



How to Develop a Comprehensive, Effective Risk Management Plan for your Outdoor Program

Part II: Risk Management Instruments and your Risk Management Plan

Jeff Baierlein, Director, Viristar

www.viristar.com



Viristar Risk Management Services

Risk Management Instruments

- Risk Transfer
- Incident Management
- Incident Reporting
- Incident Reviews
- Risk Management Committee
- Medical Screening
- Risk Management Reviews
- Media Relations
- Documentation
- Accreditation
- Seeing Systems



Incident Management

Emergency Response Plan

Describes who does what in an emergency

Elements

- Initial field response
- Administrative response
- Legal, cultural considerations
- Testing and training

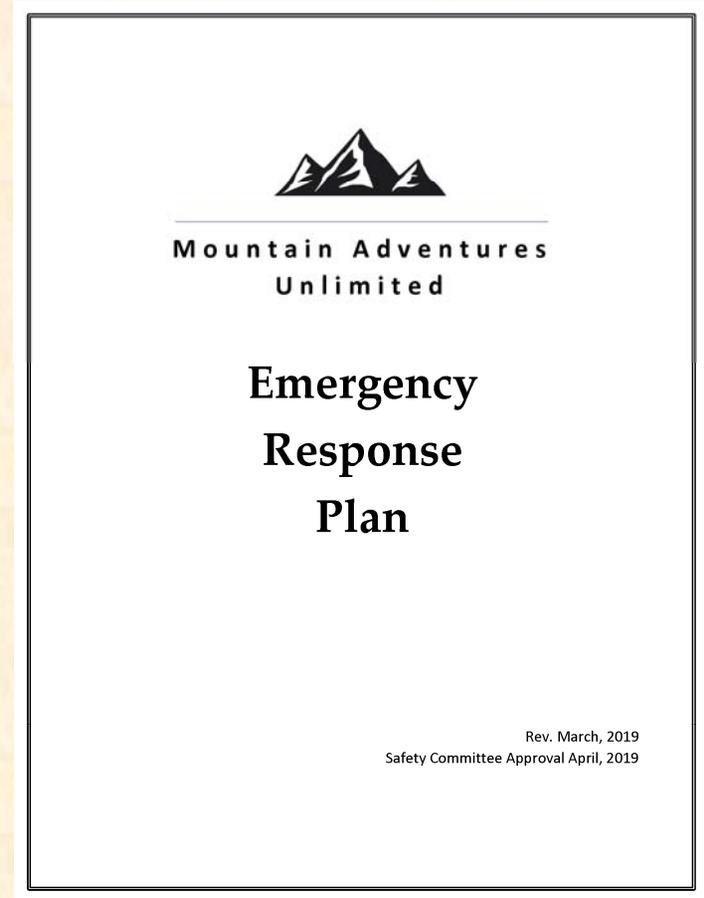
Contents

- Cover emergency care, scene management, evacuation, communication, documentation
- Address both immediate emergency response and long-term follow-up

Often in two parts, field and admin

May be part of or referenced by Risk Management Plan

Regular review, update and approval (e.g. annually) by organization leadership



Incident Reporting

Incident Report



Attach a complete sheet of the subject's Medical History Form to this report. Attach SOAP Note as applicable.
Use additional sheets for documentation if necessary. Fill this form out completely and neatly in blue or black ink.

Subject Name: _____ Staff Student Sex: M F Other Age: _____ Program Type: _____
 Primary Caregiver's Name: _____ Course Director's Name: _____
 Client Organization: _____ Day of Course Incident Occurred: _____
 Incident Date: _____ Time: _____ a.m. / p.m. Geographical Location of Incident: _____
 Course Location: _____ Course Dates: _____ # Staff _____ # Participants _____ # Program Days _____

Type of Incident: Injury Illness Motivational/Behavioral Property Damage
 (check all that apply) Near Miss Evacuation Missing Person Fatality

Course Format: Residential Basecamp Backpacking Canoeing Kayaking Challenge Course Other: _____

Type of Injury or Property Damage: (check all applicable)
 Muscle sprain Ligament sprain Dislocation Fracture Tendonitis Laceration Puncture Blister
 Avulsion Sunburn Burn Frostbite Skin Eye injury
 Dental Bruise, contusion or similar soft tissue trauma Head injury (without loss of consciousness)
 Head injury (with loss of consciousness) Near drowning Other: _____
 If property damage, describe: _____

Anatomical Location of Injury:
 Head Shoulder Wrist Upper Back Thigh Foot/toe Face Knee
 Upper Arm Neck Hand/finger Eye Chest Pelvis Lower Leg Forearm
 Abdomen Hip Ankle Lower Back Elbow Other: _____

Type of Illness: check all applicable
 Abdominal or other gastrointestinal problem (without diarrhea) Diarrhea
 Allergic reaction (to: _____) Apparent food-related illness
 Mild or localized Skin infection
 Severe, generalized or anaphylaxis Eye infection
 Upper respiratory illness (runny nose, congestion, "cold") Chest pain or cardiac condition
 Lower respiratory illness (asthma, bronchitis) Altitude illness
 Hypothermia (specify core temperature if known _____ °C) Nonspecific fever illness
 Heat illness (specify core temperature if known _____ °C) Urinary tract infection
 Heat cramps Heat exhaustion
 Heat stroke Other

Environmental Conditions at Time of Incident:
 Temperature: _____ °C Precipitation None Rain Snow Other: _____ Wind Speed: _____ kph
 Visibility: Clear Limited to _____ meters or _____ km
 Surface & Conditions: check all that apply
 On trail Off trail Even Uneven Sloped Wet Dry
 Grass Sand Dirt Rock Mud Snow Ice

Immediate Cause: Prioritize major applicable categories 1, 2, 3 etc.

_____ Altitude	_____ Avalanche	_____ Carelessness	_____ Cold exposure
_____ Dark/poor visibility	_____ Dehydration	_____ Exceeded ability	_____ Exhaustion
_____ Fall/slip on trail	_____ Fall on rock	_____ Fall on snow	_____ Falling rock
_____ Failure to follow instructions	_____ Falling tree/branch	_____ Hazardous animal/insect (specify _____)	
_____ Hostile bystander	_____ Immersion/submersion	_____ Improper screening	_____ Inadequate equipment
_____ Inadequate instruction	_____ Inadequate supervision	_____ Inexperience/poor judgment	_____ Intoxication (alcohol/drugs)
_____ Lightning	_____ Misbehavior	_____ Missing/lost	_____ Overexertion
_____ Plant poisoning/toxicity	_____ Poor hygiene	_____ Poor technique	_____ Preexist. medical condition
_____ Psychological	_____ Sunburn	_____ Tech. system failure	_____ Unfit
_____ Unknown	_____ Weather	_____ Other (explain) _____	

Documents losses, to help prevent future loss

- Components

- What, when, where, who
- Causes
- Ideas on future prevention

- For incidents and near misses

- Data analyzed and findings disseminated throughout organization

- Just safety culture should support reporting

Incident Reviews

- Purpose to help prevent future serious incidents
- Held after significant incidents
- Internal reviews for medium-impact and serious incidents
- External reviews also held for serious incidents (2 reviews)

Steps

- Gather and analyze information
- Synthesize information and develop conclusions
- Make recommendations
- Organization responds

REPORT TO TRUSTEES OF
THE SIR EDMUND HILLARY
OUTDOOR PURSUIT CENTRE OF NEW ZEALAND
MANGATEPOPO GORGE INCIDENT, 15 APRIL 2008

Review Team:
Associate Professor Andrew Brookes
Mark Smith
Bruce Corkill QC
15 October 2009



Risk Management Committee

- Purpose: external resource, accountability
- Member composition: internal (employees, Board) and external (physician, lawyer, etc.)
- Standard activities: review incidents, approve safety plans, participate in reviews, make recommendations
- Typical committee structure
 - Officers
 - Regular meetings
 - Standard reports and other outputs
- Member professional development (trainings, etc.) valuable



Medical Screening

To ensure participants and staff medically well-matched for program

Process

1. Obtain medical form
2. Conduct screening
3. Make accept/reject decision
4. Apply in field as needed



Medical Information and Release for Treatment

I - General Information
 Information requested in this form is vital to an effective response if a medical emergency occurs while you participating in the program. **All parts of this document must be filled out completely.**
 Clinical Location and Date(s): _____
 Name (print clearly): _____ Address _____
 City _____ State _____ Zip _____ Email _____
 Phone (____) _____ Fax (____) _____ Birth date ____/____/____ Age ____ Sex ____
 Person to be notified in case of emergency _____ State _____
 Address _____ City _____ State _____
 Zip _____ Relationship _____
 Home Phone (____) _____ Work Phone (____) _____ Other Phone (____) _____ Fax (____) _____
 Physician _____ Office Phone (____) _____
 Restrictions for medical treatment? _____
 Medical Insurance Company _____
 Medical Insurance Company Tel. No. _____ Policy Number _____
 Name of Policy Holder _____

II - Medical Information

A. Allergies (including medicines, foods, bites and stings):
 No allergies list below:

Allergy	Reactions	Medications Required

B. Medications
 No medications list all, including prescription and over-the-counter:

Medication	Condition	Dosage (size and freq.)	Current side effects

C. Current Exercise Activity

Activity	Frequency	Time / Distance	Pace (easy / moderate / strenuous)

III - Health Profile
 Height _____ Weight _____ Blood Pressure ____/____/____ Pulse Rate _____ Date Taken _____ (within past 6 months)
 Have you been in counseling with a psychiatrist, psychologist or other therapist within the past two years?
 Yes _____ No _____ Detailed description, including symptoms and restrictions (use add'l pages if required)

Variation

- Minimal: few to no questions
- Basic: allergies, meds, health history
- Comprehensive: psychological profile, fitness, BP, etc.

HEART DISEASE			
Related information to look for on Participant Medical Record pertaining to this condition			
Participant Medical Record – 6 Page; 4 Page; 2 Page Youth and Adult			Physician's Section Only
IDENTIFICATION	HISTORY	LIFESTYLE	PHYSICIAN FEEDBACK
History/current status: heart attack, angina. Related symptom(s): chest pain, abnormal cardiac rhythm	Surgery/procedures: angioplasty, stent placement, CABG Current medication(s) Hx, hospitalization/ER Tx	Smoker Height/Weight Activity Level	Assessment— Referral— Restriction(s)—
ACCEPTANCE CRITERIA:			
MANDATORY ACTION:			
RED FLAGS:			
<ul style="list-style-type: none"> • History of or continued chest pain/pressure, shortness of breath, heart palpitations, sweat or exertional dizziness or faint spells • History of procedure (CABG, angioplasty, stent) • History of a myocardial infarction (MI) • Recent medication change 		<ul style="list-style-type: none"> • History of risk factors • Use of anti-coagulants (e.g. warfarin) 	

Risk Management Reviews

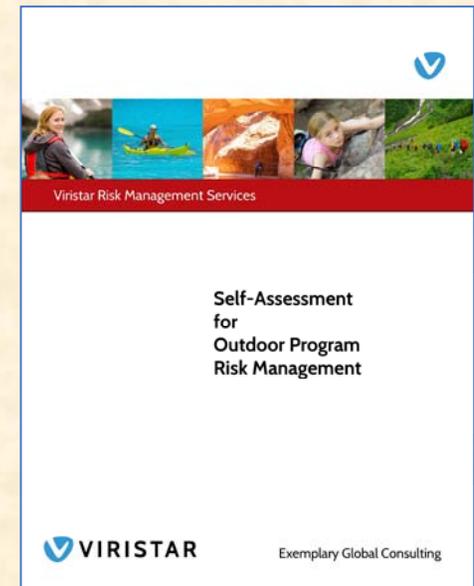
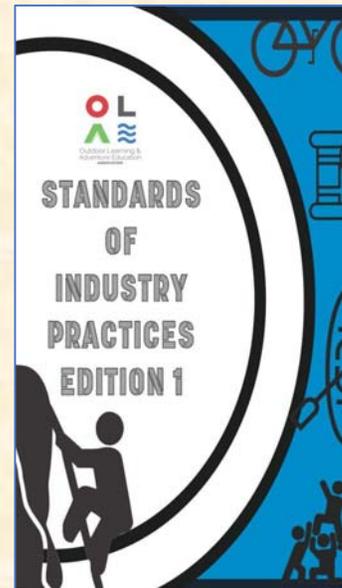
Provides objective third-party assessment of safety practices

Characteristics

- Also known as safety audit
- NWAIS-required; generally not legally required in US
- Differs from incident review, accreditation review, facilities/installation inspection
- Typically assesses all risk domains, risk management instruments
- Assesses conformity with industry standards
- Generally every 18 mo. – 5 years
- Internal & external reviews, often alternating

Review process

- Self-evaluation to standards
- On-site evaluation
- Written report
- Follow-up



Media Relations

- News media's goals differ from yours; managing story important
- Provide the what, where, when, who of incident, & organization background
- Strategies
 - Restrict, select & train spokespeople
 - Tell your story: your messaging points, caring & concern
 - Avoid pitfalls: no speculation, emotional response, victim names, repeating inaccurate information even to dispute it
 - Prepare message points, background info in advance
 - Use external specialists as appropriate
 - Aim for a short story
- When media is state-controlled, rules are different



Sample Pre-Established Message Points

1. Our primary concern is for our participants.
2. Our Situation Response Plan worked as designed, and participants received medical care.
3. We are working with the authorities to determine the facts and cause.



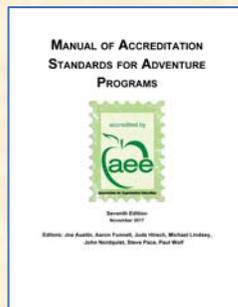
Accreditation

- Accreditation: recognition that entity conforms to accepted standards
- Helps ensure program quality; boosts credibility
- Useful only when high quality and taken seriously



Process:

1. Self-study



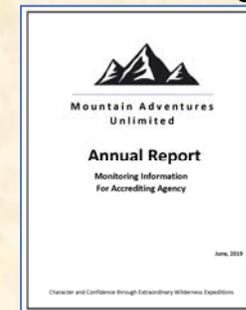
2. Site Visit



3. Decision



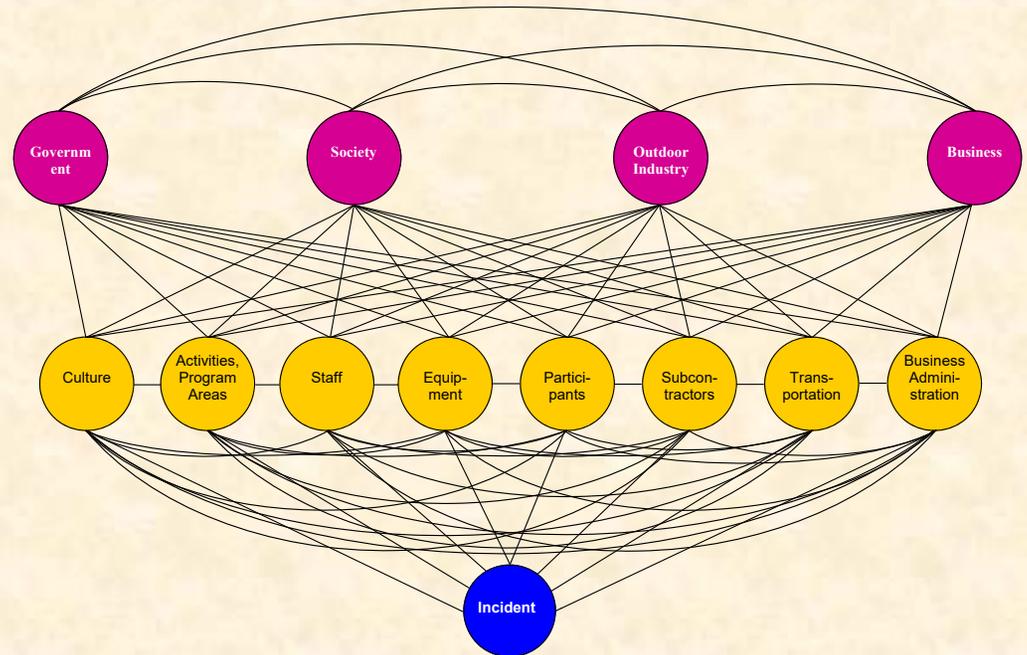
4. Monitoring



Seeing Systems

Systemic nature of accident causation

- Incidents usually have multiple direct causes
- Those causes are brought about by other, underlying causes
- Managing risk requires understanding the complex systems that from which incidents arise



Implications for Practice

- Consider direct and underlying risks
- Consider cumulative nature of risks
- Employ systems thinking in risk domains, instruments
- Consider unintended consequences
- Build institutional resiliency



Risk Management Instruments

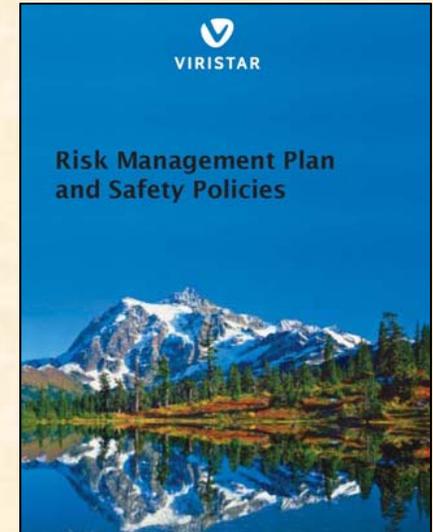
- Risk Transfer
- Incident Management
- Incident Reporting
- Incident Reviews
- Risk Management Committee
- Medical Screening
- Risk Management Reviews
- Media Relations
- Documentation
- Accreditation
- Seeing Systems



Risk Management Plan

A Risk Management Plan:

- Describes the organization's commitment to RM, and RM goals
- Locates the policies and procedures used to manage risks in risk domains
- Describes the organization's risk management instruments

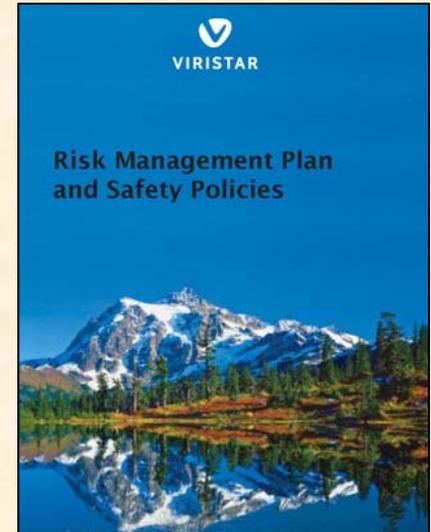


Risk Management Plan

A Risk Management Plan:

- Describes the organization's commitment to RM, and RM goals
 - Locates the policies and procedures used to manage risks in risk domains
 - Describes the organization's risk management instruments
-
- Specific organization unimportant, as long as key elements present
 - Document outlines all aspects of organization's approach to RM
 - References other documents such as the field handbook and important administrative documentation

Every employee and volunteer should be provided with the risk management plan, review it thoroughly, and be given the opportunity to ask questions about it.



Risk Management Plan

Example format

1. **The purpose of the plan.** For instance, to document why and how risk is to be managed.
2. **The goals of the organization's risk management program.** What does success look like? May include a Risk Management Mission Statement.
3. **The organization's philosophy of risk management.** For instance, that organization does not seek to take risks for their own sake.
4. **A demonstration of top leadership commitment to risk management.**
5. **Roles and responsibilities.** For all staff and stakeholders.
6. **Risk management methodology.** Policies and procedures for managing risks in risk domains; risk management instruments employed.





Mountain Adventures
Unlimited

Risk Management Plan Table of Contents

Introduction

- Message from CEO and Board of Directors
- Purpose of this Plan
- Risk Management Mission Statement
- Our Philosophy of Risk Management

Roles and Responsibilities: Staff and Program Partners

Risk Management Policies, Procedures and Guidelines

- Safety Culture
- New Element Readiness Assessments
- Program Area Guides
- Staff Recruiting, Hiring, Training, Supervision, Retention
- Equipment Management
- Fleet Management
- Medical Screening
- Subcontractor Assessment and Management
- Administrative Practices

Risk Management Instruments

- Risk Transfer
 - Insurance
 - Indemnity, Release of Liability, Acknowledgement of Risk
- Incident Management
 - Emergency Response Plan—Administration
 - Emergency Response Plan—Field Staff
- Incident Reporting
- Incident Reviews
- Risk Management Committee
- Medical Screening
- Risk Management Reviews
 - Internal
 - External
- Working with the Media
- Accreditation



VIRISTAR

Risk Management Plan Table of Contents

Introduction

- Message from CEO and Board of Directors
- Purpose of this Plan
- Risk Management Mission Statement
- Our Philosophy of Risk Management

Roles and Responsibilities: Staff and Program Partners

Risk Management Policies, Procedures and Guidelines

- Safety Culture
- New Element Readiness Assessments
- Program Area Guides
- Staff Recruiting, Hiring, Training, Supervision, Retention
- Equipment Management
- Fleet Management
- Medical Screening
- Subcontractor Assessment and Management
- Administrative Practices

Risk Management Instruments

- Risk Transfer
 - Insurance
 - Indemnity, Release of Liability, Acknowledgement of Risk
- Incident Management
 - Emergency Response Plan—Administration
 - Emergency Response Plan—Field Staff
- Incident Reporting
- Incident Reviews
- Risk Management Committee
- Medical Screening
- Risk Management Reviews
 - Internal
 - External
- Working with the Media
- Accreditation

Sample documents referenced in Risk Management Plan

- Field Manual
- Emergency Response Plan—Field
- Emergency Response Plan—Administration
- Vehicle Operations Manual
- Staff Training Plan
- Staff Check-offs
- Program Coordinator Handbook
- Program Areas/Activities Guides
- Employee Handbook
- Medical Screening Manual





Mountain Adventures
Unlimited

Risk Management Plan Table of Contents

Introduction

- Message from CEO and Board of Directors
- Purpose of this Plan
- Risk Management Mission Statement
- Our Philosophy of Risk Management

Roles and Responsibilities: Staff and Program Partners

Risk Management Policies, Procedures and Guidelines

- Safety Culture
- New Element Readiness Assessments
- Program Area Guides
- Staff Recruiting, Hiring, Training, Supervision, Retention
- Equipment Management
- Fleet Management
- Medical Screening
- Subcontractor Assessment and Management
- Administrative Practices

Risk Management Instruments

- Risk Transfer
 - Insurance
 - Indemnity, Release of Liability, Acknowledgement of Risk
- Incident Management
 - Emergency Response Plan—Administration
 - Emergency Response Plan—Field Staff
- Incident Reporting
- Incident Reviews
- Risk Management Committee
- Medical Screening
- Risk Management Reviews
 - Internal
 - External
- Working with the Media
- Accreditation

Risk Management Plan:

- Describes the organization's commitment to risk management, and risk management goals
- Locates the policies and procedures used to manage risks in risk domains
- Describes the organization's risk management instruments



VIRISTAR

Case Study

After an outdoor program ends, a 15 year old female participant complains that she was sexually harassed by one of the trip leaders, a 22-year old male. The student complained that the trip leader made inappropriate comments and touched her legs in a way that made her uncomfortable.

The trip leader acknowledges making a crude joke at one point. He denies inappropriate touching. He says he may have brushed her thigh accidentally when reaching for his water bottle.

Questions

1. Which risk domains might have been involved?
2. Which risk management instruments could help manage this incident and prevent similar future incidents?
3. With the Risk Management Plan you currently have:
 1. In your organization, would this incident have been prevented?
 2. How well would you be prepared to respond if this occurred?

