

Members

Elizabeth Dickenson,
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Director, Risk Management
Oregon University System

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Business Operations
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Department of Fish &
Wildlife

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Planning & Budget
Department of Corrections

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Safety & Health Unit
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Environmental Quality

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Business Services

Loren Collins
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Department of Justice

Julie Davie
Safety & Risk Manager
Department of
Transportation

Maynard Hammer
Deputy Superintendent,
State Hospital
Department of Human
Services

Kyle Knoll
Budget Officer & Risk
Manager
PERS

Vena McCoy
Internal Auditor & Risk
Manager
Department of State Lands

Sandy McDonnell
Manager
Administrative Services
Oregon Housing &
Community Services

Marc Williams
CIO/Deputy Director
Department of Justice

AGENDA Risk Management Advisory Council



Meeting Date: January 28, 2009

Time: 8:30 am to 12:30 pm

Location: Department of Fish & Wildlife
The Commission Room
3406 Cherry Avenue N
Salem, Oregon 97303

Facilitator: Stephanie Holmes
SSD Organization Development

ITEM	PRESENTER	TIME	ACTION, NOTES
Call to Order			
Welcome and Introduction of Chairperson and Vice-Chairperson	Jan Dean, SSD Administrator	8:30 am	
Risk Management Advisory Council Charter			
Review Draft Risk Management Advisory Council Charter	Stephanie Holmes	8:45 am	<ul style="list-style-type: none">Approve the revised draft Charter
Meeting Schedule			
Future Meeting Dates, Length, Locations and Technology Use	Stephanie Holmes	9:00 am	
Break			
Break		9:30 am	
Risk Management Advisory Council Operations Guidelines			
<ul style="list-style-type: none">Review the draft Risk Management Advisory Council Operations GuidelinesConsensus vs. VotingSelection & Prioritization of Issues	Elizabeth Dickenson / Angie Patterson	9:45 am	<ul style="list-style-type: none">Approve the draft Risk Management Advisory Council Operations GuidelinesSelect decision processDetermine how issues will be selected and prioritized
Action Plan			
Implementation of Operating Guidelines	Elizabeth Dickenson / Angie Patterson	12:00	<ul style="list-style-type: none">Communication to agencies re: risk identification process
Adjournment			
Summary and Adjournment	Elizabeth Dickenson / Angie Patterson	12:30 pm	

Next meeting: To be determined

Overview

SAFETY ASSESSMENT MATRIX OVERVIEW

Adverse Events and errors are often the result of the design of the system. All employees are responsible for fully cooperating in efforts to improve safety and reduce risk. Reporting provides the entry point to investigation and analysis of systems issues that can lead to system improvements.

The Safety Assessment Matrix is a tool used to prioritize response to and management of Adverse Events. It is based on prioritization concepts that have been used in aviation, healthcare and the military for many years. Using this approach, the Safety Assessment Matrix was developed to provide a decision-making framework for managing risk management issues and adverse events. It is a collaborative process to determine how resources can be applied where they will have the greatest opportunity to improve the level of safety from a system perspective.

The Safety Assessment Matrix is structured to prioritize risk management concerns. This includes problems or potential problems associated with provision of services, equipment and the physical plant.

Safety Assessment Matrix

The Safety Assessment Matrix is based on two dimensions: Severity and Probability

Severity

There are six categories of Severity – Catastrophic, Major, Moderate, Minor, No Injury, and Close Call / Near Miss.

The definitions for each of these categories have been chosen to be consistent with or support activities that will reduce system-wide risk.

In order to reduce rating variability, it is important that the definitions provided be used to determine the Severity category. In a systems approach, the rater should consider the most likely “worst case” outcome. For example, if an individual’s suicide was prevented, the event would be classified as Catastrophic from a potential Severity perspective, even though the suicide was prevented. This elevation of Close Call / Near Miss events is a powerful tool for identifying system vulnerabilities and enacting preventive strategies before the occurrence of a tragic event.

Probability

There are four categories of Probability – Frequent, Occasional, Uncommon and Remote

These categories are the most subjective. The degree of judgment required of the rater is higher and the chance for rating variability is therefore greater. It is important that the definitions provided be used to determine the Probability category in order to reduce rating variability.

Process

When the Probability and Severity scores are used together, based upon the definitions provided, consistency of the Safety Assessment Matrix score is improved. Although either Severity or Probability of the event can be determined first, it is usually more productive to assess Severity first. Until one has determined the Severity of an event, it is difficult to assess the Probability level.

SAFETY ASSESSMENT MATRIX

PROBABILITY	SEVERITY					
	<i>Catastrophic</i>	<i>Major</i>	<i>Moderate</i>	<i>Minor</i>	<i>No Injury</i>	<i>Close Call / Near Miss</i>
<i>Frequent</i>	3	3	2	1	1	1
<i>Occasional</i>	3	2	1	1	1	1
<i>Uncommon</i>	3	2	1	1	1	1
<i>Remote</i>	3	2	1	1	1	1

Safety Assessment Matrix Score

- 3 = Risk Management Rapid Response Team review
- 2 = DAS Risk Management review
- 1 = Agency review

SEVERITY CATEGORIES	
<p><i>Key factors for the Severity categories are extent of injury, level of care required for remedy, and actual or estimated costs. These categories apply to all Events from Close Call/Near Miss to Catastrophic events. For actual Adverse Events, assign the Severity category based on the known outcome. If the Severity is unknown, assign Severity based on a reasonable "worst case" system level scenario.</i></p>	
<i>Catastrophic</i>	<ul style="list-style-type: none"> Death or major permanent loss of bodily function (sensory, motor, physiologic, intellectual) Suicide Rape Abduction Property loss that requires implementation of Business Continuity Plan Property loss that exceeds primary insurance limit
<i>Major</i>	<ul style="list-style-type: none"> Permanent lessening of bodily function (sensory, motor, physiologic, intellectual) Disfigurement Property loss within primary insurance limit that exceeds agency deductible
<i>Moderate</i>	<ul style="list-style-type: none"> Property loss that exceeds agency deductible
<i>Minor</i>	<ul style="list-style-type: none"> Temporary alteration of bodily function (sensory, motor, physiologic, intellectual) that required medical care Property loss that is within agency deductible
<i>No Injury / Damage</i>	<ul style="list-style-type: none"> An Adverse Event that did not result in personal injury or property damage
<i>Close Call / Near Miss</i>	<ul style="list-style-type: none"> An event or situation that could result in an Adverse Event but did not, either by chance or through timely intervention.

PROBABILITY CATEGORIES	
<p><i>Like the Severity categories, the Probability categories apply to all events from Close Call / Near Miss to Adverse Event. In order to assign the Probability rating for an event, it is ideal to know how often the event has occurred. Sometimes that data is easily available because it is routinely tracked. Sometimes rating Probability of events that are not routinely tracked will require research or the best informed selection based on information available at the time.</i></p>	
<i>Frequent</i>	Likely to occur immediately or within a short period (has happened or may happen several times in 1 year)
<i>Occasional</i>	Probably will occur (has happened or may happen several times in 1 to 2 years)
<i>Uncommon</i>	Possible to occur (has happened or may happen sometime in 2 to 5 years)
<i>Remote</i>	Unlikely to occur (has happened or may happen in 5 to 30 years)

The Straw Man Concept

Build It Up, Knock It Down, and Create a Solid Solution

If you build something out of straw what do you expect to happen to it in the long run? You expect it to collapse or be blown away! A straw man proposal similarly lacks solid foundation, and it too may be blown away under scrutiny. So is a straw man proposal to be avoided?

Not necessarily. A "straw man" can be very useful, as long as people know that what stands before them is indeed a straw man. When you begin a project or start looking into a problem, you often have incomplete information to work with. So you can spend time gathering facts and data until you are ready to build a really strong argument or plan, or, you can get going straight away and jump in with a not-so-complete solution, with the intention of finding a much better one, as you learn more and more.

That's the premise behind building a straw man - creating a first draft for criticism and testing, and then using the feedback you receive to develop a final outcome that is rock solid.

Suppose your revenue is falling and you have to come up with a better sales strategy. Using the straw man idea you might do the following:

- Create a draft proposal to expand to new markets.
- In your proposal, outline the markets that might offer good prospects, based on your initial judgment and experience.
- Present your draft proposal to the team and tell them that it is a straw man (this is critical because everyone must clearly understand that your idea is the starting point and was created for the purpose of being critiqued.)
- Analyze the proposal, find the weak points, clarify assumptions and decision-making criteria, and work on a refined proposal.
- Draft a new proposal and repeat the process until a final decision is made. These subsequent proposals can be given names too: such as wood man, tin man and iron man.

In a culture that values being right, the notion of constructing a straw man is difficult to embrace. Why spend time drafting something that, ultimately, isn't going to be used? If you can get past this perception you will be surprised at how useful the technique can be. One of its main advantages is that it forces you to do something. Taking too long to deliberate the merits of an idea or

hypothesis can be costly, as you risk never making a decision at all. With a straw man, you force an early, if incomplete, decision. This ensures that a final decision will be reached because doing nothing means accepting a poor plan by default.

Tip:

Be very careful when you're using a Straw Man approach that people understand what you're doing: The last thing you want is to develop a reputation for "coming up with half-baked ideas." Make sure that your document is clearly labeled as such, and that the people receive it understand what it is.

For this reason, you may only want to use this approach when you can control the paper's circulation and manage the way it is received.

A straw man is also useful in ensuring that everyone involved has a tangible concept to work from. Otherwise, there is a risk that people are working with different pieces of the whole, different perceptions, and different, unstated assumptions, as they continue to research and discuss aspects of the idea or solution.

The risk of using a straw man proposal is that, by definition, you are jumping to conclusions. Providing you are aware of this risk, you'll challenge, test, and retest the real solution and so use "jumping to a conclusion" as a vehicle to find a better conclusion.

A good technique for checking your solution and assumptions is the [Ladder of Inference](#). Use it to make sure that your final assumptions are valid, rather than "straw man" assumptions that won't stand up to the reality of your working solution.

[Impact Analysis](#) is another great approach for determining where the straw man fails to deliver. By looking at the consequences of the proposed action, you are able to see the weak points and create a better plan.

Key Points:

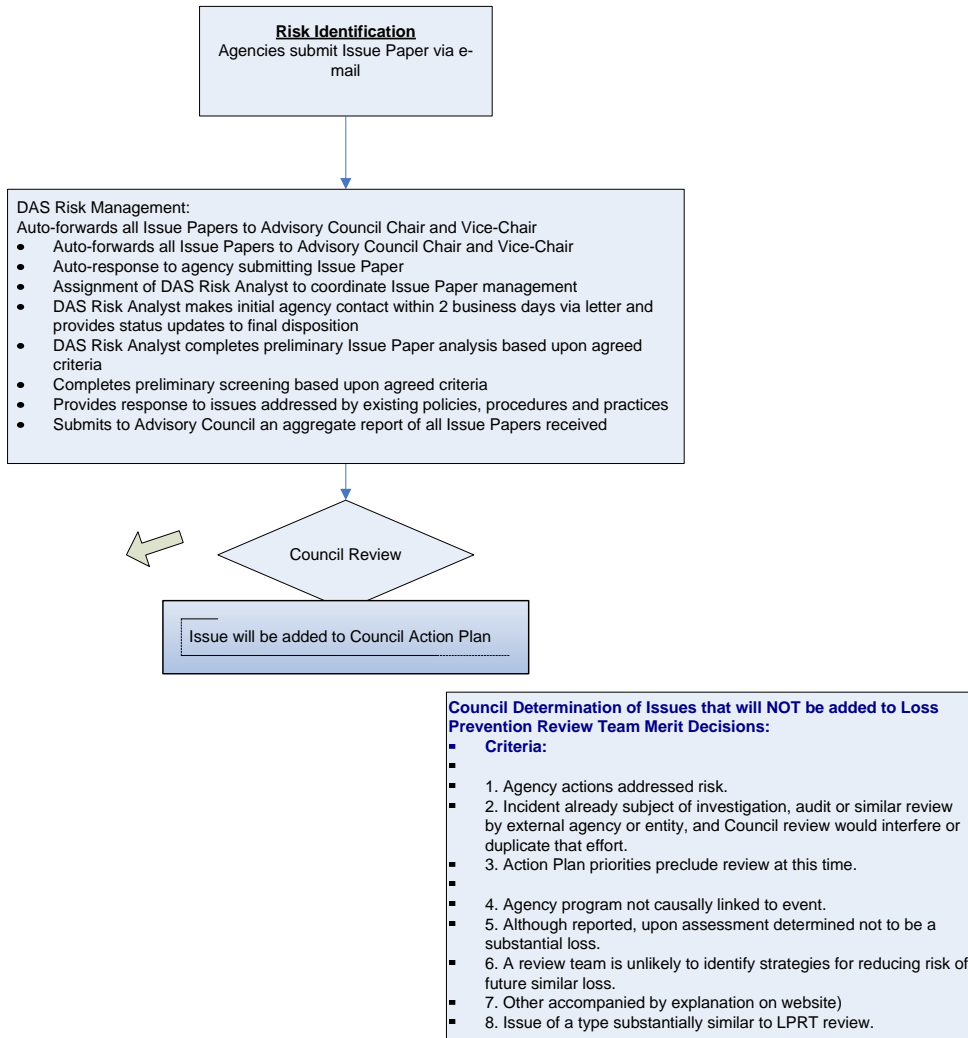
A straw man is a prototype solution to a problem, built on incomplete information and on ideas that have not been fully thought through. Even in this rough state, though, it helps ensure everyone involved has a common understanding of the initial concept.

The point of building the straw man is to knock it down and rebuild something much better. How you do that will depend on circumstances, and on the resources available to you. It is a good place to start, and it is often the push you need to get past decision-making paralysis, which plagues many projects, problems and decisions. By putting together a straw man, you take action and gain momentum to get moving towards a winning solution.

The next time you are faced with solving a problem or making a decision, consider building a straw man first. Don't be afraid to throw your ideas out there. Do be prepared, however, to use well developed [problem solving](#) and [decision making](#) skills and techniques to fine-tune your man made of straw into a strong and resilient creature, capable of withstanding the many pressure that real life will subject him to.

Risk Management Advisory Council

DRAFT Issue Selection and Prioritization



Action Plan

RM Advisory Council:

- Reviews Issue Papers
- Uses speakers, technical experts, working groups and/or subcommittees to inform, collect information and draft recommendations in the form of a position paper.
- Selects issues to be addressed by the Council
- Develops an Action Plan that addresses issues of strategic importance using SMART principles (Specific, Measurable, Achievable, Reliable, Timely)

DAS RiskManagement:

- Serves as a resource and provides support for Council activities
- Distributes and maintains issue papers, issue paper determinations, action plans, position papers, records, reports and other Council documents.