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RISK MANAGEMENT

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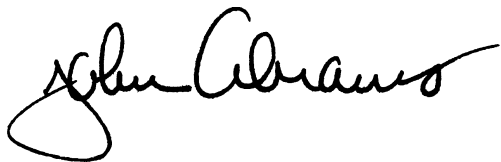
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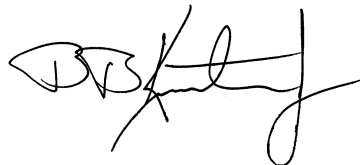
MULTISERVICE TACTICS, TECHNIQUES, AND PROCEDURES

FOREWORD

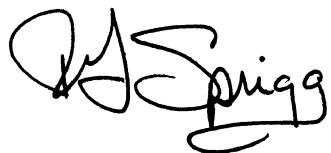
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PREFACE

1. Scope

This publication describes risk management functions and responsibilities applicable to the joint task force (JTF) and service staffs. It applies risk management planning procedures to the military decision making process and employs the Joint Operation Planning and Execution System (JOPES) for the operation planning team.

2. Purpose

This publication provides a consolidated multiservice reference addressing risk management background, principles, and application procedures. To facilitate multiservice interoperability, this publication identifies and explains the risk management process and its differences and similarities as it is applied by each service.

3. Applicability

The audience for this publication includes combatant command, JTF, and functional and service component staffs. The target staff level is the JTF headquarters staff. This publication serves as a source document for developing service and joint manuals, publications, and curricula, and may be used as a stand-alone document.

4. Implementation Plan

Participating service command offices of primary responsibility will review this publication, validate the information, and reference and incorporate it in service and command manuals, regulations, instructions, and curricula as follows:

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a. The TRADOC-MCCDC-NWDC-Headquarters (HQ) Air Force Doctrine Center (AFDC) and Air Land Sea Application (ALSA) Center developed this publication with the joint participation of the approving service commands. ALSA will review and update this publication as necessary.

b. This publication reflects current joint and service doctrine, command and control organizations, facilities, personnel, responsibilities, and procedures. Changes in service

protocol, appropriately reflected in joint and service publications, will be incorporated in revisions of this document.

c. We encourage recommended changes for improving this publication. Key your comments to the specific page and paragraph and provide a rationale for each recommendation. Send comments and recommendations directly to—

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RISK MANAGEMENT
Multiservice Tactics, Techniques, and Procedures for
Risk Management
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EXECUTIVE SUMMARY

Risk Management

This publication—

- **Provides multiservice tactics, techniques, and procedures for tactical level risk management in the planning and execution of operations in a joint environment.**
- **Provides a basic risk management process that may be used by all services.**
- **Applies to all elements of a force that assists in planning and conducting force protection.**
- **Provides risk management tools for commanders and staffs to use to manage risk during planning, preparation, and execution of joint operations.**

Chapter I Risk Management Fundamentals

Chapter I introduces risk management as a process to assist decision makers in reducing or offsetting risks. It identifies the goal, key aspects, and principle concepts of the process; provides general guidelines for applying the process; and gives an overview of the process:

- Identifying threats.
- Assessing threats to determine risks.
- Developing controls and making risk decisions.
- Implementing controls.
- Supervising and reviewing.

Chapter II Operational Considerations and Implementation

Chapter II describes the actions involved in applying the risk management process; identifies pitfalls, types of controls, and feedback requirements; and integrates the risk management process into the planning process. This chapter describes how common situation analysis tools support the risk management process.

Chapter III Staff Functions and Responsibilities

Chapter III ties the risk management process to the chain of command and the staff directorates, and describes how leader involvement at all levels is necessary for the process to be effective. This chapter also describes the integration of the risk management process into all aspects of operations and training and illustrates how constant review of the process leads to improvement in the process.

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Chapter I

RISK MANAGEMENT FUNDAMENTALS

1. Background

Risk management is a process that assists decision makers in reducing or offsetting risk (by systematically identifying, assessing, and controlling risk arising from operational factors) and making decisions that weigh risks against mission benefits. Risk is an expression of a possible loss or negative mission impact stated in terms of probability and severity. The risk management process provides leaders and individuals a method to assist in identifying the optimum course of action (COA). Risk management must be fully integrated into planning, preparation, and execution. Commanders are responsible for the application of risk management in all military operations. Risk management facilitates the mitigation of the risks of threats to the force. For the purposes of this document, threat is defined as a source of danger—any opposing force, condition, source, or circumstance with the potential to negatively impact mission accomplishment and/or degrade mission capability.

a. Each of the services uses similar but slightly different processes. This publication provides a single process to enable warfighters from different services to manage risk from a common perspective.

b. Risk management is useful in developing, deploying, and employing the joint force. Development concerns force design, manpower allocation, training development, and combat material developments. Deploying and employing the joint force generates concerns in force protection and balancing risk against resource constraints.

c. Military operations are inherently complex, dynamic, dangerous and, by nature, involve the acceptance of risk. Because risk is often related to gain, leaders weigh risk against the benefits to be gained from an operation. The commander's judgment balances the requirement for mission success with the inherent risks of military operations. Leaders have always practiced risk management in military decision making; however, the approach to risk management and degree of success vary widely depending on the leader's level of training and experience.

d. Since the Korean conflict, United States forces have suffered more losses from non-combat causes than from enemy action. Key factors contributing to those losses include—

- (1) Rapidly changing operational environment.
- (2) Fast-paced, high operations tempo and high personnel tempo.
- (3) Equipment failure, support failure, and effects of the physical environment.
- (4) Human factors.

2. Risk Management Goal

The fundamental goal of risk management is to enhance operational capabilities and mission accomplishment, with minimal acceptable loss.

3. Key Aspects of Risk Management

- a. Risk management assists the commander or leader by—
- (1) Enhancing operational mission accomplishment.
 - (2) Supporting well-informed decision making to implement a COA.
 - (3) Providing assessment tools to support operations.