

# Deliberate Risk Management DRM

Formerly Composite Risk  
Management  
CRM

Army Support Command  
Operations Section

# Risk Management

- Introduction
- Risk Management Fundamentals
- Risk Management Process
- Risk Management Implementation

# Introduction

- FM 100-14 applies across the wide range of Army operations.
- It explains the principles, procedures, and responsibilities to successfully apply the *risk management process* to conserve combat power and resources.
- The manual is intended to help all leaders develop a framework to make risk management a routine part of all tasks.

# Risk Management Defined

*Risk management* is the process of identifying, assessing, and controlling risks arising from operational factors and making decisions that balance risk costs with mission benefits.

# Fundamentals

- Leaders and soldiers at all levels use risk management.
- It applies to all missions and environments across the wide range of Army operations.

# Principles

- *Integrating risk management into mission planning, preparation, and execution.*
- *Making risk decisions at the appropriate level in the chain of command.*
- *Accepting no unnecessary risk.*

# **Risk management assists the commander or leader in—**

- Conserving lives and resources and avoiding unnecessary risk.
- Making an informed decision to implement a COA.
- Identifying feasible and effective control measures where specific standards do not exist.
- Providing reasonable alternatives for mission accomplishment.

# **Risk management does not—**

- Inhibit the commander's and leader's flexibility and initiative.
- Remove risk altogether, or support a zero defects mindset.
- Require a GO/NO-GO decision.
- Sanction or justify violating the law.
- Remove the necessity for standard drills, tactics, techniques, and procedures.



# Risk Management Process

Risk management is the process of identifying and controlling hazards to conserve combat power and resources.

There are 5 steps involved in risk management.

# 5 Steps of Risk Management

Step 1. Identify hazards.

Step 2. Assess hazards to determine risks.

Step 3. Develop controls and make risk decisions.

Step 4. Implement controls.

Step 5. Supervise and evaluate.

# 5 Steps of Risk Management

- There are 2 types of risks:

1. Tactical risk

2. Accident Risk

# Tactical Risk

*Tactical risk* is risk concerned with hazards that exist because of the presence of either the enemy or an adversary. It applies to all levels of war and across the spectrum of operations.

# Accident Risk

- *Accident risk* includes all operational risk considerations other than tactical risk. It includes risks to the friendly force. It also includes risks posed to civilians by an operation, as well as an operations impact on the environment. It can include activities associated with hazards concerning friendly personnel, civilians, equipment readiness, and environmental conditions.

# 5 Steps for Risk Management

Steps 1 and 2 together comprise the risk assessment. In Step 1, individuals identify the hazards that may be encountered in executing a mission. In Step 2, they determine the direct impact of each hazard on the operation. The risk assessment provides for enhanced situational awareness. This awareness builds confidence and allows soldiers and units to take timely, efficient, and effective protective measures.

# 5 Steps for Risk Management

Steps 3 through 5 are the essential follow-through actions to effectively manage risk. In these steps, leaders balance risk against costs—political, economic, environmental, and to combat power—and take appropriate actions to eliminate unnecessary risk. During execution, as well as during planning and preparation, leaders continuously assess the risk to the overall mission and to those involved in the task. Finally, leaders and individuals evaluate the effectiveness of controls and provide lessons learned so that others

# Step 1: Identifying Hazards

- Identify hazards to people, property, and mission.
- Consider all aspects of past, present, and future problem areas.
- Conditions change quickly, consider all METT-TC involved in the operations.
- METT-TC: Mission, Enemy, Terrain, Troops Available, Time and Civilian Considerations.



# Hazard considerations

- Complexity and difficulty of the mission or task.
- Terrain and environment.
- Weather and visibility.
- Equipment on hand and status.
- Time available for preparation.
- Time available for execution.

# Execution Considerations

- Supervision
- Experience
- Training
- Morale
- Endurance of the soldier

# Risk Management Terms

- Hazard
- Risk
- Probability
- Severity
- Exposure
- Controls
- Risk assessment
- Residual Risk

# Hazards

Any existing or potential condition that can cause injury, illness, or death; damage to, or loss of equipment and property; or degradation of the mission.

# Risk

The chance of hazards or bad consequences; exposure to injury or loss. The risk level is expressed in terms of hazard probability and severity.

# Probability

The likeliness that an event will occur.

- Frequent-occurs often.
- Likely - Occurs several times.
- Occasional - occurs sporadically.
- Seldom – Unlikely, but could occur.
- Unlikely – Probably won't occur.

# Severity

*Severity* is the expected result of an event (degree of injury, property damage or other mission impairing factors).

- Catastrophic
- Critical
- Marginal
- Negligible

# Severity

## **CATASTROPHIC (I)**

Loss of ability to accomplish the mission or mission failure. Death or permanent total disability (accident risk). Loss of major or mission-critical system or equipment. Major Property (facility) damage. Severe environmental damage. Mission-critical security failure. Unacceptable collateral damage.



# Severity

## **CRITICAL (II)**

Significantly (severely) degraded mission capability or unit readiness. Permanent partial disability, temporary total disability exceeding 3 months time (accident risk).

Extensive (major) damage to equipment or systems. Significant damage to property or the environment. Security failure.

Significant collateral damage.

# Severity

## **MARGINAL (III)**

Degraded mission capability or unit readiness. Minor damage to equipment or systems, property, or the environment. Lost day due to injury or illness not exceeding 3 months (accident risk). Minor damage to property or the environment.

# Severity

## **NEGLIGIBLE (IV)**

Little or no adverse impact on mission capability. First aid or minor medical treatment (accident risk). Slight equipment or system damage, but fully functional and serviceable. Little or no property or environmental damage.

# Risk Management Matrix

			HAZARD PROBABILITY				
			FREQUENT	LIKELY	OCCASIONAL	SELDOM	UNLIKELY
			A	B	C	D	E
S E V E R I T Y	CATASTROPHIC	I	EH	EH	H	H	M
	CRITICAL	II	EH	H	H	M	L
	MODERATE	III	H	M	M	L	L
	NEGLIGIBLE	IV	M	L	L	L	

## EFFECT

1. CATASTROPHIC - Death or permanent total disability, system loss, major property damage.
2. CRITICAL - Permanent partial disability, temporary total disability, major system damage, major property damage.
3. MODERATE - Minor injury, lost workdays, compensable injury/illness, minor system damage, minor property damage.
4. NEGLIGIBLE - First aid or minor supportive medical treatment, minor system impairment.

## PROBABILITY

- A. FREQUENT - Occurs often - resources are continuously exposed.
- B. LIKELY - Occurs frequently - resources are exposed frequently and/or several times.
- C. OCCASIONAL - Occurs sometimes - resources are exposed sporadically.
- D. SELDOM - Remote occurrence - resources are possibly exposed.
- E. UNLIKELY - Rare occurrence of exposure

## RISK LEVELS

**Extremely High** - Loss of ability to accomplish the mission.

**High** - Significantly degrades mission capability.

**Medium** - Degrades mission capability.

**Low** - Little or no impact to mission capability.

## Examples

I/A = Extremely High

II/B = High

III/C = Medium

IV/D = Low

# Exposure and Controls

*Exposure* is the frequency and length of time soldiers, equipment, and missions are subjected to a hazard.

*Controls* are the actions taken to eliminate or reduce the risks identified.

# Risk Assessment

*Risk Assessment* is the identification and assessments of an individual hazard or all identified hazards combined to complete a task.

*Risk Assessment Matrix* is often used to estimate the degree of severity and probability for each hazard.

# Residual Risk

*Residual Risk* is the level of risk remaining after controls have been implemented. Controls are altered until the residual risk is at an acceptable level or until it cannot practically be further reduced.

This is for one task.

# Overall Residual Risk

*Overall residual risk* of a mission must be determined when more than one hazard is identified. The residual risk for each of these hazards may have a different level, depending on the assessed probability and severity of the hazardous incident. Overall residual mission risk should be determined based on the incident having the greatest residual risk. Determining overall mission risk by averaging the risks of all hazards is not valid. If one hazard has high risk, the overall residual risk of the mission is high, no matter how many moderate or low risk hazards are present.



# Risk Management Implementation

*Leaders and soldiers at **all levels** are responsible and accountable for managing risks by ensuring that hazards and associated risks are —*

- Identified during planning, preparation, and execution of operations.
- Controlled during preparation and execution of operations.

# Implementation

- Soldiers are responsible for executing risk controls to standards.
- They must continuously assess variable hazards such as fatigue, equipment serviceability, and the environment.
- They must take care of one another and make risk decisions consistent with the higher commander's guidance.

# Implementation

- Risk management is a two-way street.
- The objective of managing risk is not to remove all risk, but to eliminate unnecessary risk.

# Summary

- Identify the hazards.
- Assess the hazards to determine risk.
- Develop controls and make risk decisions.
- Implement controls.
- Supervise and refine.

# Composite Risk Management Form

- DD2977, Deliberate Risk Management
- Required for unit activities per 2016 CSMR Headquarters directive.
- Form distribution:
  1. Unit records
  2. Major command
  3. CSMR Headquarters

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			HAZARD PROBABILITY				
			FREQUENT	LIKELY	OCCASIONAL	SELDOM	UNLIKELY
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SEVERITY	CATASTROPHIC	I	EH	EH	H	H	M
	CRITICAL	II	EH	H	H	M	L
	MODERATE	III	H	M	M	L	L
	NEGLIGIBLE	IV	M	L	L	L	

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## Examples

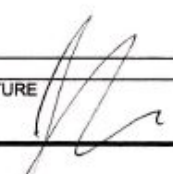
I/A = Extremely High

II/B = High


III/C = Medium

IV/D = Low

# Risk Management Form DA 7566

COMPOSITE RISK MANAGEMENT WORKSHEET							
For use of this form, see FM 5-19; the proponent agency is TRADOC.							
1. MSN/TASK: <b>1<sup>st</sup> BN M-9 Qualificaion</b>			2a. DTG BEGIN 15 NOV 2014		2b. DTG END 15 NOV 2014		3. DATE PREPARED (YYYYMMDD) 20 OCT 2014
4. PREPARED BY							
a. LAST NAME <b>REDACTED</b>			b. RANK CPT		c. POSITION Acting Commander, 1 <sup>st</sup> Battalion		
5. SUBTASK	6. HAZARDS	7. INITIAL RISK LEVEL	8. CONTROLS	9. RESIDUAL RISK LEVEL	10. HOW TO IMPLEMENT	11. HOW TO SUPERVISE (WHO)	12. WAS CONTR OL EFFECTIVE?
Transportation to/from Range	Injury to preexisting conditions, general situational awareness	Low	Safety Briefing to include information on obtaining emergency medical care	Low	IAW USAIC safety SOP 385-6. Risk MGT for Operations and Training	Platoon/Squad leadership, OIC or NCOIC	
Weapons Familiarization and Live Fire	Negligent weapons discharge	High	Implementation of Range Safety Procedures and safety briefing.	Medium	Continuing assessment by RSO and leadership	Platoon/Squad leadership, OIC or NCOIC	
Additional space for entries in Items 5 through 11 is provided on Page 2.							
13. OVERALL RISK LEVEL AFTER CONTROLS ARE IMPLEMENTED (Check one)							
<input type="checkbox"/> LOW <input checked="" type="checkbox"/> MODERATE <input checked="" type="checkbox"/> HIGH (FINAL) <input type="checkbox"/> EXTREMELY HIGH							
14. RISK DECISION AUTHORITY							
a. LAST NAME <b>REDACTED</b>		b. RANK LTC (C#)		c. DUTY POSITION Deputy Commander		d. SIGNATURE 	

# Deliberate Risk Management DD2977

DELIBERATE RISK ASSESSMENT WORKSHEET					
<b>1. MISSION/TASK DESCRIPTION</b>				<b>2. DATE (YYYYMMDD)</b>	
PREMOB to 40 ID HHC, LAND NAV, Camp Roberts, California, 2017 AUG - SEP				2017 AUG 13	
<b>3. PREPARED BY</b>					
<b>a. Name (Last, First Middle Initial)</b>			<b>b. Rank/Grade</b>		<b>c. Duty Title/Position</b>
ABBOTT, Keith J.			MAJ (CA) / 0-4		Command Operations Officer
<b>d. Unit</b>		<b>e. Work Email</b>		<b>f. Telephone (DSN/Commercial (Include Area Code))</b>	
40th Support Command		Code3foru@aol.com (civilian)		626 484 4056 (civilian)	
<b>g. UIC/CIN (as required)</b>		<b>h. Training Support/Lesson Plan or OPORD (as required)</b>		<b>i. Signature of Preparer</b>	
CASR-40SC		OPORD, LTC (CA) Chidsey, Operations Officer, G-3 Aug.		ABBOTT, Keith James  Digitally signed by ABBOTT, Keith James Date: 2017.08.13 22:06:23 -07'00'	
Five steps of Risk Management: (1) Identify the hazards (2) Assess the hazards (3) Develop controls & make decisions (4) Implement controls (5) Supervise and evaluate <i>(Step numbers not equal to numbered items on form)</i>					
<b>4. SUBTASK/SUBSTEP OF MISSION/TASK</b>		<b>5. HAZARD</b>	<b>6. INITIAL RISK LEVEL</b>	<b>7. CONTROL</b>	<b>8. HOW TO IMPLEMENT/ WHO WILL IMPLEMENT</b>
					<b>9. RESIDUAL RISK LEVEL</b>



<div>+</div> <div>-</div>	Transportation to and from Course, Course Activities	Motor Vehicle Collision. Injury to pre-existing conditions, improper situational awareness	L	Safety Brief to include information about route and range location and obtaining emergency medical care and hydration to improve Soldier awareness. CNG has Medical Plan for Installation.	How: IAW USAIC Safety SOP 385. FM 100-14. Risk Management for Operations and Training	L
					Who: Platoon/Squad leadership, OIC or NCOIC, Instructors	
	Land Navigation Familiarization and Field Exercise on Course	Becoming lost outside of course boundaries	H	Implementation of Range Safety Procedures and Safety Brief. Soldiers are informed of proper land navigation to improve Soldier awareness: use of map and compass.	How: Continuing assessment by RSO and leadership	M
<div>+</div> <div>-</div>					Who: Platoon/Squad leadership, OIC or NCOIC, Instructors	
	Land Navigation Familiarization and Field Exercise on Course	Dehydration	M	Soldiers are informed of Water Supply locations and re-supply points to improve Soldier awareness.	How: Continuing assessment by RSO and leadership	L
<div>+</div> <div>-</div>					Who: Platoon/Squad leadership, OIC or NCOIC, Instructors	

<div>+</div> <div>-</div>	Land Navigation Familiarization and Field Exercise on Course	Wildlife, Insects (Bites)	L	Soldiers are informed of Wildlife and Insect hazards and Medical Care to improve Soldier awareness.	How: Continuing assessment by RSO and leadership	L
					Who: Platoon/Squad leadership, OIC or NCOIC, Instructors	
<div>+</div> <div>-</div>	Land Navigation Familiarization and Field Exercise on Course	Trip/Fall	L	Soldiers are informed of Terrain hazards to improve Soldier awareness.	How: Continuing assessment by RSO and leadership	L
					Who: Platoon/Squad leadership, OIC or NCOIC, Instructors	
<div>+</div> <div>-</div>	Land Navigation Familiarization and Field Exercise on Course	Severe Weather	M	Soldiers are informed of any Weather hazards to improve Soldier awareness.	How: Continuing assessment by RSO and leadership	L
					Who: Platoon/Squad leadership, OIC or NCOIC, Instructors	

**10. OVERALL RESIDUAL RISK LEVEL** *(All controls implemented):*

EXTREMELY HIGH



HIGH



MEDIUM



LOW

**11. OVERALL SUPERVISION PLAN AND RECOMMENDED COURSE OF ACTION**

Personnel will complete Safety Briefs. FM 100-14. Risk MGT for Operations and Training to include Camp Roberts Course Safety and local policy memorandums and/or procedures. Personnel will be continually assessed by RSO, Instructors and leadership. Activities are to be conducted during daytime conditions. Recommend execution of training support mission given appropriate controls and implementations.

**12. APPROVAL OR DISAPPROVAL OF MISSION OR TASK**

Approve



Disapprove

**a. Name (Last, First, Middle Initial)**

HERMAN, Michael L.

**b. Rank/Grade**

COL (CA) / 0-6

**c. Duty Title/Position**

Commander

**d. Signature of Approval Authority****e. Additional Guidance:**

Approved by Commander by voice and/or electronic means, 2017 AUG 14. Signed MAJ (CA) Keith Abbott for COL (CA) Michael Herman.

Questions?