

University Health & Safety Arrangements: Chapter 24



Health & Safety in Off Campus Work including field work, field trips and business travel

Key word(s) : Safety Management in Fieldwork, UCEA Guidance, planning and authorisation, risk assessment, risk profiling model.
Business travel, field work, field trips.

Target audience: Heads of School, Heads of Directorate, Principal Investigators, fieldwork leaders, PGR supervisors, school safety advisors, and local safety advisors.

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Introduction

1. The University of Manchester has adopted guidance developed by the Universities & Colleges Employers Association (UCEA) and the Universities Safety & Health Association (USHA). This publication covers a wide range of health & safety issues in fieldwork; including offsite visits and travel to the UK and overseas¹.
2. The definition of fieldwork is very wide: “any work carried out by staff or students for the purposes of teaching, research or other activities while representing the institution off-site”. It therefore includes attendance at conferences and other institutions which may be relatively low risk, as well as the more challenging conditions of fieldwork in remote and hostile locations at the high risk end of the scale.
3. The UCEA guidance defines core actions and good practice at institutional level, at school/directorate level (e.g. HoSs, fieldwork leaders, PIs) and at fieldwork implementation level (fieldwork leaders, supervisors and participant). The University of Manchester’s arrangements at institutional level are mapped onto the guidance in the Appendix. This chapter provides additional guidance on how schools might consider recording risk assessments and when it is appropriate to use a generic, adapted or specific risk assessment for the wide range of fieldwork activities they carry out.

A risk-profiling model for schools and directorates

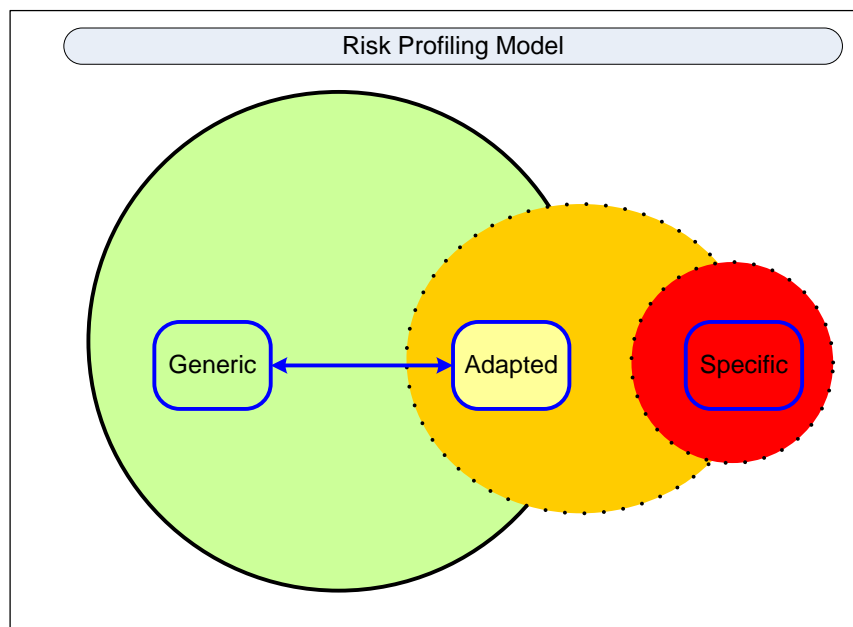
4. Schools, institutes and directorates already have arrangements in place for managing risk assessments for their activities, including fieldwork. The portfolio of fieldwork activities and risk assessments varies from school to school. The following model is one way of managing the very wide range of circumstances covered by the UCEA definition. It can be adapted by schools and directorates to meet their own local circumstances.
5. The rationale of the model is that fieldwork activities can be grouped according to risk. Factors influencing the decision about risk group are included in the **table of prompts** accompanying the model. For example, many schools will have staff on conference visits and visits to collaborators which are regular, low risk and familiar activities. They may have other fieldwork where inexperienced staff or students collect research data by various means in one-off circumstances where conditions are not so well characterised. Others may have senior researchers visiting very remote and relatively high risk locations around the world and subject to a wide range of hazards, where some are experienced leaders but others are new to the work.
6. Whilst all activities must be subject to a risk assessment, only the *significant findings* must be recorded. For routine, low risk, regular activities which may be viewed as a

¹ <http://www.ucea.ac.uk/download.cfm/docid/7789411F-7DFC-42B7-B39A740562F68E79>, May 2011

fairly minor extension or development of our day-to-day living experiences, there may not be any significant findings to record in writing. Examples might be driving to a collaborating University in the North West, attending a conference in the UK or major European city. Schools can use example or generic risk assessments to cover such fieldwork – providing a quick check is made that there are no special circumstances requiring further consideration. Example risk assessments including those for business related travel can be found at

http://www.healthandsafety.manchester.ac.uk/toolkits/work_off_campus/fieldwork/

7. Where circumstances are outside the scope of school or directorate generic or example risk assessments, adapted or specific and more detailed risk assessments will need to be written down.
8. Deciding when a generic, adapted or specific risk assessment is required is not always easy, and managers and those carrying out the risk assessments should be aware that a routine field trip could move from generic to adapted, for example, if one year's cohort of UG students includes someone with a disability, or incorporates a new activity.
9. The following representation, together with the table of prompts, has been developed to help users determine whether their circumstances require a generic, adapted or specific risk assessment. Any one condition present in the adapted or specific categories will require the more detailed assessment to be produced.



The following table of prompts has been developed to help users determine when a generic, adapted or specific risk assessment is required. Any one condition present in the adapted or specific categories will require the more detailed assessment to be produced.

Prompt	Generic	Adapted	Specific
Scope of activity	Very familiar	Familiar	Unfamiliar
Experience of activity	Very experienced	Experienced	New to activity
Risks	Risks are well defined and understood. If they do arise they can still be easily mitigated by the person undertaking the activity.	Risks are understood but subject to some variables but if they are realised they can still be readily mitigated.	Significant risks could be foreseeably realised and cause significant losses to individuals, assets, reputations, programmes of research / work etc.
Supervision	Not required for the activity.	Minimal and can be direct or indirect.	Substantial 'monitoring' required by PI or manager over anticipated or emerging risks.
Control	Individual is able to directly control any consequential risks if and when they arise.	Individual is able to control any low or medium consequential risks that may arise. Access to additional resource(s) may require authorisation e.g. by line manager / P.I. to achieve this.	To safely undertake the task requires full control of activity and ready access to resource(s) to mitigate significant risks should they arise. Regulations may prescribe specific controls to mitigate risks or require consent from competent authorities.
Information and instruction	Routine information required to safely complete the activity	More information required than that found in the generic risk assessment is required to successfully complete the activity	Detailed information and instruction required to complete the activity. This also includes legal notifications, consent from competent authorities and licensing regimes.
Risk assessment authorisation / validation	Generic assessments are carried out by a competent person who can identify the hazards associated with the activity and assess the risk. The individual performing the task can make dynamic decisions and still	Adapted assessments are carried out by a competent person who can identify the hazards associated with the activity and assess the risk. These will need to be checked by a line manager, supervisor, principal	The specific risk assessment has been carried out by a competent person who can identify the hazards associated with the activity and assess the risk. Activities in this category will invariably be higher risk and should be validated by another

Prompt	Generic	Adapted	Specific
	<p>operate within the scope of the assessment without the need to amend documentation or refer back to the original author.</p> <p>Will usually be field trip organisers, conference delegates, etc.</p>	<p>investigator, etc, who can apply common sense scrutiny.</p>	<p>competent and “independent” person who has expertise in the task. The validator will normally be a more senior manager such as a HOS, or Dean.</p>
FCO advice	<p>There are no advisory warnings issued by the FCO on travelling to the area.</p>	<p>There are no advisory warnings issued by the FCO on travel but there is advice about aspects of personal safety and security, or avoiding certain areas or activities.</p>	<p>FCO advise against all but essential travel or advise against all travel. Refer to paragraphs 15 & 16.</p>

Other information

10. The functionality of Campus Solutions enables it to deliver a single point of truth as to the location and contact details for off campus students when undertaking fieldwork and placements. This functionality is particularly valuable in emergency situations.
11. The Teaching and Learning Support Office document on Fieldwork and Placements provides advice for such organisers about how to ensure the correct information is stored within Campus Solutions.
12. Schools and Directorates are expected to include details of how they manage their risk escalation process in their local arrangements. When the Foreign & Commonwealth Office (FCO) advice is avoid all but essential travel this will normally require escalation from the HoS and possibly to the Dean/VP or other Senior University Manager for authorisation. When the FCO advice is to avoid all travel authorisation to travel must be escalated to Dean/VP or other Senior University Manager.
13. Analysis of UoM travel insurance claims for the period 2005-12 identified that claims were spilt fairly evenly between staff and students. Approx. 60% claims were medically related (illness/injury), approx. 20% property related (theft, lost property, damage to property) and the remaining 20% were journey related (cancellation, curtailment, evacuation).

These should be taken into account in the risk assessment, to the extent that the risks can be avoided or managed; contingency plans should be included for travel disruption or delay.

14. The FCO deploy a number of channels of communication for providing the latest information and advice to British nationals abroad. Channels providing the latest information include:

- **Twitter** <https://twitter.com/fcotravel>
- **email alerts** <https://public.govdelivery.com/accounts/UKGOVUK/subscriber/new>
- **Facebook** <https://www.facebook.com/fcotravel>

Insurance

15. The University's insurance policies covering Travel, Employers' Liability and Public Liability do not specifically exclude cover for travel to or through parts of the world for which there is official advice to avoid (either entirely or for all but essential travel) or that are subject to UK or international economic sanctions (referred to below as "disturbed areas"). However, the University does have an obligation to ensure that the insurer is apprised of the nature of the risks to which its travellers may be exposed. Accordingly, the Insurance Office should be advised of planned journeys to or through disturbed areas in advance of the travel for those journeys where the risk management process requires sign-off above School level. If appropriate, the Insurance Office will seek specific approval for the journey from the insurer.

16. There may be limitations on the cover provided under the Travel insurance in respect of disturbed areas:

- Cover for cancellation or curtailment of the journey will only apply if the official advice indicates an increased risk level after the travel was booked. If a journey is cancelled or curtailed as a result of a personal or University decision without a change to the official guidance, the associated costs will not be covered.
- If there are economic sanctions in place affecting a particular area the insurer will not meet any costs where to do so would breach those sanctions. The insurer's medical and evacuation support services would still be available as far as is possible, but the cost may fall to be met by the University.

If travellers are already in a part of the world that becomes a disturbed area whilst they are there, the University Travel insurance will operate as normal to assist and, if necessary, to evacuate, the travellers.

Appendix A - Mapping University arrangements onto UCEA/USHA guidance

UCEA/USHA section	University level core actions	UoM
4 – fieldwork h&s policy and authorisation processes	<p>Develop a fieldwork health & safety policy (or equivalent) to cover all off-site activities.</p> <p>Develop clear approval processes including processes for escalating high and unusual risks for institutional approval.</p> <p>Ensure all staff involved in the approval process understand and accept their role, powers to refuse and the limits of their approval authority.</p>	<p>Chapter 24.</p> <p>The roles and responsibilities for all health & safety management, including fieldwork activities, are in the Organisation section of the H&S policy. http://documents.manchester.ac.uk/display.aspx?DocID=13760</p> <p>Essentially, the HoS or Director is responsible for arrangements in their own areas, and for delegating tasks to line managers and others.</p> <p>Where the fieldwork requires ethical approval, decisions are escalated in accordance with local and university guidelines.</p> <p>University Health & Safety Arrangements : Chapter 9, Health & Safety Risk Management & Risk Assessments – key principles</p> <p>Other documents relating to off-site activities are: University Health & Safety Arrangements : Chapter 21, Driving at Work</p> <p>University Health & Safety Arrangements : Chapter 10, Lone Working</p> <p>Local arrangements determine the process by which schools etc manage their risk escalation process. Travel against FCO advice will require escalation from the HoS for authorisation by the Dean/VP or other Senior University Manager</p>
5 – Planning	<p>Foster a culture that expects fieldwork to be planned in advance.</p> <p>If necessary, integrate institutional protection policies for young persons and vulnerable adults with the Fieldwork Health & Safety Policy.</p>	<p>University Health & Safety Arrangements: Chapter 9, Health & Safety Risk Management & Risk Assessments – key principles include the Plan-Do-Check-Review cycle.</p> <p>UoM Child Protection Policy and Guidance applies to field trips (link to http://documents.manchester.ac.uk/display.aspx?DocID=4287)</p>
6 – Threat analysis	Provide guidance on how to obtain advice on political and security threats, natural hazards,	Advice available from Insurance Office and FCO http://www.fco.gov.uk/en/

UCEA/USHA section	University level core actions	UoM
	environmental/climate concerns and health risks within the Fieldwork Health & Safety Policy (or equivalent).	
7 – Risk assessment	<p>Communicate the requirements for risk assessment clearly in the Institution’s Fieldwork Health & Safety Policy (or equivalent). This should include a mechanism for line managers to satisfy themselves that suitable risk assessment has been completed when one is necessary.</p> <p>Introduce measures to ensure consistency in standards applied across the institution, e.g. review completed risk assessments to enable consistency to be monitored and to check adherence to institutional policies.</p>	<p>In the document “Organisation in place to implement the University’s health & safety policy” para 14(i) delegates this to HoSs, Directors etc.</p> <p>For general information, see University Health & Safety Arrangements : Chapter 9, Health & Safety Risk Management & Risk Assessments – key principles Chapter 12 on Measuring, monitoring and auditing refers to the HASMAP audit process at Institutional level. Were fieldwork is a major part of a schools risk portfolio the arrangements will be audited as part of the HASMAP audit plan.</p>
8 – Emergency response planning	Ensure that the Fieldwork Health & Safety Policy of the Institution includes adequate consideration of incident management and emergency planning requirements.	<p>See Emergency Incident Management & Major incident response plan at http://www.staffnet.manchester.ac.uk/services/compliance-and-risk/emergency-management-plan/</p> <p>Business travel insurance emergency assistance guide produced by Insurance Office http://www.staffnet.manchester.ac.uk/services/insurance/travel/business-travel-insurance/emergency-assistance/</p>
9 – Insurance	The Institution must have processes in place to ensure appropriate insurance is in place and that all participants have adequate travel insurance cover for the duration of the fieldwork.	<p>Insurance Office webpage on Insurance away from campus (“external activities”) http://www.staffnet.manchester.ac.uk/services/insurance/external-activities/</p> <p>HoS / directorate must assure themselves that they have processes in place that the activities undertaken are included within the scope of the respective insurance policies as there are exceptions to automatic cover. Paras 15 & 16 provide guidance on insurance, travel to disturbed areas and FCO advice.</p>
10 – Exchange of information	No core actions defined at institutional level	See Organisation, see paras 14 and 15 on duties of HoSs and PIs.

UCEA/USHA section	University level core actions	UoM
11 – Communication	No core actions defined at institutional level	See Organisation, see paras 14 & 15 on duties of HoSs and PIs.
12 – Competence	<p>Train fieldwork leaders and independent fieldworkers on the contents and application of the Fieldwork Health & Safety Policy.</p> <p>Assess the competencies required for leading and/or participating in fieldwork. This analysis may be required as part of both the approval and risk assessment processes.</p>	<p>Safety Services/STDU can arrange courses on Safe Management of Field Research Work. E-learning material is available for fieldwork leaders, supervisors and participants including PGR's.</p> <p>Locally schools may want to provide fieldwork handbooks.</p> <p>Assessment of competence is delegated to HoSs and Directors (Organisation, para 14).</p>
13 – Supervision	<p>Each institution must determine its own policy in relation to personal and down time, for example, regarding time-keeping, or for dangerous or uninsured activities. Any rule should be effectively communicated to all participants, together with relevant sanctions.</p> <p>Any fieldwork which involves participants who are under the age of 18 or classified as vulnerable adults must comply with the requirements of the Safeguarding Vulnerable Groups Act 2006.</p> <p>In December 2012 the Disclosure and Barring Service (DBS) was established under the Protection of Freedoms Act 2012 and merges the functions previously carried out by the Criminal Records Bureau (CRB) and Independent Safeguarding Authority (ISA).</p>	<p>See Supplementary Information on the Terms and Conditions of Employment (for staff), at http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=490</p> <p>And, the Student On-line handbook section on disciplinary matters and complaints.</p> <p>Individual arrangements for each field trip need to be considered in the planning stages.</p> <p>Such fieldwork must be well-planned (see Chapter 9 especially on PDCA cycle) with sufficient time allowed to check these statutory requirements.</p> <p>UoM Child Protection Policy and Guidance at http://documents.manchester.ac.uk/display.aspx?DocID=4287</p>
14 – Health & medical issues	<p>Develop a process to manage health concerns arising from fieldwork linking a health screening and monitoring programme for fieldworkers to assessed needs.</p> <p>Develop clear protocols for disclosing and sharing health</p>	<p>For general arrangements, see Occ Health WebPages at http://www.staffnet.manchester.ac.uk/services/occupational-health/travel/</p> <p>Also, see Health Needs Assessment Form: for students and staff undertaking Work Placements/Electives/Field Trips/Expeditions and Study Abroad.</p>

UCEA/USHA section	University level core actions	UoM
	information.	<p>http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=9752</p> <p>See Records Management webpage for data protection information (http://www.staffnet.manchester.ac.uk/services/records-management/)</p> <p>Information on data security can be found at http://documents.manchester.ac.uk/display.aspx?DocID=7689</p>
15 – Fieldworkers with disabilities	Institutions should have clear policy relating to health and disability issues. They must be clear about the exceptional circumstances under which health information will be shared and/or fieldworkers' activities may be modified or limited in the interests of their own health & safety or the safety of others.	<p>General policy about holding information is at http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=8125</p> <p>The Occupational Health webpage's also provide general advice and guidance about the impact of health on the ability to work or study - http://www.staffnet.manchester.ac.uk/services/occupational-health/</p>
16 – Third party providers	The Institution must ensure that the arrangements are clear with regard to the steps required to assess the competency of third party providers both within and outside the UK. The level of assessment and record keeping must be risk based.	<p>The definition of a 3rd party is not included in the UCEA glossary of terms but is described in BS 8848 <i>Specification for the provision of visits, fieldwork, expeditions, and adventurous activities, outside the United Kingdom</i>, clause 2.22 as " third party provider - any provider of one or more contracted services to the venture provider".</p> <p>The level of due diligence required will depend upon the individual circumstances. Fieldworkers should refer to the good practice detailed in section 16 of the UCEA guidance.</p>
17 – Accommodation	Ensure that the Fieldwork Health & Safety Policy effectively communicates the standards that must be achieved for accommodation used both in the UK and overseas.	<p>Chapter 9 on Risk Management provides the basis for a decision on what is suitable accommodation, as this will vary immensely depending on the type of fieldwork.</p> <p>The acceptable standard, together with any necessary specific adaptation or requirement for the fieldwork and/or participants, must be agreed by the fieldwork leader and team, or individual concerned, described in the risk assessment and communicated to participants in advance.</p>

UCEA/USHA section	University level core actions	UoM
18 – Catering	No core actions defined at institutional level	Chapter 9 on Risk Management provides the basis for a decision on catering, and safety of food and drinks available locally, as this will vary immensely depending on the type of fieldwork.
19 – Transport	Ensure that the Fieldwork Health & Safety Policy of the institution effectively communicates the standards that must be achieved for transport used both in the UK and overseas, e.g. to avoid any minibus not fitted with seatbelts.	<p>University Health & Safety Arrangements : Chapter 21, Driving at Work</p> <p>For overseas travel, so far as is reasonably practicable, arrangements should be made prior to departure that the transport of choice is adequate. At embarkation a member of the fieldwork leadership team should make reasonable checks that the transport provided is not unsafe. In many circumstances this will require a dynamic assessment to be made.</p>
20 – Equipment	No core actions defined at institutional level	See Safety Services webpages A-Z for guidance on specific types of equipment, general requirements re maintenance, etc (PUWER, LOLER). See Chapter 9 on risk assessments generally.
21 – Monitoring and review	Institutions must establish a formal method to review fieldwork process and procedures regularly and/or following a major incident.	<p>See Chapter 12, Measuring performance, monitoring and auditing, and also section 7 above.</p> <p>See Chapter 9, Health & Safety Risk Management & Risk Assessments – key principles include the review stage of the Plan-Do-Check-Review cycle.</p> <p>Organisation, para 14(m) delegates the review of h&s arrangements at local level to Heads of Schools and Directorates.</p> <p>Chapter 14, School and local health & safety committees provides a means of doing this at school/directorate level.</p> <p>Chapter 6, Accidents and Other Incidents describes the general arrangements for the University of Manchester for investigating and responding to accidents and incidents.</p>

Document control box	
Title	Chapter 24 : Health & safety in fieldwork
Date approved:	Version 1.0 - 2 May 2013 (by email confirming Chair's approval, after allowing an additional 1 month after SHE Committee on 28 March 2013 for members to comment).
Approving body:	Safety, Health & Environment Committee
Implementation date:	2 May 2013
Version:	Version 1.3 May 2016, Correction to Table of prompts re FCO advice; paras 10 & 14 wording amended to reflect delivery of changes previously noted as work in progress. Version 1.2 Apr 2016, Personnel update Version 1.1 approved 10 Oct 2013 – addition of paras 15 & 16 on insurance issues, and rearrangement of diagram and table. Additional line in table re FCO advice
Next review date:	Upon significant change /3 years
Owner of this chapter	Occupational Health, Safety & Training Advisory Group (OHSTAG) Chair : Professor Nalin Thakker Secretary : Dr Patrick Seechurn