



Risk Mitigation for SWAT

NATIONAL TACTICAL OFFICERS ASSOCIATION

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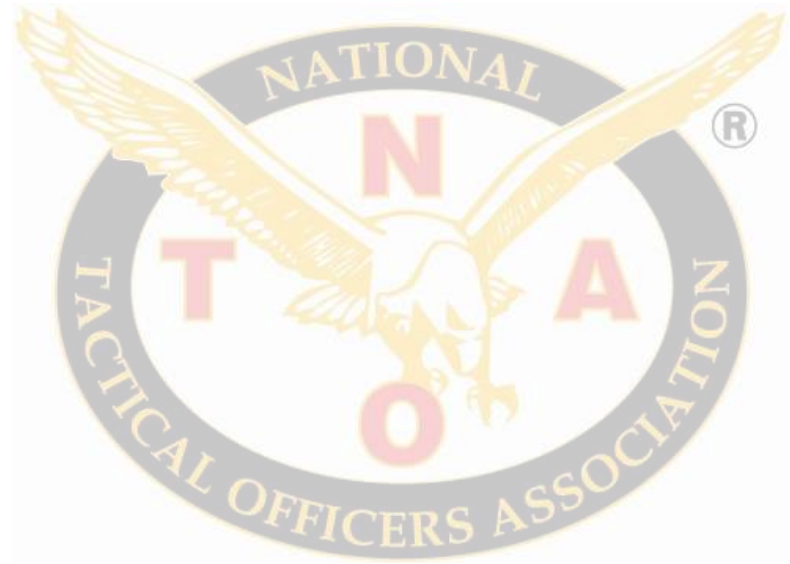
Risk Management: A Commander's Business



Objectives

- Risk Management Fundamentals
- Risk Management Principles
- Identifying Hazards
- Assessing Hazards
- Developing Controls and Making Risk Decisions
- Implementing Controls
- Supervising and Evaluating





RISK MANAGEMENT FUNDAMENTALS



Risk Management

- The use of Risk Management procedures can identify potential and/or probable risks **before** they happen.
- Certain events or outcomes are predictable, but only if we use risk management processes to review events.
- The result will be a decision as to whether the activity is worth the potential outcome.



Risk Management

- **Risk Management:**

The process of identifying, assessing, and controlling risks arising from operational and training factors. The process then results in decision making balancing risk costs with mission benefits.



Risk Management

- Risk management is fundamental in developing confident, capable, and competent leaders and units.
- Commanders are responsible for educating and training current and future leaders in the critical skills of risk management.



Risk Management

- **RISK:** The chance of injury, damage or loss. (*Webster's New World Dictionary*)
- Characterized by both the **probability** and the **severity** of a potential loss that may result from the presence of hazardous conditions.



Risk Management

- Failure to manage risk may make an operation or training event too costly politically, economically, or in terms of lives and equipment.



Historical Perspective

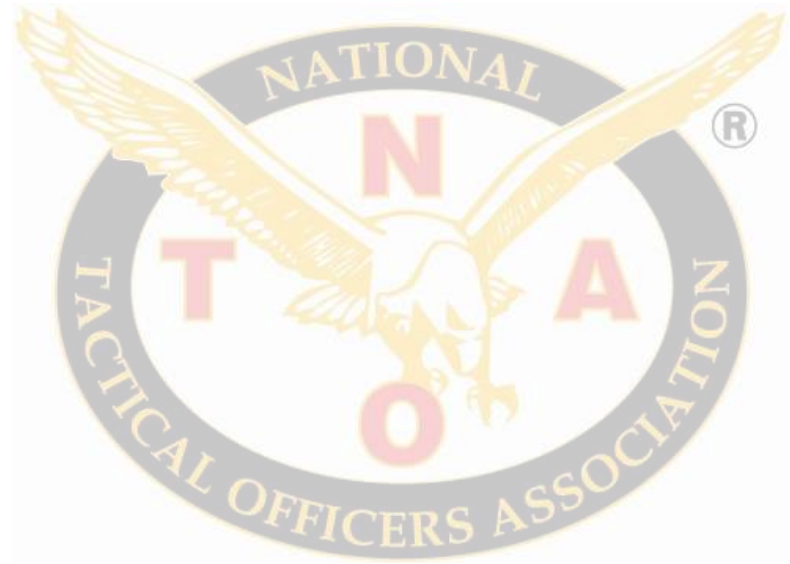
- More police officers die every year from accidents than are killed feloniously in the line of duty.
- Too many police officers are killed in **training accidents**. Serious injuries or deaths in training are indicative of poor or no risk management processes.



Risk Management

- Constantly changing operational requirements such as shift work, duty assignments, sleep patterns, fatigue.
- Effects of high operational tempo on human and unit performance leading to errors and/or failure to train/perform to standard.
- Equipment failure.
- Poor or bad training, oversight, supervision.





RISK MANAGEMENT PRINCIPLES



Risk Management

Leaders Should:

- Integrate the risk management process into all mission and training event planning, preparation and execution.
- Make risk decisions at the appropriate time, all events should require a Yes/No decision.
- Accept NO unnecessary risks.



5 Step Process

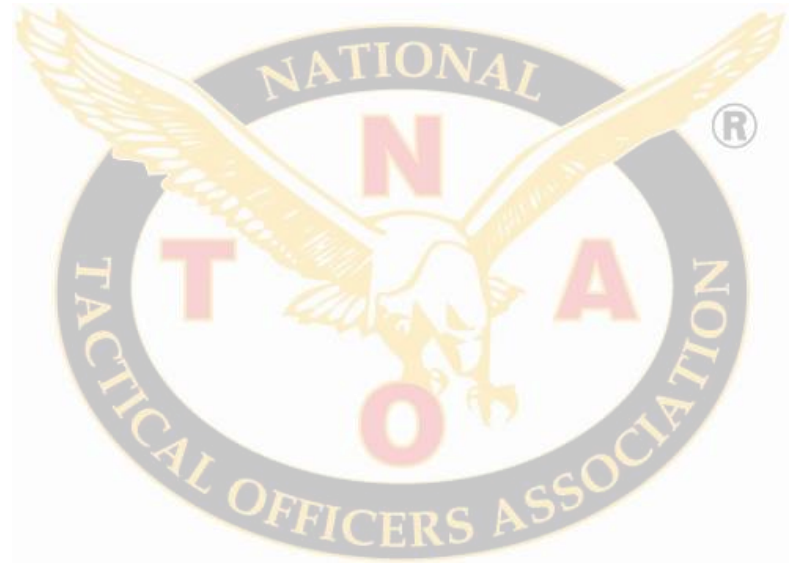
- 1. Identify Hazards:** Review the event to determine what activities have risk attached.
- 2. Assess Hazards:** Review *Probability* and *Severity*, then evaluate for levels of risk by objective analysis (matrix).
- 3. Develop Controls:** Identify the type and nature of *Controls* for mitigating or negating risk, then reevaluate risk levels and make a risk decision.



5 Step Process

- 4. Implement Controls:** Conduct the activity with controls in place.
- 5. Supervise and Refine:** Monitor risk throughout the event, observe for increases in risk and be prepared to make on-the-spot adjustments.





STEP 1: IDENTIFY HAZARDS



Identify Hazards

- **Hazard:** Actual or potential condition where the following can occur due to exposure;
 - Injury, illness, or death of personnel.
 - Damage or loss of equipment and/or property.
 - Mission degradation.



Identify Hazards

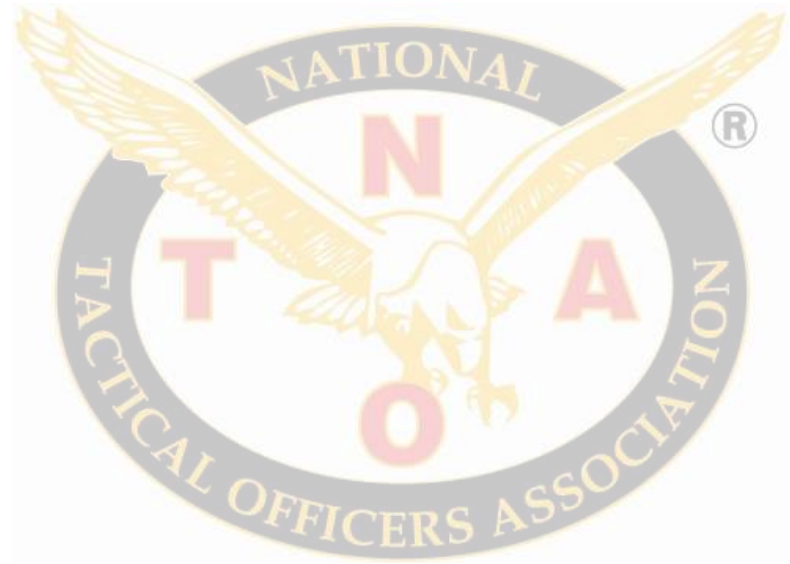
- **Operation:** Break operation down to its component parts and review each for hazards (e.g. Approach, Breach, Entry/Clear, Suspect/Hostage Controls, Stand Down Procedures).
- **Training:** Break training event into phases and review each phase for hazards.



Identify Hazards

- Examples
 - **Risks on Approach:** Compromise by sight/sound, compromise by fire, officer down.
 - **Risks During Range Training:** Vehicle accident while driving to range, vehicle break-down, injury due to physical activity, traumatic gunshot wound.





STEP 2: ASSESS HAZARDS



Assess Hazards

- This step examines each hazard in terms of ***Probability*** and ***Severity*** to determine the risk level of one or more *Hazardous Incidents* resulting from exposure to the hazard.
- The hazardous incident must be ***credible*** in that it must have a reasonable expectation of occurrence.



Probability

Five Categories

1. **Frequent:** Occurs very often, experienced continually.
2. **Likely:** Occurs several times during like events.
3. **Occasional:** Occurs sporadically.
4. **Seldom:** Remotely possible, could occur at some time.
5. **Unlikely:** Can assume will not occur, but is not impossible.



Severity

Expressed in Terms of:

- Degree of injury or illness.
- Amount of loss or damage to equipment or property.
- Amount of mission degradation.
- The degree of severity is estimated for each hazard based on a knowledge of results of similar past incidents.



Severity

Four Categories

1. **Catastrophic:** Severe impact on event; complete disruption of unit with long-term impact on future like events; death or permanent incapacitation of personnel; complete loss of irreplaceable items or property.
2. **Critical:** Significantly degraded mission or unit; permanent injuries/non-return of personnel; long-term loss of key equipment due to repair/replacement.



Severity

Four Categories

- 3. Marginal:** Degraded mission capability; short-term injuries or illness with temporary loss of personnel; temporary loss of equipment due to repair down time.
- 4. Negligible:** Little or no adverse impact; first-aid or minor medical treatment sufficient; slight equipment damage with no loss of functionality.



Assess Hazards

- **Determine Level of Risk:** Using a reasonable objective and defensible process (matrix) evaluate/measure risk and determine how much risk is involved in the event or activity.



ASSESSMENT MATRIX

	PROBABILITY				
SEVERITY	Frequent	Likely	Occasional	Seldom	Unlikely
Catastrophic	EXTREMELY HIGH	EXTREMELY HIGH	HIGH	HIGH	MODERATE
Critical	EXTREMELY HIGH	HIGH	HIGH	MODERATE	LOW
Marginal	HIGH	MODERATE	MODERATE	LOW	LOW
Negligible	MODERATE	LOW	LOW	LOW	LOW



Levels of Risk

Estimate Level of Risk

Four Levels of Risk

1. Extremely High
2. High
3. Moderate
4. Low



Extremely High Risk

- **Example**

- **Operation:** Barricaded subject has been firing on police, including through walls, from various positions in the structure, with a semi-automatic carbine.
- **Risk to Approaching Structure:** Death or serious injury to personnel due to traumatic gunshot wound.
 - Probability – Likely
 - Severity – Catastrophic

= Extremely High Risk



High Risk

- Significant degradation of mission capabilities resulting in an inability to accomplish all parts of the mission or event; occasional to seldom probability of catastrophic loss exists. Likely or occasional probability exists of critical loss. Frequent probability of marginal losses.



High Risk

- **Example**

- **Operation:** Barricaded murder suspect has been seen with a semi-automatic carbine moving window to window.
- **Risk to Moving Containment:** Traumatic gunshot wound to SWAT personnel or other persons visible to the suspect.
 - Probability – Occasional
 - Severity – Catastrophic

= High Risk



Moderate Risk

- If hazards occur, a reduced mission capability will exist. An unlikely probability of catastrophic loss with a seldom probability of critical loss. Likely or occasional probability of marginal loss and/or frequent probability of negligible losses.



Moderate Risk

- **Example**

- **Fast Rope Training:** Ankle, knee, hip injuries due to hard impact with ground.

- Probability – Likely

- Severity – Marginal

= Moderate Risk



Low Risk

- Expected losses have little or no impact on accomplishing the mission. The probability of critical loss is unlikely, while that of a marginal loss is seldom or unlikely and negligible loss is likely or less.



Low Risk

- **Example**

- **Force-On-Force Training:** Soft-tissue injury due to projectile strike.

- Probability – Occasional

- Severity – Negligible

= Low Risk



Assess Hazards

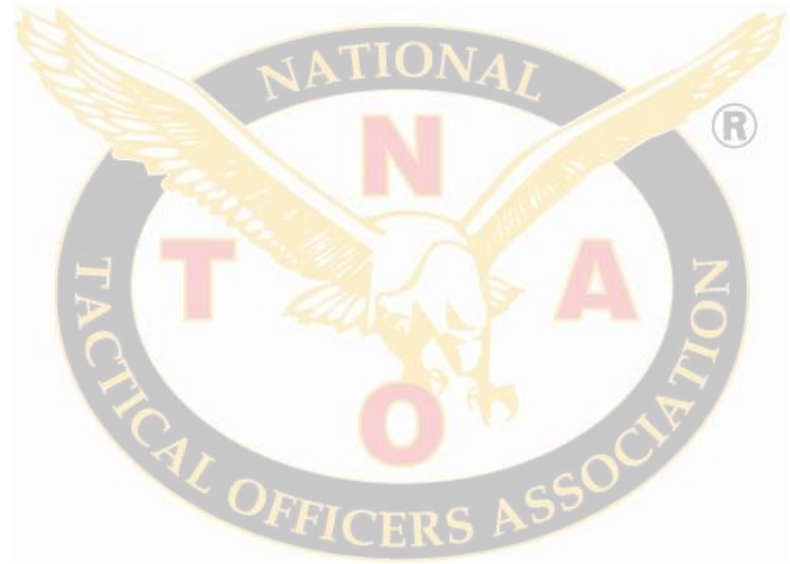
- **Estimate Level of Risk:** Leaders expand the review of Probability and Severity into an estimate of the **Level of Risk** for each identified hazard and an **Overall Risk** for the operation/event.



Assess Hazards

- **Estimate Level of Risk: Overall Risk** is the highest Level of Risk for the event, it is **not** an averaging of the levels of risk.
- **Example:** An event is found to have 5 Hazards with Levels of Risk as follows; 3-Low, 1-Moderate, 1-High. The **overall risk is HIGH.**





STEP 3: DEVELOP CONTROLS AND MAKE RISK DECISIONS



Develop Controls

Sub-Step A

- After assessing each hazard, leaders develop one or more controls that either eliminate the hazard or reduce the risk Probability and/or Severity. In developing controls, leaders consider the reason for the hazard, not just the hazard itself.



Types of Controls

- **Educational:** Based on the knowledge and skills of the unit and individuals. Effective control is implemented through individual and collective training that ensures performance to standard.



Types of Controls (*cont.*)

- **Physical:** Barriers, guards, signs, to warn of the hazard. Also, dedicated personnel assigned to mitigate the hazard through specific assignments/actions are included.



Types of Controls (*cont.*)

- **Avoidance:** Positive action to prevent contact with an identified hazard.



Criteria for Controls

- To be effective, each control must meet the following criteria:
 - Suitability
 - Feasibility
 - Acceptability



Suitability

- It must remove the hazard or mitigate (reduce) the residual risk to an acceptable level.



Feasibility

- The unit must have the capability to implement the control.



Acceptability

- The benefit gained by implementing the control must justify the cost in resources and time (largely a subjective assessment).



Key to Success

- The key to success is the specification of who, what, where, when and how each control is to be implemented.



Residual Risk

Once the responsible leader develops and accepts controls, he determines the **Residual Risk** associated with each hazard and the overall residual risk for the mission.

Residual Risk is the risk remaining after controls have been selected for the hazard. The responsible leader utilizes the matrix again for evaluating risk now that a control is available to be implemented. **Residual Risk** is valid only if the controls for it are, in fact, implemented.



Overall Residual Risk

Overall Residual Risk for a mission or event must be determined when more than one hazard is identified and will be based on the hazard having the greatest Residual Risk.



Residual Risk

- **Example: Initial Extremely High Risk**
 - **Operation:** Barricaded subject has been firing on police, including through walls, from various positions in the structure, with a semi-automatic carbine.
 - **Risk to Approaching Structure:** Death or serious injury to personnel due to traumatic gunshot wound.
 - Probability – Likely
 - Severity – Catastrophic
- = Extremely High Risk**



Residual Risk (cont.)

- **Example: Initial Extremely High Risk**
- **CONTROLS: No approach to structure, use of gas to limit/reduce suspect's ability to engage.**
 - Probability – Seldom
 - Severity – Critical

= Moderate High Risk



Residual Risk

- **Example: Initial Moderate Risk**

- **Fast Rope Training:** Ankle, knee, hip injuries due to hard impact with ground.

- Probability – Likely

- Severity – Marginal

= Moderate Risk



Residual Risk (cont.)

- **Example: Initial Moderate Risk**
 - **CONTROLS: Limited height and weight, double gloves for braking.**
 - Probability – Seldom
 - Severity – Negligible
- = Low Risk**

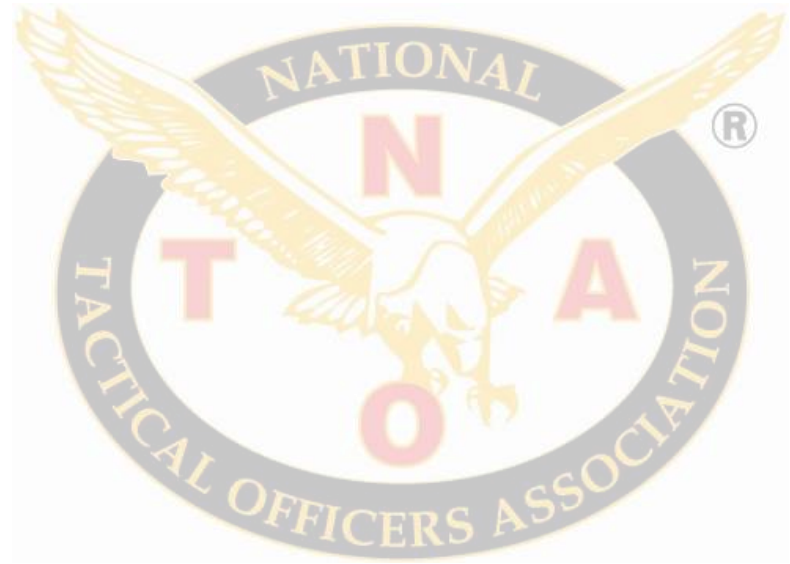


Make Risk Decisions

Sub-Step B

- A key element of the risk decision is determining if the risk is justified. The commander must balance the risk against mission expectations. He alone decides if controls are sufficient and acceptable and whether to accept the resulting residual risk. This becomes a Go/No Go decision.





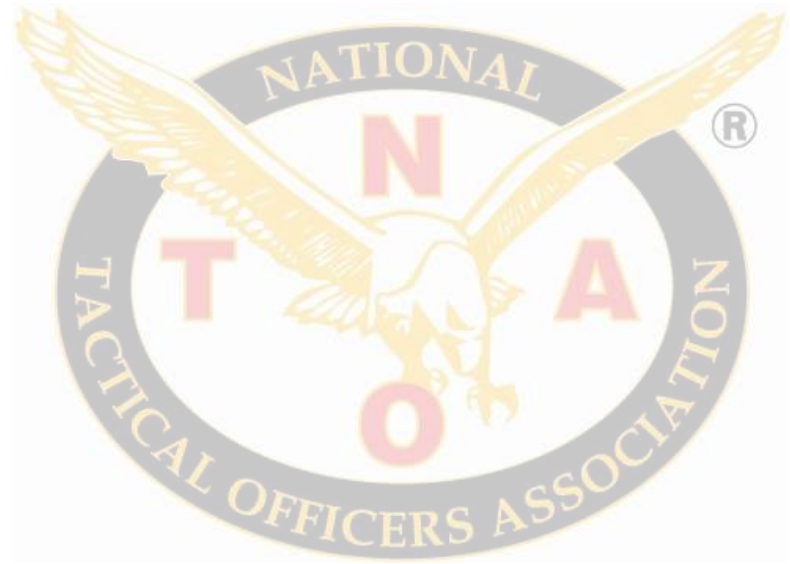
STEP 4: IMPLEMENT CONTROLS



Implement Controls

- Leaders and subordinate leaders ensure that controls are integrated into SOP's, written and verbal orders, mission/training briefings.
- It is critical to ensure that controls are converted into clear, simple execution orders that are understood at all levels.
- Leaders must explain how subordinate leaders will implement the controls.





STEP 5: SUPERVISE AND EVALUATE



“Leaders must supervise the execution of their orders. The more untrained (undisciplined) the troops, the more detailed this supervision must be.”

- Infantry in Battle, 1939



Supervise and Evaluate

- During mission preparation and execution, leaders ensure that subordinates understand how to execute risk controls.
- Leaders maintain situational awareness.
- Leaders supervise mission rehearsal and execution to ensure standards and controls are enforced.
- Post-operation, leaders ensure that AAR's capture pertinent lessons learned so that effective risk controls become institutionalized and the process is maintained.



Risk Management

- See example of risk management worksheet.



**** Exercise ****

1. Prepare a risk management worksheet for a training event.
2. Utilize risk management in the preparation of an operation mission briefing or OPORD.



Safety Briefing



Safety Briefing

- The Safety Briefing is a result of the Risk Management process.
- The Safety Briefing is the Team Leadership's chance to ensure all persons participating in the activity understand the risks, the controls and how the controls are to be implemented.



Safety Briefing

- The Safety Briefing lessens anxiety created by risk conditions through demonstrating that Team Leadership have identified risks inherent in the activity and have prepared methods to mitigate the risk.
- Safety briefings are a specified document prepared for all training events.



Safety Briefing

- For tactical operations, safety briefings are an integral part of the Mission Briefing or Operations Order (OPORD) and are contained within the various paragraphs and subparagraphs.
- Safety briefings demonstrate professional, competent leadership.



Training Safety Briefing

- Training Safety Briefings consist of two main parts:
 - **General Instructions** – Items endemic to all training events, such as water, food, logistics, communications and other instructions which rarely vary.
 - **Specific Instructions** – Instructions unique to the activity or event.



Operational Safety Briefing

- Operational Safety Briefings, contained within the Mission Briefing or OPORD, start with a safety statement in the opening of the briefing and are followed by specific instructions contained within relevant paragraphs and subparagraphs.



Risk Management

- See operational and training safety briefing examples.



**** Exercise ****

1. Prepare a safety briefing for the training event.
2. Include safety briefing instructions in the preparation of an operation mission briefing or OPOD.



Questions?



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