**FIELDWORK (In Country) RISK ASSESSMENT TOOL**

Travel for work, study, research, or any other University business must **not** be booked without approval, no matter how far in the future the planned trip is. It remains foreseeable that the trip may be cancelled due to COVID-19, and therefore it is extremely unlikely that insurance cover will apply if your trip is cancelled for this reason. Any financial losses due to this would need to be absorbed within your College or Service.

The existing exceptions approval processes will remain in place for travel requests (domestic).

***NB:*** *This includes checking that the receiving destination also classes the travel reason as “essential” – travel classed as essential by one Government may not be by another, in which case entry may be denied.*

Given the current uncertainties about travel during the COVID-19 pandemic there should be particular focus on the essential nature of the trip.

If there are exceptional circumstances meaning that travel is essential and unavoidable, please complete this risk assessment form, which also refers to COVID-19 considerations.

When planning your travel, using current [UK Government COVID-19 restrictions](https://www.gov.uk/guidance/covid-19-coronavirus-restrictions-what-you-can-and-cannot-do#travelling-within-the-uk-the-republic-of-ireland-and-the-channel-islands) or other country restrictions, monitor advice for your destination and update your travel arrangements and this risk assessment accordingly.

This enhanced assessment is based on trusted external advice to consider when planning travel. This form is designed to include COVID-19 related questions and replaces the standard fieldwork risk assessments (for the foreseeable) to reduce the number of forms to be completed.

***NB:*** *This risk assessment should be used when travelling within a country e.g. within the UK OR within an overseas location and traveling to a different destination within the same country. If your fieldwork includes crossing borders into a different country please use the (International) Fieldwork Risk Assessment Tool.*

You must ensure that your trip is aligned to the University [Principles for Essential Travel](https://www.exeter.ac.uk/media/level1/academicserviceswebsite/governanceandcomplianceoffice/University_of_Exeter_Principles_for_Essential_Travel.pdf),which also sets out the required approval pathways.

For fieldtrips (education) the approvals process can be found on the Place Based SharePoint site at: [Process and procedure (sharepoint.com)](https://universityofexeteruk.sharepoint.com/sites/PlaceBasedLearning/SitePages/Process-and-procedure.aspx?source=https%3a//universityofexeteruk.sharepoint.com/sites/PlaceBasedLearning/SitePages/Forms/ByAuthor.aspx)

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| **Part 1: General information about the travellers and purpose of travel** | | | | | | | | | | | | | | | | | | | | | |
| Reference / Module Number/Name  *(if applicable)* | | | | | | | |  | | | | | | | | | | | | | |
| Fieldworkers Name:  (*Lead person if a group)* |  | | | | | | | College(s): | | | | | |  | | | | | | | |
| Assessors Name:  *(if different form above)* |  | | | | | | | Discipline(s): | | | | | |  | | | | | | | |
| Travel Start Date: |  | | | | | | | Travel End Date: | | | | | |  | | | | | | | |
| Contact Details – provide details for both prior to the trip and during the trip if different | | | | | | | | | | | | | | | | | | | | | |
| Email: |  | | | | | | | Telephone Numbers: | | | | | |  | | | | | | | |
| **NB:** Travel dates may be longer than the actual fieldtrip fieldwork dates. | | | | | | | | | | | | | | | | | | | | | |
| **Travel destination** | | | | | | | | | | | | | | | | | | | | | |
| What country are you travelling within? | | | | | | | |  | | | | | | | | | | | | | |
| Exact destination location(s) within the country? | | | | | | | |  | | | | | | | | | | | | | |
| *Answer all the questions in this section* Y / N | | | | | | | | | | | | | | | | | | | | | |
| Do you have existing knowledge and/or previous experience of visiting this location?  *(If yes, provide a brief description below. If no, describe what research you’ve undertaken to gain the knowledge needed to ensure your safety whilst on location)* | | | | | | | | | | | | | | | | | | | |  | |
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| Do you have any local contacts at the destination? | | | | | | | | | | | | | | | | | | | |  | |
| *Answer all the questions in this section* Y / N | | | | | | | | | | | | | | | | | | | | | |
| **Purpose of Travel** | | | | | | | | | | | | | | | | | | | | | |
| Describe the purpose and objectives of the trip  *(Provide as much detail as possible in a format that a lay person will understand)* | | | | | | | | | | | | | | | | | | | | | |
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| Can the teaching/research objectives be achieved without undertaking travel? | | | | | | | | | | | | | | | | | | |  | | |
| Does the teaching/research objectives need to be through face to face interaction? | | | | | | | | | | | | | | | | | | |  | | |
| Can teaching/research objectives be conducted using alternative methods e.g. technology?  ***NB:*** *If teaching/research objectives can be achieved by other means pursue this alternative in conjunction with planning the trip* | | | | | | | | | | | | | | | | | | |  | | |
| Can this trip be postponed or deferred to a later date? | | | | | | | | | | | | | | | | | | |  | | |
| ***NB:*** *If teaching/research objectives can be achieved in country pursue this alternative and refer to the*  *‘In Country Fieldwork Risk Assessment’ template* | | | | | | | | | | | | | | | | | | | | | |
| Number of staff travelling? | | | |  | | | Number of students travelling? | | | | | | | | | | | |  | | |
| Number of Undergraduate or Postgraduate (Taught) students (PGT)? | | | |  | | | Number of Postgraduates (Research) PGR etc.? | | | | | | | | | | | |  | | |
| Is this a teaching trip?  ***NB:*** *This could be teaching in the field, reconnaissance or compiling material for virtual teaching* | | | |  | | | Is this a research trip? | | | | | | | | | | | |  | | |
| **Staff Considerations (health and wellbeing)** | | | | | | | | | | | | | | | | | | | | | |
| *Answer all the questions in this section* Y / N | | | | | | | | | | | | | | | | | | | | | |
| Have all staff completed a Health Questionnaire within the last 12 months and shared the content with their line manager/supervisor?  ***NB:*** *Health Questionnaire can be found on the Fieldwork Standard web page and should be updated and re-submitted to the line manager/supervisor if/when there are changes to an individual’s health.* | | | | | | | | | | | | | | | | | | |  | | |
| Are any staff intending to travel at a higher greater risk of serious illness? *e.g. higher risk age group, and those with medical conditions, disabilities, unvaccinated e.g. COVID-19 etc.* | | | | | | | | | | | | | | | | | | |  | | |
| If Yes, please indicate below the arrangements in place to mitigate this? | | | | | | | | | | | | | | | | | | | | | |
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| Have any staff indicated a disinclination to travel? | | | | | | | | | | | | | | | | | | |  | | |
| If yes, will this have a negative impact on the staff to student ratio *(if applicable)?* | | | | | | | | | | | | | | | | | | |  | | |
| If the staff to student ratio is impacted, can alternative staff who are willing and able to travel be identified? | | | | | | | | | | | | | | | | | | |  | | |
| **Student Considerations (health and wellbeing)** | | | | | | | | | | | | | | | | | | | | | |
| *Answer all the questions in this section* Y / N | | | | | | | | | | | | | | | | | | | | | |
| Have any students indicated a disinclination to travel? | | | | | | | | | | | | | | | | | | |  | | |
| Have all students completed a Health Questionnaire or equivalent? | | | | | | | | | | | | | | | | | | |  | | |
| Are any students intending to travel at a higher greater risk of serious illness? *e.g. medical conditions, disabilities, unvaccinated e.g. COVID-19 etc.*  *NB: Refer to the process documents for fieldtrips or for fieldwork supervisor to discuss with student* | | | | | | | | | | | | | | | | | | |  | | |
| If yes, please indicate below the arrangements in place to mitigate this? | | | | | | | | | | | | | | | | | | | | | |
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| If yes, would participation in this trip have a negative impact on their health and wellbeing? | | | | | | | | | | | | | | | | | | |  | | |
| If yes, would **not** participating in this trip have a negative impact on their studies/research? | | | | | | | | | | | | | | | | | | |  | | |
| If yes, can the teaching/research objectives be achieved using different methods?  ***NB:*** *If teaching/research objectives can be achieved by other means pursue this alternative in conjunction with planning the trip* | | | | | | | | | | | | | | | | | | |  | | |
| **Health services and travel requirements** | | | | | | | | | | | | | | | | | | | | | |
| *Answer all the questions in this section* Y / N | | | | | | | | | | | | | | | | | | | | | |
| Have you gained information on the destinations medical infrastructure? | | | | | | | | | | | | | | | | | | |  | | |
| Is the existing medical infrastructure at capacity? | | | | | | | | | | | | | | | | | | |  | | |
| Have you considered how staff / students will access healthcare if needed? | | | | | | | | | | | | | | | | | | |  | | |
| Can you follow WHO recommendations e.g. small bottles (under 100 CL) of alcohol-based hand rub to be made available to facilitate regular hand-decontamination during travel? | | | | | | | | | | | | | | | | | | |  | | |
| Can arrangements be made to enable staff/students to wash their hands regularly and stay at least two meters away from people who are coughing or sneezing? | | | | | | | | | | | | | | | | | | |  | | |
| Have you sought/provided advice to all staff/students intending to travel? | | | | | | | | | | | | | | | | | | |  | | |
| What will staff/students do if they feel unwell whilst traveling e.g. who will they contact for support?  Provide details below of the arrangements in place | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| Have you sought/provided advice to all staff/students intending to travel? | | | | | | | | | | | | | | | | | | |  | | |
| *Select only the welfare and wellbeing issues that apply* | | | | | | | | | | | | | | | | | | | | | |
| Lone Working / Isolation  *(refer to part 5 for lone worker arrangements*) | | | | |  | Stress/Anxiety | | | |  | | Relationships  *(Working & Recreational*) | | | | | | | |  | |
| Workload | | | | |  | Medical Needs | | | |  | | Fitness / Exhaustion | | | | | | | |  | |
| Homesickness | | | | |  | Language Barriers | | | |  | | Food Intolerance | | | | | | | |  | |
| If yes to any of the above, provide details of the arrangements in place to address these issues | | | | | | | | | | | | | | | | | | | | | |
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| **Emergency response plans** | | | | | | | | | | | | | | | | | | | | | |
| Do you have a sufficient number of appropriately trained first aid participants on the trip? | | | | | | | | | | | | | | | | | | | |  | |
| Do you have immediate/local access to professional medical assistance? | | | | | | | | | | | | | | | | | | | |  | |
| If no, provide location details of the nearest professional medical assistance and how it can be accessed | | | | | | | | | | | | | | | | | | | | | |
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| Have you established what type/level of services are available from both a local and regional medical centre? | | | | | | | | | | | | | | | | | | | |  | |
| Are the type/level of services adequate to provide appropriate medical assistance should it be required? | | | | | | | | | | | | | | | | | | | |  | |
| Do you have contact numbers for all medical centres that you may need to access? | | | | | | | | | | | | | | | | | | | |  | |
| Have you got an incident response plan that you can invoke in an emergency situation should it be required? *e.g. medical, security, natural disaster etc.* | | | | | | | | | | | | | | | | | | | |  | |
| Provide summary details of the emergency response arrangements in place for this trip | | | | | | | | | | | | | | | | | | | | | |
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| Have you considered depletion of staff/student ratio should someone become unwell or incapacitated during the trip? *i.e. staff needed to accompany a student to hospital and remain with them for (potentially) the duration of their stay in hospital OR staff taken to hospital* | | | | | | | | | | | | | | | | | | | |  | |
| Provide summary details of the mitigating actions you’ve put in place to address staff/student ratio depletion in an emergency situation | | | | | | | | | | | | | | | | | | | | | |
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| ***NB:*** *If you’ve answered negatively to any of the questions above indicating that further actions are required transfer these to the action plan below* | | | | | | | | | | | | | | | | | | | | | |
| Remedial Action to be Taken | | | | | | | | | | | | | By Whom | | | | | | | By When | |
| *Insert the action to be taken and arrangements to be put in place in these rows* | | | | | | | | | | | | | *Insert Name* | | | | | | | *Insert Date* | |
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| *Add More Rows as necessary* | | | | | | | | | | | | | | | | | | | | | |
| **Ethics** | | | | | | | | | | | | | | | | | | | | | |
| Does the teaching/research activity have any potential ethical implications? | | | | | | | | | | | | | | | | | | | |  | |
| If required, have you applied for or obtained ethical approval?  For advice or further information, contact the [Research Ethics Governance Team](https://www.exeter.ac.uk/cgr/researchethics/)? | | | | | | | | | | | | | | | | | | | |  | |
| Ethics committee application ID number: | | | | | | | | | | | | |  | | | | | | | | |
| Briefly describe how the ethical implications have been addressed and managed | | | | | | | | | | | | | | | | | | | | | |
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| Describe the arrangements and agreements in place to manage any transfer of personal data associated with the teaching/research/business activity | | | | | | | | | | | | | | | | | | | | | |
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| Is there any risk of identifying safeguarding concerns, sexual abuse, exploitation or harassment for anyone involved in or connected with the activity? | | | | | | | | | | | | | | | | | | | |  | |
| If yes, describe how any potential risks will be managed  See University Safeguarding Framework <https://www.exeter.ac.uk/cgr/safeguarding/> and  UKCDR guidance <https://www.ukcdr.org.uk/wp-content/uploads/2020/04/170420-UKCDR-Guidance-for-Safeguarding-in-International-Development-Research.pdf> for further information | | | | | | | | | | | | | | | | | | | | | |
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| **Equality, Diversity and Inclusivity (ED&I)** | | | | | | | | | | | | | | | | | | | | | |
| Outline what measures have been taken to ensure that ED&I has been taken into consideration to ensure there is no unintended discrimination *e.g. age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, and sexual orientation.* | | | | | | | | | | | | | | | | | | | | | |
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| **Part 2: Restrictions, transport and accommodation arrangements** | | | | | | | | | | | | | | | | | | | | | |
| **Destination restrictions and requirements**  ***NB:*** *When answering the questions in this section consider**stop overs on route to your final travel destinations if there isn’t a direct route?* | | | | | | | | | | | | | | | | | | | | | |
| *Answer all the questions in this section* Y / N | | | | | | | | | | | | | | | | | | | | | |
| Is the destination affected by any restrictions, local arrangements such as curfews or closures that you need to take into account including schools / universities? | | | | | | | | | | | | | | | | | | | |  | |
| Does the destination location have specific regional or local entry requirements e.g. essential travel only?  *NB: If essential travel only is permitted, you must seek confirmation via local or regional Public Health authorities or equivalent that the purpose of your trip qualifies as essential before proceeding with the travel plans as entry may be denied e.g. UK restrictions differ between England, Wales, Scotland and Ireland*  *Example UK authorities include: Public Health Devon, Public Health Cornwall, Public Health Wales, Public Health Scotland etc.* | | | | | | | | | | | | | | | | | | | |  | |
| Does the destination require travellers to have undertaken a COVID-19 test (proved as negative)?  e.g. accommodation providers, institutes, schools, universities, islands e.g. Isle of Scilly, Lundy etc. | | | | | | | | | | | | | | | | | | | |  | |
| If yes, are you/the group able to be tested prior to travel?  ***NB:*** *For information about accessing a testing facility please contact the Exeter* [*Rapid Response Hub*](https://www.exeter.ac.uk/coronavirus/rapid-response/) *for advice (this applies to all staff/students regardless of location)* | | | | | | | | | | | | | | | | | | | |  | |
| If yes, are you able to fulfil this requirement? e.g. consider access to testing sites and cost of tests for outbound and return journeys *(where applicable)* | | | | | | | | | | | | | | | | | | | |  | |
| Can additional documentation (if required) be obtained by the traveller prior to the intended departure date and evidenced in a suitable format when requested? e.g. Proof of test results | | | | | | | | | | | | | | | | | | | |  | |
| Does the local Government have any additional advice against travel or restricting movement within country/region? | | | | | | | | | | | | | | | | | | | |  | |
| If yes, will any of these restrictions affect the intended teaching/research activities? | | | | | | | | | | | | | | | | | | | |  | |
| Has the receiving destination e.g. institute, confirmed that travel can proceed and you can be accommodated and teaching/research activities can be undertaken? | | | | | | | | | | | | | | | | | | | |  | |
| Do you have an alternative plan if you should test positive for COVID-19 prior to departure e.g. delays to travel plans e.g. another staff member in reserve who has had necessary training and briefing of the trip? | | | | | | | | | | | | | | | | | | | |  | |
| Would delaying travel have a negative impact on the intended teaching/research activities? | | | | | | | | | | | | | | | | | | | |  | |
| ***NB****: If any of the questions above indicate that further actions are required*  *please transfer these to the action plan below and ensure all actions have been completed prior to travel* | | | | | | | | | | | | | | | | | | | | | |
| Remedial Action to be Taken | | | | | | | | | | | | | By Whom | | | | | | | By When | |
| *Insert the action to be taken and arrangements to be put in place in these rows* | | | | | | | | | | | | | *Insert Name* | | | | | | | *Insert Date* | |
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| *Add More Rows as necessary* | | | | | | | | | | | | | | | | | | | | | |
| **Self-isolation requirements at destination** | | | | | | | | | | | | | | | | | | | | | |
| *Answer all the questions in this section* Y / N | | | | | | | | | | | | | | | | | | | | | |
| Does the destination have local or national self-isolation requirements? | | | | | | | | | | | | | | | | | | | |  | |
| Have you factored into the trip the need to extend the duration to allow for self-isolation? | | | | | | | | | | | | | | | | | | | |  | |
| Are you able to self-isolate upon arrival (if required) prior to starting work/activities? | | | | | | | | | | | | | | | | | | | |  | |
| Are you able to make adequate provision to meet welfare needs whilst in self-isolation? | | | | | | | | | | | | | | | | | | | |  | |
| Are you able to make adequate provision to meet medical needs whilst in self-isolation? | | | | | | | | | | | | | | | | | | | |  | |
| Does this travel plan comprise of multi-destinations?  Consider all elements of the trip and the implications of travelling from one to the other (any existing restrictions or potential changes whilst you’re in transit?) e.g. local and regional rules, closures between countries (UK specific) | | | | | | | | | | | | | | | | | | | |  | |
| *NB: If any of the above cannot be achieved or are problematic e.g. feasibility to extend the duration of trip, pursue alternative teaching/research/business activities that will fulfil the intended objective* | | | | | | | | | | | | | | | | | | | | | |
| If using public transport i.e. to reach the airport (internal flights) or port (to islands) have you considered the requirements (where applicable) of the need to wear face coverings and comply with social distancing whilst at stations, on public transport and at airports and ports? | | | | | | | | | | | | | | | | | | | |  | |
| Are you able to obtain a suitable number of face coverings and other supplies e.g. hand sanitisers, for the duration of the journey? | | | | | | | | | | | | | | | | | | | |  | |
| Have you considered any additional mitigation requirements if current travel and COVID-19 restrictions change prior to and during travel? | | | | | | | | | | | | | | | | | | | |  | |
| Can additional mitigation requirements be implemented in practice? | | | | | | | | | | | | | | | | | | | |  | |
| Can it be assured that staff/students are able to comply with the local and the destination’s local instructions? | | | | | | | | | | | | | | | | | | | |  | |
| **Airlines, Trains, Ferries, Airports, Stations and Ports** | | | | | | | | | | | | | | | | | | | | | |
| Are airline, trains or ferries continuing to travel to and from your intended destination? | | | | | | | | | | | | | | | | | | | |  | |
| Are there additional control measures within airports and ports during transit and at the final destination that you need to adhere to? | | | | | | | | | | | | | | | | | | | |  | |
| Are travel plans likely to be delayed/disrupted due to restrictions in place e.g. within airports, stations and ports? | | | | | | | | | | | | | | | | | | | |  | |
| Do you have mitigation arrangements in place if you are unable to reach your destination? | | | | | | | | | | | | | | | | | | | |  | |
| What modes of transport are you using to travel to your final destination and at your final destination?  *(include all that apply from starting point to the destination country)*  ***NB:*** *Consider both general travel safety principles AND COVID-19 restrictions and requirements and select the highest risk from the options listed*  [Coronavirus (COVID-19): safer travel guidance for passengers - GOV.UK (www.gov.uk)](https://www.gov.uk/guidance/coronavirus-covid-19-safer-travel-guidance-for-passengers) | | | | | | | | *Select all that apply* | | | | | | | | | | | | *Risk Rating* | |
| Private Vehicle (Self Drive) | | | | | | | |  | | | | **L** | |
| University Vehicle (Self Drive) | | | | | | | |  | | | | **L** | |
| Hired Vehicle (Self Drive) | | | | | | | |  | | | | **L** | |
| Hired Vehicle (with Driver) | | | | | | | |  | | | | **L** | |
| Public Transport (Road) | | | | | | | |  | | | | **L** | |
| Public Transport (Rail) | | | | | | | |  | | | | **L** | |
| Aircraft including internal transfers | | | | | | | |  | | | | **M** | |
| Taxi | | | | | | | |  | | | | **M** | |
| Motorcycle | | | | | | | |  | | | | **M** | |
| On Foot | | | | | | | |  | | | | **M** | |
| Sailing vessel | | | | | | | |  | | | | **M** | |
| If multiple flights or mode of transport used, provide a brief explanation? | | | | | | | |  | | | | | | | | | | | | | |
| **Coaches and/or minibuses**  In line with Government guidance, social distancing is required for coach/minibus use (a minimum of 1m+ social distancing between passengers), with other mitigations in place. Therefore, number of passenger capacities will be reduced for the foreseeable. | | | | | | | | | | | | | | | | | | | | | |
| Will you be using a coach/minibus? | | | | | | | | | | | | | | | | |  | | | | |
| If yes, how many coaches/minibuses will be used in total? | | | | | | | | | | | | | | | | |  | | | | |
| Will members of the University be driving a minibus(es)? | | | | | | | | | | | | | | | | |  | | | | |
| What is the overall capacity of each coach/minibus, assuming no social distancing?  e.g a standard minibus is 17 seater | | | | | | | | | | | | | | | | |  | | | | |
| What will be the reduced capacity of each coach/minibus, with minimum 1m+ social distancing?  e.g. in a standard 17 seater minibus, if the middle seats are not used, this would be 11 | | | | | | | | | | | | | | | | |  | | | | |
| What **other** mitigations will be put in place?  *Example mitigations include:*   * *Windows / vents to be kept open where possible* * *Hand sanitiser to be used when embarking / disembarking* * *Face covering to be worn whilst on transport, unless exempt* * *Same seats to be used by people for both outbound and inbound journeys* * *Rear seats to be filled first when embarking and other seats thereafter working towards the front* * *Those in the front seats to disembark first and so forth towards the rear seats* * *Other (SPECIFY)* | | | | | | | |  | | | | | | | | | | | | | |
| On arrival, are you being met at your destination country and/or final location destination?  ***NB:*** *Consider COVID-19 restrictions and requirements e.g. multiple people sharing a vehicle(s)* | | | | | | | | *Select all that apply* | | | | | | | | | | | | *Risk Rating* | |
| Traveling alone | | | | | | | |  | | | | **M** | |
| Meeting an unknown person | | | | | | | |  | | | | **M** | |
| Meeting a known person | | | | | | | |  | | | | **L** | |
| If multiple answers given, provide a brief explanation? | | | | | | | |  | | | | | | | | | | | | | |
| **Accommodation** | | | | | | | | | | | | | | | | | | | | | |
| How is your accommodation being arranged and booked?  ***NB:*** *All bookings should be made via the University’s preferred travel companies: Click Travel or Key Travel* | | | | | | | | *Select all that apply* | | | | | | | | | | | | | |
| Arranged and booked yourself? | | | | | | | | | | | |  | |
| Arranged and booked by the destination host? | | | | | | | | | | | |  | |
| Arranged and booked via the University? | | | | | | | | | | | |  | |
| Are you staying in single occupancy self-contained accommodation? | | | | | | | | | | | | | | | |  | | | | L | |
| Are you staying in shared accommodation (shared kitchen with own bathroom)? | | | | | | | | | | | | | | | |  | | | | M | |
| Are you staying in shared accommodation (shared kitchen and shared bathroom)? | | | | | | | | | | | | | | | |  | | | | H | |
| If staying in shared accommodation can a household bubble be formed and maintained throughout the trip? | | | | | | | | | | | | | | | |  | | | | M | |
| If using multiple shared accommodation can social distancing between household bubbles be formed and maintained throughout the trip? | | | | | | | | | | | | | | | | | | | |  | |
| If social distancing cannot be achieved will this have a negative impact on the intended teaching/research activities and the local community? | | | | | | | | | | | | | | | | | | | |  | |
| ***NB:*** *If any of the above cannot be achieved or are problematic pursue alternative*  *teaching/research activities that will fulfil the intended objective* | | | | | | | | | | | | | | | | | | | | | |
| **Bookings, reservations and insurance (*financial implications*)** | | | | | | | | | | | | | | | | | | | | | |
| ***NB****: No advance bookings or reservations are permitted without prior approval from your senior management.*  *All travel bookings must be made via Click Travel or Key Travel.* | | | | | | | | | | | | | | | | | | | | | |
| *Answer (Y/N N/A) for the questions in this section* | | | | | | | | | | | | | | | | | | | | | |
| Has accommodation been reserved? | | | | | | | | | | | | | | | | | | | |  | |
| Will cancelling journeys or accommodation once booked incur costs? | | | | | | | | | | | | | | | | | | | |  | |
| ***NB:*** *Confirmation that the trip has been approved is required prior to booking travel and accommodation, which must be booked via a University travel partner, obtained by contacting* [*procurement-operations@exeter.ac.uk*](mailto:procurement-operations@exeter.ac.uk)*.*  *If the host destinations are considering cancelling or are currently closed or the reason for travel has been removed and is beyond the control of the University, insurance cover may be in place.* | | | | | | | | | | | | | | | | | | | | | |
| If using personal vehicle for business use are vehicles adequately insured? *i.e. vehicle insurance policy includes ‘business use’* | | | | | | | | | | | | | | | | | | | |  | |
| If any equipment being taken, does it need any additional insurance to be in place? | | | | | | | | | | | | | | | | | | | |  | |
| ***Note:*** *Insurance cover alone should not be the primary consideration when deciding whether to travel (or not).*  *Costs incurred as a direct result of COVID-19 e.g. cancellations cannot be recouped via insurance and need to be factored into your College/Service budgets.* | | | | | | | | | | | | | | | | | | | | | |
| **Part 3: Research, teaching activities** | | | | | | | | | | | | | | | | | | | | | |
| What activities / tasks being carried out on the trip? (*include both work and recreational activities*) | | | | | | | | | | | | | | | | | | | | | |
| Activity / Task | | | | | | | | | | | | | | | | | | | | | |
| *Select only the activities that apply* | | | | | | | | | | | | | | | | | | | | | |
| ***NB:*** *Where multiple examples are provided in the activity / task list delete as appropriate*  *e.g. if ‘Photography’ only, delete the word ‘Filming’* | | | | | | | | | | | | | | | | | | | | | |
| Surveying (marine, terrestrial, coastal) | | | | | | |  | | Photography / Filming | | | | | | | | | | | |  |
| Swimming / Snorkelling  (freshwater/marine) | | | | | | |  | | Lifting / Carrying / Moving Objects/Animals and/or equipment | | | | | | | | | | | |  |
| Sailing / Boating (freshwater/marine) | | | | | | |  | | Teaching | | | | | | | | | | | |  |
| Diving (open water and/or restricted access) | | | | | | |  | | Laboratory work | | | | | | | | | | | |  |
| Skiing | | | | | | |  | | Water sports e.g. surfing, body boarding | | | | | | | | | | | |  |
| Caving / Pot holing | | | | | | |  | | Manufacturing / Engineering | | | | | | | | | | | |  |
| Climbing (hills, cliffs, rocks) | | | | | | |  | | Clerical / Administration / Attending Conferences/Meetings | | | | | | | | | | | |  |
| Work involving Mammals | | | | | | |  | | Work involving Amphibians | | | | | | | | | | | |  |
| Work involving Insects | | | | | | |  | | Work involving Fish | | | | | | | | | | | |  |
| Work involving Reptiles | | | | | | |  | | Work involving Birds | | | | | | | | | | | |  |
| Mining / Blasting / Quarrying | | | | | | |  | | Tree Felling | | | | | | | | | | | |  |
| Drilling / Coring | | | | | | |  | | Farming (Agriculture) | | | | | | | | | | | |  |
| Interviewing people | | | | | | |  | | Driving (roads/off-road) | | | | | | | | | | | |  |
| Hunting / shooting | | | | | | |  | | Archaeological excavation | | | | | | | | | | | |  |
| ***Other:*** *Use these columns/rows to add / insert other activities not listed in the examples provided above* | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | |  | |  | | | | | | | | | | | |  |
|  | | | | | | |  | |  | | | | | | | | | | | |  |
| **Training and Experience** | | | | | | | | | | | | | | | | | | | | | |
| *Answer all the questions in this section Y / N or N/A* | | | | | | | | | | | | | | | | | | | | | |
| Is there any specific training and/or experience required for this trip? | | | | | | | | | | | | | | | | | | |  | | |
| If Yes, what specific training and/or experience is required for this trip? *e.g. first aid, minibus driver training*  *Provide details below* | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| Are all participants sufficiently trained and/or experienced to partake in this trip? | | | | | | | | | | | | | | | | | | |  | | |
| If No, what arrangements are in place to protect the unqualified / inexperienced participants? *e.g. supervision etc.* | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **Equipment (outbound)** | | | | | | | | | | | | | | | | | | | | | |
| *Answer all the questions in this section Y / N* | | | | | | | | | | | | | | | | | | | | | |
| Is there any equipment being taken on the trip? | | | | | | | | | | | | | | | | | | |  | | |
| If Yes, provide a summary list the equipment being taken on the trip?  *Provide details below* | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| Is equipment being transported separately from passengers? e.g. sent to the destination in advance | | | | | | | | | | | | | | | | | |  | | | |
| If yes, what arrangements are in place? e.g. modes of transport etc.  *Provide details below* | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| Is equipment intended to be shared use with other colleagues/students? | | | | | | | | | | | | | | | | | |  | | | |
| If yes, what cleaning/hygiene arrangements are in place? e.g. COVID-19 touch points etc.  *Provide details below* | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| Do you anticipate any supply chain issues for new additional equipment required for this trip? | | | | | | | | | | | | | | | | | |  | | | |
| If yes, what mitigation have you got in place to address this? | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| Describe how the cost of purchasing equipment will be funded and any necessary procurement that would be required prior to the work being undertaken? | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| Is there any equipment / items that could harm users or others being taken on the trip e.g. x-ray, laser, containing radioactive equipment etc.? ***NB:*** *Care should be taken depending on the type and destination/route of travel* | | | | | | | | | | | | | | | | | |  | | | |
| If Yes, list and describe the equipment / items being taken on the trip? *Provide details below* | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| Is there a need for personal / respiratory protective equipment (PPE/RPE) (including face coverings)? | | | | | | | | | | | | | | | | | |  | | | |
| If Yes, list and describe any equipment being taken on the trip? *Provide details below* | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **Equipment (inbound)** | | | | | | | | | | | | | | | | | | | | | |
| Are you intending to bring items back that you didn’t originally take with you? | | | | | | | | | | | | | | | | | | |  | | |
| If yes, please list any (work/study/research related) items you are planning to bring back that you didn’t originally take with you *e.g. equipment, soil samples, rocks etc.* | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| If yes, describe how you intend transporting these items?  *Provide details below* | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| Do you intend leaving any equipment at the destination either for future use or disposal? | | | | | | | | | | | | | | | | | | |  | | |
| If yes, what equipment are you leaving behind and what arrangements are in place to store them safely or dispose of them responsibly? | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **PART 4: Licences, permissions or site access permits** | | | | | | | | | | | | | | | | | | | | | |
| *Answer all the questions in this section Y / N* | | | | | | | | | | | | | | | | | | | | | |
| Do you need any licences, permissions or site access permits for this trip? | | | | | | | | | | | | | | | | | | |  | | |
| If yes, describe what licences, permissions or site access permits are required including conservation areas and sites of special scientific interest | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| ***NB:*** *If you’ve answered negatively to any of the questions in Part 4 above indicating that further actions are required please transfer these to the action plan below* | | | | | | | | | | | | | | | | | | | | | |
| Remedial Action to be Taken | | | | | | | | | | | By Whom | | | | | | | | By When | | |
| *Insert the action to be taken and arrangements to be put in place in these rows* | | | | | | | | | | | *Insert Name* | | | | | | | | *Insert Date* | | |
|  | | | | | | | | | | |  | | | | | | | |  | | |
|  | | | | | | | | | | |  | | | | | | | |  | | |
|  | | | | | | | | | | |  | | | | | | | |  | | |
| *Add More Rows as necessary* | | | | | | | | | | | | | | | | | | | | | |
| **PART 5: Lone working** | | | | | | | | | | | | | | | | | | | | | |
| *Answer all the questions in this section* Y / N | | | | | | | | | | | | | | | | | | | | | |
| When will work be carried out? | | | | | | | | | | | Night: | | | | | | | |  | | |
| Day: | | | | | | | |  | | |
| Is there a possibility that someone will be lone working some or all of the time? | | | | | | | | | | | | | | | | | | |  | | |
| If Yes to lone working, what are the arrangements for maintaining contact with the lone worker(s)?  *Refer to the Lone Worker Standard and lone worker risk assessment for further information and guidance.* | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **PART 6: Communication methods / arrangements** | | | | | | | | | | | | | | | | | | | | | |
| Detail the arrangements in place for communicating with the University and at local level whilst on the trip e.g. lone working procedures in place - buddy systems, GPS, radios, mobile devices, email, social media etc. | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **PART 7: Are there any cultural issues to be considered?**  *i.e. the location / people / site where the work is taking place* | | | | | | | | | | | | | | | | | | | | | |
| *Select only the cultural issues that apply* | | | | | | | | | | | | | | | | | | | | | |
| Political Unrest | | |  | | | | Religious Customs / Spiritual Considerations e.g. festivals with people working at reduced capacity and/or transport links closed | | | | | | | | | | | |  | | |
| Local Level Political / Civil Issues | | |  | | | | Limitations in Photography / Film / Media | | | | | | | | | | | |  | | |
| Clothing Requirements / Dress Code | | |  | | | | Limitations in Alcohol / Cigarettes / Cigarette Paraphernalia | | | | | | | | | | | |  | | |
| If yes to any of the above, provide details of the arrangements in place to address these matters | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **PART 8: Are there any security issues?** | | | | | | | | | | | | | | | | | | | | | |
| *Select only the security issues that apply* | | | | | | | | | | | | | | | | | | | | | |
| Violent Crime / Assault | |  | | Terrorist Activity (local) | | | | | | |  | | | | Theft | | | |  | | |
| Kidnap | |  | | Arrest | | | | | | |  | | | | Other: | | | |  | | |
| If yes to any of the above, provide details of the arrangements in place to address these issues | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **PART 9: Activity and recreation arrangements** | | | | | | | | | | | | | | | | | | | | | |
| *Answer all the questions in this section* Y / N | | | | | | | | | | | | | | | | | | | | | |
| Have all staff and students been made aware of the rules and arrangements for the trip including both work and recreation activities? e*.g. code of conduct, COVID-19 restrictions on social activity, appropriate clothing, equipment, travel, accommodation, alcohol etc.* | | | | | | | | | | | | | | | | | | |  | | |
| ***NB:*** *If you’ve answered negatively to any of the questions in Part 9 above indicating that further actions are required transfer these to the action plan below* | | | | | | | | | | | | | | | | | | | | | |
| Remedial Action to be Taken | | | | | | | | | | | By Whom | | | | | | | | By When | | |
| *Insert the action to be taken and arrangements to be put in place in these rows* | | | | | | | | | | | *Insert Name* | | | | | | | | *Insert Date* | | |
|  | | | | | | | | | | |  | | | | | | | |  | | |
|  | | | | | | | | | | |  | | | | | | | |  | | |
|  | | | | | | | | | | |  | | | | | | | |  | | |
| *Add More Rows as necessary* | | | | | | | | | | | | | | | | | | | | | |
| **PART 10: Supporting information** | | | | | | | | | | | | | | | | | | | | | |
| *Answer this question Y / N* | | | | | | | | | | | | | | | | | | | | | |
| Can you confirm that all the information / documentation required in the ‘Supporting Information’ checklist can be obtained prior to departure?  ***NB:*** *Refer to the* [*Fieldwork Standard*](http://www.exeter.ac.uk/staff/wellbeing/safety/guidance/fieldwork/) *to access all additional forms, guidance etc.* | | | | | | | | | | | | | | | | | | |  | | |

#### PART 11: Risk Assessment

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Hazards** | | | | **Control measures** | **Score**  **A** | **Score**  **B** | **Risk Rating** | **Additional Actions Needed** |
| Hazards Inherent with the site/location | | Example Hazards | Description of the hazard | Insert the arrangements in place to mitigate the hazard becoming realised | Likelihood score | Severity rating | Score A x Rating B | Additional arrangements required to mitigate the risk |
| **physical Hazards** | Extreme weather | Storms / Rain / Sleet / Snow / Winds / Gales / Mists / Fog |  |  |  |  |  |  |
| High temperatures | UV exposure / Heat Exhaustion / Sunburn / Heat Stroke |  |  |  |  |  |  |
| Low temperatures | Hypothermia / Frostbite |  |  |  |  |  |  |
| Mountains / Cliffs | Ice falls / Crevices / Loose/falling rocks / Oxygen deficiency / Mudslides |  |  |  |  |  |  |
| Marshes / Quicksand | Soft ground / Floods |  |  |  |  |  |  |
| Excavation / Mines / Quarries / Caves | Roof fall/collapse / Oxygen deficiency / Confined spaces / Hidden shafts / Props/Supports failure / Floods / Radon / Poisonous atmosphere / Explosives / Dead ends / Explosive atmosphere |  |  |  |  |  |  |
| Marine / Coastal / Rivers / Lakes | Currents / Abnormal Waves / Lagoons / Quicksand / Obstacles (Underwater) / Riptides / Inland Waters / Flotsam & Jetsam / Loose Rocks / Sludge Pits / Unstable substrate |  |  |  |  |  |  |
| Forests | Fires / Undergrowth / Falling trees |  |  |  |  |  |  |
| Roads / Roadsides | Vehicles / Off-road terrain / Railways & Trains / Navigation |  |  |  |  |  |  |
| **Biological Hazards** | Flora | Plants Stings Fungi (consider poisonous/irritants) |  |  |  |  |  |  |
| Fauna | Animals (Mammals) / Fish / Arthropods / Bites / Stings / Amphibians / Reptiles / Insects / Poisonous Bites / Poisonous / Irritant Stings |  |  |  |  |  |  |
| Microbiological | Weil’s Disease Malaria / Typhoid / E.coli / Food-borne / Infections Tetanus / Cholera / Lyme disease / Campylobacter / Water borne / COVID-19 |  |  |  |  |  |  |
| **Chemical Hazards** | Agrochemicals | Pesticides / Herbicides / Nematicide / Insecticides / Fungicides / Fertiliser |  |  |  |  |  |  |
| Water Pollution | Dumps / Toxic Gases /  Waste Material / Sewers / Flammable Gases |  |  |  |  |  |  |
| **Man-made Hazards** | Machinery / Plant / Tools / Equipment | Ejected Parts / Sharp Edges / Moving Parts / Poor Maintenance |  |  |  |  |  |  |
| Electricity | Generators / Main Supply  (different voltages) / Poor Maintenance / Differing safety standards / Old equipment / Portable Appliances / Damaged Cables / Fire / Exposed circuits / Power lines |  |  |  |  |  |  |
| Vehicles | Poor Maintenance / Differing controls  Fuel fires / Collision (RTA) / Loose loads / Hazardous terrain |  |  |  |  |  |  |
| Buildings | Insecure/Damaged / Remote location / Poorly maintained / Utility supplies |  |  |  |  |  |  |
| Slurry and Silage Pits | Uneven ground / Gases |  |  |  |  |  |  |
| **Environmental Hazards** | Waste Disposal | Pollution / Disturbance of eco-systems |  |  |  |  |  |  |
| **General** | Loose terrain / Uneven surfaces / Water / Working at height / Slopes / Hills | Slip / trips or falls (including falls from height) |  |  |  |  |  |  |
| Lifting / Carrying / Moving Objects / Equipment / Animals | Load (e.g. shape/size/weight etc.) / Environment |  |  |  |  |  |  |
| **Human Hazards** | Knowledge / Experience / Training / Skills | Novices / Unfamiliar surroundings / Inexperience / Unskilled / Lack of Awareness / Lack of Knowledge / Insufficient Supervision / Untrained |  |  |  |  |  |  |
| Health / Fitness / Capabilities | Pre-existing health condition(s) / Disabilities / Lack of fitness / Physical / Sensory / Mental/Wellbeing concerns/difficult of distressing topics |  |  |  |  |  |  |
| Safeguarding/ preventing harm | Safeguarding concerns/risk of sexual abuse, exploitation or harassment to anyone involved in or connected to activity |  |  |  |  |  |  |
| **Activity Related Hazards** | Swimming / Snorkelling | Water / Location / Equipment / Currents / Waves |  |  |  |  |  |  |
| Diving | Currents / Abnormal Waves / Lagoons / Obstacles (Underwater) / Riptides / Inland Waters / Equipment |  |  |  |  |  |  |
| Skiing | Snow / Avalanche / Environment / Equipment / |  |  |  |  |  |  |
| Fire Arms and Explosives | Armoury / Equipment / Ammunition / Explosives / |  |  |  |  |  |  |
| Climbing / Abseiling | Falls from height / failure of equipment / |  |  |  |  |  |  |
| Boating / Sailing | Vessel / Water / Equipment |  |  |  |  |  |  |
| Manufacturing / Engineering | Poor Maintenance / Generators / Main Supply (different voltages) / Differing safety standards / Old equipment / Portable Appliances / Damaged Cables / Fire / Exposed circuits / Power lines |  |  |  |  |  |  |
| Drilling / Coring | Environment / Equipment / Machinery |  |  |  |  |  |  |
| Excavation / Mining / Quarrying / Caving | Environment / Equipment / Machinery / Water / Unstable ground / Collapse of structures / |  |  |  |  |  |  |
| Farming & Agriculture | Machinery / Equipment / Environment / Animals / Terrain / Differing safety standards / Old equipment |  |  |  |  |  |  |
| Forestry / Felling | Machinery / Equipment / Environment / Terrain / Falling objects / generators / failure of equipment |  |  |  |  |  |  |
| Water sports e.g. surfing / wake boarding | Water / Equipment / Waves / |  |  |  |  |  |  |

You must ensure that your trip is aligned to the University’s [Principles for Essential Travel](https://www.exeter.ac.uk/media/level1/academicserviceswebsite/governanceandcomplianceoffice/University_of_Exeter_Principles_for_Essential_Travel_V5_August_2021.pdf),which also sets out the required approval pathways.

For Filming, Fieldwork or Field Trips on taught programmes, please refer to the Travel Restart process for guidance on approval levels. The process and procedures document can be accessed [here](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Funiversityofexeteruk.sharepoint.com%2Fsites%2FPlaceBasedLearning%2FSitePages%2FProcess-and-procedure.aspx%3Fsource%3Dhttps%253a%2F%2Funiversityofexeteruk.sharepoint.com%2Fsites%2FPlaceBasedLearning%2FSitePages%2FForms%2FByAuthor.aspx&data=04%7C01%7CR.Loosemore%40exeter.ac.uk%7Cd7370a5138d846c8fc3108d8e7c643b5%7C912a5d77fb984eeeaf321334d8f04a53%7C0%7C0%7C637514186009706546%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C1000&sdata=04kqOYUKO54A2Hl1J8WLO3WHlATrE2HmtZedFFbB3Dg%3D&reserved=0).

|  |  |
| --- | --- |
| **Part 12:** **Approval Process - See link to the** [**Travel Approval Pathways**](https://www.exeter.ac.uk/media/level1/academicserviceswebsite/governanceandcomplianceoffice/University_of_Exeter_Principles_for_Essential_Travel_V5_August_2021.pdf)  ***NB:*** *It is the responsibility of Colleges /Services to approve their own fieldwork / fieldtrips / business travel risk assessments* | |
| *Every request for travel must be aligned to all of the overarching principle, and the approval process relevant to the College/Service making the request must be followed* | |
| **Assessors Signature:** |  |
| **Confirmation received that all actions have been completed and the required control measures are in place:** | **Yes / No** |
| **Level 1 Approvers Name:** |  |
| **Level 1 Approver’s Title:** *e.g. Supervisor, Line Manager, Tutor, Principle Investigator, Head of Department / Service etc.* |  |
| **Level 1 Approver’s Signature:** |  |
| **Approval Date:** |  |
| **Level 2 Approvers Name:** |  |
| **Level 2 Approver’s Title:** *e.g. Director, Research Restart Panel* |  |
| **Level 2 Approver’s Signature** |  |
| **Confirmation that copies of this risk assessment and all associated documentation is stored locally with an appropriate person:** *e.g. easily accessible if required in the event of an emergency* | **Yes / No** |

**Part 13: Likelihood, Consequence & Overall Risk Scoring (for use with Risk assessment Part 11 above)**

Consequence Score – Score B

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |
|  |  |  |  | **Consequence** |  |  |
| **Hazard Descriptor** | **ref** | **1** | **2** | **3** | **4** | **5** |
| **Insignificant** | **Minor** | **Moderate** | **Major** | **Catastrophic** |
| **Injury** | a | Minor injury not requiring first aid treatment | Minor injury (e.g. cut, bruise) / illness (e.g. faint) requiring first aid treatment | Moderate injury (e.g. sprain strain, fractures) / ill health / absent from work/studies for more than 3 days but less than 7 days | Major / multiple injuries / long-term incapacity / disability / absent from work/studies  for 7 days or more | Serious injury / multiple persons injured / permanent incapacity / fatality |
| **Student Experience** | b | Unsatisfactory experience (resolved) | Unsatisfactory experience  (readily resolved) | Miss-managed  (short term effects) | Miss-managed  (long term effects) | Totally unsatisfactory outcome  or experience |
| **Complaint / Claim Potential** | c | Locally resolved complaint | Justified complaint | Below excess claim / justified complaint involving lack of appropriate care | Claim above excess level / multiple justified complaints | Multiple claims or  single major claim |
| **Objectives / Projects** | d | Insignificant costs increase / schedule slippage /barely noticeable reduction in scope or quality | <5% over budget / schedule slippage / minor reduction in quality / scope | 5-10% over budget / schedule slippage / reduction in scope of quality requiring client approval | 1-25% over budget / schedule slippage / doesn't meet  secondary objectives | >25% over budget / schedule slippage / doesn't meet  primary objectives |
| **Service / Business Interruption** | e | Loss / interruption  <1 hour | Loss / interruption  >8 hours | Loss / interruption  >1 day | Loss / interruption  >1 week | Permanent loss of  service or facility |
| **Human Resources / Organisational Development** | f | Short-term low staffing level / temporary reduction in service quality  <1 day | Ongoing low staffing level reduction in service quality | Late delivery of key objectives / services due to lack of staff (e.g. recruitment, retention, sickness) . Minor error due to insufficient training / ongoing unsafe staffing level | Uncertain delivery of key objective/service due to  lack of staff | Non-delivery of key objective/service due to lack of staff / loss of key staff /  very high turnover |
| **Staff**  **Experience** | b | Unsatisfactory experience (resolved) | Unsatisfactory experience  (readily resolved) | Miss-managed  (short term effects) | Miss-managed  (long term effects) | Totally unsatisfactory outcome  or experience |
| **Financial** | g | Small loss  >£100 | Loss  >£1,000 | Loss  >£10,000 | Loss  >£100,000 | Loss >£1,000,000 |
| **Inspection / Audit** | h | Minor recommendations / minor non-compliance with standards | Recommendations given / non-compliance with standards | Challenging recommendations / non-compliance | Enforcement Action / multiple challenging recommendations / major non-compliance | Prosecution / severely  critical report |
| **Adverse Publicity / Reputation** | i | Rumours | Local Media (short-term) | Local Media (long-term) | National Media <3 days | National Media >3 days MP concern (Questions in House) |

Likelihood Score – Score A

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **1** | **2** | **3** | **4** | **5** |
| **Descriptor** | **Rare** | **Unlikely** | **Possible** | **Likely** | **Almost Certain** |
| **Frequency** | Not expected to occur for years | Expected to occur at least annually | Expected to occur at least monthly | Expected to occur at least weekly | Expected to occur at least daily |
| **Probability** | < 1% | 1 – 5% | 6 – 20% | 21 – 50% | > 50% |
| Will only occur in exceptional circumstances | Unlikely to occur | Reasonable chance of occurring | Likely to occur | More likely to occur than not |

Overall Risk Score (A x B) – Risk Rating

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Likelihood** | **Consequence** | | | | |
| **1**  **Insignificant** | **2**  **Minor** | **3**  **Moderate** | **4**  **Major** | **5**  **Catastrophic** |
| **1 - Rare** | **1** | **2** | **3** | **4** | **5** |
| **2 - Unlikely** | **2** | **4** | **6** | **8** | **10** |
| **3 - Possible** | **3** | **6** | **9** | **12** | **15** |
| **4 - Likely** | **4** | **8** | **12** | **16** | **20** |
| **5 - Almost**  **Certain** | **5** | **10** | **15** | **20** | **25** |