

# DELIBERATE RISK ASSESSMENT WORKSHEET

|                                    |                                    |
|------------------------------------|------------------------------------|
| <b>1. MISSION/TASK DESCRIPTION</b> | <b>2. DATE</b> <i>(DD/MM/YYYY)</i> |
|------------------------------------|------------------------------------|

|  |  |  |
|--|--|--|
| <b>3. PREPARED BY</b>                        |  |  |
| a. Name <i>(Last, First, Middle Initial)</i> | b. Rank/Grade  | c. Duty Title/Position                                   |
| d. Unit                                      | e. Work Email  | f. Telephone <i>(DSN/Commercial (Include Area Code))</i> |
| g. UIC/CIN <i>(as required)</i>              | h. Training Support/Lesson Plan or OPOD <i>(as required)</i> | i. Signature of Preparer                                 |

Five steps of Risk Management: (1) Identify the hazards      (2) Assess the hazards      (3) Develop controls & make decisions  
 (4) Implement controls      (5) Supervise and evaluate      *(Step numbers not equal to numbered items on form)*

| 4. SUBTASK/SUBSTEP OF MISSION/TASK | 5. HAZARD | 6. INITIAL RISK LEVEL | 7. CONTROL | 8. HOW TO IMPLEMENT/<br>WHO WILL IMPLEMENT | 9. RESIDUAL RISK LEVEL |
|------------------------------------|-----------|-----------------------|------------|--|------------------------|
|                                    |           |                       |            | How:<br><br>Who:                           |                        |
|                                    |           |                       |            | How:<br><br>Who:                           |                        |
|                                    |           |                       |            | How:<br><br>Who:                           |                        |
|                                    |           |                       |            | How:<br><br>Who:                           |                        |
|                                    |           |                       |            | How:<br><br>Who:                           |                        |

**Additional entries for items 5 through 9 are provided on page 2.**

|   |
|---|
| <b>10. OVERALL RESIDUAL RISK LEVEL</b> <i>(All controls implemented):</i><br><input type="checkbox"/> EXTREMELY HIGH <input type="checkbox"/> HIGH <input type="checkbox"/> MEDIUM <input type="checkbox"/> LOW |
|---|

|  |
|--|
| <b>11. OVERALL SUPERVISION PLAN AND RECOMMENDED COURSE OF ACTION</b> |
|  |

|  |               |                        |                                    |
|--|---------------|------------------------|------------------------------------|
| <b>12. APPROVAL OR DISAPPROVAL OF MISSION OR TASK</b> <input type="checkbox"/> APPROVE <input type="checkbox"/> DISAPPROVE |               |                        |                                    |
| a. Name <i>(Last, First, Middle Initial)</i>   | b. Rank/Grade | c. Duty Title/Position | d. Signature of Approval Authority |

|                         |
|-------------------------|
| e. Additional Guidance: |
|                         |



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| <b>Risk Assessment Matrix</b>   |     | Probability (expected frequency)                            |  |   |                                   |  |
|---|-----|---|--|---|-----------------------------------|--|
|   |     | Frequent:<br>Continuous, regular, or inevitable occurrences | Likely:<br>Several or numerous occurrences | Occasional:<br>Sporadic or intermittent occurrences | Seldom:<br>Infrequent occurrences | Unlikely:<br>Possible occurrences but improbable |
| Severity (expected consequence)   |     | A   | B  | C   | D                                 | E  |
| <b>Catastrophic:</b> Death, unacceptable loss or damage, mission failure, or unit readiness eliminated                | I   | EH  | EH   | H   | H                                 | M  |
| <b>Critical:</b> Severe injury, illness, loss, or damage; significantly degraded unit readiness or mission capability | II  | EH  | H  | H   | M                                 | L  |
| <b>Moderate:</b> Minor injury, illness, loss, or damage; somewhat degraded unit readiness or mission capability       | III | H   | M  | M   | L                                 | L  |
| <b>Negligible:</b> Minimal injury, loss, or damage; little or no impact to unit readiness or mission capability       | IV  | M   | L  | L   | L                                 | L  |

**Legend:**

EH – extremely high risk    H – high risk    M – medium risk    L – low risk

**13. RISK ASSESSMENT REVIEW**

| a. Date | b. Last Name | c. Rank/Grade | d. Duty Title/Position | e. Signature of Reviewer |
|---------|--------------|---------------|------------------------|--------------------------|
|         |              |               |                        |                          |
|         |              |               |                        |                          |
|         |              |               |                        |                          |

**14. FEEDBACK AND LESSONS LEARNED**

**15. ADDITIONAL COMMENTS OR REMARKS**

## Instructions for Completing DD Form 2977, "Deliberate Risk Assessment Worksheet"

|   |   |
|---|---|
| <p><b>1. Mission/Task Description:</b> Briefly describe the overall Mission or Task for which the deliberate risk assessment is being conducted.</p>  | <p><b>10. Overall Risk After Controls are Implemented:</b> Assign an overall residual risk level. This is the highest residual risk level (from block 9).</p>   |
| <p><b>2. Date:</b> <del>DD</del> <del>MM</del> <del>YY</del> <del>DD</del> Self Explanatory.</p>  | <p><b>11. Supervision Plan and Recommended Course of Action:</b> Completed by preparer. Identify specific tasks and levels of responsibility for supervisory personnel and provide the decision authority with a recommend course of action for approval or disapproval based upon the overall risk assessment.</p>   |
| <p><b>3. Prepared By:</b> Information provided by the individual conducting the deliberate risk assessment for the operation or training .<br/><b>Legend:</b> <b>UIC</b> = Unit Identification Code; <b>CIN</b> = Course ID Number; <b>OPORD</b> = operation order; <b>DSN</b> = defense switched network; <b>COMM</b> = commercial</p> | <p><b>12. Approval/Disapproval of Mission/Task:</b> Risk approval authority approves or disapproves the mission or task based on the overall risk assessment, including controls, residual risk level, and supervision plan. Space provided for authority to provide additional guidance; use continuation page if needed.</p>  |
| <p><b>4. Sub-task/Sub-Step of Mission/Task:</b> Briefly describe all subtasks or substeps that warrant risk management.</p>   | <p><b>13. Risk Assessment Review:</b> Should be conducted on a regular basis. Reviewers should have sufficient oversight of the mission or activity and controls to provide valid input on changes or adjustments needed. If the residual risk rises above the level already approved, operations should cease until the appropriate approval authority is contacted and approves continued operations.</p> |
| <p><b>5. Hazard:</b> Specify hazards related to the subtask in block 4.</p>   | <p><b>14. Feedback and Lessons Learned:</b> Provide specific input on the effectiveness of risk controls and their contribution to mission success or failure. Include recommendations for new or revised controls, practicable solutions, or alternate actions. Submit and brief valid lessons learned as necessary to persons affected.</p>   |
| <p><b>6. Initial Risk Level:</b> Determine probability and severity. Using the risk assessment matrix (page 3), determine level of risk for each hazard specified. probability, severity and associated Risk Level; enter level into column.</p>  | <p><b>15. Additional Comments or Remarks:</b> Preparer provides additional comments, remarks, or information to support the risk assessment. If block 15 is used as a continuation of block 14, strike through the block number and title.</p>  |
| <p><b>7. Control:</b> Enter risk mitigation resources/controls identified to abate or reduce risk relevant to the hazard identified in block 5.</p>   | <p><b>Additional Guidance:</b> Block 4-9 continuance page may be reproduced as necessary for processing of all subtasks/ substeps of the mission/task. If a complete page is not utilized, write "NOTHING FOLLOWS" on the first unused row, immediately after the final item assessed.</p>  |
| <p><b>8. How to Implement / Who Will Implement:</b> Briefly describe the means of employment for each control (i.e., OPORD, briefing, rehearsal) and the name of the individual unit or office that has primary responsibility for control implementation.</p>  |   |
| <p><b>9. Residual Risk Level:</b> After controls are implemented, determine resulting probability, severity, and residual risk level.</p>   |   |