

**OPERATIONAL RISK MANAGEMENT (ORM) ASSESSMENT  
(OPNAVINST 3500.39A FIVE-STEP PROCESS)**

Command/Department: \_\_\_\_\_

Work Process/Assessable Unit: \_\_\_\_\_

- Step 1. Identify Hazards:** Yes No N/A
- a. Has a flowchart been completed identifying major steps of the work process? [ ] [ ] [ ]
- b. Have applicable hazards of each step with possible causes for those hazards been documented? If yes, attach copy (format on page 3). If no, comment on page 2. [ ] [ ] [ ]

**Step 2. Assess Hazards.** Each hazard identified in Step 1 will be assigned a "Hazard Severity Category," "Mishap Probability Rating," and a "Risk Assessment Code (RAC)." The below matrices are a guide for assessing hazards.

- a. Has each hazard been assigned a Hazard Severity Category? [ ] [ ] [ ]
- b. Has each hazard been assigned a Mishap Probability Rating? [ ] [ ] [ ]
- c. Has each hazard been assigned a RAC? [ ] [ ] [ ]

**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**

	A	B	C	D
I	1	1	2	3
II	1	2	3	4
III	2	3	4	5
IV	3	4	5	5

**Risk Assessment Code**

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

- Step 3. Risk Decisions:**
- a. Have risks been prioritized and internal controls selected to reduce process risks? [ ] [ ] [ ]
- b. Do selected internal controls provide benefits that outweigh risks? [ ] [ ] [ ]
- c. If risk outweighs benefit, does the process warrant reporting to higher authority as a material weakness? Discuss issues on page 2. [ ] [ ] [ ]

**Step 4. Internal Control Implementation** (more than one type internal control may apply):

- a. Have "Engineering Controls" been implemented that reduce risks by design, material selection, or substitution when technically or economically feasible? [ ] [ ] [ ]
- b. Have "Administrative Controls" been implemented that reduce risks through specific administrative actions, such as:
- (1) providing suitable warnings, markings, placards, signs, and notices? [ ] [ ] [ ]
  - (2) establishing written policies, programs, instructions, and standard operating procedures? [ ] [ ] [ ]

Yes No N/A

(3) training personnel to recognize hazards and take appropriate precautionary measures? [ ] [ ] [ ] [ ]

(4) limiting the exposure to a hazard (either by reducing the number of personnel/assets or the length of time they are exposed)? [ ] [ ] [ ] [ ]

c. Is there use of "Personal Protective Equipment" (serves as a barrier between personnel and a hazard and should be used when other controls do not reduce the hazard to an acceptable level)? [ ] [ ] [ ] [ ]

**Step 5. Supervision.** Is there periodic supervisory oversight of internal controls for the work process? [ ] [ ] [ ] [ ]

ORM Assessment conducted by: \_\_\_\_\_ Date: \_\_\_\_\_

ORM Assessment reviewed by: \_\_\_\_\_ Date: \_\_\_\_\_  
(Department Head)

ORM Assessment conducted by: \_\_\_\_\_ Date: \_\_\_\_\_

ORM Assessment reviewed by: \_\_\_\_\_ Date: \_\_\_\_\_  
(Department Head)

ORM Assessment conducted by: \_\_\_\_\_ Date: \_\_\_\_\_

ORM Assessment reviewed by: \_\_\_\_\_ Date: \_\_\_\_\_  
(Department Head)

Issues/Comments

Actions (Include estimated completion dates.)

**OPERATIONAL RISK MANAGEMENT (ORM) ASSESSMENT  
WORK PROCESS HAZARDS**

Command/Department: \_\_\_\_\_

Work Process/Assessable Unit: \_\_\_\_\_

Document applicable risks and causes on the above work process. List hazards in order of severity. Refer to page 1 of ORM Assessment Form for matrices to determine Hazard Severity Category, Mishap Probability Sub-category, and Risk Assessment Code (RAC).

1. Hazard.

a. Cause.

b. Hazard Severity Category: \_\_\_\_\_

c. Mishap Probability Sub-Category: \_\_\_\_\_

d. RAC: \_\_\_\_\_

2. Hazard.

a. Cause.

b. Hazard Severity Category: \_\_\_\_\_

c. Mishap Probability Sub-Category: \_\_\_\_\_

d. RAC: \_\_\_\_\_

3. Hazard.

a. Cause.

b. Hazard Severity Category: \_\_\_\_\_

c. Mishap Probability Sub-Category: \_\_\_\_\_

d. RAC: \_\_\_\_\_