National Response Directorate

RISK MANAGEMENT AND GAR 2.0

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ALCOAST COMMANDANT NOTICE
ACN 030/18, March 2018

• Implemented COMDTINST 3500.3A

Cancelled:
1. Operational Risk Management COMDTINST 3500.3,
2. Crew Endurance Management COMDTINST 3500.2 and
3. Team Coordination Training COMDTINST 1541.1
IMPLEMENTATION

• These policy changes apply to ALL personnel involved with planning, conducting, supervising, and monitoring Coast Guard activities that can pose safety risks to personnel and equipment. Units have 12 months to implement these changes.

• Current implementation date: end of March 2019
Risk Management and GAR 2.0

- New Risk Management tool GAR 2.0 is explained in COMDTINST 3500.3A
- Follows extensive testing and validation, indicating a more accurate assessment of hazards.
Coast Guard operations are complex, dynamic, and involve acceptance of some level of risk.

This instruction provides a framework to identify and assess hazards, evaluate the risk level, and weigh the risk against potential benefits.
• Reintroduces the **PEACE** and **STAAR** models:

- **Planning**
- **Event Complexity**
- **Asset**
- **Communications**
- **Environment**
- **Spread out**
- **Transfer**
- **Avoid**
- **Accept**
- **Reduce**

Together, these models help to identify hazards and explore mitigation strategies during risk assessment. This instruction also includes links to various Job Aids.
PEACE – STAAR Job Aid
PEACE MODEL

• PLANNING

– Mission plans may become outdated for any number of reasons.

Consider what could go wrong with:

1. Changes in status of equipment, personnel, the environment, or mission,
2. Incorrect/insufficient information,
3. Unclear or undefined tasks,
4. Roles are which unclear or unassigned.
• Event Complexity
  – Amount of data, number of participants, and number of steps all contribute to complexity.

Consider what could go wrong if:
1. Coordination with other agencies, assets or units breaks down,
2. The crew performs activities incorrectly,
3. The crew is unable to monitor multiple data streams.
PEACE – STAAR Job Aid

PEACE MODEL

• **Assets**
  – Includes facilities, equipment, and personnel.

**Consider what could go wrong if:**
- A platform is used in its current condition,
- The operational experience, fitness, or confidence of the crew is inadequate,
- The fitness level (e.g. rest, hydration, nutrition) of the crew is not satisfactory.
• **Communication and Supervision**

Poor communication and supervision can impair the crew’s ability to maintain situational awareness and receive feedback about decisions.

**Consider what could go wrong if:**

1. Crew cannot communicate with the Command Center,

2. There are communication problems amongst the crew.
PEACE – STAAR Job Aid

PEACE MODEL

• **Environment**
  
  – Consider what could go wrong with equipment, personnel, environment or mission given the:
    
    1. Weather,
    2. Illumination,
    3. Debris in the water,
    4. Congested AOR,
    5. Airspace conflicts.
• Spread out:

1. Refers to the movement of forces, equipment, or tasks to other areas to avoid risk to the mission,

2. Spreading resources can mitigate potential risk by reducing exposure in a single area.
Transfer

– Risk may be reduced by transferring all or some of the mission to another individual, unit, or platform that is better positioned, more survivable or more capable. This does not reduce risk to the unit, but reduces risk to the total force.
• Avoid

1. It may be possible to avoid risks by going around them or doing the mission in a different manner. For example risks associated with a night mission might be avoided by rescheduling to daylight hours;

2. Other hazards or impacts may have to be evaluated.
PEACE – STAAR Job Aid
STAAR Model

• **Accept**
  - Accept risks when benefits clearly outweigh the costs, but only as necessary to complete the task or mission;

For example, operating in harsh conditions such as cold temperatures, accept the hazard but provide more breaks for warming, issue warmer clothing, and/or provide portable heaters.
PEACE – STAAR Job Aid
STAAR Model

• Reduce
  – Reducing the number of people, equipment, or resources exposed to a hazard is a simple way of mitigating risk,
  - Although this may reduce risk, it must be weighed against mission success;
  - For instance, fewer people on deck during a cold weather operation reduces risk to the members, it may compromise mission performance.
PEACE – STAAR Job Aid
General Assessment of Risk (GAR) 2.0

• Provides a convenient tool to capture the deliberations of the PEACE and STAAR elements, integration of the “Gain” or benefit information to make Warranted Risk decisions.

- The GAR 2.0 Job Aid contains risk assessment forms for Afloat, Ashore, and Aviation activities.

- Units are authorized to add elements, but are not authorized to remove elements or alter scoring scales.
GAR 2.0 FORMS are contained in the PEACE - STAAR Job Aid.
Page 2 of the GAR 2.0 Risk Assessment form found in the PEACE – STAAR Job Aid.

### USCG Afloat Risk Assessment

**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:* passenger transport, non-critical logistics missions, and public affairs demonstrations.

- **Medium** – Situation that provides immediate and real benefits.
  
  *Examples:* saving property, protecting the environment, deterring illegal operations.

- **High** – Situation that provides immediate and real benefits that if ignored could result in loss of life.
  
  *Examples:* Urgent SAR and MEDEVACs.

#### Risk vs. Gain

<table>
<thead>
<tr>
<th>Risk vs. Gain</th>
<th>High Gain</th>
<th>Medium Gain</th>
<th>Low Gain</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Low Risk</strong></td>
<td><strong>Accept the Mission.</strong> Monitor Risk Factors and re-evaluate if conditions or mission/activities change.</td>
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</tr>
<tr>
<td><strong>Medium Risk</strong></td>
<td><strong>Accept the Mission.</strong> Monitor Risk Factors and employ Controls when available. Re-evaluate if conditions or mission change.</td>
<td><strong>Accept the Mission.</strong> Monitor Risk Factors and employ Controls when available. Re-evaluate if conditions or mission change.</td>
<td><strong>Accept the Mission Only with Command Endorsement.</strong> Communicate Risk vs. Gain to Chain of Command. Implement Controls and continuously evaluate conditions and mission for change.</td>
</tr>
<tr>
<td><strong>High Risk</strong></td>
<td><strong>Accept the Mission Only with Command Endorsement.</strong> Communicate Risk vs. Gain to Chain of Command. Implement Controls and monitor Risk Factors. Continuously evaluate conditions and mission change.</td>
<td><strong>Accept the Mission Only with Command Endorsement.</strong> Communicate Risk vs. Gain to Chain of Command. Implement Controls and monitor Risk Factors. Continuously evaluate conditions and mission change.</td>
<td><strong>DO NOT Accept the Mission.</strong> Communicate to Chain of Command. Wait until Risk Factors change or Controls are available to warrant Risk exposure.</td>
</tr>
</tbody>
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#### NOTES:
After the heading, Ashore Risk Assessment form text is identical to afloat Risk Assessment.
Again, identical to the Afloat Risk Assessment other than title heading.
Adds separate Asset categories
For Pilots and Aircrew, all other text remains the same.
Other than title header, Identical to the previous Risk Assessment forms.
The purpose of assessing hazards is to determine the risk level, so one can determine the need for mitigation and/or whether the mission should continue.

- Three characteristics of the hazard:
  1. Severity (possible consequences)
  2. Probability (likelihood that the hazard will cause a mishap)
  3. Exposure (how often or how many people are in contact with the hazard)
Determining the Severity (left row), and intersecting with Probability column, determines the Risk Assessment Code; 1-4.
Risk Assessment Codes (RAC)

<table>
<thead>
<tr>
<th>RAC Value</th>
<th>Risk Category</th>
<th>Action Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Extremely High</td>
<td>Stop, Immediate Correction</td>
</tr>
<tr>
<td>2</td>
<td>High</td>
<td>Consider Stopping, Urgent Correction</td>
</tr>
<tr>
<td>3</td>
<td>Moderate</td>
<td>Corrective Attention Needed</td>
</tr>
<tr>
<td>4</td>
<td>Low</td>
<td>Possible Acceptance</td>
</tr>
</tbody>
</table>

The RAC quantifies the risk level associated with the hazard’s probability and severity ratings. Risk can fall into one of four levels. Each of the four levels requires specific actions to mitigate. The RAC helps to prioritize hazards such that those that pose the greatest risk can be addressed first. Moreover, quantifying risk enables personnel to reconsider the impact of their mitigation efforts as they develop controls.
Representative sample sheet for hazard assessment and appropriate steps for mitigation.
Sample Hazard Assessment and Mitigation Problem

- **Asset:** 47’ Motor Life Boat (MLB)  **Mission:** Tow
  - What can go wrong? Tow line in screws.
    - Why? (Hazard) Excessive slack in tow line.
    - Mitigations:
      - Monitor line tension
      - Maintain speed and heading
  - Why? (Hazard) Displacement of MLB stern
    - Mitigations:
      - Limit tows to less than XX seas
      - Monitor line orientation
  - Why? (Hazard) Line parted or snapped
    - Mitigations
      - Inspect line for wear
Sample problem, page 2; Apply Severity and Probability from Risk Assessment Matrix

Note the mitigations for stern displacement and line wear mitigation, are the Risk Assessment Codes correct?
1. Personnel involved with planning, conducting, supervising, and monitoring activities that can pose safety risks to personnel and equipment must complete the Introduction to Risk Management training available on the Learning Management System, course 100202.

2. Personnel not in the above category are required to take DHS Preparedness: IS454; Fundamentals of Risk Management.

3. Aviation personnel are required to take Crew Resource Management training, both initial and annual refresher; which includes Risk Management training.

4. Following completion of Intro to Risk Management course, individuals listed in paragraph 1 must complete a facilitated discussion of case studies that illustrate the use of TCT principles. This can be fulfilled by taking the annual TCT refresher training.
Summary

• One year for implementation, complete by March 2019

• Surface Operations personnel should complete Introduction to Risk Management.

• Others should complete Fundamentals of Risk Management, or their operation specific training.
End of presentation, thanks for your participation!

Please direct questions and comments to:

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