

Appendix F Risk Assessment Instructions and Forms

This worksheet provides a starting point to logically track the process of hazards and risks. It can be used to document risk management steps taken during the planning, preparation, execution of test missions and tasks.

All flyers must address the hazards listed in the attached risk assessment as a minimum. Operators may reference the Range Safety Questionnaire if appropriate.

1 and 3: Self-explanatory.

2. Date is the date the form is prepared.

4: Subtask relating to the mission or task in block1.

5: Hazards – Identify hazards by reviewing factors for the mission or task. Additional factors include historical lessons learned, experience, judgment, equipment characteristics and warnings, and environmental considerations. UAV Flyers must address all hazards listed in the attached forms, but are not limited to just these hazards. Those that are unique to that UAV must also be addressed.

6: Initial Risk Level– Includes historical lessons learned; intuitive analyses, experience, judgment, equipment characteristics and warnings; and environmental considerations. Determine initial risk for each hazard by applying risk assessment matrix on Page 6. Enter the risk level for each hazard-L, M, H, EH.

7: Controls – Develop one or more controls for each hazard that will either eliminate the hazard or reduce the risk (probability and/or severity) of a hazardous incident. Specify who, what, where, why, when, and how for each control. Enter controls. References to the range safety review questionnaire are appropriate.

8. How to Implement and Who will Implement: Example of how: SOP, Rehearsal, UAS Operating Instructions. Example of who: Supervisor, AVO, Mission Commander

9.: Residual Risk Level– Determine the residual risk for each hazard by applying the risk assessment matrix on Page 6-4). Enter the risk level for each hazard-L, M, H, EH.

10., 11., 12.: Self-explanatory.

13: Risk Assessment Review. Required when assessment applies to ongoing operations or activities.

See the following page for more instructions on completing your RA.

Instructions for Completing DD Form 2977, "Deliberate Risk Assessment Worksheet"

<p>1. Mission/Task Description: Briefly describe the overall Mission or Task for which the deliberate risk assessment is being conducted.</p>	<p>10. Overall Risk After Controls are Implemented: Assign an overall residual risk level. This is the highest residual risk level (from block 9).</p>
<p>2. Date DD/MM/YYYY: Self Explanatory.</p>	<p>11. Supervision Plan and Recommended Course of Action: Completed by preparer. Identify specific tasks and levels of responsibility for supervisory personnel and provide the decision authority with a recommend course of action for approval or disapproval based upon the overall risk assessment.</p>
<p>3. Prepared By: Information provided by the individual conducting the deliberate risk assessment for the operation or training . Legend: UIC = Unit Identification Code; CIN = Course ID Number; OPORD = operation order; DSN = defense switched network; COMM = commercial</p>	
<p>4. Sub-task/Sub-Step of Mission/Task: Briefly describe all subtasks or substeps that warrant risk management.</p>	<p>12. Approval/Disapproval of Mission/Task: Risk approval authority approves or disapproves the mission or task based on the overall risk assessment, including controls, residual risk level, and supervision plan. Space provided for authority to provide additional guidance; use continuation page if needed.</p>
<p>5. Hazard: Specify hazards related to the subtask in block 4.</p>	<p>13. Risk Assessment Review: Should be conducted on a regular basis. Reviewers should have sufficient oversight of the mission or activity and controls to provide valid input on changes or adjustments needed. If the residual risk rises above the level already approved, operations should cease until the appropriate approval authority is contacted and approves continued operations.</p>
<p>6. Initial Risk Level: Determine probability and severity. Using the risk assessment matrix (page 7), determine level of risk for each hazard specified, probability, severity and associated Risk Level; enter level into column.</p>	<p>14. Feedback and Lessons Learned: Provide specific input on the effectiveness of risk controls and their contribution to mission success or failure. Include recommendations for new or revised controls, practicable solutions, or alternate actions. Submit and brief valid lessons learned as necessary to persons affected.</p>
<p>7. Control: Enter risk mitigation resources/controls identified to abate or reduce risk relevant to the hazard identified in block 5.</p>	<p>15. Additional Comments or Remarks: Preparer provides additional comments, remarks, or information to support the risk assessment. If block 15 is used as a continuation of block 14, strike through the block number and title.</p> <p>Additional Guidance: Block 4-9 continuance page may be reproduced as necessary for processing of all subtasks/ substeps of the mission/task. If a complete page is not utilized, write "NOTHING FOLLOWS" on the first unused row, immediately after the final item assessed.</p>
<p>8. How to Implement / Who Will Implement: Briefly describe the means of employment for each control (i.e., OPORD, briefing, rehearsal) and the name of the individual unit or office that has primary responsibility for control implementation.</p>	
<p>9. Residual Risk Level: After controls are implemented, determine resulting probability, severity, and residual risk level.</p>	

DELIBERATE RISK ASSESSMENT WORKSHEET

1. MISSION/TASK DESCRIPTION (INCLUDE DATES OF EVENT)	2. DATE (DD/MM/YYYY)
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3. PREPARED BY

a. Name (<i>Last, First, Middle Initial</i>)	b. Rank/Grade	c. Duty Title/Position
d. Unit	e. Work Email	f. Telephone (<i>DSN/Commercial (Include Area Code)</i>)
g. UIC/CIN (<i>as required</i>)	h. Training Support/Lesson Plan or OPORD (<i>as required</i>)	i. Signature of Preparer

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 (*Step numbers not equal to numbered items on form*)

4. SUBTASK/SUBSTEP OF MISSION/TASK	5. HAZARD	6. INITIAL RISK LEVEL	7. CONTROL	8. HOW TO IMPLEMENT/ WHO WILL IMPLEMENT	9. RESIDUAL RISK LEVEL
				How: Who:	
				How: Who:	
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Additional entries for items 5 through 9 are provided on page 2.

10. OVERALL RESIDUAL RISK LEVEL (*All controls implemented*):
 EXTREMELY HIGH HIGH MEDIUM LOW

11. OVERALL SUPERVISION PLAN AND RECOMMENDED COURSE OF ACTION

12. APPROVAL OR DISAPPROVAL OF MISSION OR TASK APPROVE DISAPPROVE

a. Name (<i>Last, First, Middle Initial</i>)	b. Rank/Grade	c. Duty Title/Position	d. Signature of Approval Authority
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e. Additional Guidance:

DELIBERATE RISK ASSESSMENT WORKSHEET

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DELIBERATE RISK ASSESSMENT WORKSHEET

Risk Assessment Matrix	Probability <i>(expected frequency)</i>				
	Frequent: Continuous, regular, or inevitable occurrences	Likely: Several or numerous occurrences	Occasional: Sporadic or intermittent occurrences	Seldom: Infrequent occurrences	Unlikely: Possible occurrences but improbable
Severity <i>(expected consequence)</i>	A	B	C	D	E
Catastrophic: <i>Death, unacceptable loss or damage, mission failure, or unit readiness eliminated</i>	I	EH	EH	H	M
Critical: <i>Severe injury, illness, loss, or damage; significantly degraded unit readiness or mission capability</i>	II	EH	H	H	L
Moderate: <i>Minor injury, illness, loss, or damage; somewhat degraded unit readiness or mission capability</i>	III	H	M	M	L
Negligible: <i>Minimal injury, loss, or damage; little or no impact to unit readiness or mission capability</i>	IV	M	L	L	L

Legend:

EH – extremely high risk **H** – high risk **M** – medium risk **L** – low risk

13. RISK ASSESSMENT REVIEW *(Required when assessment applies to on going operation of activities)*

a. Date	b. Last Name	c. Rank/Grade	d. Duty Title/Position	e. Signature of Reviewer

14. FEEDBACK AND LESSONS LEARNED

15. ADDITIONAL COMMENTS OR REMARKS