DEPARTMENT OF THE NAVY

NAVY RECRUITING DISTRICT, PORTLAND
7028 N.E. 79TH COURT
PORTLAND, OREGON 97218-2813

NAVCRUITDIST PORTLAND INSTRUCTION 3500.1A CHANGE 1

Subj: OPERATIONAL RISK MANAGEMENT (ORM) PROGRAM

Encl: (1) OPNAV 1500/54 (Oct 2009)

1. **Purpose.** To transmit change 1 to the basic instruction.

2. **Change.** Make the following pen and ink changes to the basic instruction:

   a. Add 6.b.: I encourage the application of time-sensitive ORM methodology to any process which is new to the personnel involved or which involves significant change from the original plan or from standard operating procedure. Enclosure (1) is provided for reference. Any evolution which could be construed by a reasonable person, presented with a brief overview of the evolution, to pose a probable risk of injury or damage shall require the planner to use enclosure (1) to further mitigate and control risk. If the individual does not have the authority or resources to apply controls which will bring an evolution down to a Risk Assessment Code of 5, he/she shall elevate the risk assessment to the next level in the chain of command for a decision.

   Add 6.c. All LPOs will keep a paper copy of enclosure (1) in their Station Turnover Binder for reference.

   Add 6.d. All personnel shall complete the NKO course "Supervisor - Managing Your Team's Risk (CPPD-ORD-MYTR-1.0) prior to their RDBs and bring a completion certificate to the Command Trainer.

   b. Add enclosure (1) of this change transmittal.

R. M. CANDILORO

Distribution:
NAVCRUITDISTPORTLANDINST 5216.1U
Lists A, B, C, and D

OPNAVINST 1500.75B

Deliberate Risk Assessment
(Read instructions on the last page and in the OPNAVINST 3500.39 series before completing this form)

Risk Management Matrix OPNAVINST 3500.39 series		PROBABILITY			
		A Likely	B Probable	C May	D Unlikely
SEVERITY	I Death, Loss of Asset	1	1	2	3
	II Severe Injury, Damage	1	2	3	4
	III Minor Injury, Damage	2	3	4	5
	IV Minimal Threat, Injury, Damage	3	4	5	5

RISK ASSESSMENT CODES: 1-Critical   2-Serious   3-Moderate   4-Minor   5-Negligible

1. Date:	6. Prepared by:
2. Command/School/Unit:	7. Email:
3. UIC:	8. Telephone:
4. CIN:	9. Reviewed by:
5. Lesson/Mission:	10. Approved by:

11. Event/Evolution Title:

1 - Identify Hazards
Mission/Task Analysis, List Hazards, Logic Diagram, Apply "What if" Tool, Conduct Change Analysis

12. Learning Objectives or Behaviors *(If filling electronically, field will expand to fit entry exiting the field)*

13. Operational Steps or Sub-steps: *(If filling electronically, field will expand to fit entry exiting the field)*

14. Potential Hazards, Injuries, or Damage: *(If filling electronically, field will expand to fit entry exiting the field)*

2 - Assess Risk

15. Using Risk Matrix: Assign Probability & Severity values to Personnel, Assets, and Mission in initial or as found condition.

a. Probability:	b. Severity:	c. INITIAL RAC:

3 - Make Risk Decisions
Identify Controls, Prioritize Control Measures - Best Options, Systems, Engineering, Administrative, PPE

16. Controls Developed: *(If filling electronically, field will expand to fit entry exiting the field)*

17. Residual RAC: Using Risk Matrix: Re-Assess and determine control effects on intial RAC values assigned in step 2

a. Probability:	b. Severity:	c. RESIDUAL RAC:

4 - Implement Controls
Integrate Guidelines, Establish Resources, Assign Specific Risk Control Actions to Individuals.

18. Implementation Plan: *(If filling electronically, field will expand to fit entry exiting the field)*

5 - Supervise
Use Resources and Guidelines, Lessons Learned and Best Practices, Monitor and Provide Feedback
Use Time-Critical Risk Management (TCRM)

19. Supervision Plan: *(If filling electronically, field will expand to fit entry exiting the field)*

20. Remarks: *(If filling electronically, field will expand to fit entry exiting the field)*

☐ Additional remarks are documented on the reverse side or attached to this form

WHEN FILLED IN - REVIEW THIS DOCUMENT PERIODICALLY AND USE IN PRE-EVOLUTION BRIEFS		
Review Date	Printed Name	Signature of Reviewing Official

OPNAVINST 1500.75B

Instructions for Completing Form	
1. Date: As stated	11. Event/Evolution Title: As stated
2. Command/School/Unit: As stated	**-1-IDENTIFY HAZARDS-** 12. Learning Objectives or Behaviors: Enter the specific evolutions or activities related to the objectives and behaviors requiring hazard and risk assessment.
3. Unit Identification Code: As stated	**-1-IDENTIFY HAZARDS-** 13. Operational Steps or Sub-steps: Determine specific and implied task. Conduct an operational analysis and list hazards per steps. Use "What if tool?".
4. Course Identification Number: As stated	**-1-IDENTIFY HAZARDS-** 14. Potential Hazards, Injuries, or Damage: Enter conditions with the potential to cause personnel injury, death, property damage, or mission degradation relative to the objectives and behaviors in block 12 and 13. Pull from Lessons Learned. Ask "What's different today?". List root causes and ask "Why?" at least five times for root causes, as applicable.
5. Lesson/Mission: As stated	**-2-ASSESS RISK-** 15a/b/c. Initial Risk - RAC: Using the Risk Assessment Matrix, Enter a Probability and Severity Value from the Risk Matrix. Enter a Risk Assessment Code value relevant to the Probability and Severity before risk mitigation controls are in place. Use past data, Best Practices, and determine impact on mission, people, and property.
6. Prepared By: As stated	**-3-MAKE RISK DECISIONS-** 16. Controls Developed: Enter risk mitigation resources identified to abate or reduce risk relevant to the hazards identified in Blocks 12, 13, and 14. Identify control options; Systems/Engineering, Supervisory/ Administrative or the specific evaluation of personal protective equipment (PPE). Consider the impact on the Probability and Severity and how control costs and specific controls can work together to complete the mission. Make risk decisions at the right level and determine if the benefit outweighs the cost.
7. Email: Enter official email of the preparer	**-3-MAKE RISK DECISIONS-** 17a/b/c. Residual Risk - RAC: After controls are established enter a Probability and Severity Value from the Risk Matrix. Enter a revised risk mitigation assessment code relevant to the Hazards previously identified, but now have mitigation controls employed.
8. Telephone: Enter official telephone number of the preparer	**-4-IMPLEMENT CONTROLS-** 18. Implement Controls: Identify Specific resources and guidance for risk mitigation. Make implementation clear. Assign specific risk mitigation responsibilities to individuals. Describe expectations clearly. Determine the extent of personnel and materiel support. Determine resources required. Determine the feedback tool/mechanism. Determine rehearsal plan.
9. Reviewed By: As stated, or as required by policy or instruction	**-5-SUPERVISE-** 19. Supervision Plan: Identify specific tasks assigned for supervisory personnel. Monitor - are the controls working? Identify any new hazards, manage emerging changes with time-critical risk management. Review - were risk control measure effective, was mission successful, identify root causes of conditions for failures. Feedback - recommendations for new controls, actionable solutions or alternate actions, save documents for next event/evolution and submit Lessons Learned.
10. Approved By: As stated, or as required by policy or instruction Enter legible signature of approving authority.	20. Remarks: Enter specific comments to further identify additional support for risk mitigation. Identify conditions which may consistently change every day. Make specific comments on assumptions.

OPNAV 1500/54 (Oct 2009)

NAVCRUITDISTPORTLANDINST 3500.1A
Admin
8 Mar 12

NAVCRUITDIST PORTLAND INSTRUCTION 3500.1A

Subj: OPERATIONAL RISK MANAGEMENT (ORM) PROGRAM

Ref: (a) OPNAVINST 3500.39C (ORM)

1. <u>Introduction</u>. Life, the Navy and recruiting all involve significant risk. While a certain amount of risk is unavoidable, our goal must be to eliminate unnecessary risk, minimize overall risk and ensure benefits outweigh risks for any venture undertaken.

2. <u>Purpose</u>. To aid Navy Recruiting District (NRD) personnel in making appropriate and timely safety/risk assessments, as it pertains to professional requirements and personnel obligations; to force careful and deliberate thought in finding ways to mitigate risks and to implement appropriate measures.

3. <u>Scope</u>. This instruction applies to all members of NRD Portland. The Executive Officer is designated the ORM Program Manager and will designate ORM assistants per reference (a).

4. <u>Background</u>.

    a. Operational Risk Management (ORM) is an integral part of planning and execution within Department of the Navy (DoN) Commands. It involves training and planning at all levels in order to optimize operational capability and readiness by teaching personnel to make sound decisions regardless of mission.

    b. Reference (a) is governing directive for ORM. Familiarizing oneself with reference (a) will further clarify the requirement and necessity of ORM.

5. <u>Discussion</u>. ORM is a method to identify hazards, assess risks and implement controls to reduce the risk associated with any work. In short, to apply ORM effectively, one has to put pride and ego aside, admit when an idea may not be the best, and ask prior to all events, "What could go wrong?" and "How can I prevent it?"

6. <u>Implementation</u>. ORM shall be used as follows:

    a. ORM <u>shall</u> be used for, but not limited to, discussion/adjudication at Command Indoctrination; District Training; Production Meetings; Annual Award Banquet Training; Stand-downs; <u>when Privacy Act information is involved; all evolutions placed on a Recruiter's planning calendar; and all evolutions that involve a Recruiter and an applicant or member of the Delayed Entry Pool (DEP)</u>.

7. <u>ORM is without Rank</u>. As on operational teams, the most junior member of a crew (enlisted or officer) must say, "Knock-it-Off" to the commander when a situation appears to be unsafe or unethical. You are directed to have the moral courage to STOP what's not right…. And find a solution to CORRECT the situation.

R. M. CANDILORO

Copy to:
NAVCRUITDISTPORTLANDINST 5216.1U
Lists A, B, C, and D

2