COMDTMIDNINST 3058.1A
OPS
JUL 2 6 2019

COMMANDANT OF MIDSHIPMEN INSTRUCTION 3508.1A

From: Commandant of Midshipmen, U.S. Naval Academy

Subj: OPERATIONAL RISK MANAGEMENT FOR MOVEMENT ORDERS

Ref: (a) OPNAVINST 3500.39D
(b) COMDTMIDNINST 4653.1Q
(c) COMDTMIDNINST 6110.4

Encl: (1) Approval Authorities for Movement Order Operational Risk Management
(2) U.S. Naval Academy Risk Assessment Worksheet

1. <u>Purpose</u>. Develop standardized Operational Risk Management (ORM) procedures for movement orders.

2. <u>Cancellation</u>. COMDTMIDNINST 3508.1.

3. <u>Scope and Applicability</u>. This instruction applies to all midshipmen and officer/faculty representatives associated with a Movement Order (MO).

4. <u>Operational Risk Management</u>

a. ORM is an important part of preparing for an evolution. A full explanation of ORM can be found in reference (a). For the purpose of this instruction, ORM can be thought of as a plan, developed prior to execution, for reducing the likelihood and severity of injury.

b. Per reference (b), prior to executing a MO, an ORM must be approved. Based on the type of MO, the approval authority differs. Enclosure (l) provides guidance on who has approval authority.

c. ORM should be prepared according to the standard U.S. Naval Academy format, using enclosure (2).

d. Additional ORM requirements, procedures, and guidance for High-Risk Extracurricular Activities (HR-ECA) and a current listing of all HR-ECAs are contained in reference (c).

e. The approval of ORM is subject to providing proof of any additional information requested by the approver (e.g. proof of qualification or certification).

f. The approval of ORM can be revoked at any time by the approving authority or by someone senior in the same chain of command.

5. <u>Records Management</u>

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned for the standard subject identification codes (SSIC) 1000 through 13000 series per the records disposition schedules located on the Department of the Navy/Assistant for Administration (DON/AA), Directives and Records Management Division (DRMD) portal page at https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx.

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact your local records manager or the DON/AA DRMD program office.

6. <u>Review and Effective Date</u>. Per OPNAVINST 5215.17A, the Operations Officer will review this instruction annually on the anniversary of its effective date to ensure applicability, currency, and consistency with Federal, DoD, SECNAV, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will automatically expire 5 years after effective date unless reissued or canceled prior to the 5-year anniversary date, or an extension has been granted.

T. R. BUCHANAN

Distribution:
Non-Mids (Electronically)
Brigade (Electronically)

APPROVAL AUTHORITIES FOR MOVEMENT ORDER OPERATIONAL RISK MANAGEMENT

Group on Movement Order	Approval Authority
Squad, Company, Battalion	Per your Company and Battalion's Guidance
Extracurricular Activity	Commandant Operations Officer
Academic Field Trip	Commandant Operations Officer
Varsity/JV and Club Sports	N/A - not required to submit ORM
Professional Development	Deputy Commandant of Midshipmen of Professional Development and Training
Commandant Operations	Commandant Operations Officer
Other	Commandant Operations Officer

USNA RISK ASSESSMENT WORKSHEET

Activity:		Prepared By:		Signature/Date:
Date (s) of Activity:		Approved By:		Signature/Date:

Step 1. Identify Hazards		Step 2. Assess Hazards		Step 3. Make Risk Decisions			Step 4. Implement Controls	Step 5. Supervise
Activity Phases	Hazards: What are the hazards? Causes of hazards?	Mishap Severity and Probability	Initial RAC	Develop Controls: What controls (safeguards) will counter the hazard?	Residual Severity and Probability	Residual RAC	How will controls be implemented?	Who will supervise the controls and how are they qualified? (Name of Individual, not by position).
Example: *1 Mile Run* *(*no alternate route available)*	*Falls due to potholes*	*C* *III*	*4*	*1. All potholes will be identified and covered along route. 2. Safety Observers 3. Safety Brief*	*D* *IV*	*5*	*Orange cones will be placed over potholes. Seven Safety Observers (SO's) will monitor runners and potholes. Safety Observers and participants will receive safety brief and map of route with potholes. SO's will walk route one day prior to event. .Event Coordinator will provide safety brief and ride in safety vehicle to monitor route and maintain communication with SO's during event.*	*All Safety Observers (SO's) are prior run participants and ACFL qualified (include names of Safety Observers). Senior Chief Hard runner, Event Coordinator, is the overall supervisor and is CFL qualified.*

ACTIVITY RISK (BASED ON HIGHEST RESIDUAL RISK LEVEL):_____ (example: Moderate – 3)

Preparer Comments:	Approver Comments:

Step 1. Identify Hazards. List the major steps involved in the activity. Identify the conditions with the potential to cause damage, injury or mission degradation and list the hazards and the causes of the hazards.

Step 2. Assess hazards. For each hazard identified, determine the associated degree of risk in terms of probability and severity.
Use the matrix below to assign each hazard identified in Step 1 with a hazard severity category and a mishap probability rating. Use these to determine a Risk Assessment Code.

Hazard Severity Category Matrix:
I   Death, loss or grave damage
II Severe injury damage or inefficiencies
III Minor injuries, damage, or inefficiencies
IV Minimal Threat to personnel and property

Mishap Probability Sub-Category Matrix:
A. Likely to occur immediately
B. Probably will occur in time
C. May occur in time
D. Unlikely to occur

Hazard Severity + *Mishap Probability Rating* = *Risk Assessment Code*

Step 3. Risk Decisions. List the risk controls and determine the "Residual RAC" with controls in place. This will be based on the Residual mishap probability rating and severity category. Assess if benefit of the mission outweighs the new risk levels. If risks outweigh benefits, seek further risk reduction.

Step 4. Implement Controls -- When risks are reduced to acceptable levels, implement the appropriate control measures. List how the controls will be implemented. Provide details.

Step 5. Supervise – List who will supervise the execution of the controls. What are their qualifications to supervise the evolution/controls?

Enclosure (2)