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: _____

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