

ENCLOSURE 5

RISK IDENTIFICATION AND MITIGATION GUIDANCE

1. OVERVIEW. RMT planners will exercise their component risk management procedures in accordance with the guidance in this enclosure. If coordination or documentation requirements of this instruction are deemed inappropriate or unjustified for any reason, approval of the exception(s) should be obtained early in the planning and risk mitigation process. The final risk assessment after mitigation will be utilized to recommend the categorization of the RMT event to the approving authority. RMT categories are found in section 2 of Enclosure 3.

2. APPROVAL AUTHORITY RESPONSIBILITIES. The approval authority:

a. Ensures risk identification and mitigation is integrated into planning. Approval authorities will ensure that their risk identification and mitigation procedures are carried out throughout the RMT planning process.

b. Accepts no unnecessary risk. Approval authorities will protect their personnel, equipment, and the DoD ability to train off federal property from unnecessary risk. Ensures the planned training is required for unit readiness and that there are no acceptable alternatives to training off federal property.

c. Ensures risk decisions are made at the proper level. The decision to accept or reject risk and how it is mitigated must be made at the proper level of command. When resources to mitigate risk are not available, the issue must be elevated to the next higher category until the resources to properly mitigate the risk are available or the authority to accept the risk is attained.

d. Accepts risk if the benefits outweigh the potential cost. Approval authorities must understand risk associated with RMT to accomplish their training and their mission.

e. Documents the event approval including the category determination and any exceptions to the coordination requirements stated in this instruction. Retains the documentation according to Service records management procedures, but not less than 1 year past the completion of the event.

3. RISK IDENTIFICATION, MITIGATION, AND EVENT CATEGORIZATION PROCESS. This process includes the following steps in the order presented.

a. Identify Hazards. All hazards must be identified. Documenting each hazard gives a more complete picture of the overall threat. Organizing hazards into a format, such as ordering them by the phases of the event, aids the identification of higher order risks.

b. Assess Hazards. Assess each hazard by analyzing the probability of it occurring and the severity of the consequences should it occur. Assign an initial risk level (i.e., extremely high, high, moderate, or low). An overall initial risk level should be determined by identifying the highest single risk and the cumulative influence of all the identified risks.

c. Develop Controls. Develop one or more controls to eliminate or mitigate each hazard. Consider the reason for the hazard, not just the hazard itself. Ensure low risk hazards are included. Reassess the probability and severity of each hazard with the controls applied and assign a final risk level. Determine the overall mitigated risk level by identifying the highest single risk and the cumulative mitigated risk level.

d. Make Risk and RMT Event Categorization Decisions. Review the overall mitigated risk level to determine the overall acceptability of the risks and whether further mitigation is required. Determine the appropriate RMT event categorization and the appropriate approval authority. Submit the analysis and recommendations to the approval authority.

e. Implement Controls. Once the event has been approved, integrate the risk controls into the event plans and documentation including abort criteria should the controls fail. Ensure the resources to implement the controls are provided and the personnel responsible to implement the controls fully understand their responsibilities.

f. Supervise and Evaluate. Event controllers must have a thorough understanding of the risks and mitigations, ensuring that approved controls are understood and implemented at all levels. This includes controller involvement during and after the event to evaluate event execution and the effectiveness of the risk assessment. Previously unidentified hazards and lessons learned should be incorporated into future RMT planning.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

AOR	area of responsibility
ASD(SO/LIC)	Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict
CCDR	Combatant Commander
CONOPS	concept of operations
DoDD	DoD Directive
DSN	Defense Secure Network
GPF	general purpose forces
JOC	joint operations center
MOA	memorandum of agreement
N2C2	North American Aerospace Defense Command- United States Northern Command Command Center
OPREP	operational reporting
OPSEC	operations security
OUSD(P&R)	Office of the Under Secretary of Defense for Personnel and Readiness
PA	public affairs
PAG	public affairs guidance
PAO	public affairs officer
RMT	realistic military training
SOF	special operations forces
TR&S	Training Readiness and Strategy
UAS	unmanned aircraft system
U.S.C.	United States Code
USD(P&R)	Under Secretary of Defense for Personnel and Readiness
USNORTHCOM	United States Northern Command
USPACOM	United States Pacific Command
USSOCOM	United States Special Operations Command

PART II. DEFINITIONS

Unless otherwise noted, these terms and their definitions are for the purpose of this instruction.

category III, major risk. RMT events, including extremely high and high mitigated risk factors, conducted in urban environments including significant interaction with civilian population and events assessed to have a high probability of the occurrence of a significant incident that would result in personal injury to the public or disruption to civilian activity. Media attention would be rapid with national visibility.

category II, moderate risk. RMT events, including no higher than moderate mitigated risk factors, conducted in suburban or rural environments with little interaction with the civilian population. Events assessed to have low probability of the occurrence of an incident that would result in personal injury to the public or disruption to civilian activity. Media attention would be casual with only State or local visibility.

category I, minor risk. RMT events, including no higher than low mitigated risk factors, conducted in isolated environments with limited interaction with the civilian population. Events assessed to have little possibility of the occurrence of an incident that would result in personal injury to the public or disruption to civilian activity. Local or no media attention is anticipated.

hazards. Potential sources of danger or injury to RMT participants or the general public, or of negative reaction from the public or media that could be encountered while conducting RMT.

local authorities. Government (not State or federal), commercial, tribal, private, or other entities having a level of control, ownership, or authority over real property being used for RMT.

ocean. The body of salt water outside the land mass of U.S. territory that includes gulfs and seas, but not rivers, bays, or estuaries.

OPREP. Defined in Reference (f).

property. Although it is appropriate to use “real property” as defined in Joint Publication 1-02 (Reference (k)), for purposes of brevity in this Instruction, “property” is land and infrastructure, synonymous with “real property” as defined in Reference (k).

real property. Defined in Reference (k)).

risk levels. Attributes of specific aspects, activities, or other factors to be encountered during an RMT event classified as follows:

extremely high. Loss of ability to complete training or probability of the occurrence of a significant negative incident including legal liability with wide visibility endangering future RMT.

high. Significantly degrades training or causes a negative incident including legal liability with wide visibility endangering future conduct of this RMT event.

moderate. Degrades training or creates a negative incident with only local visibility and little possibility of legal liability.

low. Little or no impact to training with no public or media visibility and little possibility of legal liability.

RMT. DoD training conducted off federal property utilizing private or non-federal public property and infrastructure. This term and its definition are proposed for inclusion in the next edition of Reference (k).

United States. The States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, American Samoa, Guam, Midway and Wake Islands, the United States Virgin Islands, any other territories of the United States, and associated navigable waters, contiguous zones, and ocean waters of which the natural resources are under the exclusive management authority of the United States.