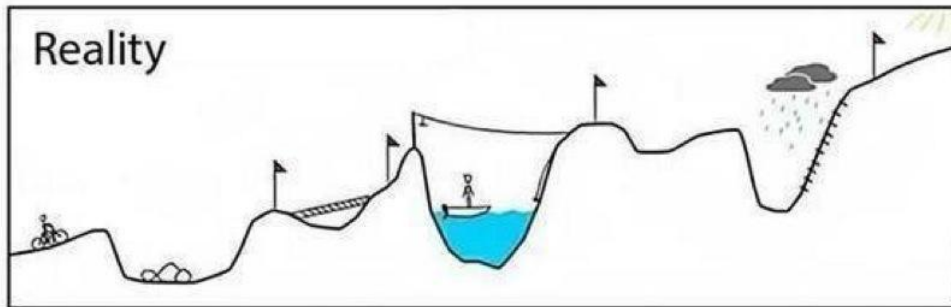
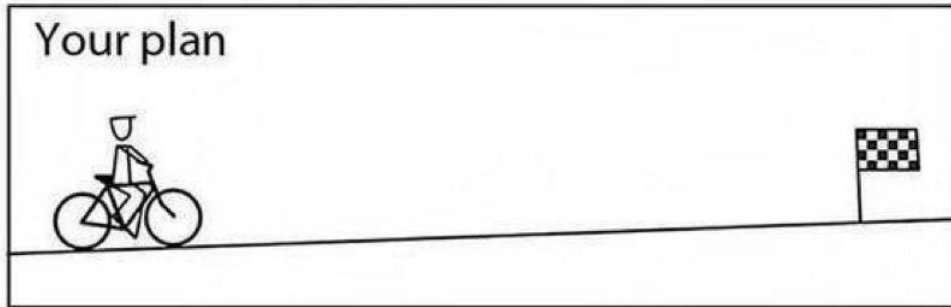
A typical risk issue at the start of a project is miscommunication, misunderstanding and blindness.

Another typical issue is poor definition of final targets or goals of the projects, not being aware of the required functional specifications

So, we must focus on reality, not on dreams or wishes.

Be prepared and invest sufficient resources into the initial design

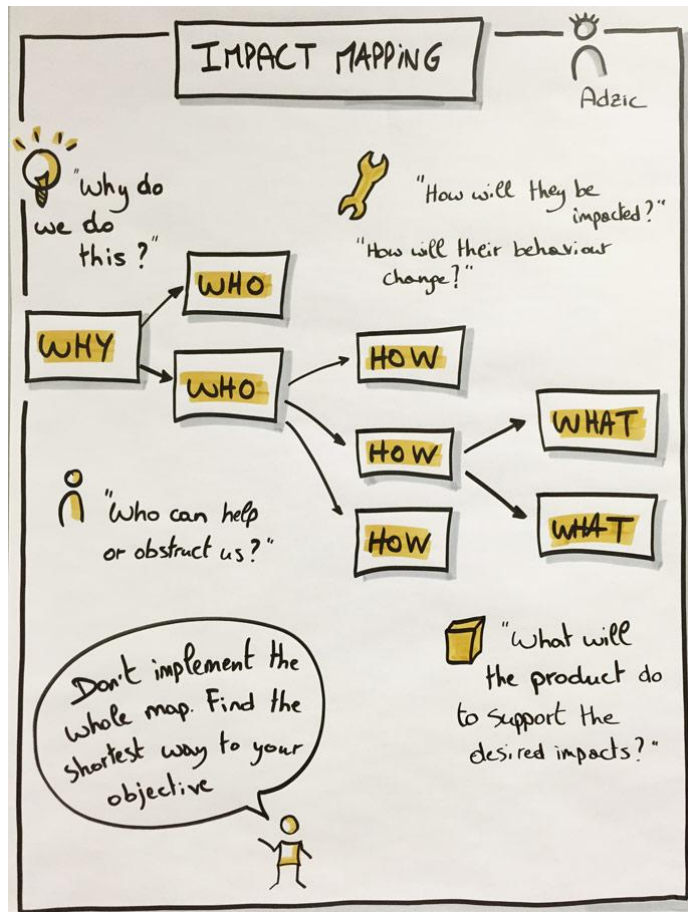
Be Prepared



Risk analysis seems to be quite a simple activity, but in practice it is *rocket science*:

May be simple to explain at the end, but very hard to develop for any kind of complex project

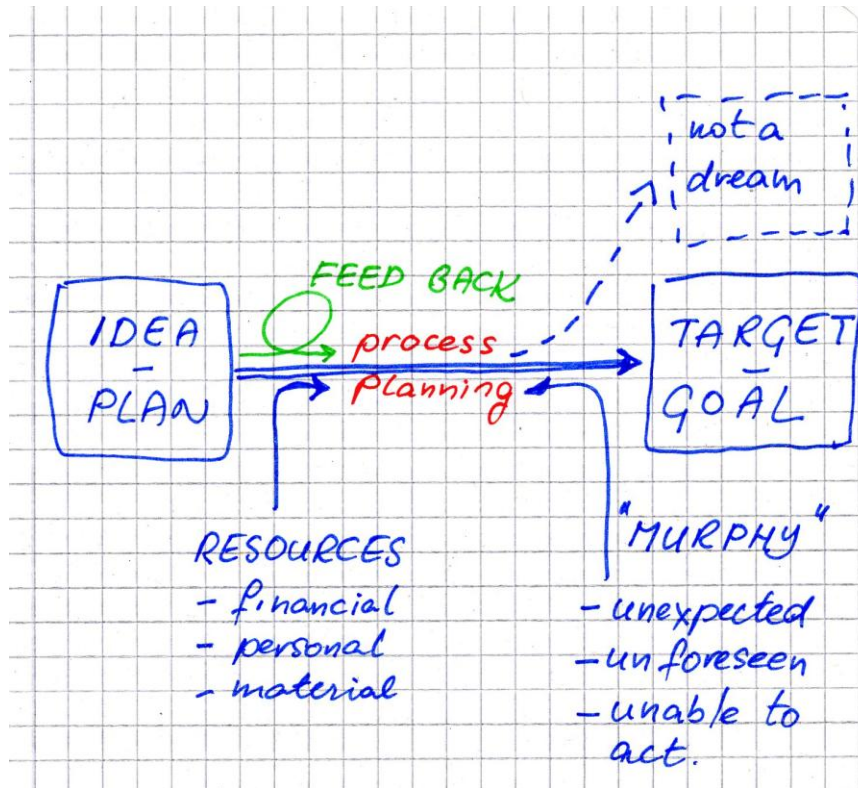
How to develop a risk analysis plan



Forgotten at the beginning:

- The users. Who are the users? *All participants and the users must be recognized first*
- To record the relevant items, like the *Who, What, Where, When, How and Why*

How to develop a risk analysis plan



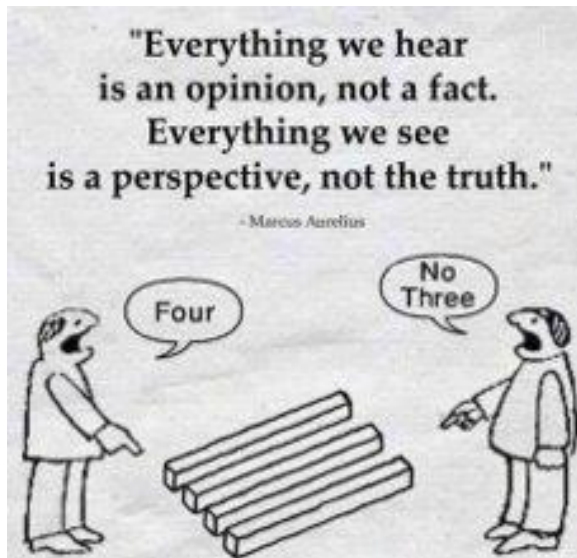
Other risk issues:

- *Tests are restricted to the local sub-task*
- *No interfacing between the sub-components*
- *Little or no information for training or feedback from the users*

How to develop a risk analysis plan

Deal with Murphy's law:

Anything that can go wrong will go wrong.



Typically, most issues are ***communication*** issues:

- *misunderstandings*
- *Saying yes, doing no*
- *Today is not tomorrow*
- *Deadlines not clear*
- *Miscommunication with sub-contractors*

How to develop a risk analysis plan

Competencies

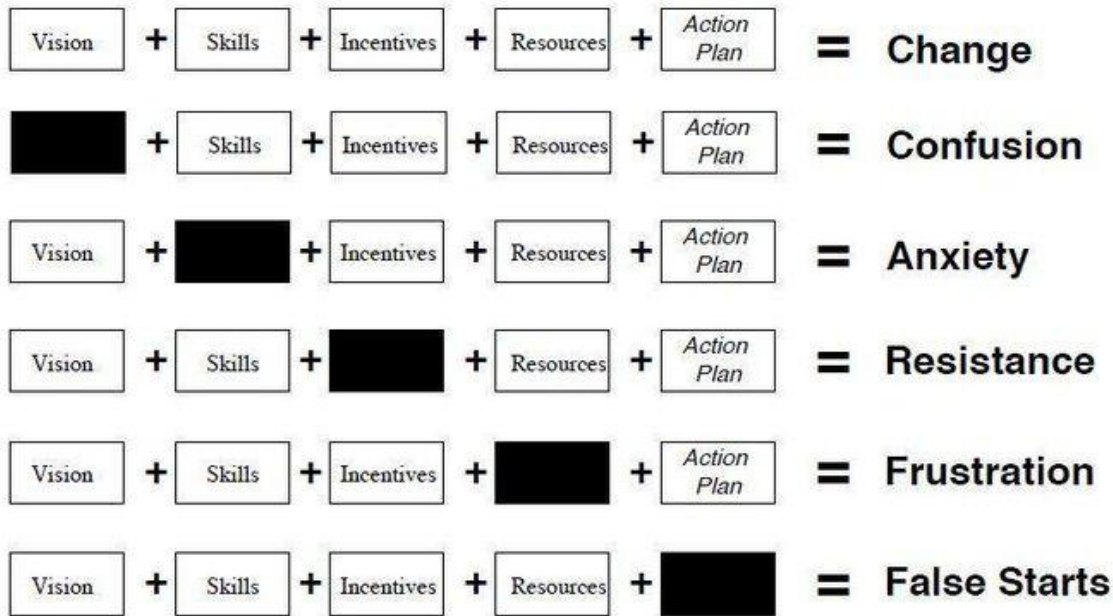
Employee Name	Role	Technical Skills											Generic Skills					
		Security	Software Development	Data Management	Infrastructure	Network Management	Asset Management	Storage Management	Programming Languages	Microsoft Office Suite	Training	Management	Leadership	Stakeholder Management	Governance	Written Communication	Oral Communication	Presentation
[Redacted]	Business Analyst	0	0	0	0	0	0	0	2	3	0	2	1	0	0	1	0	3
[Redacted]	Business Analyst	0	2	1	0	1	2	0	3	4	1	0	4	4	0	4	4	4
[Redacted]	Developer	0	4	0	1	2	1	2	4	3	2	0	4	1	2	2	0	
[Redacted]	Developer	1	4	1	1	1	1	1	4	0	1	1	3	2	2	3	2	
[Redacted]	Developer	0	3	1	0	2	2	0	4	2	2	2	2	0	2	2	3	
[Redacted]	Developer	2	2	2	1	1	2	1	3	4	2	3	2	2	4	3	1	
[Redacted]	Developer	1	2	1	0	2	1	3	2	1	1	1	0	1	2	2	1	
[Redacted]	Infrastructure	3	0	4	3	2	4	4	3	0	2	1	0	1	0	3	2	
[Redacted]	Infrastructure	2	0	0	3	4	3	2	4	1	3	0	4	2	1	0	0	
[Redacted]	IT Helpdesk	0	3	0	2	2	3	0	2	2	1	2	3	1	2	1	3	4
[Redacted]	IT Helpdesk	1	4	1	0	2	3	2	4	0	1	2	4	1	0	2	0	1
[Redacted]	Network	0	2	2	3	0	1	3	1	1	0	1	0	0	1	2	0	
[Redacted]	Network	2	0	0	4	4	2	1	0	2	3	1	1	1	0	1	3	2
[Redacted]	PMO	0	1	0	3	0	0	3	4	0	2	2	4	4	4	4	3	
[Redacted]	PMO	0	0	2	0	0	3	0	3	4	2	2	1	3	4	3	4	
[Redacted]	Project Lead	1	2	1	2	1	2	4	4	3	3	4	4	4	3	4	4	

Be aware that automation is not a simple action to replace human beings with **autonomous**, automatic operating systems.

- *The whole system must be redesigned*
- *System and data management and quality control must be recognized*
- *Change management with focus on competencies / skills and social impacts*

How to develop a risk analysis plan

Managing Complex Change



Adapted from Knoster, T., Villa R., & Thousand, J. (2000). A framework for thinking about systems change. In R. villa & J. Thousand (Eds.), *Restructuring for caring and effective education: Piecing the puzzle together* (pp. 93-128). Baltimore: Paul H. Brookes Publishing Co.

Change management with focus on competencies / skills and social impacts

If relevant items are overlooked, a change will not be successful

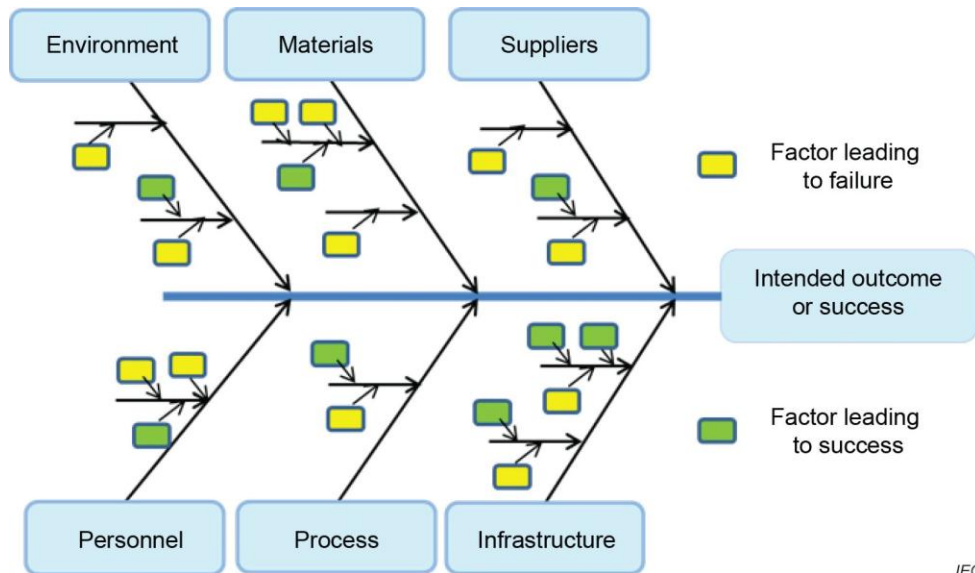
How to develop a risk analyses plan



Risk analyses techniques

- **INTERNATIONAL STANDARD ISO 31000:2018**
Risk management — Guidelines
- **INTERNATIONAL STANDARD IEC 31010:2019**
Risk management — Risk assessment techniques

How to develop a risk analysis plan

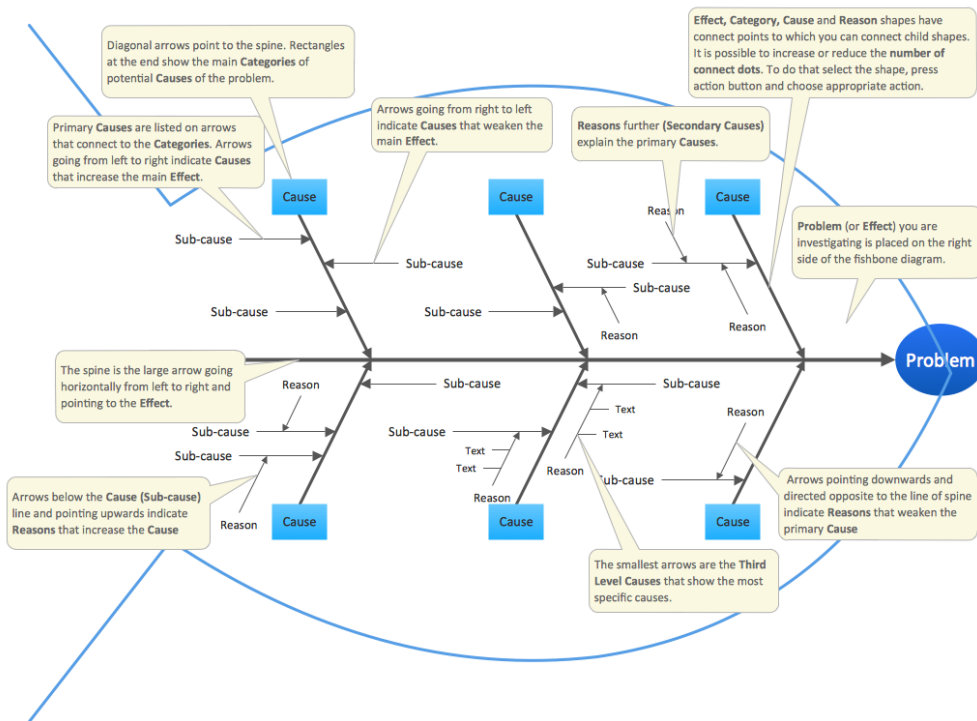


Example Ishikawa (fishbone) diagram IEC

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*First, do a
brainstorming
exercise with **all**
participants to
build up a so-
called **Ishikawa** or
fishbone diagram*

How to develop a risk analyses plan



Organize the diagram and add causes & reasons to the possible factors leading to failures

How to develop a risk analysis plan

What do you consider to be the most important risks for this project?

Summary of answers

Many of the risks mentioned are counterparts of the success criteria mentioned in the answers to question 17.

Risks related to the vendor:

- Not having a qualified staff
- Not having experience in this type of project
- Not having the required number of staff
- Delays in delivery of ordered equipment
- Vendor lock-in

Risks related to KNMI:

- Delays in decision process about specific proposals will lead to project delays
- Delays because of incomplete preparation of the infrastructure on observation sites
- Lack of focus of the project
- Resistance of staff to the solution, for instance when jobs are threatened or KNMI staff is insufficiently involved in the project
- Insufficient availability of qualified KNMI staff
- Insufficient governance of the project
- Insufficient documentation

Project risks:

- Cloud fees are very dependent on the volume and manner of data consumption and can often be considerably larger than originally estimated.
- Doing too much, too soon
- Too many different parts in the solution can lead to higher TCO
- Complex algorithms
- Scope creep
- Poorly defined testing and acceptance criteria
- Using technology not proven in market

*Example:
Expected risks,
with causes,
reasons*

How to develop a risk analysis plan

Register Contents

Risk ID	Author	Date Registered	Risk Category	Description			Impact		Probability		Expected Value		Proximity	Risk Response Categories	Risk Response	Risk Status	Risk Owner	Risk Actionee
				Cause	Event	Effect	Inherent	Residual	Inherent	Residual	Inherent	Residual						
1	Ruud	29 Apr 2020	Schedule															
		29 Apr 2020																

How to develop a risk analysis plan

Register Contents

Nr	Status	Type	Description	Name of the Risk	Owner	Chance	Impact	Decision	Actions	Remarks	Deadline
1	Open	Organisatie	De inrichting van de KNMI omgevingen is bij, de inhoud van de contracten met en/of de afhankelijkheid van leveranciersspecifieke software, diensten, etc. van Amazon (AWS), SSC-Campus en SURF zo hebben vormgegevens dat we er niet of alleen met een onevenredige inspanning vanaf kunnen, waardoor het KNMI niet meer snel genoeg kan reageren op veranderingen met als gevolg financiële schade of het verliezen van onze concurrentiepositie of het niet meer kunnen nakomen van onze wettelijke verplichtingen.	Geen goede exitstrategie bij AWS/SSC-C/SURF	Jan Willem Arnold	Gemiddeld	Gemiddeld	Reduceren	1. Externe review op project	1. Actiehouder = Jan Willem Arnold	2019-12-31
2	Open	Organisatie	Procedures rondom in- en uitdienststreding worden niet nageleefd, waardoor externe en ex-medewerkers ongeoorloofde toegang hebben tot de KNMI-omgeving en (on)bewust schade kunnen aanrichten, data vernietigen of verwijderen, applicaties uitzetten, etc. met als gevolg en negatieve publiciteit en eventueel niet nakomen van (wettelijke) verplichtingen en schadeclaims.	AWS: I&AM, in- en uitdienst procedures, toegangsrechten	Marc van Eerd	Klein	Groot	Voorkomen	1. Inregelen I&AM in AWS 2. Project: zodra een (externe) medewerker het project verlaat, wordt zijn/haar toegang tot de KNMI-omgeving, AWS en gerelateerde omgevingen, Jira, Confluence, Slack etc. ontzegd.	1. Actiehouder = Ekko Huizenga 2. Actiehouder = Anne Hardonk	2019-12-31
3	Open	Programma	Er is onvoldoende kennis over de AWS/Docker/etc.-technologie en de inrichting van de KNMI AWS omgeving (binnen het team/de organisatie), waardoor het gebruik ervan tot fouten leidt en (cyber)risico's geïntroduceerd worden waardoor (ernstige) verstoringen kunnen optreden met als gevolg negatieve publiciteit en eventueel niet nakomen van (wettelijke) verplichtingen en schadeclaims.	Ontbreken kennis AWS bij KNMI	Kees van Dijk	Groot	Gemiddeld	Reduceren	1. Vakgroepen monitoren kennisniveau medewerkers 2. Organiseren van workshops op het gebied van AWS 3. Organiseren van training AWS 4. Creëren van knowledge portal waar kennis wordt gedeeld 5. Project stelt trainingsaanbod per functie/profiel op	1. Actiehouder Kees 2. Actiehouder Ekko 3. Actiehouder Ekko 4. Actiehouder Ekko 5. Actiehouder Anne	2019-12-31



How to develop a risk analysis plan

Risk Assessment Form –*other examples*

Activity	Location:	Area:	Persons at Risk: 2-3	Assessment Date: 02/06/2020	Assessment Number: TST007
Mini AWS Installation	All Sites	Met Office	Staff, Others	Review Date (max. 12 months)	

What is the hazard?	Who might be harmed?	How might they be harmed?	Existing control Measures	Risk Rating Score, (S x L = R)	Further controls (if required) Enter Y/N and description	Risk Rating Score, (S x L = R)	Actioned by who and when
Weather conditions.	Engineers, local site staff, contractors	Increased likelihood of accidents. Resulting in.... Cut, grazes, broken limbs.	<ul style="list-style-type: none"> i. Check Weather forecast/likely ground conditions before undertaking task_ ii. Regularly assess current weather conditions e.g. wind, ice, lightning, during task._ iii. Do not work on system if Lightning Risk is high._ iv. Wear appropriate PPE for tasks/conditions incl warm weather clothing_ v. Cease work if conditions become too severe._ i. Maintain fluid levels; drink at regular intervals_ 	3x1=3	None		

How to develop a risk analysis plan


Risk Assessment Form –other examples

‘S’ = Severity of Injury

1	Low	No medical treatment required
2	Minor	First Aid treatment required
3	Medium	External medical treatment required
4	Major	Loss of limb / permanent disabilities
5	Fatal	Death to one or more persons

‘L’ = Likelihood of Injury

1	Unlikely	Event expected to occur in very exceptional circumstances
2	Low	Event expected to occur in exceptional circumstances
3	Medium	Event expected to occur in some circumstances
4	High	Event expected to occur in most circumstances
5	Extremely High	Event expected to occur in virtually all circumstances



Severity X Likelihood = Risk Rating

		L				
		Unlikely	Low	Medium	High	Extremely High
S	Low	1	2	3	4	5
	Minor	2	4	6	8	10
	Medium	3	6	9	12	15
	Major	4	8	12	16	20
	Fatal	5	10	15	20	25

Categories of Risk

Score	Description of risk	Actions to Undertake
1-3	Low Risk	Monitor controls where required.
4-6	Moderate Risk	Improve where reasonably practicable.
8-10	Significant Risk	Improve control measures immediately.
12-25	High Risk	Possible cessation of work until adequate control measures implemented.

How to develop a risk analysis plan

RISK = Likelihood × consequence

Consequence rating ↑	a	III	III	II	I	I
	b	IV	III	III	II	I
	c	V	IV	III	II	I
	d	V	V	IV	III	II
	e	V	V	IV	III	II
		1	2	3	4	5
		Likelihood rating →				

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Example of consequence/likelihood matrix

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RISK = Likelihood x consequence

SIMPLE SAFETY RISK REGISTER TEMPLATE

RISK DESCRIPTION	IMPACT DESCRIPTION	IMPACT LEVEL	PROBABILITY LEVEL	PRIORITY LEVEL	MITIGATION NOTES	OWNER
Brief summary of the risk.	What will happen if the risk is not mitigated or eliminated.	Rate 1 (LOW) to 5 (HIGH)	Rate 1 (LOW) to 5 (HIGH)	(IMPACT X PROBABILITY) Address highest first.	What can be done to lower or eliminate the impact or probability.	Who's responsible?
Leaks from roof during rain make the floor slippery	Slips and falls	3	5	15	<ul style="list-style-type: none"> Order 'slippery when wet' signs Have mops on hand Fix roof 	Allen
Shortage of eye protection	Increase in injuries Production delayed Increased insurance premiums	5	1	5	<ul style="list-style-type: none"> Increase supply Low inventory warnings Find alternative suppliers 	Linda
		4	5	20		
		5	5	25		
		2	1	2		
		3	4	12		
		1	1	1		
		2	4	8		
		4	4	16		

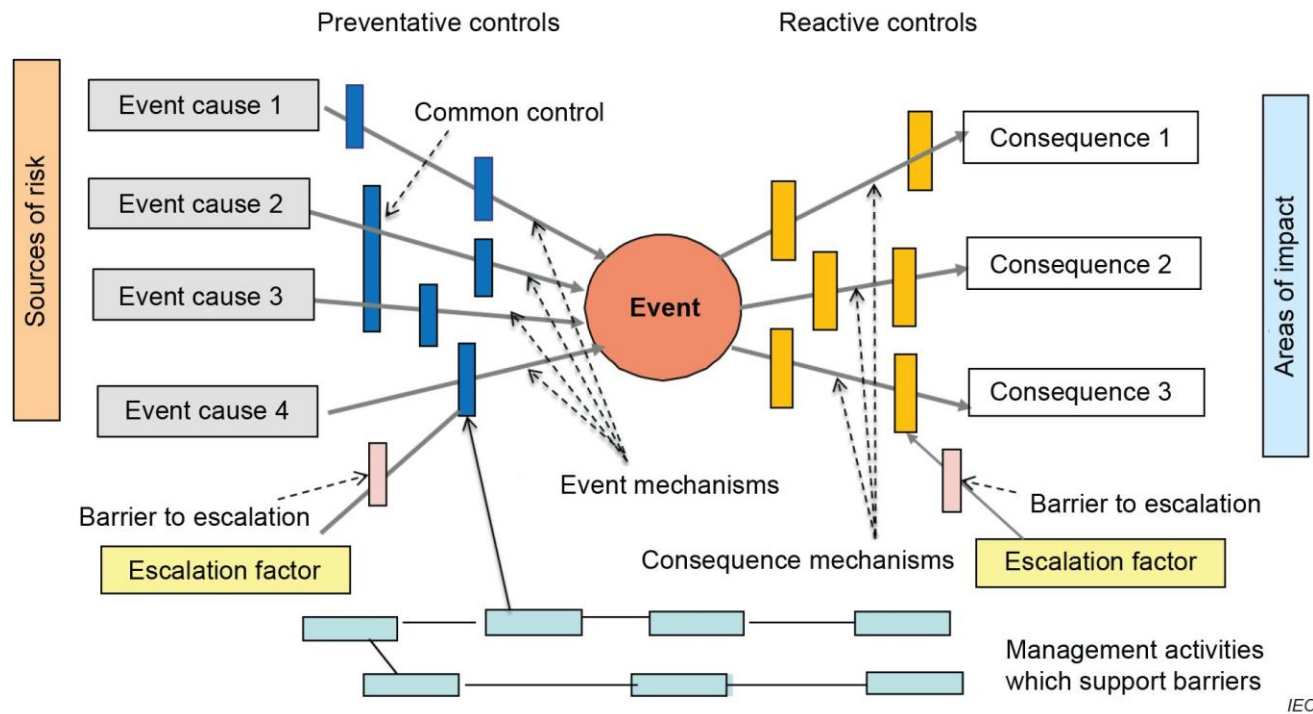
	5	5	10	15	20	25
5	5	10	15	20	25	
4	4	8	12	16	20	
3	3	6	9	12	15	
2	2	4	6	8	10	
1	1	2	3	4	5	
	1	2	3	4	5	

PROBABILITY

IMPACT

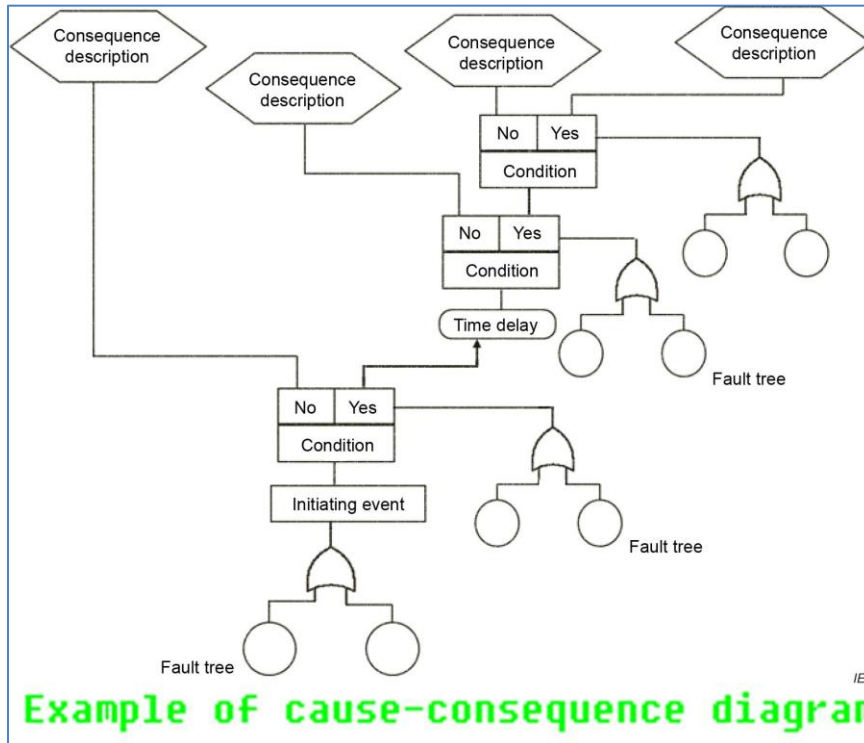
How to develop a risk analysis plan

How to deal with the recognized risks?



Example of Bowtie

How to develop a risk analysis plan

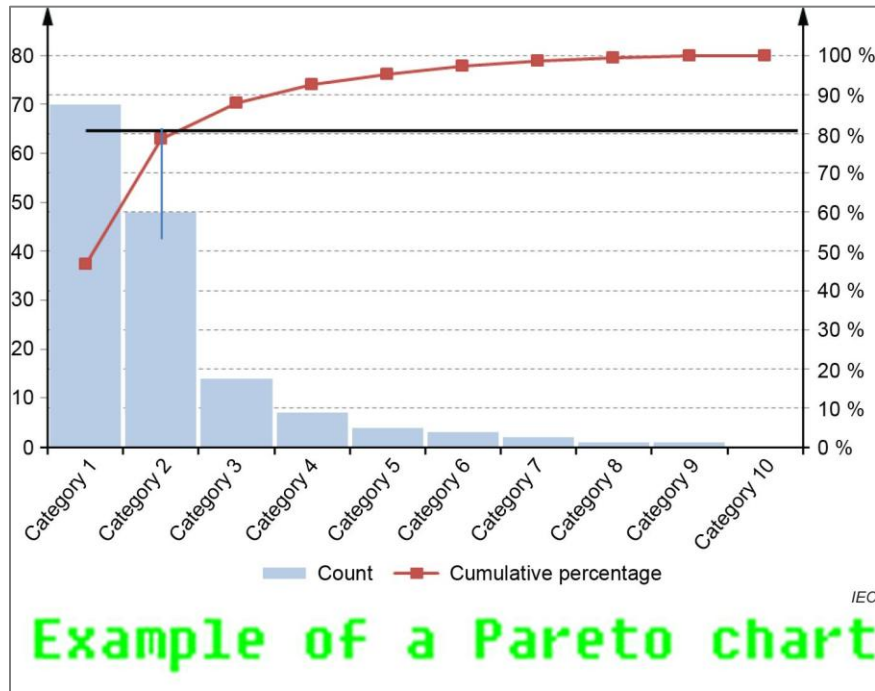


How to deal with the recognized risks?

- Design a fault tree diagram
- Including several conditions
- Resulting in consequences

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How to deal with the recognized risks?

All these risks should be collected into several, but not too many, categories. Then sorted and quantified.

As a result, an overview is provided called a

Pareto Chart

that will help to prioritise and further *reduce* the risk total.

How to start evaluating

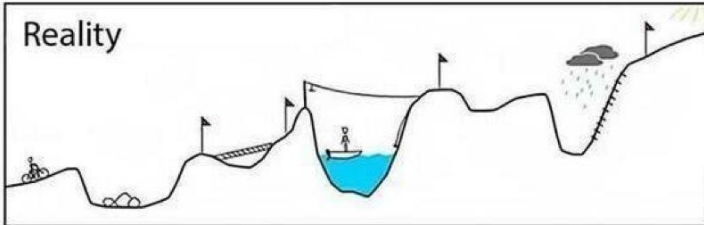
Tender Specifications



Your plan



Reality



How to start with evaluating the recognized risks categories?

1. Start with a clear example, like the **Tender Specifications**
2. Be aware that you certainly have overlooked crucial criteria, to be repaired during the implementation
3. Note that the supplier must have his own Risk Analyses (ask for that)
4. Compare both Risk Analyses to find discrepancies
5. Interpret the **Pareto Charts** to compare to priorities.

acknowledgments

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Thank you
Merci

Time for questions or discussion



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