

APPENDIX F

RISK MANAGEMENT**F-1. Command Responsibility**

- a.* Commanders are responsible for effectively managing risk. They must—
- (1) Willingly determine the proper balance that will achieve optimum performance from their command.
 - (2) Select the best risk-reduction options from those that the staff provides.
 - (3) Accept or reject residual risk, based on perceived benefits.
- b.* Operations officers ensure integration of risk management in all aspects of planning, directing, coordinating, and controlling to support force protection. In the risk management process, each leader must—
- (1) Recommend appropriate control measures.
 - (2) Use risk management to assess his or her functional area.
 - (3) Recommend appropriate control measures to reduce or eliminate risk.
 - (4) Integrate selected risk control into plans and orders.
- c.* Platoon/section leaders—
- (1) Review control measures for feasibility.
 - (2) Report risk issues beyond their control or authority to their seniors for resolution.
 - (3) Recommend changes to improve synchronization of their operations in support of the higher commander's plan.
 - (4) Use the risk management process to identify, assess, and control hazards for their mission.

F-2. Risk Assessment Procedures

During planning, risk assessment procedures include the first three steps of the five-step risk management process.

- a. Step 1.* Identify the major events that are expected to occur during the operation and the hazards associated with all specified and implied tasks. The staff reviews and expands, as appropriate, the list of hazards and major events during the war game. This procedure helps to ensure that all significant hazards have been identified, and the staff can determine the appropriate force protection measures.

b. Step 2. Assess hazards. By assessing hazards and evaluating battlefield-framework synchronization, the staff can—

- (1) Figure out the level of risk associated with a given hazard.
- (2) Decide where and when control measures are appropriate to protect the force.

(3) Use risk assessment matrices to provide a simple analysis method of subdividing an operation into its major operational events; this allows the staff to discover areas where they might eliminate or reduce risks. Each unit should develop its own risk assessment matrix with applicable major operational events similar to the one shown in TC 1-210. Units can use the risk-assessment matrix alone or with other analysis techniques. The matrix is nearly always more effective than intuitive methods in identifying the extent of risk. When using a risk assessment matrix, the risk assessor must—

(a) Review each situation to ensure he has evaluated all significant areas of concern, even if the matrix does not include them.

(b) Use the matrix to analyze risk and target areas of concern for risk-reducing techniques.

(c) Review individual areas of concern before recommending options.

(d) Use the METT-TC risk assessment procedure (another technique that may be used). Leaders can subjectively decide the likelihood and extent of accidental loss based on this type of analysis. When using the METT-TC format, the risk assessor must—

- Determine the mission's complexity and difficulty.
- Assess the enemy situation and identify specific hazards.
- Consider all aspects of the terrain as well as weather and visibility.
- Determine the supervision required and evaluate the experience, training, morale, and endurance of units and their equipment.
- Determine the time available for planning and executing the mission.

c. Step 3. Develop controls and balance a COA's benefits with its potential risks. The staff must—

- (1) Identify hazards and assess risk.
- (2) Focus on critical events first.
- (3) Eliminate unnecessary risks.
- (4) Reduce the amount of mission-essential and prudent risks by applying controls.

(5) Develop control options that synchronize the operation that eliminate or reduce risks.

(6) Recommend options for the commander's decision. In order of priority, options are to eliminate risks through controls or materiel solutions. Leaders should check for residual effects before carrying out risk-reduction options, visualizing what will happen once they implement the option. Often, reducing one risk can create another that could, in turn, introduce other risks or inhibit the execution of Army operations.

The commander's decision and supervision of fratricide countermeasures occurs later in tactical decision making (after completing the COA analysis). The preceding are important points. They are the means by which the commander benefits from his staff's work.

d. Step 4. Decide, implement controls, and integrate specific controls into plans, OPORDs, SOPs, and rehearsals. Knowledge of controls, from the commander to the individual soldier, is essential for successfully implementing and executing controls.

e. Step 5. Supervise. The commander must enforce controls. Leaders monitor, follow-up, verify, and correct or modify, as appropriate, controls that the commander imposes on his subordinates. When monitoring operational activities, leaders must—

(1) Avoid administrative intrusions on their subordinates' time.

(2) Go where the risks are and spend time at the heart of the action.

(3) Analyze and think through issues, not just watch. Work with key personnel to improve operational procedures after the action. (Leaders must not hesitate to assess imminent danger issues on the spot.)

(4) Fix systemic problems that are hindering combat effectiveness.

(5) Capture and distribute lessons learned from mishaps and near misses for future use.

(6) Balance the cost of risks with the value of the desired outcome. Leaders must consider and manage risks in making such decisions using the following three general rules:

(a) Never accept an unnecessary risk. The leader who has the authority to accept or reject a risk is responsible for protecting his soldiers from unnecessary risks. If he can eliminate or reduce a risk and still accomplish the mission, the risk is unnecessary.

(b) Make risk decisions at the appropriate level. The leader who must answer for an accident is the person who should make the decision to accept or reject the risk. In most cases, he will be a senior officer, but small-unit commanders and first-line leaders might also have to make risk decisions during combat. Therefore, they should learn to make risk decisions during training.

(c) Ensure that the benefits of a prudent risk outweigh the possible cost of the risk. Leaders must understand the possible risk and have a clear picture of the benefits to be gained from taking that risk.