

# 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**):

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

**NOTES:**