



USCG Auxiliary 081-03-06 Risk Assessment

Mission:

Date:

**Step 1: Identify, Assess, & Mitigate Risk Elements**

**Instructions:** To determine the level of risk for each element below, estimate the risk level based on the Low/Medium/High scale. If your perceived rating is Medium or High, explore mitigations. Draw a line through the risk zone that corresponds to the mitigated risk level and document the perceived risk(s) and mitigation(s) in the space provided.

**Rate Risk Zone**

**Planning** - Enough time and information to conduct thorough pre-mission planning & notifications. Consider: B-0 response, completeness of mission information and on-scene details.

NOTES/MITIGATIONS:

Complete	Partial	None
L	M	H

**Event** - Refers to mission complexity. Consider: non-standard mission profile, coordinating multi-agency/nationality, language barriers, not performed often, etc.

NOTES/MITIGATIONS:

Routine	infrequent	abnormal
L	M	H

**Asset – Crew** – Proper number and skill set for the mission. Consider: time at unit, familiarity w/OP area, fatigue, u/w time, crew selection, adequate supervision, etc.

NOTES/MITIGATIONS:

Excellent	Marginal	Poor
L	M	H

**Asset – Cutter/Boat Resources** – Proper number and operational characteristics for mission. Consider: operational thresholds/limitations, status of equipment, etc.

NOTES/MITIGATIONS:

Ideal	Restrictions	Limitations
L	M	H

**Communications/Supervision** - Ability to maintain comms throughout mission. Consider: availability/quality of internal w/command and external w/customer.

NOTES/MITIGATIONS:

Excellent	Partial	None
L	M	H

**Environment** – External conditions surrounding mission. Consider: weather night/day, sea state, currents, water temp, air temp, visibility, etc.

NOTES/MITIGATIONS:

Ideal	Marginal	Extreme
L	M	H

**Other (Unit Specific Element):**

L	M	H
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Other (Unit Specific Element):

L	M	H
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**Step 2: Determine Overall Risk Level**

Consider: 1) the rating for each element above, 2) the importance of the element for mission execution, and 3) how elements may interact. Rate the perceived **Overall Risk Level** when considering this information (*circle Low, Medium, or High*):

Low	Medium	High
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*\*PEACE elements are required per COMDTINST 3500.3A. Additional unit specific elements are permitted.*

**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.*

	Vs.	
<b>RISK</b>		<b>GAIN</b>
(Low, Med, High)		(Low, Med, High)

**Step 3c.** Use the **Risk vs. Gain** values from above and follow the column and row until they cross. The intersecting point is the recommended action.

*Example, if Risk is 'low' and Gain is 'medium', the recommendation is: "Accept the Mission. Continue to monitor Risk Factors, if conditions or mission changes".*





Risk vs. Gain	High Gain	Medium Gain	Low Gain
<b>Low Risk</b>	<b>Accept the Mission.</b> Monitor Risk Factors and re-evaluate if conditions or mission/activities change.	<b>Accept the Mission.</b> Monitor Risk Factors and re-evaluate if conditions or mission/activities change.	<b>Accept the Mission.</b> Monitor Risk Factors and re-evaluate if conditions or mission/activities change.
<b>Medium Risk</b>	<b>Accept the Mission.</b> Monitor Risk Factors and employ Controls when available. Re-evaluate if conditions or mission change.	<b>Accept the Mission.</b> Monitor Risk Factors and employ Controls when available. Re-evaluate if conditions or mission change.	<b>Accept the Mission Only with Command Endorsement</b> Communicate Risk vs. Gain to Chain of Command. Implement Controls and continuously evaluate conditions and mission for change.
<b>High Risk</b>	<b>Accept the Mission Only with Command Endorsement.</b> Communicate Risk vs. Gain to Chain of Command. Implement Controls and monitor Risk Factors. Continuously evaluate conditions and mission change.	<b>Accept the Mission Only with Command Endorsement.</b> Communicate Risk vs. Gain to Chain of Command. Implement Controls and monitor Risk Factors. Continuously evaluate conditions and mission change.	<b>DO NOT Accept the Mission.</b> Communicate to Chain of Command. Wait until Risk Factors change or Controls are available to warrant Risk exposure.

Notes: Any 3 mediums or 1 High will minimally be a Medium Risk mission. Calls shall be made to the OIC for any high or medium risk mission.