

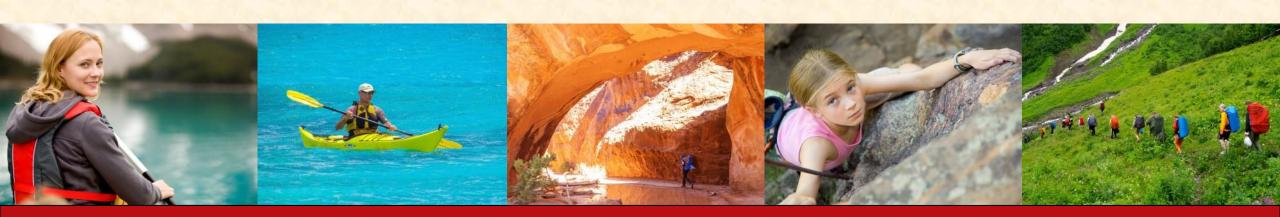


How to Write a Risk Management Plan

Association for Experiential Education 51st Annual International Conference, November 2-5, 2023

Jeff Baierlein, Director, Viristar

viristar.com/aee-rmp



Overview

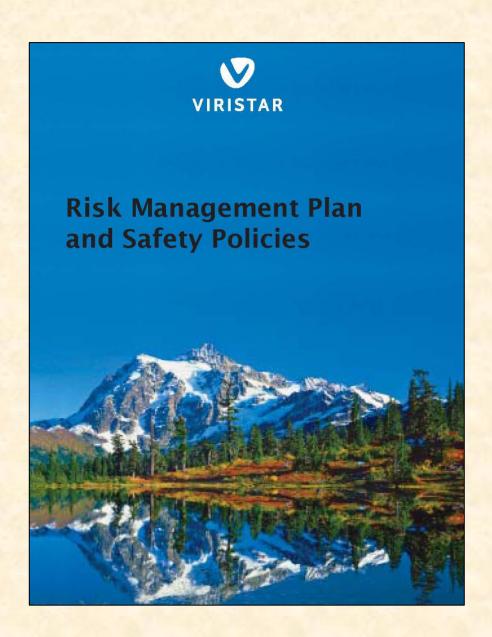


A Risk Management Plan:

- 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

Risk Management Plan ≈

- Safety Management System
- Risk Assessment and Management Plan
- Risk Assessment and Management System



Basic Concepts



Risk: the possibility of undesirable loss.

Risk Management: the process of maintaining risk at a socially acceptable level.

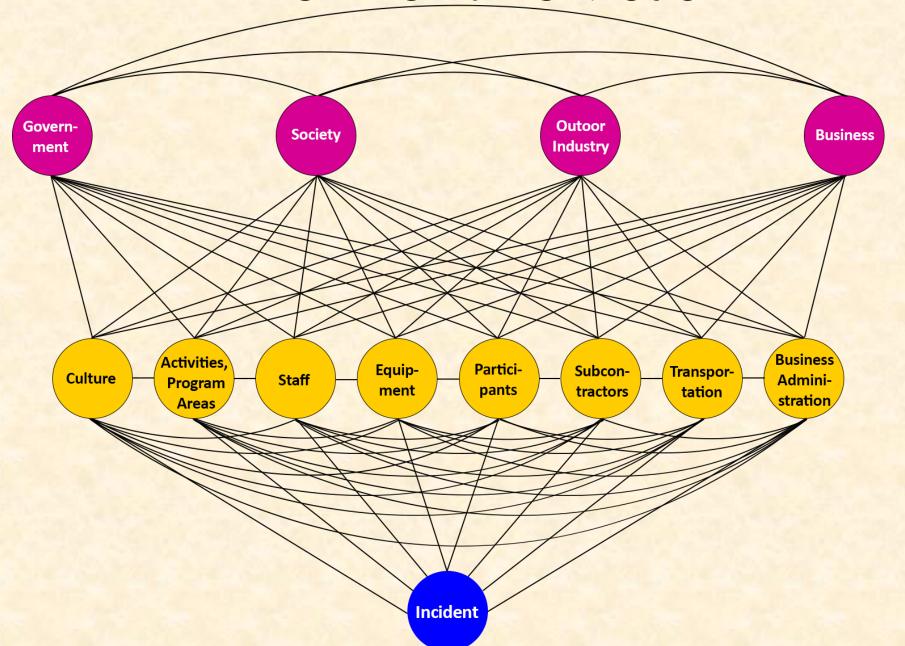
Four ways to manage risk:

| Ŵ | Eliminate | Avoid certain activities, locations, conditions | No Class V whitewater |
|------------|-----------|--------------------------------------------------|---------------------------|
| 1 | Reduce | Institute sound safety practices | PFDs and helmets required |
| (4) | Transfer | Pass risk to insurers, contractors, participants | Liability waivers |
| | Accept | Acknowledge some risk as unavoidable | Inherent risk |



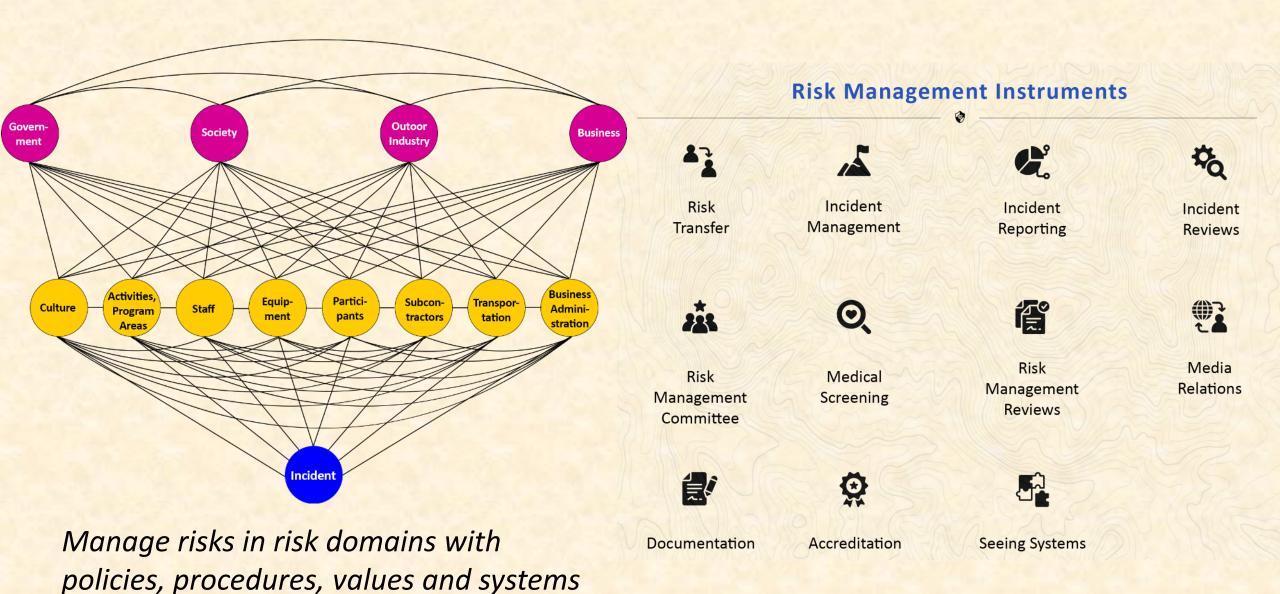
Risk Domains Model





Risk Domains Model





Risk Treatment



Establish, document, and put into place policies, procedures, values and systems to reduce risks to socially acceptable levels

Single-pitch rock climbing example:

- Policy: Safety briefings before each activity, including climbing
- Procedure: Staff person checks helmet, harness before climber begins
- Value: Safety is a top priority



• Systems: Equipment management, staff training, medical screening, etc.



Risk Transfer



Three entities to pass risk to:

Insurance company

Liability, auto, property, other



Participant

 Indemnification, liability release, assumption of risk, other



Subcontractor (provider)

 Indemnification, liability release, proof of insurance

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Incident Management



Emergency Response Plan

Describes who does what in an emergency

Contents

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



Emergency Response Plan

> Rev. March, 2019 Safety Committee Approval April, 2019

Incident Reporting



Incident Report

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| (check all that app | ly) 🔲 Near | Miss 🖵 Ev | acuation | ☐ Missin | g Person | ☐ Fatality | | |
| Course Format: | Residential Bas | ecamp 🗆 Backpa | cking 🗆 Can | oeing 🗆 Ka | ayaking Challeng | e Course 🔲 Other: | | |
| | Property Damage: | | | | | | | |
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| Avulsion | Sunburn | ☐ Burn | □ Frosti | | ☐ Skin | Eye injury | | |
| □ Dental | Bruise, contus | ion or similar soft | tissue trauma | a | Head injury (wit | hout loss of conscio | ousness) | |
| ☐ Head injury (wit ☐ If property dam | | | ☐ Near | drowning | □Other | | | |
| Anatomical Locati | | | | | | | | |
| ☐ Head | ☐ Shoulder | ☐ Wrist | ☐ Uppe | r Back | ☐ Thigh | ☐ Foot/toe | ☐ Face | ☐ Knee |
| Upper Arm | ☐ Neck | ☐ Hand/finger | () () () () () () () () () | Dack | ☐ Chest | ☐ Pelvis | ☐ Lower Leg | ☐ Forearm |
| ☐ Abdomen | ☐ Hip | ☐ Ankle | □ Lowe | r Back | ☐ Elbow | Other: | - Lower Leg | - rorcariii |
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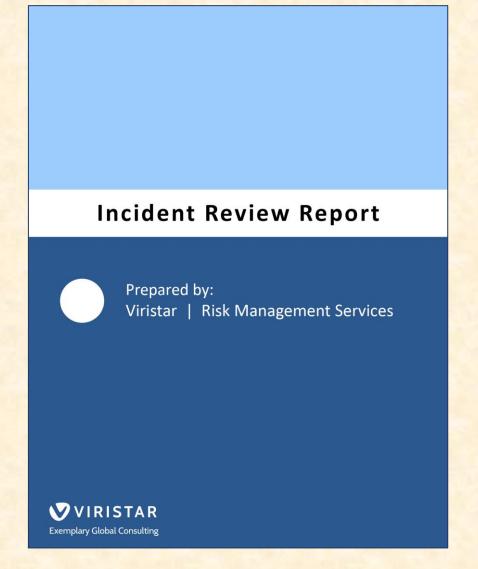
Documents losses, to help prevent future loss

 Data analyzed and findings disseminated throughout organization

Incident Reviews



- Purpose to help prevent future serious incidents
- Held after significant incidents



Risk Management Committee



- Purpose: external resource, accountability
- Standard activities: review incidents, approve safety plans, participate in reviews, make recommendations





Mountain Adventures
Unlimited

Safety Report Fall 2023

Rev. Oct. 2023

Safety Committee Approval Nov. 2023

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

| HEART DISEASE Poleted information to look | for on Participant Medical Reco | rd nortaining to this | aanditian |
|--------------------------------------------|-------------------------------------|-------------------------|----------------------------------------|
| | – 6 Page; 4 Page; 2 Page Youth | | Physician's Section Only |
| IDENTIFICATION | HISTORY | LIFESTYLE | PHYSICIAN FEEDBACK |
| History/current status: heart | Surgery/procedures: | Smoker | Assessment— |
| attack, angina. Related | angioplasty, stent placement, | Height/Weight | Referral— |
| symptom(s): chest pain, | CABG Current medication(s) | Activity Level | Restriction(s)— |
| abnormal cardiac rhythm | Hx, hospitalization/ER Tx | | |
| ACCEPTANCE CRITERIA | : | | |
| MANDATORY ACTION: | | | |
| RED FLAGS: | | | |
| History of or continued che | st pain/pressure, shortness of brea | th, heart palpitations, | sweat or exertional dizziness or faint |

- spells
- History of procedure (CABG, angioplasty, stent)
- History of a myocardial infarction (MI)
- History of risk factors

• Recent medication change

• Use of anti-coagulants (e.g. warfarin)

| Information requested in the program. All parts Course Location and D Name (print clearly) | of this docum | | | | | | | |
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| Person to be notified in | case of emerge | encv | | | | | | |
| Address | | | | City | | | | State |
| Zip | | Relati | onship | | | | | 2011/01/20 |
| Home Phone () | | | Work | Phone () | | | | Other Phone |
| | 1 | Fax (|) | 1-150 100 100 100 100 100 100 100 100 100 | | | | |
| Physician | | | | Office Phone | () | | | |
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| Medication C. Current Exercise | Cond e Activity | ition | | Dosage (size | and freq.) | Curre | | |
| C. Current Exercise Activity III - Health Profile | Cond e Activity | Fre | quency | Dosage (size : | Pace (ea | Curre | rate / strenu | |
| Medication C. Current Exercise Activity | Cond e Activity | Fre | quency | Dosage (size : | Pace (ea | Curre | ate / stren | uous) |
| C. Current Exercise Activity III - Health Profile | Cond Activity Block | Fre od Pressur | quency | Dosage (size : | Pace (ea | Currents Currents | rate / strend | uous) n past 6 months |

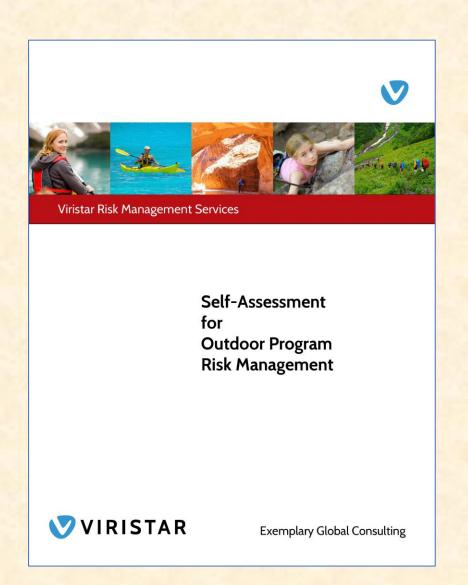
Risk Management Reviews



Provides objective third-party assessment of safety practices

Characteristics

- Also known as safety audit
- Typically assesses all risk domains, risk management instruments
- Assesses conformity with industry standards



Media Relations



- News media's goals differ from yours; managing story important
- Provide the what, where, when, who of incident, & organization background
- Share your pre-planned message points





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.

Documentation



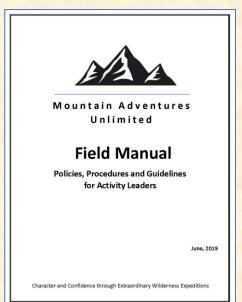
Records what should be done, what was done

Training sign-in sheets



Proof of reading

| Required Readings | | | | | | |
|-------------------|-----------|----------|------------|--------------|--------|--|
| Safety | Report | | Emerge | ency Respons | e Plan | |
| Name | Signature | Date | Name | Signature | Date | |
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Test results

| | Vehicle Operator |
|------|--------------------------------------------------------------------------------------------------------------------------------------------------|
| | venicle operator |
| | Written Test |
| Na | me: Date: |
| 1.j | No one who will be driving a company vehicle shall have any drugs or alcohol in their system |
| 2.) | hours prior to driving. What is the organization's policy regarding seatbelts? |
| | Vehicles shall be operated or the posted speed limit at all times. What is the organization's policy regarding use of headlights (day or night)? |
| 5.) | Drivers shall not operate a motor vehicle for more than hours consecutively, or hours in |
| 6.) | day. The is completely in charge and responsible for the operation of the vehicle and tr. |
| 7.) | and the safety of the passengers. When shall a "pre-drive checklist" be filled out? |
| 8.) | Most accidents are caused by: a) |
| 9.) | c) |
| 10.) | Where should you pull over if having mechanical trouble or a breakdown? Why? |
| 11.) | What should you do if in a vehicle accident? |
| | Should you plead guilty or assess or admit fault? |
| 13.) | What should you do if the wheels of the vehicle travel off the paved roadway (and onto the shoulder)? |
| 14.) | What should you NOT do if the wheels of the vehicle travel off the paved roadway? |
| | What will minimize understeer problems and will reduce the risk of van rollover? |

Check-offs

V VIRISTAR

Risk Management Plan

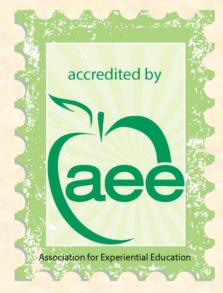
and Safety Policies

| Activity C | hec | koff: |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|---------------------|
| Rappel Statio | n O | peration |
| Employee Name | Date | Supervisor Initials |
| ☐ Has read and understood the Rock Climbing Manual, the Technical & Vertical Activities section of the Outdoor Education section of the Field Manual, and the Field Risk Mgt. Manual | | |
| ☐ Understands outcomes of rock climbing program and rappelling component | 1.1 | |
| ☐ Understands policies, procedures and guidelines for rock climbing program and rappelling, and general technical & vertical activities | , , | |
| ☐ Understands rappel station format & progression | | |
| ☐ Can inspect rappel station for appropriateness of setup, including inspection of rappel and belay anchors and load-releasing hitch | | |
| ☐ Can tie, untie, retie and evaluate a load-releasing hitch such as the munter-mule-overfriend | | |
| ☐ Understands and can tile and check appropriate knots and carabiner clipping in techniques | | |
| ☐ Can clip in participant to rappel and belay ropes | | |
| ☐ Can belay and manage others in standard belay system, including roles & positions, commands, and belay technique | | |
| ☐ Can explain rappel body position and how to avoid having items caught in belay device | | |
| ☐ Has previously sent someone off the rappel set up in standard institutional format four times | | |
| Comments: | | |
| | | |
| Program Director signature | | Date |
| I have read and understood the Rock Climbing Manual and the Technic of the Field Manual and the Field Risk Management Manual. I certify the above. | | |

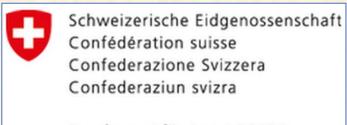
Accreditation



Accreditation: recognition that entity conforms to accepted standards







Bundesamt für Sport BASPO
Office fédéral du sport OFSPO
Ufficio federale dello sport UFSPO
Federal Office of Sport FOSPO

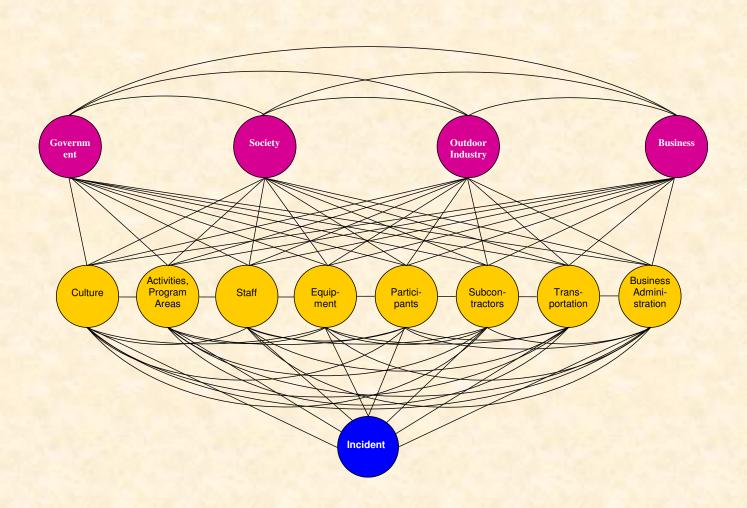


Seeing Systems



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





Psychological Risk Management



Accompanies physical risk management

Psychological Risk Management.pdf viristar.com/aee-rmp



Diversity, Equity & Inclusion



An essential part of risk management

Outdoor safety & DEI.pdf viristar.com/aee-rmp

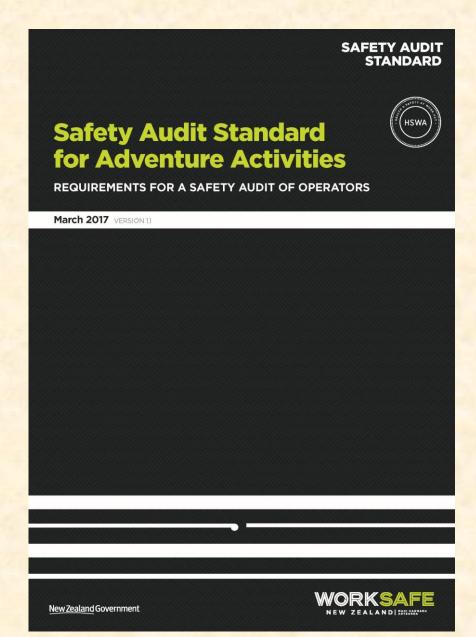


Risk Management Plan



Legal Parameters:

- No specific requirement for all experiential programs in the USA to have a Risk Management Plan specifically
- Organizations generally have a legal duty to take reasonable precautions against reasonably foreseeable harms
- In New Zealand, certain adventure activity operators must document a Safety Management system
- In the **UK**, certain adventure activity providers must document risk assessments and control measures
- Singapore's Code of Practice on Workplace Safety & Health Risk Management specifies risk assessment forms and control measures records should be retained

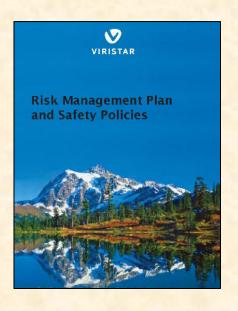


Risk Management Plan



A 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



- 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.

Sample documents referenced in Risk Management Plan

- Field Manual (SOPs)
- 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





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Bring the Plan Alive



A plan that only sits in a folder is not useful

- Incorporate the Risk Management Plan into training
- Consider it as a required reading
- Use games or quizzes to engage participants with the document
- Reference the RMP in safety memos, report, other communications
- Evaluate & update annually







How to Write a Risk Management Plan

Association for Experiential Education
51st Annual International Conference, November 2-5, 2023

Jeff Baierlein, Director, Viristar

viristar.com/aee-rmp

