

USCG Auxiliary District 5 North Operations Risk Assessment

Mission: _____

Date: _____

Step 1: Identify, Assess, & Mitigate Risk Elements

Instructions: To determine the level of risk for each element below, estimate the risk level based on the Low/Medium/High scale. If your perceived rating is Medium or High, explore mitigations. Draw a line through the risk zone that corresponds to the mitigated risk level and document the perceived risk(s) and mitigation(s) in the space provided.

Rate Risk Zone

Planning - Enough time and information to conduct thorough pre-mission planning & notifications. Consider: Completeness of mission information and of on-scene details/hazards, type and nature of discrepancy.

NOTES/MITIGATIONS:

Complete	Partial	None
<i>L</i>	<i>M</i>	<i>H</i>

Event - Refers to mission complexity. Consider: Non-standard mission profile, accessibility (remote location, distance offshore/range, brushing, etc.), spill severity/classification, vessel history, multi-agency coordination, language barriers, etc.

NOTES/MITIGATIONS:

Routine	infrequent	abnormal
<i>L</i>	<i>M</i>	<i>H</i>

Asset – Crew – Proper number and skill set for the mission. Consider: qualifications, experience, familiarity w/ AOR, crew physical/mental state (fatigue, stress, etc.), commute time, trailer hours, adequate supervision (span of control).

NOTES/MITIGATIONS:

Excellent	Marginal	Poor
<i>L</i>	<i>M</i>	<i>H</i>

Asset – Equipment/PPE – Required equipment in good working order, proper references, PPE/tools in good working condition available for mission. Consider: physical hazards and/or vapors, spaces requiring entry, structures requiring climbing.

NOTES/MITIGATIONS:

Ideal	Restrictions	Limitations
<i>L</i>	<i>M</i>	<i>H</i>

Communications/Supervision - Ability to maintain comms throughout mission. Consider: availability/quality of internal w/command and external w/other involved parties, backup comms, limited cell phone or radio service.

NOTES/MITIGATIONS:

Excellent	Partial	None
<i>L</i>	<i>M</i>	<i>H</i>

Environment – External & on-scene conditions surrounding mission. Consider: weather (Seas/Winds), temperature, night/day, currents/tides, visibility, etc.; physical hazards, road conditions, vapors, ongoing vessel ops, confined space entry, insects, etc.

NOTES/MITIGATIONS:

Ideal	Marginal	Extreme
<i>L</i>	<i>M</i>	<i>H</i>

Other (Unit Specific Element):

<i>L</i>	<i>M</i>	<i>H</i>
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Other (Unit Specific Element):

<i>L</i>	<i>M</i>	<i>H</i>
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Step 2: Determine Overall Risk Level

Consider: 1) the rating for each element above, 2) the importance of the element for mission execution, and 3) how elements may interact. Rate the perceived **Overall Risk Level** when considering this information (**circle Low, Medium, or High**):

Low	Medium	High
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Step 3: Determine Risk vs. Gain: Do gains warrant the risk?

Step 3a. Enter the **Overall Risk Level** (Step 2 on prior page) in the **RISK** box below (Low, Medium, or High).

Step 3b. Review the definitions for Gain below and enter the level in the **GAIN** box below. (Low, Medium, or High).

Level of Gain

- **Low** – Situation with unclear benefits or a low probability for providing concrete results.
Examples: no threat to public safety, minor discharge or release, low environmental impact, minimal public interest/concern, non-urgent/times sensitive activity.
- **Medium** – Situation that provides immediate and real benefits.
Examples: minor threat to public safety, medium discharge or release, significant environmental impact, public interest/concern, deterring illegal operations.
- **High** – Situation that provides immediate and real benefits that if ignored could result in loss of life.
Examples: significant threat to public safety or national security, urgent SAR, major discharge or release, significant environmental impact, high public interest.

Vs.

RISK

(Low, Med, High)

GAIN

(Low, Med, High)

Step 3c. Use the **Risk vs. Gain** values from above and follow the column and row until they cross. The intersecting point is the recommended action.

Example, if Risk is 'low' and Gain is 'medium', the recommendation is: "Accept the Mission. Continue to monitor Risk Factors, if conditions or mission changes".

Risk vs. Gain	High Gain	Medium Gain	Low Gain
Low Risk	<p>Accept the Mission. Monitor Risk Factors and re-evaluate if conditions or mission/activities change.</p>	<p>Accept the Mission. Monitor Risk Factors and re-evaluate if conditions or mission/activities change.</p>	<p>Accept the Mission. Monitor Risk Factors and re-evaluate if conditions or mission/activities change.</p>
Medium Risk	<p>Accept the Mission. Monitor Risk Factors and employ Controls when available. Re-evaluate if conditions or mission change.</p>	<p>Accept the Mission. Monitor Risk Factors and employ Controls when available. Re-evaluate if conditions or mission change.</p>	<p>Accept the Mission Only with Command Endorsement Communicate Risk vs. Gain to Chain of Command. Implement Controls and continuously evaluate conditions and mission for change.</p>
High Risk	<p>Accept the Mission Only with Command Endorsement. Communicate Risk vs. Gain to Chain of Command. Implement Controls and monitor Risk Factors. Continuously evaluate conditions and mission change.</p>	<p>Accept the Mission Only with Command Endorsement. Communicate Risk vs. Gain to Chain of Command. Implement Controls and monitor Risk Factors. Continuously evaluate conditions and mission change.</p>	<p>DO NOT Accept the Mission. Communicate to Chain of Command. Wait until Risk Factors change or Controls are available to warrant Risk exposure.</p>

NOTES: