U.S. Department of Homeland Security

United States Coast Guard

Commandant
United States Coast Guard

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COMDTINST 3500.3A
05 MAR 2018

COMMANDANT INSTRUCTION 3500.3A

Subj: RISK MANAGEMENT (RM)

Ref: (a) Safety and Environmental Health Manual, COMDTINST M5100.47 (series)
    (b) Department of Homeland Security Directive 007-03, Integrated Risk Management (IRM)
    (c) Coast Guard Publication 3-0 (series)
    (d) Coast Guard Air Operations Manual, COMDTINST M3710.1 (series)
    (e) U.S. Coast Guard Boat Operations and Training (BOAT) Manual, Volume I, COMDTINST M16114.32 (series)
    (f) U.S. Coast Guard Maritime Law Enforcement Manual (MLEM), COMDTINST M16247.1 (series)
    (g) The U.S. Coast Guard Addendum to the United States National Search and Rescue Supplement (NSS) to the International Aeronautical and Maritime Search and Rescue Manual (IAMSAR), COMDTINST M16130.2 (series)
    (h) Contingency Preparedness Planning Manual, Volume I: Contingency Planning Policy, COMDTINST M3010.11 (series)
    (i) Threat and Hazard Identification and Risk Assessment (THIRA) Guide of the Comprehensive Preparedness Guide (CPG) 201

1. PURPOSE. This Instruction establishes responsibilities and procedures for training and conducting Risk Management (RM) in accordance with References (a) and (b), and mandates the use of the General Assessment of Risk (GAR) tool, GAR 2.0, to establish a standardized risk assessment process for all communities.

2. ACTION. All Coast Guard commanding officers, officers-in-charge, and assistant commandants, shall comply with the provisions of this Instruction. Internet release is authorized.

DISTRIBUTION – SDL No. 168

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NON-STANDARD DISTRIBUTION: NONE

3. <u>DIRECTIVES AFFECTED</u>. Operational Risk Management, COMDTINST 3500.3; Team Coordination Training, COMDTINST 1541.1; and Crew Endurance Management, COMDTINST 3500.2, are hereby cancelled.

4. <u>DISCUSSION</u>.

   a. Risk has many definitions. For the purpose of this Instruction, risk is defined as the possibility of loss or injury due to exposure to a hazard. Risk is inherent in all operations and activities. Risk Management (RM) is a process to identify, assess, control, mitigate and manage hazards associated with an operation or activity.

   b. Analysis of mishap data reveals that the most common cause of mishaps is a lack of deliberate and systematic RM during preparation, planning, and execution of operations and activities. Deficits in RM compromise the quality or availability of information necessary to establish a shared mental model. When executed in a deliberate and systematic fashion, RM generates all the required information to establish a common operating picture throughout the chain-of-command.

   c. Coast Guard operations are inherently complex, dynamic, dangerous, and, by nature, involve the acceptance of some level of risk. The potential gains of conducting the activity or mission must justify, or warrant, the expected risk exposure. References (c) through (i) provide guidance on acceptable risks given specific operational gains (e.g., saving of life, protection of homeland, and saving property). While guidance on "warranted" risk establishes organizational expectations, the value and utility of this guidance relies upon each member's ability to properly exercise RM.

   d. The RM process provides a framework to identify and assess hazards, evaluate the risk level, and weigh the risk against the potential benefits. Taking calculated risks is often necessary, but deliberate use of the RM process increases mission success by reducing member exposure to hazards.

   e. The RM process relies on effective teamwork and communication to identify, assess, control, mitigate, and manage potential hazards. Research has identified seven critical human factors (mission analysis, leadership, adaptability and flexibility, situational awareness, decision making, communication, and assertiveness) that if not managed will increase the potential for error-induced mishaps. These human factors are the foundation for community specific risk management programs, including Crew Resource Management (CRM), Bridge Resource

Management (BRM), Team Coordination Training (TCT), and Maintenance Resource Management (MRM).

    f. This Instruction is intended to address workplace health and safety RM requirements mandated by References (a-b) and does not address RM activities associated with national response planning, contingency preparedness planning, acquisitions, financial, or schedule risk.

5. <u>DISCLAIMER</u>. This Guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide operational guidance for Coast Guard personnel and is not intended to nor does it impose legally-binding requirements on any party outside the Coast Guard.

6. <u>MAJOR CHANGES</u>. Major changes to the previous version of this Instruction are summarized below:

    a. Updates the RM process from the current 7 steps to the new 5 step process.

    b. Reintroduces the PEACE (Planning, Event Complexity, Asset, Communications, and Environment) and the STAAR (Spread out, Transfer, Avoid, Accept, and Reduce) models to identify hazards and explore mitigation strategies during risk assessments.

    c. Introduces the Risk Assessment Matrix (RAM) for conducting "what can go wrong" analyses.

    d. Mandates the use of GAR 2.0 to conduct risk assessments.

    e. Standardizes RM training for all communities.

7. <u>IMPACT ASSESSMENT</u>. No personnel, training or funding increases were generated by the reissue of this Instruction.

8. <u>ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS</u>.

    a. The development of this Instruction and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, Commandant (CG-47). This Instruction is categorically excluded under current Department of Homeland Security (DHS) categorical exclusion (CATEX) A3 from further environmental analysis in accordance with "Implementation of the National Environmental Policy Act (NEPA), DHS Instruction Manual 023-01-001-01 (series). Because this manual contains guidance on, and provisions for, compliance with applicable environmental mandates, DHS CATEX A3 is appropriate.

    b. This Directive will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policies in this Instruction must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), DHS and Coast Guard NEPA policy, and compliance with all other environmental mandates.

9. <u>DISTRIBUTION</u>. No paper distribution will be made of this Instruction. An electronic version will be located on the following Commandant (CG-612) websites. Internet: http://www.dcms.uscg.mil/directives/ and CGPortal: https://cgportal2.uscg.mil/library/directives/SitePages/Home.aspx.

10. <u>PROCEDURE</u>. The Coast Guard has adopted a 5-step RM process that consists of 1) Identifying Hazards, 2) Assessing Hazards, 3) Developing Controls and Making Decisions, 4) Implementing Controls, and 5) Supervising and Evaluating Controls. Since all Coast Guard missions and operating environments are fluid and dynamic, this process is continuous and adaptive. The PEACE model is used to identify those elements considered essential to the safe and effective execution of an operation or activity. The STAAR outlines potential strategies to mitigate and/or control risk. When used in tandem, PEACE and STAAR generate the necessary information to establish a shared mental model up and down the chain of command, assist in decision making, and encourage robust risk management. The PEACE/STAAR analyses are captured in GAR 2.0 to make warranted risk decisions.

11. <u>RECORDS MANAGEMENT CONSIDERATION</u>. This Instruction has been evaluated for potential records management impacts. The development of this Instruction has been thoroughly reviewed during the directives clearance process, and it has been determined there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., National Archives and Records Administration (NARA) requirements, and the Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial change to existing records management requirements.

12. <u>PROGRAM REQUIREMENTS</u>. Coast Guard operations and activities require deliberate and real-time decision making to manage risk. RM is a continuous and dynamic process that commences when a planned operation or activity is envisioned or when an unplanned operation or activity begins. RM continues until the operation or activity is complete. All units shall implement the five-step RM process to identify, assess, control, implement controls, and monitor hazards. The five-steps of RM are described in "Risk Management Fundamentals" http://cglink.uscg.mil/RM_Fundamentals. For more detailed information of the 5-step process, go to: http://cglink.uscg.mil/RM_Process.

    a. <u>Deliberate Risk Assessments</u>:

        1) RM is most effective when hazards are identified early and there is ample time to evaluate and implement mitigations and controls to reduce risk exposure. Deliberate RM is conducted well in advance of planned or anticipated operations and activities to identify potential challenges and hazards. Units should perform a deliberate assessment at the start of each workday or each watch using GAR 2.0 to consider PEACE and STAAR elements. This initial deliberate analysis would be updated prior to any mission activity throughout the day to satisfy the time-critical risk management requirement, and expedite response actions. Information on the PEACE and STAAR models and copies of the GAR 2.0 sheets are available at: http://cglink.uscg.mil/PEACE_STAAR_Job_Aid.

        2) Units are encouraged to use the Risk Assessment Matrix (RAM) to conduct "what can go wrong" analyses on an as-needed-basis, when new missions/activities are introduced to the

unit, as part of periodic safety assessments (e.g., annual/semi-annual safety stand-down), or in preparation for a surge operation, marine event, exercise, or similar planned operation. For example, a cutter or station preparing for a surge operation or marine event should begin the deliberate RM weeks or months in advance and use available information (e.g., doctrine, guidance, lessons-learned, test and evaluation, mishap, standardization/ready for operations results) to conduct "what can go wrong" analyses using the RAM. The RAM results are used to complete the GAR 2.0 assessments on the day of the mission. RAM procedural guidance is available at: http://cglink.uscg.mil/Risk_Assessment_Matrix_(RAM)_Job_Aid.

3) Crew endurance is a function of physiological and psychological factors that support the ability of crewmembers to perform safely and effectively. These factors are used to assess a unit's exposure to endurance risk that may compromise crew safety and readiness if not controlled. All operational units shall conduct endurance risk assessments using the Risk Factor Assessment (RFA) tool at least once per year and after a significant change in crew composition, operations, responsibility, or assets. Information on crew endurance management (CEM) and the RFA is available at: http://cglink.uscg.mil/CEM_RFA. Documentation and reporting requirements of RFA results is at the discretion of the operational commander.

4) Hazard exposure does not end when members depart the work environment. The PEACE/STAAR models can also be applied to activities outside the workplace that are often spontaneous and dynamic. Members should consider using all available risk assessment resources (e.g., RAM, PEACE/STAAR, and GAR 2.0) and the Travel Risk Planning System (TRiPS) to conduct "what can go wrong" analyses well in advance of recreational and off-work activities to proactively identify and mitigate hazards. For access to TRiPS, go to: https://trips.safety.army.mil/coastguard/login.aspx.

b. Real-Time Risk Assessments: In addition to deliberate assessments, all units shall use GAR 2.0 to conduct a real-time risk assessment prior to engaging in operations or activities that expose personnel to hazards, and conduct updates throughout execution phases if conditions change. If the GAR 2.0 was conducted earlier in the workday or duty period as part of deliberate risk assessment, the prior analysis results can simply be reviewed and updated as appropriate (e.g. weather conditions may need to be updated to reflect changes in current conditions) before beginning the operations or activity. The GAR 2.0 results shall be used to conduct the mission brief and are intended to promote discussion among members regarding potential hazards, mitigation strategies, and roles/responsibilities during the mission. As the mission or activity unfolds, members monitor for change (e.g., crew fatigue, mission characteristics, and environmental conditions) and consider if/how the changes affect the GAR 2.0 elements. This continuous monitoring may be informal, where the crew discusses potential changes, their impacts on GAR 2.0 elements, and actions necessary to mitigate and control risk. Documentation and reporting requirements of GAR 2.0 results shall be conducted in accordance with applicable manuals and operational commanders standing orders.

c. GAR 2.0: At a minimum, units shall include all the PEACE elements in their GAR 2.0. Additional elements can be added to GAR 2.0 to address unique operational realities. The overall risk level score, recorded at the end of the assessment, must use the Low, Medium, or High scale. Ratings for the PEACE elements should also use the Low, Medium, or High scale provided. However, units may use more detailed scoring systems that may include mission specific default

scores. If an alternate scoring system is used for the PEACE elements, the overall risk level score must be converted to the Low, Medium, or High scale. Maintaining the overall risk level scale is critical to standardize the risk assessment process across all communities. A standardized risk assessment score is vital for establishing a shared mental model throughout the chain-of-command, and ensure a common protocol and language when conducting joint operations.

13. <u>PROGRAM ROLES AND RESPONSIBILITIES</u>.

    a. Commanders, Commanding Officers and Officers-in-Charge shall:

        1) Incorporate RM into daily operations, planning, exercises, maintenance, and support activities;

        2) Perform deliberate and real-time RM using RAM, PEACE, STAAR, and GAR 2.0, as described above;

        3) Include RM information in all operational briefs (e.g., pre- and post- mission briefs; cutter port briefs; and damage control, navigation, and seamanship training team exercises and briefs);

        4) Establish command policy and expectations for the application of RM (i.e., Navigation Standards, Standing Orders, Standard Operating Procedures, etc); and

        5) Ensure community specific training (CRM, BRM, TCT, and MRM) is completed.

    b. Area and District Commanders shall:

        1) Incorporate RM concepts into daily operations, planning, exercises, maintenance, and support activities;

        2) Ensure subordinate compliance with community specific training (CRM, BRM, TCT, and MRM);

        3) Require RFA analyses, no less than annually, from subordinate units; and

        4) Assign a TCT Administrator to coordinate and monitor training delivery to subordinate units.

    c. Assistant Commandant for Capability (CG-7) shall:

        1) Serve as program manager for the implementation of RM policy;

        2) Require biennial program reviews with Commandant (CG-113) and FORCECOM to evaluate current courseware design, courseware content, and effectiveness of established RM training (CRM, BRM, TCT, and MRM) requirements;

        3) Promote RM and integrate lessons learned in communications to the field;

        4) Serve as the course manager for TCT; and

      5) Office of Aviation Forces (CG-711) and Office of Cutter Forces (CG-751) shall be the course managers for CRM and BRM, respectively.

d. Assistant Commandants shall require the integration of the RM process and concepts into appropriate doctrine and policy.

e. Director, Health, Safety and Work-Life (CG-11) shall:

      1) Serve as technical advisor on RM policy; and

      2) Incorporate RM lessons learned into regular safety messages promulgated to the field.

f. Office of Safety and Environmental Health (CG-113) shall:

      1) Serve as the Coast Guard's technical authority for RM;

      2) Contribute to the program's policy, guidance, development, administration, and evaluation;

      3) Develop RM assessment tools to evaluate a unit's integration and use of RM principles during standardization/ready for operations visits and safety audits;

      4) Conduct biennial program reviews with FORCECOM and program managers to evaluate curricula, lesson plans, job aids, and knowledge assessment tools to ensure RM training program training requirements are being met;

      5) In consultation with Commandant (CG-7) and FORCECOM, identify training quota requirements and resource needs to deliver and maintain the RM training program; and

      6) Explore new and innovative technologies, tools, and training modes to ensure an effective and state-of-the-art program to address the dynamic RM challenges of the Coast Guard.

g. Office of Aeronautical Engineering (CG-41) shall:

      1) Serve as the course manager for MRM; and

      2) Participate in biennial program reviews with Commandant (CG-113), Commandant (CG-711), and FORCECOM to evaluate current courseware design, courseware content, and effectiveness of established MRM training requirements for Coast Guard aircrew.

h. Office of Auxiliary, Aviation, and Boating Safety (CG-BSX) shall ensure risk management principles are applied to operations and activities performed by the Coast Guard Auxiliary.

i. FORCECOM shall:

      1) Incorporate basic RM principles and concepts into recruit training, applicable class "A" schools, officer candidate school, Coast Guard Academy, direct commission programs, and other initial indoctrination and training programs;

2) Incorporate RM concepts into military requirements for advancement, professional development and leadership development courses and Assessment, Inspection, and Audit (AIA) activities; and

3) Update RM training in coordination with Commandant (CG-7), Commandant (CG-41), Commandant (CG-BSX), and Commandant (CG-113) during biennial program reviews.

j. Health Safety and Work Life (HSWL) Service Center shall:

1) Incorporate RM concepts into the unit safety and environmental health program;

2) Instruct units in hazard mitigation during safety and compliance visits;

3) Provide RM program implementation support to field units; and

4) Assist units by facilitating hazard analyses for high hazard exposure work areas and missions.

14. <u>TRAINING REQUIREMENTS</u>.

a. <u>Risk Management Training</u>: All Coast Guard personnel must receive RM training as follows:

1) Personnel involved with planning, conducting, supervising, and monitoring Coast Guard activities that can pose safety risk to personnel and equipment must complete the Introduction to Risk Management training available on the Coast Guard Learning Management System (LMS), Mandatory Training-B (MT-B), course 100202. This is a one-time training requirement to introduce the principles of RM and the critical human factors skills. This training must be completed within 6 months of arriving at the first Coast Guard unit. LMS will track the completion of this requirement in the Training Management Tool (TMT).

2) Personnel not covered in Paragraph 14, Section a.1, of this Instruction must follow the Department of Homeland Security (DHS) requirement and take DHS Preparedness: IS454 Fundamentals of Risk Management, LMS MT-B, course 502894. LMS will track the completion of this requirement in TMT.

b. <u>CRM Training</u>: Mandated for all Coast Guard rated aviators (pilot and aircrew) and Auxiliary aviation. Non-aviation personnel (e.g., Health Service Technicians, and Operations Specialists performing as Aviation Mission Specialists (AMS)) aboard Coast Guard aircraft require CRM training. In addition, while not required, non-aviation Coast Guard personnel who routinely use aviation assets to conduct missions are strongly encouraged to seek CRM training opportunities. There are two CRM training requirements: CRM Initial and CRM Refresher. CRM Initial is required once at the beginning of the member's career. CRM Refresher is required annually.

1) CRM Initial training (one time requirement):

(a) Pilots - ATC Mobile CRM Initial instructors must deliver this training. Required before any "pilot" designation in a Coast Guard aircraft.

(b) Aircrew - ATTC Elizabeth City CRM Initial instructor, or an ATC Mobile CRM Initial instructor, must deliver this training. Required before receiving any "aircrew" designation in a Coast Guard aircraft.

(c) AMS and enlisted non-aviation rated personnel - ATC Mobile CRM Initial or ATTC Elizabeth City instructors must deliver this training. Required prior to designation as an AMS.

(d) Auxiliary pilots and aircrew - ATC Mobile CRM Initial or designated Auxiliary CRM instructors must deliver this training. Required prior to designation as pilot or aircrew.

2) CRM Refresher training (annual requirement):

(a) Pilots - must be completed annually, no later than the end of the 15th month, following CRM Initial or subsequent CRM Refresher training.

(b) Aircrew - must be completed annually, no later than the end of the 15th month, following CRM Initial or subsequent CRM Refresher training.

(c) AMS - must be completed annually, no later than the end of the 15th month, following CRM Initial or subsequent CRM Refresher training.

(d) Auxiliary pilots and aircrew - must be completed annually, no later than the end of the 15th month, during annual unit safety fly-in or other regional training event.

(e) CRM Refresher training completion must be logged in the Asset Logistics Management Information System (ALMIS) database.

3) Failure to meet CRM Refresher training requirements will cause the member to lapse in qualification/designation/certification. A waiver request may be submitted in writing to Commandant (CG-711). Waiver requests will be reviewed on a case by case basis.

4) Instructor Qualifications:

(a) For CRM Initial, only those instructors attached to ATC Mobile or ATTC Elizabeth City and currently qualified by their respective command to teach the course, are qualified to teach CRM Initial for pilots, aircrew, AMS, and Auxiliary personnel. Auxiliary members, who have completed the Auxiliary CRM Initial training syllabus and are currently qualified by ATC Mobile to teach the course, are qualified to teach CRM Initial for Auxiliary personnel. CRM Initial training is normally held as part of a pilot's initial transition course or as part of an aircrew's initial aviation "A" school. However, qualified instructors can conduct CRM Initial training at individual units as the need arises and funding permits. ATC Mobile qualified instructors train CRM Initial instructors. ATC and ATTC designated CRM Initial Instructors are the only members authorized to log completion of CRM Initial training within the ALMIS database.

(b) For CRM Refresher, only those instructors attached to ATC and currently qualified by their command to teach the course, or those officers currently serving as a unit Flight Safety Officer (FSO) and who attended the Aviation Safety Standardization Course

(500609) within the previous two years, are authorized to teach CRM Refresher to pilots, aircrew, AMS, and Auxiliary personnel. Auxiliary members currently qualified by ATC Mobile to teach the course and who attended the Aviation Safety Standardization Course (500609) within the previous two years, are authorized to teach CRM Refresher to Auxiliary personnel.

c. MRM Training: Mandated for all Aeronautical Engineering Officers (AEO), aviation maintenance officers, and enlisted aircrew maintenance personnel. There are two MRM training requirements: MRM Initial and MRM Refresher. MRM Initial is required once at the beginning of the member's career. MRM Refresher is required annually.

1) MRM Initial training (one time requirement):

   (a) Enlisted aviation maintenance personnel and maintenance officers - required before performing or authorizing maintenance on Coast Guard aircraft.

   (b) Student engineers - required during completion of the AEO Qualifications Syllabus.

   (c) AEO - required before performing or authorizing maintenance on Coast Guard aircraft. If not previously completed during the AEO Qualifications Syllabus, MRM Initial training is required within 1 year of assignment as a unit Aeronautical Engineering Officer.

   (d) ATTC is the single authority to log completion of MRM Initial training in ALMIS.

2) MRM Refresher training (annual requirement):

   (a) Enlisted aviation maintenance personnel and maintenance officers - must be completed annually, no later than the end of the 15th month, following MRM Initial or subsequent MRM Refresher training.

   (b) AEO - must be completed annually, no later than the end of the 15th month, following MRM Initial or subsequent MRM Refresher training.

   (c) MRM Refresher training completion must be logged in ALMIS by the MRM facilitator or unit training officer.

3) Failure to meet MRM Refresher training requirements will cause the member to lapse in qualification/designation/certification and will require MRM Initial training before performing or authorizing maintenance on Coast Guard aircraft. A waiver request may be submitted in writing to Commandant (CG-41). Waiver requests will be reviewed on a case by case basis.

4) Instructor/Facilitator Qualifications:

   (a) For MRM Initial, only those instructors attached to ATTC are qualified to teach MRM Initial for AEO, student engineers, maintenance officers, and enlisted aircrew maintenance personnel.

(b) MRM Initial training is held as part of a student engineer's or maintenance officer's student engineer syllabus, or as part of an enlisted aviation maintenance member's initial aviation "A" school. However, qualified instructors may conduct MRM Initial training at individual units as the need arises and as Commandant (CG-41) funding permits.

(c) MRM Initial instructors are trained by ATTC qualified instructor trainers.

(d) For MRM Refresher, only those personnel who have attended the ATTC designated Facilitator course within the previous two years, and currently authorized by their command to teach the course, are authorized to teach MRM Refresher to AEO, student engineers, maintenance officers, and enlisted aircrew maintenance personnel.

(e) The MRM Instructor qualification expires after two years. Units are authorized to utilize a facilitator indefinitely as long as they have attended an ATTC designated Facilitator course before the end of a qualification period.

d. <u>TCT/BRM Training</u>: Mandated for all non-aviation active duty, reserve, auxiliary, and civilian personnel involved with planning, conducting, supervising, and monitoring all Coast Guard activities that can pose safety risk to personnel and equipment. There are two TCT/BRM training requirements: Initial and Refresher training. Initial training is required once at the beginning of the member's career. Refresher training is required annually.

1) TCT/BRM Initial (one time requirement):

(a) Cutters - training consists of the Introduction to Risk Management, LMS MT-B course 100202, required in Paragraph 14, Section a.1, and followed by a facilitated discussion of case studies that illustrate the use of TCT/BRM principles. If the LMS MT-B course 100202 was previously completed at another unit, the member only needs to complete the facilitated portion of the training requirement. The facilitated portion of the training requirement can be fulfilled by taking the annual TCT/BRM Refresher training at the unit.

(1) CO/OICs and XO/XPOs receive TCT/BRM as part of Command and Operations School pipeline training. This training focuses on the positional roles and responsibilities to support and facilitate TCT/BRM training.

(2) Operations officers receive TCT/BRM either as part of the Command and Operations School training under the Prospective Operations Officer (POPS) (major cutter) course curriculum, the POPS non-flight deck cutter course curriculum, or by attending the Cutter Operations BRM course as billet-specific required training. This training focuses on the positional roles and responsibilities to support and facilitate TCT/BRM training.

(b) Area, District, and Sector Command Center staff, SAR watchstanders, SMC qualified personnel, pollution responders, Federal On-Scene Coordinator Representative (FOSCR), vessel and facilities inspectors, and all shore units that have small boats attached, to include Deployable Specialized Forces (DSF) - training consists of the Introduction to Risk Management, LMS course 100202, required in Paragraph 14,

Section a.1, followed by a facilitated discussion of case studies that illustrate the use of TCT principles. If the LMS MT-B course 100202 was previously completed at another unit, the member only needs to complete the facilitated portion of the training requirement. The facilitated portion of the training can be fulfilled by taking the annual TCT Refresher training at the unit.

2) TCT/BRM Refresher training (annual requirement): Mandated for non-aviation active duty, reserve, auxiliary, and civilian personnel involved with planning, conducting, supervising, and monitoring all Coast Guard activities that can pose safety risk to personnel and equipment.

   (a) All personnel referenced in Paragraph 14, Section d, must complete Refresher training annually, no later than the end of the 15th month, following TCT/BRM Initial or subsequent TCT/BRM Refresher training.

   (b) This training consists of facilitated discussions of case studies that illustrate the use of TCT/BRM principles. The training shall be delivered by certified TCT facilitators. Commands shall request certified TCT facilitators from the District TCT Administrators, however, the command cadre is required to actively participate during the Refresher training to ensure their expectations regarding the use of RM and TCT are articulated to subordinates. For a list of District TCT Administrators go to: http://cglink.uscg.mil/TCT_Refresher.

   (c) Unit senior supervisory personnel (e.g., COs, XOs, OICs, XPOs, and unit/Command Center supervisors) may deliver this training if they can demonstrate requisite knowledge of TCT principles and capacity to facilitate group discussion. Unit command's who wish to deliver the annual TCT Refresher training must submit a request in writing to Commandant (CG-113). Requests can be submitted by going to: HQS-DG-LST-CG-RM-SUPPORT@uscg.mil. Requests will be considered on a case by case basis. Training materials for TCT Refresher will be provided and updated annually as described below.

   (d) TCT/BRM Refresher training material is standardized through biennial program reviews conducted by Commandant (CG-7), Commandant (CG-113), and FORCECOM. Regardless of who delivers the training (e.g., unit command personnel or certified facilitator) all training must use the standardized material provided at: http://cglink.uscg.mil/TCT_Refresher.

   (e) TCT/BRM Refresher training completion must be logged in TMT by the unit.

3) TCT Facilitator Certification Requirements:

   (a) To attain a TCT Facilitator certification, members must complete the Team Coordinator Training (TCT) Facilitator course (500688).

   (b) TCT Facilitators must deliver a minimum of five training sessions biannually to maintain certification. District TCT Administrators maintain the TCT Facilitator roster and certification.

15. <u>FORMS/REPORTS</u>. None.

16. <u>REQUEST FOR CHANGES</u>. Units and individuals may recommend changes by writing via the chain of command to: Commandant (CG-113); ATTN: Office of Safety and Environmental Health; U S Coast Guard Stop 7902; 2703 Martin Luther King Jr Ave SE; Washington, DC 20593-7902.

MICHAEL P. RYAN /s/
Rear Admiral, U.S. Coast Guard
Assistant Commandant for Capability