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 21 Aug 2018

From: NJROTC Area Eleven Manager

# Subj: AREA 11 ORM GUIDANCE FOR NJROTC EVENTS

# Ref: (a) NSTC M-5761.1B

 (b) NSTCINST 1500.20D

Encl: (1) S/NSI General Instructions / Emergency Information

 (2) ORM Brief Form

 (3) NJROTC Safety Report

(4) ORM Process + RAC Codes

1. Per references (a) and (b), enclosures 1 through 4 will be used by all NJROTC units conducting NJROTC Events, including Leadership Academies, Sail Training, Basic Leadership Training, Orienteering Activities, Drill or Athletic Meets, PRT, Marksmanship Competitions, and other Orientation Trips away from the unit home campus. Modify the procedures as applicable to match the event.



 R. E. JORDAN

 CDR, USN (Ret)

Distribution:

Area ELEVEN NJROTC Units

NJROTC Operations Officer

NJROTC Program Manager

##### S/NSI GENERAL ORM INSTRUCTIONS

#####  General

1. Prior to the start of any organized NJROTC program activity (Leadership Academy, Sail Academy, Basic Leadership Training, etc) the Officer In Charge (OIC) shall designate the most qualified SNSI/NSI as the Safety Officer.
2. An ORM Brief shall be conducted with all S/NSI’s and chaperones using **Area 11 ORM Brief Form (included).**
3. Documentation may also be completed using Encl (3) or Pg FF-1 of the Leadership Academy Management Plan. Risk Assessment shall be performed for events and controls implemented per the ORM Plan. RAC Codes will be assigned and documented using either of the ORM event briefing forms.
4. The initial ORM brief must include dissemination of telephone numbers of all

medical, fire department, police/security, and other emergency response teams to obtain immediate response to mishaps. These should be programmed into cell phones to avoid confusion or when in a field environment.

1. The ORM brief should identify the location of first response mechanical devices such as electrical isolation switches, fire extinguishers/alarms and other equipment will be located and identified by all S/NSIs and chaperons.
2. Any time an instructor or cadet experiences apprehension concerning personal or

event safety, or the safety of others, an immediate “Training Time Out” (TTO) shall be called.

1. (SNSI/NSIs) are responsible for maintaining situational awareness and shall remain alert to signs of cadet panic, fear, extreme exhaustion, or lack of confidence that may impair safe completion of the training and shall immediately cease activity when necessary.
2. In-house first aid assets (first aid kits, CPR qualified personnel, etc.) will be kept in the instructor office spaces, readily available to S/NSIs and chaperones.
3. All cadets are to be in their rooms and in bed after taps. Under no circumstances are

any cadets to engage in any activity other than the standard assigned watch without

the permission of the S/NSI, Platoon Leader, or Officer-In-Charge.

###### **B. S/NSI SAFETY INSTRUCTIONS**

Note: All S/NSIs will ensure that training activities are carried out in accordance with the most recent version of NSTC Training Manuals/Publications for the activity being conducted. Complete the enclosed Area 11 Safety Report when applicable.

1. Be aware at all times of the training schedule and the whereabouts of all cadets and instructors assigned.
2. Make inspections as deemed necessary to assure satisfactory safety conditions exist.
3. Make periodic checks to see that supervisory personnel are on hand in cadet areas

when appropriate.

1. Assure that all pertinent information having to do with safety, illness, or injury is

entered in the duty log.

**C. CADET INJURY PROCEDURES**

1. Any cadet injury, no matter how slight, must receive immediate attention.
2. All cadets must be given strict orders to report any injury promptly.

Contact on-site medical personnel immediately for initial response and/or 911 as appropriate. The location of the closest suitable hospital or clinic should be identified and posted in the instructor office spaces or carried with the instructor when off school sites.

**D. FIRE EMERGENCIES**

1. In case of a fire emergency, follow the posted fire evacuation plan for the barracks/dormitories. Call 911.
2. All cadets must be evacuated before attempting any fire fighting.

**E. SITREP/Injury Notification Procedures**

1. Notify parents/guardian/school if injury is to a cadet.

1. Inform the Area ELEVEN Manager / Prepare Incident Report
2. Inform the NJROTC Operations Officer if Area Manager unavailable
3. Contact NETC Quarterdeck if Area Manager/NJ Ops Officer unavailable and injury requires hospitalization or results in death
4. Obtain witness statements for possible JAG investigation

6. Prepare follow up information as may be required by chain of command

**F. CHAIN OF COMMAND PHONE NUMBERS**

Area 11 Manager

 Office: 619-524-0525/6368 Cell: 224-545-3561

NJROTC Operations Officer, CDR Watson

 Office: 850-452-9487 Cell: 850-776-0991

NJROTC Program Manager CAPT Daseler Cell: 850-628-7682

NETC Duty Officer: 850-452-4000/4010

 Encl (1)

ORM Event Briefing Form

**UNIT / EVENT**\_\_\_\_\_ \_\_

# Date/Time OIC:

**Event**

**Hazards**

**Controls Taken**:

1. Engineering
2.
3.
4.
5. Administrative
6.
7.
8.
9. PPE
10.
11.
12.

**RAC Code Assigned**

**Instructor Signature**

Ref: OPNAVINST 3500.39

File: Area Eleven Manager (file for one year) Encl (2)

 **AREA 11 NJROTC Safety Report**

NJROTC UNIT: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

UIC: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Cadet Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Location/Description of Occurrence:

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Description of Medical Treatment Provided:

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Action Taken to Prevent Recurrence:

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Encl (3)

Introduction to ORM (Operational Risk Management)

**Why ORM?**

**We've Always done It!**

Leaders have always practiced risk managementin their operational decision making process. However, the approach to risk, and thedegree of success in dealing with it, has varied widely depending onthe leader and his/herlevel of training and experience.

**Leadership 101**

There are two goals of leadership: Accomplish the mission along with the safety and welfare of the participants. Leadership failures are often contributing factors and causes of unnecessary mishaps resulting in one or both of the goals not being accomplished.

The principles of ORM can be taughteffectively to enhance the decision-making leadership capabilities of all personnel. All units shall have a Cadet Safety Officer familiar with ORM.

**ORM Terms**

**Hazard**

A condition with the potential to cause illness, injury, death, property damage, or mission degradation.

**Cause**

Something that produces an effect, result, or consequence.

The person, event, or condition responsible for anaction or result.

**Risk**

A possible loss expressed in terms of severity and probability.

Leaders can make better decisions once a hazard is converted to a risk.

**Risk Assessment**

The process of detecting hazards and assessing associated risks. Step 1 and Step 2 of ORM constituted a risk assessment.

**Severity**

Expected consequence of an event in terms of degree of injury, illness, property damage or other mission-impairing factor.

**ORM Terms (continued)**

# **Controls**

Actions taken to eliminate hazards or reduce their risk.

**Three Types of Controls**

Three types of controls can be used; in most effective to least effective order they are Engineering controls, Administrative controls and Personal Protective Equipment.

**(1) Engineering Controls**

*Controls that use engineering methods to reduce risk by Design, or Material Selection or Substitution.*

When technically and economically feasible, engineering controls are the best to use because they **usually** eliminate the hazard. Their drawback is they may not be feasible in many cases.

**(2) Administrative Controls**

*Administrative controls reduce risk through specific administrative actions:*

Provide warnings, markings, and placards, signs, & notices;

Written policies, programs, instructions, & SOP'S;

Train persons to recognize hazards & take proper action;

Limit the number of personnel/equipment or the time exposed to a hazard.

Administrative controls are effective in reducing risks when used properly.

Sample Administrative Controls

Rehearsals, Briefs, SOP’s, Traffic signs, Drills

**(3)Personal Protective Equipment (PPE)**

## *Serve as a barrier between a person and the hazard*

PPE is the least effective type of control because it does not reduce the probability of a mishap occurring; it only reduces the severity when a mishap does occur. Use PPE when other controls do not reduce the risk to an acceptable level.

# **5 Steps of Performing ORM**

**Step 1 - Identify Hazards**

• Conduct anOperational Analysis

List major steps of the operation

• Conduct a Preliminary Hazard Analysis

 List the hazards associated with each step

 List the possible causes of the hazards

The tools at the endof this enclosure may be used to enhanceor replace step 1 as shown above for certainspecialized applications.

**Step 2 - Assess Hazards**

• Determine degree of risk for each hazard in terms of severity and probability.

Use of a matrixis recommended but not required. A matrix provides a consistent framework forevaluation and shows the relative perceived risk between hazards and prioritizes which hazards to control first.

AnyMatrix that supports the specific application maybe used.

**RAC** **Mishap Probability**

**Matrix** Likely Probably May Unlikely

**Hazard** Critical 1 1 2 3

**Severity** Serious 1 2 3 4

 Moderate 2 3 4 5

 Minor 3 4 5 5

**Risk Assessment Code (RAC)**

**1 -** Critical **2-** Serious 3-Moderate **4-** Minor 5- Negligible

### Hazard Severity

Critical - May causedeath, loss of facility/asset or grave damage to national interests.

Serious - May cause severe injury**,** illness, property damage or damage to national orservice interests.

Moderate - May cause minor injury, illness, property damage or damage to national**,** service, or commandinterests.

Minor- Minimal threat.

**Mishap Probability**

Likely- Likely to occur immediately or in a short period of time. Expected to occur several times to an individual item or person, or continuously to a group.

Probably - Probably will occur in time. Reasonably expected to occur sometime to an individual item or person, or continuously to a group.

May - May occur in time. Reasonably expected to occur some time to an individual item or person, or several times to a group.

Unlikely - Unlikely to occur.

# **Step 3 - Make Risk Decisions**

• Develop controls for each hazard to eliminate the hazard or reduce the risk until the Benefit > Risk.

 Develop controls for the most serious hazards first! You may not have time to control every hazard so control the worst hazards first.

• Determine residual risk.

 Assess each hazard's risk again (step 2 repeated) with the controls in place to determine residual risk.

• Make Risk Decision-With the controls in place; Verify the Benefit > the Risk?

 Accept the risk if Benefit >Risk

Communicate with higher authority if risk exceeds the Commander’s stated intent

 If Risk > Benefit, help is needed to implement controls

# **Step 4 - Implement Controls**

• Incorporate selected controls into:

 - SOP’s, LOI's, Orders, Briefs, Training and Rehearsals

• Communicate selected controls to the lowest level. Who will do what by when?

• Implementation goes wrong for the following reasons:

- Wrong control for the problem

- Operators dislike it

- Leaders dislike it

- It's too costly

- It's overmatched by other priorities

- It's misunderstood

- Nobody measures until it's too late

# **Step 5 Supervise**

**•** Enforce standards and controls.

 Ensure controls are in place and having the desired effect.

• Remain alert for changes and unexpected developments that require Time Critical or Deliberate ORM.

• Take corrective action when necessary.

**3 Levels of Applying ORM**

## General

The nature of military operations requires the ORM process to be tremendously flexible. Leaders mustoften make tough, complex decisions in a matter of minutes or even seconds. Onthe other hand, many decisions permit weeks or months of staff work. ORM exists on three levels (which are identical except for the level of detail that goes into the process) and can be applied in any situation to control risk. The Commander chooses which levelof ORM to use based on the mission, situation, time available, proficiency level of personnel and the assets available.

## Time Critical ORM

An on-the-run mental or oral review of the situation using the 5 step ORM process without recording on paper.

• Time Critical ORM is the normal level applied in the execution phase of training and operations to control hazards introduced by unexpected events and changes to the plan.

## Deliberate ORM

Application of the complete 5 step process and is recorded on paper.

· Applied in Planning Operations

· Used for

1. Evaluating SOP’s
2. Evaluating trainingand maintenance procedures
3. Damage Control and Disaster Response plans

**In-Depth ORM**

The Deliberate ORM process with a more detailed risk assessment (steps 1 & 2) using advanced tools. Professional expertise will probably be needed when performing In-Depth ORM.

• Used in:

- Long term planning of complex operations

- Introducing new equipment

- Introducing new tactics

- Introducing new training Curricula

# **4 Principles of Applying ORM**

**#1** **Accept risk when the Benefit>Risk.**

 • Risk is inherent in the nature of military action.

• Leaders who are in the risk-taking business must be top-quality risk managers.

• Risk is usually proportional to gain.

• You cannot eliminate all risk.

**#2** **Accept no unnecessary risk**.

• All unnecessary risk is any risk that, if taken, will not contribute meaningfully to mission accomplishment.

• Leaders who accept unnecessary risks are gambling with the lives of their sailors and marines-for nothing.

• The gambler doesn't know what will happen; the risk-managing leader can reasonably predict what the outcome will be.

**#3** **Anticipate and manage risks by planning.**

 • Risks are more easily controlled when identified in planning because

more time, assets, and options are available to deal with the risk.

• It improves efficiency and saves money if ORM is integrated early in the planning process. If risk controls are tacked on as an afterthought in training or in combat, they will probably fail.

 • Proper Prior Planning Prevents Poor Performance

**#4 Make risk decisions it the right level.**

• The leader directly responsible for the operation makes risk decisions.

• If Risk > Benefit; goes beyond Commander’s Intent; or help is needed to implement controls - communicate with higher authority.

 Encl (4)