



OCS Risk Assessment Guidelines



Public Law (PL) 112-239 § 846: requirements for risk assessments



- **Risk Assessments (RAs) in OPLANS/CONPLANS (phase 0)**—SecDef shall require RA on reliance on ktrs in CCDR OPLANS/CONPLANS address, at a minimum, risks listed in subsection c.
- **RAs and Risk Mitigation (RM) in contingencies**—NLT 6 months after a contingency begins, perform RA and develop RM plan for operational and political risks associated with ktr performance of critical functions.*
- **RAs (for both a and b)**—shall consider, at a minimum, risks relating to:
 - goals/objectives of operation (ktr behavior/performance injure/offend local population).
 - continuity of operation (ktrs refusing/unable to perform with timely replacements unavailable).
 - safety of US military/civilians (ktr presence/performance creates unsafe conditions/invites attack).
 - safety of ktrs employed.
 - USG managerial control (over-reliance or inadequate means to monitor ktr performance).
 - critical organic or core capabilities (e.g., critical knowledge of key areas/expertise).
 - controlling costs (e.g., avoid organizational/personal conflicts of interest; minimize FW&A).
- **RM Plans**—RM plans shall include, at a minimum:
 - For each high-risk area in the risk assessment:
 - actions to mitigate risk (e.g., alternative capabilities to reduce reliance on ktrs);
 - measurable milestones for implementing RM; and
 - a process for monitoring, measuring, and documenting progress in mitigating risk.
 - A continuing process for identifying and addressing new/changed risks including periodic reassessment of risks and development of RM plans for new/changed high-risk area.



Risk Assessment template

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Risk Assessment Template 20 Feb 15.xlsx - Microsoft Excel

	A	B	C	D	E	F	G	H	I	J	K	L	
1	Plan	Strategic Threat		Contractor Availability		Oversight	Inherently governmental	Dependence	Cost		Aggregate by Plan		
2		a) Does contractor discipline/ performance threaten to injure innocent members of the local population or offend their sensibilities?	b) Is force protection of military and civilian personnel threatened by the presence or performance of contractor personnel creating unsafe conditions or inviting attack?	a) Does contractor refusal or inability to perform threaten continuity of operations?	b) Is the safety of contractor personnel threatened by the opposing force (OPFOR), local environment, or other factors?	a) Do inadequate means for government personnel to monitor contractor performance threaten the ability of the government to maintain adequate managerial control?	a) Does over-reliance on contractors to monitor other contractors threaten the ability of the government to maintain adequate managerial control?	a) Are critical organic or core capabilities (e.g., knowledge, skills, and abilities) of the government threatened by reliance on contractors?	a) Does potential organizational or personal conflicts of interest threaten the ability of the government to control costs?	b) Does potential waste, fraud, and abuse threaten the ability of the government to control costs?			
3		Plan 1 #name	Low	Low	Low	Low	Low	Low	Low	Low		Low	Low
4		Plan 2 #name	Low	Low	Low	Low	Low	Low	Low	Low		Low	Low
5		Plan 3 #name	Low	Low	Low	Low	Low	Low	Low	Low		Low	Low
6		Plan 4 #name	Low	Low	Low	Low	Low	Low	Low	Low		Low	Low
7		Plan 5 #name	Low	Low	Low	Low	Low	Low	Low	Low		Low	Low
	Aggregate by Indicator	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low	Risk Assessment Index	
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ASSESSMENT RATINGS



Risk



- Risk is composed of two subcomponents (Probability and Impact) and identifies undesirable outcomes in advance to monitor their likely probability and mitigate their impact.
 - Probability is the likelihood that some event will occur or threshold will be reached.
 - Impact/Consequence is the negative significance resulting from a risk occurring.
- Opportunity is the opposite of risk, but most challenges (risks) can be leveraged as opportunities (achieving positive results).

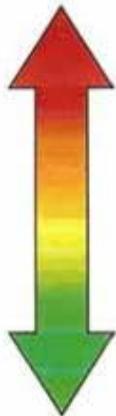
$$R = P * I$$



Strategic risk definition



Strategic Risk: The potential impact upon the United States – to include our population, territory, and interests – of current and contingency events given their estimated consequences and probabilities. (CJCS)

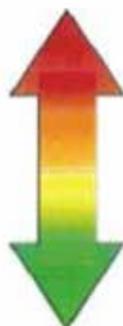


Level	Probability of Event	Consequence of Event
HIGH	Very Likely	U.S. Existence
SIGNIFICANT	Probable	Vital Interests
MODERATE	Possible	Important Interests
LOW	Unlikely	Other Interests

The probability of event occurrence is influenced by the credible military capability and capacity to deter conflict by denying the objective or by imposing unacceptable consequences.

Military Risk

The ability of U.S. Armed Forces to adequately resource and execute military operations in support of the strategic objectives of the National Military Strategy



- High: Full Mobilization; may not achieve desired endstates
- Significant: Significant adjustments to timelines; significant capability shortfall
- Moderate: Extended timelines; limited duration capability gaps
- Low: Timelines and resources executed as planned

Military Risk Matrix

	Low	Moderate	Significant	High
Strategic Objectives	Strategic objective: Assured	Strategic objective: Very likely	Strategic objective: Likely	Strategic objective: Requires extraordinary measures
Authorities	Full authorities provided to achieve all strategic objectives	Authorities provided to achieve most strategic objectives	Authorities are insufficient to achieve key strategic objectives	Critical authorities are not provided; ability to achieve strategic objectives is compromised
Plans	SCG/CPG/JSCP direct advanced planning: OPLANS (Level IV) or CONPLANS (Level III)	SCG/CPG/JSCP direct preliminary planning: Base Plans (Level II) or CDR's Estimate (Level I)	SCG/CPG/JSCP do not direct planning but local plans exist or are being developed	SCG/CPG/JSCP do not direct plans and planning is not in progress
Resources	As planned	Additional resources from other plans and operations	Additional resources from other plans & operations; some significant capability shortfalls	Significant resources from other operations; some resources severely deficient absent altogether
Resources: Timelines	As planned	Extended	Significant adjustments	Significant adjustments; may not achieve desired end-states
Resources: Unanticipated Requirements	Easily managed, minimal impact	May necessitate adjustments to plans	Will necessitate significant adjustments to plans	Unable to manage
Resources: Force Provider	Full capacity to source COCOM rqmts	Can source all rqmts. Worldwide force allocation solutions may result in limited duration capability gaps	Can source priority COCOM rqmts. Worldwide force allocation solutions may result in extended duration capability gaps	Require full mobilization to sustain sourcing solutions to achieve strategic objectives
Resources: Services Functions, Force Management, Institutional Capacity	Full capacity to source COCOM rqmts	Requires Intra-Service adjustments to source COCOM rqmts	Requires joint source solutions and force substitutions to source COCOM rqmts	COCOM rqmts exceed Joint Force capacity to substitute capabilities



Readiness Assessment levels



Table 2. Readiness Assessment (RA) Level Definition

RA Level	Definition
RA-1	Issues and/or shortfalls have negligible impact on readiness and ability to execute assigned mission(s) in support of the NMS as directed in the GEF and JSCP.
RA-2	Issues and/or shortfalls have limited impact on readiness and ability to execute assigned mission(s) in support of the NMS as directed in the GEF and JSCP.
RA-3	Issues and/or shortfalls have significant impact on readiness and ability to execute assigned mission(s) in support of the NMS as directed in the GEF and JSCP.
RA-4	Issues and/or shortfalls preclude accomplishment of assigned mission(s) in support of the NMS as directed in the GEF and JSCP.