



HEALTH, SAFETY AND SECURITY WHEN TRAVELLING AND WORKING OVERSEAS

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This Procedure covers:

- **planning your work in advance**
- **control of the risks**
- **review and adaptation**

INTRODUCTION

NERC staff carry out short- and long-term research projects, and attend conferences, overseas. The **Health & Safety at Work etc Act 1974** does not apply overseas, but the NERC policy is to give the same level of protection as if it does. While such work would normally be subject to the Health & Safety regulations of the country concerned, NERC cannot allow its staff to work to a lower standard of safety just because they happen to be working abroad. We therefore require the same standards to be adopted wherever staff are working, as far as is possible.

Safety and Security - Safety aims to prevent harm to individuals from unintended occurrences arising from or during the work. Security aims to prevent threats, both to individuals and assets, normally arising from intentional acts. When working overseas both aspects need to be covered. There have always been security threats to be considered when travelling and working overseas. In the past the type and degree of threat could, to a certain extent, be pre-determined, defined and graded with little or minimal research. In recent years, however, areas of political unrest, terrorist activity and the growing sophistication and boldness of criminal groups have increased enormously. To date, the greater majority of NERC non UK operational activities have taken place in areas perceived as and categorised as low / medium risk by the Foreign and Commonwealth Office (F&CO), Control Risks Group Ltd., (CRG) and NERC's insurers. In the main this information has only applied to political unrest and terrorist activity. Criminal groups now also operate in areas previously considered low risk such as east European states. The activities of all three have resulted in bombings, shootings, kidnapping, hostage taking and violent robbery / mugging especially against western and western associated personnel, interests and organisations.

Besides the normal risks associated with the research work itself, there are numerous other risks when travelling and working abroad:

- unfamiliar diseases and medical conditions
- the possibility of causing offence because of differences in culture
- additional risks in travelling (particularly in less developed countries)
- personal safety, especially in cities and on fieldwork in politically unstable areas
- language difficulties
- poorer communications
- lack of immediate back-up in the event of emergency
- suitability and safe use of equipment
- never really being "off-duty"
- preparing for practical work overseas.

You can deal with these difficulties by;

- **avoiding** the travel or work if the risk is too high or cannot be justified or **substituting** safer methods e.g. remote sensing
- detailed **planning** in advance – which should include knowledge gained from previous experience where appropriate
- **controlling** the risks as far as possible
- **reviewing** problems on return to base and adapting procedures accordingly.

You must report all accidents and incidents occurring abroad to the Research Centre's accident reporting system as soon as you can.

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NOTE: Risk assessment is an essential part of planning overseas work; see [NERC Health & Safety Procedure Number 12, "Risk assessment and risk management"](#). You must carry out risk assessments for work overseas. As well as assessing the health and safety risks inherent in the research work itself, those working overseas must assess the additional risks to personal safety and security involved in the overseas travel itself, as set out in the introduction, before work starts.

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OPERATIONAL PROCEDURE

Management involvement

To make it easy for staff who plan to work overseas to obtain the information they need, one member of administrative staff should be made responsible for co-ordinating the information; s/he will then maintain up-to-date lists of web sites, addresses etc that overseas workers need to contact.

The administrative co-ordinator can issue the standard covering letter, which staff can find in the NERC overseas conditions of service handbook (available from local HR / Personnel sections). The co-ordinator will act as UK contact for staff working overseas.

Senior management involvement depends on the level of risk identified. Work in 'extreme' areas as defined by CRG cannot proceed. Where it is considered the proposed overseas travel is high risk, as determined either by the CRG security class for the country or area to be visited or because the work is high risk on safety grounds as a result of a preliminary risk assessment, Directorial approval must be obtained and the local Health & Safety Advisor involved. In addition, NERC Corporate Risk, Health & Safety and Security staff should be informed. If there are any doubts about whether the overseas high risk travel / work should proceed or not, the proposal may need consideration at the NERC Executive Board level.

Staff involvement

Staff, in particular local line managers, carry personal responsibilities and liabilities for work overseas. These are outlined in Appendix VIII. As in the UK, all staff are generally responsible for their own health, safety and security. Although the Health & Safety at Work Act (1974) does not generally apply overseas, it is NERC policy that responsibilities on individuals for work overseas shall be the same as if Section 7 of the Act always applied. This requires all staff to follow all reasonable health, safety and security policies, risk management and instructions produced by NERC management.

Unfamiliar diseases and medical conditions

There are a number of ways of finding information about this. You can:

- consult your site occupational health provider who will often also provide basic vaccinations etc.
- inquire at your GP's surgery
- consult BMI Healthcare who will arrange for unusual vaccinations at their London clinic (note that you might be required to remain at the clinic for a period after some vaccinations because of the possibility of side effects)
- contact the Medical Advisory Service for Travellers Abroad web site www.masta.org/ - this service may include a small cost
- contact the World Health Organization (WHO) www.euro.who.int/
- contact NERC BusinessTravel insurers website – at www.aigassist.co.uk

If you develop any illnesses, fever or skin infections within two months of your trip abroad, inform your doctor about your trip in case you contracted the infection while you were abroad.

Travellers to tropical countries, or other countries with reported health issues, should have health screening at least every two years or following five substantial overseas trips. This screening will include checks for presence of antibodies etc. related to specific issues in the countries visited. Sources for such health screening can be obtained from corporate health & safety. NOTE: the need for this is subject to risk assessment; trips to lower risk areas of such countries (often cities/ports rather than in the field) may not trigger such health surveillance.

Differences in culture

Your contact in the country you are visiting will help you with this. Guidebooks about the country you are visiting give guidance on cultural issues. You must consider these issues at the planning stage. **See section on "What might go wrong".**

Additional risks in travelling

However you travel, there are risks and threats – but see [Appendix V](#), Personal safety and security checklist, for advice on minimising them. If your trip involves visiting a country in a different time zone, allow yourself time to recover from jet lag before returning to work (see Appendix IV, Jetlag).

Personal safety and security

Simple guidance appears in [Appendix V](#), Personal safety and security checklist. Much of this guidance is equally relevant in the UK. The Control Risk Group (CRG) web site gives advice on security issues for overseas countries and parts of countries – see www.crg-online.com (passwords for NERC staff can be obtained through local Personnel departments). Guidance from the Foreign and Commonwealth Office on the areas being visited should also be consulted: <http://www.fco.gov.uk/en/travel-and-living-abroad/>. NERC's business travel insurers can also be contacted for information through the Corporate Risk Group, who can be contacted through your local HR / Personnel section. Local British Embassy/Consulate staff and associated specialists such as the defence attaché in the country/countries to be visited may also be able to give advice.

It is important to establish the level of risk using the flow diagram and stepwise risk assessment approach described later in this document. The basis and starting point for this, from the Security viewpoint, is the CRG risk categories for the intended destination and anywhere where it is necessary to stay or travel through en route to the final destination. If CRG assign Extreme risk to anywhere it is necessary to stay or travel through en route to the final destination in the CRG categories, the trip should not go ahead. If CRG assign a High risk to anywhere it is necessary to stay or travel through en route to the final destination this must lead to a more detailed consideration and justification of the proposed overseas trip. This will require the approval of a Director to be obtained, involvement of the Local Health & Safety Advisor and informing Corporate Health and Safety, Security and Risk, who may recommend the trip is referred at NERC Executive Board level for consideration (suggested format is given at [Appendix XI](#)).

In addition to an assessment of health and safety aspects, an assessment of security will be required as both an initial and ongoing requirement. The latter being needed after arrival overseas and depending on the risk situation may well need to be carried out on a daily basis. Security aspects of the risk assessment should consider operations in non-UK areas under four headings: (i) Pre-detachment; (ii) En route / transit stopover; (iii) On arrival overseas or 'on station' for some marine operations) and (iv) Ongoing operations overseas / 'on station'.

A number of agencies / authorities can be consulted in order to gain further information in establishing security risks, see [Appendix VII](#)

Marine security operations fall under the provisions of the International Ships and Port Facility Security Code (ISPS) which is summarised in [Appendix X](#)

A pre-detachment reconnaissance ('recce') should be strongly considered to more accurately assess the risk for the final operation and help in identifying mitigation and suitable / appropriate precautions. This is especially appropriate for land and air operations taking place in areas away from major towns / cities / airports, where the work involves an elevated level of risk (e.g. CRG High Risk category) and the duration of the work is long (e.g. a month or longer) or involves deployment of valuable or sensitive equipment such as aircraft and where infrastructure details are unknown or unsure. A checklist for such situations is given at [Appendix XII](#). Recce should not be relied on if taking place more than three months before the operation starts in areas of political unrest. It may be necessary, therefore, to carry out more than one recce.

Where travel to the final destination requires en route stops for business / administrative reasons the risk level for the stop-over location, be it port, airfield, town or city it should be considered in the overall risk assessment and the security guidelines followed.

On arrival overseas, the offices of the relevant UK and local government agencies and other necessary operational agencies i.e. local stakeholders and / or collaborators should be contacted. Details processed during the pre-detachment phase should be confirmed or

amended as appropriate. N.B. Depending on locally assessed risk level daily security risk assessments may be carried out to ensure the security of the science operation in all respects in light of perceived and actual risks. Emergency evacuation procedures from the operational area and / or country should be included. On-going reviews should continue on a timescale the risk level requires i.e. weekly / daily and a situation report should be sent direct to the UK operational offices.

Risk levels may well vary between operating in a town / city and operating outside built up areas, especially if the operation is camp based or regular trips are required over a period of time.

For health and safety, assessment of the risks pertinent to the travel, including the return journey, the locations visited and the nature of the work being undertaken during the period overseas, will be required. Travel and work can be combined in a single risk assessment or kept separate. The checklists at [Appendix I](#) (Manager's checklist) and [Appendix II](#) (hazards) will be relevant to drawing up the risk assessment for the location of the work. [Appendix III](#) gives a list of suggested matters/headings that may be covered by the risk assessment.

All non-UK operations in categorised high risk areas are to be listed on the NERC Risk Register.

Poorer communications

Keeping in touch may be a problem in some countries. Use mobile phones, satellite phones or 2-way portable radios (if they have sufficient range). Otherwise make arrangements to report in at regular intervals via landlines or the internet, possibly daily, on long journeys, or if you are spending a long period in a remote area. Agree with your contact what action they should take if you do not get in touch at the prearranged time.

Emergencies

Health, travel and personal safety are the areas in which emergencies are most likely to happen. With regards to health, establish at the planning stage what medical facilities will be available where you are to work. If they are inadequate, or if you have special medical needs which cannot be met, managers must decide how to provide protection for staff. For difficult to foresee emergencies such as road accidents, obtain adequate travel insurance before you leave and carry contact details with you at all times. In some remote countries it is worthwhile carrying these details in the local language. Remember that there might be language problems and make sure that your emergency contacts will understand English (if necessary you can report emergencies through an English-speaking intermediary). Sites must set up emergency arrangements before staff travel abroad. The administrative co-ordinator will have full details of the emergency arrangements, including lists of contacts in the UK and abroad.

With regards to travel and personal safety/security, review the advice given in [Appendix V](#).

In areas with significant to high security risks, a full emergency procedure with regular review is required. If review indicates increased risk beyond the point considered acceptable (usually "extreme" on the CRG scale), the work should not go ahead and, if work is in progress, all personnel must be evacuated immediately according to a pre-arranged plan.

Suitability and safe use of equipment

If you take NERC equipment for your overseas project, check it is suitable, safe and adequate for the operating conditions that can be anticipated. If you intend to use local equipment, follow the procedure set out in "Preparing for laboratory work overseas" below.

Contingency planning

Decide in advance what you will do if, for example, some equipment fails to arrive with you. How essential is it? At what point should the trip be aborted?

Never really being "off-duty"

You will be overseas on NERC's behalf 24 hours a day, 7 days a week. You need to be aware of the additional stresses and strains that this will impose. NERC remains responsible for your health and wellbeing throughout your stay, unless you go on pre-planned leave for a significant period. To make the leisure hours of your life abroad more pleasant and less

stressful, take the following actions before you go:

- consult members of staff who have previously worked in the country you are going to
- seek advice from personnel staff
- refer to guide books.

When you reach your destination, your local contact should be able to give you advice on making good, safe and pleasant use of your leisure time.

Preparing for laboratory work overseas

If your project will involve laboratory work, obtain written information about laboratory facilities several months **before** travelling and request copies of any relevant working procedures and risk assessments, in English if possible but if not you may need to have them translated. Ensure that work protocols and risk assessments take account of the facilities available. If you think that the laboratory facilities are likely to be inadequate for the proposed work, seek advice from your manager and safety advisor.

Conferences overseas

Conference dinners can be lengthy and well supplied with alcoholic drink. If your accommodation is at a different site, it is unwise to walk or use public transport late in the evening when tired or where judgement may be impaired due to having consumed alcohol. Travel back with others, and follow the procedures for taxis if transport has not been laid on for you.

Overseas conferences, especially in exotic locations, sometimes arrange sightseeing trips which can be some distance from the conference site and may be rural, at high altitude, very hot, wet or dry, etc. If you opt for one of these trips, be prepared with the appropriate injections, clothing such as hats, protective creams, insect repellents, drinks etc.

Authorisation

Before you set off on an overseas visit, your manager should review with you the arrangements for your trip, and sign the risk assessments, as required, to show that s/he is satisfied that you have considered the problems and made suitable arrangements to minimise them. If the work is high risk, e.g. involves visiting a high risk area as determined by CRG or as a result of the risk assessment, the trip must be discussed with your local Safety Advisor and approved by your Director, with details sent to NERC Corporate Risk, Health & Safety and Security (any format for this information is acceptable but a suggested format is given at [Appendix XI](#)). In certain circumstances the proposal for high risk overseas work may need to be referred at NERC Executive Board (NEB) level.

Record actions

If something does not go according to plan, make a note of the changes you have had to make in order to overcome the difficulties. This record of your actions will help on your return, when you review your trip and make changes to your assessment etc. in the light of experience.

Encourage and monitor feedback

When you return to the UK, feedback any useful information to the administrative co-ordinator at the same time as you review your trip.

Checklists and further information

To help you consider all the issues you are likely to face, see the appendices to this procedure.

STEPWISE RISK ASSESSMENT AND FLOW DIAGRAM

A stepwise approach should be taken to the risk assessment for working and travelling overseas, according to the flow diagram below. Journeys involving no greater risk than if working in the UK or in low risk areas only attract the basic requirements: organisational knowledge of the trip, basic travel insurance and emergency contacts and may involve few additional precautions to when doing the same work in the UK. As risk increases (as measured by the security and safety advice on the areas being visited or from the nature of the work being undertaken abroad as classified by risk assessment), higher levels of information, risk assessment and more stringent precautions will be required. [Appendix III: Headings for Risk Assessment pertaining to the overseas work and travel](#) may help in drafting or reviewing the risk assessment(s) for higher risk work and can be used to cover either travel or work aspects of the overseas visit, or both combined.

Decisions on the basic level of risk are founded on the Manager's Checklist ([Appendix I](#)), the Hazards Checklist ([Appendix II](#)) the advice on the specified websites and the internal risk assessment. The levels of Security risk for the areas being visited described below are primarily based on the CRG classification. Descriptions of categories of security risk will vary between sites / sources, the FCO advice or specialist local advisors, such as Embassy or Consulate staff / attachés, may be used to inform the risk assessment. High risk from a purely safety aspect will depend on the nature / location of the work and other risks, such as those to health (see [Appendix IX](#)).

As with all risk assessment and risk management, staff should be involved in both the generation of a Safe System of Work and its review. All staff involved in the travel should be fully aware of, and agree to, the risk management in place and should undergo the travel only when they have the knowledge and resources to put the agreed risk management into practice. It is management's responsibility to ensure that this is the case.

It is senior management's responsibility that proposals for high risk work are brought to the attention of their Safety Advisor and Director with details forwarded to the NERC Corporate Risk, Health & Safety and Security personnel. NERC Corporate Risk, Health & Safety and Security will review the proposal and may recommend the trip is referred to the NERC Executive Board for consideration.



Determine the basic level of security risk using the CRG website (risk categories are given below). Also use FCO, Masta, WHO websites and the Manager's and Hazard checklists to assign safety risks. **THE RISK IS DETERMINED AS THE HIGHEST CATEGORY FOR HEALTH, SAFETY OR SECURITY**

RISK NO GREATER THAN UK / LOW RISK

- Management needs:
- Location of staff
 - Contact details
 - Next of kin
 - Safe system of work
 - Identify and agree business need
 - Ensure a risk assessment is completed if one would have completed for the same work in the UK

- Staff need:
- Travel insurance details
 - Emergency contact nos
 - To be aware of and follow advice in this document

MEDIUM RISK

- Management needs in addition to above:
- Documented risk assessment
 - Risk management for all significant risks beyond the basic guidance in this Procedure

- Staff need in addition to the above:
- To agree risk mgmt
 - To have resources to operate it
 - To follow the requirements
 - Obtain advice from your local H&S Advisor

HIGH RISK

- Management needs in addition to above:
- Justification for work
 - Approval from Director
 - Inform NERC Risk, H&S and Security
 - Possible referral to NERC Executive Board
 - Full risk assessment and mitigation

- Staff need in addition to the above:
- Full briefing and training in the risk management
 - Full understanding of the emergency procedures
 - Full cooperation with management requirements
 - To be assured that they are not pressured to do high risk work
 - Support whilst operating in high risk areas

EXTREME RISK

NOT PERMISSIBLE

ROLES AND RESPONSIBILITIES

Director: responsible for:

- approving high risk overseas work and ensuring that this procedure is followed.

Head of Site/ Head of Administration: responsible for:

- appointing the administrative co-ordinator
- providing 24-hour contact point
- setting up written instructions for emergency arrangements.

Division/ Section/ Group/ Unit heads: must:

- check that staff travelling overseas have gone through the steps of this procedure
- consult their local Safety Advisor as necessary and when high risk work is proposed
- ensure justification for high risk work is valid
- ensure proposals for high risk work are approved by the Director and details of the proposed work are forwarded to Corporate Risk, Health & Safety and Security
- ensure a suitable and sufficient assessment of risk has been undertaken
- sign risk assessments to show they are satisfied with their content and conclusions
- monitor arrangements while the staff member is overseas, making any necessary changes
- review arrangements when the staff member returns, recommending any necessary changes for future visits.

Local (Research Centre) Health and Safety Advisor: must:

- provide appropriate advice to staff planning work activities overseas
- ensure Corporate Risk, Health & Safety and Security have been copied the proposals for high risk work overseas that has been approved by the Director
- alert Corporate Risk, Health, Safety and Security of any non-compliance with this procedure.

Corporate Risk, Health & Safety and Security

- Review proposals for high risk overseas work and give advice as necessary. If there are any doubts as to the justification and precautions necessary to mitigate the risks for such work they may recommend the proposal is considered by the NERC Executive Board.

Administrative Co-ordinator: the administrative co-ordinator must:

- maintain up-to-date information sources
- provide a 24-hour contact service (in conjunction with other staff if necessary)
- have written instructions for emergency arrangements.

Staff: must:

- follow all the steps in this procedure in the planning stage
- help and assist in producing risk assessments
- make themselves aware of the contents and conclusions of any risk assessments and abide by their requirements
- co-operate in monitoring of arrangements in the lead up to the travel and whilst overseas and review of arrangements upon return.

WHAT MIGHT GO WRONG? – probable sources of system and individual failure

Management:

When staff are injured or suffer medical emergency while overseas: the normal back-up which can be given to staff in the UK is not so readily available.

Remedy – staff working overseas should have travel insurance enabling them to be flown back to the UK as quickly as possible. Sites should have written emergency plans which are known to travellers and to administrative co-ordinators. Staff should keep in touch regularly with their contact in the country and (if necessary) in the UK particularly for remote areas.

Cultural/legal differences: make sure that staff are aware of the major pitfalls of local customs or regulations. What would be innocent actions in the UK may have serious consequences in other countries e.g. drinking of alcohol or even dropping of litter.

Remedy – Written advice.

Staff:

Being robbed: If you wear jewellery or carry substantial cash you increase the risk of being robbed.

Remedy – buy a cheap watch, leave all other jewellery at home and carry only a small amount of cash, avoid 'looking like a tourist'.

Being unfamiliar with the currency: You may not recognise the value of coins and notes.

Remedy – Get used to handling the currency before you leave the UK. Work out comparisons with our currency and have prices for common purchases (cup of coffee, litre of petrol) in mind. This will avoid having to expose large amounts of currency when paying for goods and services.

Risk of being imprisoned: What would be innocent actions in the UK might lead to arrest or imprisonment.

Remedy – Brief yourself on the local political situation, local laws and customs before leaving the UK. Consider customs such as paying bribes. Understand whether your nationality is likely to make you unpopular. Know the address of the nearest British embassy, consulate or high commission. Bear in mind that some countries may not accept you if your passport bears a stamp from certain other countries.

Losing your luggage: You may need to hand over your luggage to other people at hotels or airports. Luggage should only be packed by yourself.

Remedy – Keep any valuables with you at all times, and avoid packing anything important or irreplaceable in luggage which you have to hand over to other people.

Being Injured

Remedy – Carry a letter to say who you are and a contact number. Carry basic first aid materials. Insure itinerary is with your contact in the UK.

Being Kidnapped

Remedy – Do not be confrontational. Agree to any demands.

MANAGEMENT, MONITORING AND AUDITING

Management:

The management of overseas safety requires:

- good, clear lines of communication between staff at all levels
- seeking appropriate health, safety and security advice
- if high risk:
 - justification for the work,
 - approval of their director
 - informing Corporate Risk, Health & Safety and Security
- thorough pre-planning and risk assessment
- support for staff through local contacts, UK contacts and written emergency arrangements.

Monitoring:

The monitoring of overseas safety requires:

- staff to feed back information to managers when things go wrong overseas
- managers to act promptly to resolve problems.

Auditing:

The auditing of overseas safety requires:

- effective monitoring and reviewing arrangements.

APPENDIX I: MANAGER'S CHECKLIST

		Check	Comment
Fitness to undertake work	<ul style="list-style-type: none"> • Fitness to work overseas under given conditions evaluated • Appropriate skills (e.g. driving, boat handling, diving) 		
Access	<ul style="list-style-type: none"> • Provision made for disabled, if necessary • Medical assistance arranged, if required • Special medical requirements met (e.g. need to keep medicines in a fridge) 		
Pre-planning	<ul style="list-style-type: none"> • Local conditions evaluated¹ • Adequate local advisory arrangements are in place² • If high risk, prior approval from Director • Risk assessments carried out³ • Identify how funds will be accessed in the country of travel • Health questionnaires completed and action taken • Next of kin and GP recorded • Medical problems noted • Vaccination (tetanus, plus any other suggested for the area to be visited) received by all participants • Ensure that vaccinations or any other medication are started early enough to give protection, and continued if necessary after your return. • Recent dental check up carried out • "Base" contact in UK informed of details 		
Health	<ul style="list-style-type: none"> • First-aid kit(s) including sterile syringes and cannulae obtained • Sterile packs organised/received 		
Training	<ul style="list-style-type: none"> • First-aid cover appropriate for work • Hygiene/health education advice given to participants 		
Equipment taken overseas	<ul style="list-style-type: none"> • Suitability and availability of equipment assessed 		
Accommodation/catering for fieldwork	<ul style="list-style-type: none"> • Reasonable living quarters available • Drinkable water or water purification tablets/sterilisation kits available • Ability to cater for special dietary needs actioned. • Availability of food provisions checked • Food preparation and storage facilities acceptable • Availability of fuel for cooking (remote fieldwork) checked and OK 		
Personal safety	<ul style="list-style-type: none"> • Risk of attack/harassment assessed and provided for (if necessary) • Method of routine communication established • System for communication in an emergency • Reporting schedule established • Accident and emergency plans in place 		
Hazards	<ul style="list-style-type: none"> • Work through Hazard Check list Appendix II 		

¹ must check CRG website: www.crg-online.com

² check suitability of any local advisor by obtaining references. Obtain agreement indicating what services will be provided and their cost.

³ a risk assessment is required for any procedure carried out overseas for which a Risk Assessment is required in UK.

APPENDIX II: HAZARD CHECKLIST

Hazard	Associated problems pertinent to overseas working	Tick if appropriate	Suggested Risk Management
Climatic extremes or remote location	dry/desert, high humidity, hyperthermia, monsoon/storms, oxygen deficiency/rarefied air, sunburn/skin cancer, tidal and other water considerations, extreme cold, hypothermia, rescue		
Contact with animals (wild or domestic)	allergies, asthma, bites and other physical contact, dermatitis, rabies		
Contact with insects	bites/stings, Lyme disease, malaria, yellow fever, Dengue fever etc		
Contact with venomous animals	availability of antidotes/medical back-up		
Contaminated land	Exposure to hazardous substances natural or anthropogenic.		
Contaminated food	allergies, food poisoning, Hepatitis A Giardia intestinalis		
Contaminated water	leptospirosis, bilharzia (sis) (schistosomiasis), onchocerciasis (river blindness) etc		
Contaminated (drinking) water	cholera, polio, typhoid, diarrhoea, legionella etc. Giardia intestinalis		
Electricity	compatibility of equipment and supply, safety standards (higher/lower/different)		
Emergencies (including fire)	arrangements and procedures (first aid provision, "Help" numbers/contacts, response expected)		
Endemic diseases	TB, tropical diseases etc		
Environment (local)	culture (customs, dress, religion, festivals)		
Excavations/confined spaces/tunnelling	permits to work (risk appreciation, safe place of work / systems of work)		
Hazardous substances/chemicals	containment (e.g. Lab, LEV), emergency treatment availability, safety data, spillage, labelling, transport requirements, waste / disposal		
Legal differences	local codes / guidance / standards, local statutes - staff informed and trained		
Natural phenomena	avalanche, earthquake, volcano, severe winds (e.g. tornado, hurricane), etc		
Contaminated needles/sexual contact	HIV, Hepatitis B & C etc		
Stress	accommodation problems, civil unrest, crime, vandalism and violence, extremes of heat / cold, fatigue, language / communication problems, lack of support (especially family / peers), loads/expectations excessive, loneliness/remoteness, sickness, unfriendly environment		
Transportation	competent driver(s), hazardous terrain, properly maintained vehicles, suitable transport, travel sickness		

APPENDIX III: Suggested headings for risk assessment pertaining to the overseas work and travel

1. Reason for visit
2. Overall level of risk after precautions and mitigation applied (using CRG categories for Security and results of preliminary risk assessment for safety / health aspects as starting points) for work and location(s) being visited – **High / Medium / Low**)
3. Justification (if high risk)
4. Nature of work to be undertaken
5. Personnel involved (including non-NERC staff accompanying)
6. Hazards (use checklists at Appendix I and II on specific overseas hazards – H / M / L)
7. Likelihood of hazards occurring under conditions of travel and work (H / M / L)
8. Overall level of risk (severity of hazard [incl. no. of people affected] x likelihood before controls applied – H / M / L)
9. Can travel be avoided or safer alternative methods of work employed? (e.g. remote sensing rather than on the ground)
10. Precautions to be employed (applying appropriate hierarchy to give safe place of work / control of hazards at source where possible rather than relying on less preferable option such as personal protection)
11. Improvements identified that need to be implemented to further reduce residual risk, either:
 - a) that must be in place before work commences (with confirmation followed by consequent re-assessment of risk to show effective) or
 - b) for future work
12. Monitoring of precautions (incl. pre-deployment reconnaissance visits) and review in light of experience (incl. decisions to abandon in case of unexpected conditions / events)
13. Health risks (incl. diseases endemic to areas visited, immunisations required before trip, prophylactic medication and emergency supplies)
14. Special risks and precautions eg for new and expectant mothers or young persons
15. Emergency procedures including means of maintaining contact / summoning help, regular check-ins, first aid, what to do if check-in fails to occur and medical emergency (which should not in first instance rely on Med-evac) and other foreseeable emergency situations including breakdowns.
16. Conclusion that risks are adequately controlled or justified
17. Approval
18. Acceptance by staff involved

APPENDIX IV: JETLAG

The symptoms of jet lag decline after a few days as the body clock synchronises with the new time clock.

The recommended ways of speeding this up are:

- Put sleep into a “sleep store” by going to bed earlier, or napping during the day, before the flight.
- Sleep on the flight.
- When you arrive, adopt the new local hours for sleeping, for being awake and for being active.
- Spend time outdoors in daylight, as this can help to reset your body clock.
- Rest in a quiet darkened room when it is bedtime, even if you do not feel tired.
- Start the new day with gentle exercise even if you feel sleepy.
- Avoid taking naps - they will mislead the body and delay adaptation process.
- Eat the appropriate meal at the appropriate local time.

Beware of some drugs that are given for jet lag - they are usually linked to promoting sleep, but can prolong synchronisation if their effects are carried over into the next day.

Do not drive or use any dangerous machinery following a long haul flight until after rest / recovery.

APPENDIX V: PERSONAL SAFETY AND SECURITY

ARRANGING A TRIP (UK OR OVERSEAS)

Provide sufficient information to enable staff to travel safely and in reasonable comfort. Where the travel is to a volatile area, make staff and their managers aware of the current situation and have contingency plans should the trip need to be cancelled at the last minute (e.g. details of the full itinerary and arrangements for making contact with the group, even en route). There should be a procedure for providing workable communications for use overseas.

Before leaving, give your office and next of kin a complete itinerary of your flights and hotels. If you have to change your itinerary during your travels always make sure you inform your office and family of these changes.

Particularly for long-haul flights and tropical countries it is reasonable to ask individuals to inform you of pre-existing medical conditions that may require particular attention during travel or on arrival. It is in the individual's interest to co-operate by providing any relevant medical information.

Whilst travelling to, within, or working in non-UK areas, even when categorised as non-risk areas in terms of Political Unrest and Terrorism, the normal everyday personal security risks still apply.

Increasingly across the world individual criminals and sophisticated criminal gangs operate widely and in some cases openly. It is imperative therefore to "be prepared" and not adopt "it won't happen to me" attitude. The following travel advice/security guidelines are for serious consideration and action prior to and during non-UK operations.

General Advice and Guidelines

Security awareness begins with four basic principles:

- be low key – in appearance (dress)
- be AWARE – of surroundings
- be unpredictable – in activity/routine
- maintain effective "proven" communications with a known base at all times.

It is in the best interest of business travellers to learn as much as possible about the country to be visited, and then rehearse what to do in an emergency.

Inform the British Authorities in the country prior to departure, of your business objective, itinerary, point of contact, venue and accommodation. Ask for advice concerning the need to contact them on arrival/during stay/on leaving.

Some basic tips? Use inconspicuous luggage. Label with your name but not the address. Place a contact address inside the luggage. Also, avoid using airport porters, which necessarily means you must be able to carry all of your luggage yourself.

Be wary of individuals posing as taxi drivers. If in doubt, seek help from the airport information desk. Be alert to what's going on around you as bogus cabbies, pickpockets and thieves actively target the airport environment. At no time take any photographs.

Check any visa requirements, security precautions or prohibited items.

Take photocopies of the details page of your passport, visa and tickets and keep them separate from your wallet or purse, and keep a further copy at home, especially your Passport.

Take a small amount of local currency to avoid changing money at the arrival airport.

Make sure you have the numbers needed to cancel credit cards or travellers' cheques in the event of loss.

In general, you shouldn't be looking to carry large sums of money (and remember, never resist a mugger). Report any incident to the police to support your insurance claim. Don't carry all your credit cards, business travellers' cheques and money with you in the same wallet/purse/bag. Divide them up.

As a business traveller, you should whenever possible also take note of 'safe havens' on the route to your destination (i.e. police stations, hotels, hospitals, shopping malls) and, if involved in an accident, be very aware that the accident may have been 'staged'.

Travel checklist

The following checklist should be used to assess your personal safety while abroad.

What to do at your Hotel

- Avoid ground floor rooms or those to which access is easily gained from outside.
- Keep your luggage in sight when checking into the hotel. Do not leave it even for a minute.
- Place all valuables in the hotel safe deposit box (preferably when you check in).
- Close the door of your room when you are leaving, even for a short period of time. Then try to open the door to check that it's locked.
- Keep your door locked at all times while you are in your room.
- Lock your luggage when not in use and place it out of sight/lockable cupboard.
- Notify the manager of any unusual occurrences such as persons loitering in the corridor, repeated phone calls from persons who do not identify themselves, knocking on your door by persons unknown to you or finding no-one there when you answer.
- Never allow anyone into your room with unsolicited deliveries.
- When travelling in taxis or cars, always lock the doors and close the windows.
- Always carry the telephone number of the police, your hotel, your country's nearest Consulate, High Commission or Embassy, a street map and the correct tokens or coins for public telephones.

Setting out on foot

- Use a local street map to plan your route before setting out.
- Use proprietary taxis – consider using the second/third taxi in the rank.
- Avoid waiting alone, especially after dark. If unavoidable use well lit, busy streets. Identify and avoid deprived areas.
- If possible, when in company walk/move as a trio with one of you always acting as lookout.
- Avoid disputes or large gatherings and groups of people loitering in the street.
- If approached by a stranger who attempts to start a conversation you should keep walking and pretend not to understand the language.
- Be alert to what is happening around you. If suspicious, windowshop, cross the road, retrace your steps or enter a shop.
- Make yourself aware of any common scams that happen in the cities you are visiting and plan how to react if approached.
- Does anyone know where you are and what time you are due back?
- If your travel plans change, have you told your manager or colleagues?
- Have you made sure you can be contacted? Do you have a contact schedule or itinerary?
- Do you know exactly where you are going and how to get there?
- If you are returning home after dark, have you considered possible risks (e.g. where you parked the car, the availability of public transport, etc.)?
- Have you asked your hosts for help and information? Take note of advice from your hosts, especially when overseas.
- Are you likely to be carrying valuable items?
- Are valuable, easily stolen items too visible or accessible (e.g. laptop or portable computer, mobile telephone, tools, briefcase or handbag)?
- Do you carry a personal alarm?
- Small change available for fares.

When driving your car

Before setting off:

- Make sure that your car (or rented car) is regularly serviced, and check tyres, oil, petrol etc. - especially before a long journey.
- Ensure breakdown / recovery procedures are in place
- Plan your route in advance.
- Tell people at your destination what time you expect to arrive.
- Take a workable phone, change and a phone card for a payphone in case of emergency.
- Familiarise yourself with the local rules of the road, road conditions, type of vehicle (4-wheel drive, left hand drive etc).
- Obtain a copy of the local version of the Highway Code.

On the road:

- Keep bags, mobile telephone, etc. out of sight.
- Keep the doors locked, windows and sunroof closed as far as possible, especially in stop/go traffic.
- Do not pick up hitchhikers.
- Keep an up-to-date map handy so you won't need to stop and ask for directions.

Leaving the car:

- Always lock your car and put anything valuable in the boot.
- If you will be returning to the car after dark, park in a well lit place if possible. Park as close to your destination as possible.
- In a multi-storey car park, reverse your car, leave it as close to the exit as you can, near ground level and away from pillars.
- Have your key ready when you return to your car. Check the back seat for intruders before getting in.

When taking taxis

- If you cannot hail a licensed cab, carry the telephone number of a reputable company, or ask a friend or your hosts for a recommendation.
- Whenever possible, book by telephone and ask for the driver's name and make and colour of car. Do not get into any cab that you have not asked for.
- If the taxi does not have a meter, agree the fare before starting the journey.

Travel by train

- Wait where it is well lit and there are other people.
- Stand well back on the platform.
- Avoid compartments that have no access to corridors or other parts of the train.
- Try to sit with other people and avoid empty carriages.
- If you feel uneasy, don't be afraid to move to another seat or carriage or get off at the next stop.
- If the carriage is crowded and someone molests you, make a fuss straight away. Remember it's more embarrassing for them than for you.
- If you feel threatened or there is an incident, act immediately:
 - Alert the driver, guard or conductor by making as much noise as possible.
 - Pull the emergency alarm.
 - Look for station staff, Transport Police or a Help Point if there's an incident on the platform.

Valuables

- Carry money and valuables safely.
- Change a small amount of money before leaving the UK to cover initial taxi rides, etc. This avoids your showing large amounts of local currency if you have to change money at the airport.

- Carry the following items separately: number for cancelling credit cards, phonecard, travelcard or small change, keys.
- Download data on Laptops/PCs daily to a memory stick or direct to UK.
- Obtain details of the travel insurance and medical emergency number. Make sure that you understand what the insurance covers **before** you need to claim.
- Where there is a particular risk in a country of infection in the event of injury, take a first aid bag with sterile cannulae and syringes – but be aware that in some countries this may be classed as “drug paraphernalia” and cause a problem in itself.

Air Travel

Whatever the prevailing risk or situation, there is a set of basic tactics for anyone using international air travel for business that must be considered before boarding the plane. Performing these precautionary tasks cannot guarantee your safety, but they can dramatically enhance your odds of avoiding some kind of crisis scenario.

Further useful tips are as follows:

When travelling abroad, especially in high risk regions, your luggage should never call attention to your position, company or affiliations. Baggage tags should bear only your name and telephone number and not your company’s logo. Files and binders with company logos should be discarded and replaced with unmarked files, blank manila envelopes or airline-provided folders.

Lock your bags. Pack and lock each item of luggage you bring and know all the contents. Once packed, keep your bags locked and never let them out of your custody until you check them in at the airport. Bear in mind that checked bags often have to remain unlocked due to new air travel regulations.

Mind your own bags. Never take any baggage or parcels from someone else – either to be carried on the flight or to be checked.

Be up to date with the flight schedule. Call your airline three hours prior to departing for the airport to determine if the plane is on schedule. This helps to eliminate unnecessary and extended waits at the airport. It also enables you to calmly and efficiently observe your surroundings instead of frantically scrambling to find a new flight.

Be bland: wear inconspicuous clothing. Avoid expensive jewellery or any other trappings of status.

Check-in. Whenever possible, check your luggage in at the airline ticket counter, and not at the kerbside with unknown airport employees.

Wait strategically. Always await boarding in a secured area. When at your departure gate, look for the best place to sit. Avoid large expanses of glass, unattended luggage of any kind, telephone booths, vendor carts, waste containers and any other places where a bomb could be hidden. Keep your distance from those who don’t blend in, and always avoid people receiving special attention from the airline.

Don’t be overly patriotic. Especially during time of war or conflict. It is wise not to wave the flag of patriotism while travelling abroad. Clothing boasting “Great Britain”, “Made in the USA” or the names of British or American cities or sports teams are not a good idea! When travelling, blandness is a short road to safety.

Sit strategically on the plane. Whenever given an option, choose to sit on the aircraft near a wing emergency exit. If flying first or business class, select a window seat as close as possible to an emergency exit. Don’t choose aisle seats or seats near boarding entrances.

Keep your personal information to yourself. Prior to and during your flight, do not discuss personal details such as your identity and business position with other passengers.

Observe suspicious characters. Upon arrival, watch for anyone who appears to be scoping the area or paying close attention to baggage tags in order to identify a target. Take a moment to stand back and survey the surrounding area.

Know your first contact. If being met at the airport, again watch for anyone who may be monitoring your movements. Know in advance the names of those who are meeting you and get a rough physical description/photograph, if possible.

Know what to do in a possible risk scenario. Locate the nearest emergency exits. If evacuated in a group, take position in the centre of the group with as many people around you as possible. Don't take the lead or straggle behind.

Additional General Tips

- As far as possible, always keep both hands free.
- Keep your money, passport and credit cards next to your skin if they can't be locked in a safe deposit box. Keep them in front of you. Take them to the shower with you and even sleep on top of them if necessary!
- Stay in contact with your luggage unless it is locked in your room or stowed safely in transit.
- Every time you stand up, look back to see what you have left behind.
- Carry your luggage onto the train, bus or taxi with you.
- Don't hire a room that is not secure. Lock your room every time you leave and when you are inside.
- Be aware of everyone around you. Not beware, just aware.
- Don't do anything that is possibly dangerous, just to avoid being considered rude.
- Read the fire drill notice in your hotel bedroom/conference venue and familiarise yourself with the fire exits.
- If you are robbed, go straight to the police and report the theft.

APPENDIX VI: DEEP VEIN THROMBOSIS (DVT)

Advice on travel-related Deep Vein Thrombosis (DVT)

There are guidelines that have been published by the Department of Health aimed at the airline industry and air travellers about the risks associated with deep vein thrombosis (DVT) and long haul travel. The guidance refers to studies into the condition and its association with air travel, highlighting that the causes of DVT generally related to immobility as the common underlying risk factor, However, areas that are still unclear are outlined:

- How common travel-related DVT is
- What the risk factors are
- How it can be prevented

The advice stresses that many air passengers are not required to take any medication on long haul flights to avoid DVT, and that all air passengers can reduce the risks of being affected by DVT by doing simple exercises covered in the guidance.

The risk of DVT and pulmonary embolism (PE) is greater in people:

- Over 40 years of age
- Who have had blood clots already
- With a family history of blood clots
- Suffering from or who have had treatment for cancer
- With certain blood diseases
- Being treated for heart failure and circulation problems
- Who have had recent surgery especially on the hips or knees
- Who have an inherited clotting tendency.

DVT is also more common in women who:

- Are pregnant
- Have recently had a baby
- Are taking the contraceptive pill
- Are on hormone replacement therapy or HRT.
-

These groups make up 90 - 95% of all those who get DVT and/or PE.

There is confusion as to whether the lack of exercise or immobility is the cause of the DVT/PE or whether those affected are at risk for other reasons. Despite this uncertainty, immobility and lack of exercise are considered to be major underlying risks.

The guidelines provide the following advice on how to reduce the possible risk of DVT on long haul flights.

Before the trip

A doctor should be consulted if the passenger has:

- Ever had a DVT or PE
- Family history of clotting conditions
- A inherited tendency to clot (thrombophilia)
- Cancer or had treatment for cancer in the past
- Undergone major surgery in the last three months
- Had a hip or knee replacement within the last three months
- Ever suffered from a stroke.

In-seat exercises are also discussed in the guidelines, which keep the circulation active and reduce the risk of developing a DVT. Travel agents and in-flight leaflets, magazines and videos produced by many airlines provide more information in this area.

The use of elastic stockings or blood-thinning drugs should be considered by those people in high-risk groups. While elastic stockings may be effective, the advice suggests that there is no evidence to support the claim that aspirin prevents travel-related DVT or PE. **“Blood-thinning”, that is anti-clotting, drugs should only be taken on medical advice.**

During the trip

In addition to several in-seat exercises that should be performed, the guidelines suggest passengers should:

- Be comfortable while seated
- Drink plenty of water
- Be aware of alcohol intake (excess alcohol leads to dehydration and immobility)
- Avoid taking sleeping pills.

After the trip

Most air passengers will not experience any problems, however, should swollen, painful legs develop (especially where one is more affected than the other), passengers should see a local doctor urgently or go to the nearest A&E department. Similarly, passengers should do the same if breathing becomes difficult.

Copies of the guidance can be downloaded from the Department of Health's website at:

http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH_4005997

APPENDIX VII: SOURCES OF FURTHER INFORMATION

1. Successful Health & Safety Management, HSE, HS(G) 65, Fourth impression (Fifth impression imminent) 1993 ISBN 0-7176-0425-X.
2. NERC guidance note: A Safe System of Fieldwork.
<http://www.nerc.ac.uk/about/work/policy/safety/procedures.asp>
3. Guidelines from the Association of University and College Lecturers and the Institute of Biology.
4. Living Safely, Personal Safety in Your Daily Life, a guide written and published by the Suzy Lamplugh Trust.
5. McIntosh, I, Health, Hazard and the Higher Risk Traveller, Quay Publishing, 1993, Lancaster.
6. Medical Advisory Service for Travellers Abroad Keppel Street London WC1E 7HT (24-hour advice line on 0208 224 100). www.masta.org
7. Department of Health: Health Advice for Travellers, London: HMSO 1995. Free from Department of Health, Tel 0800 555 777. Free leaflet on basic health advice including avoiding insect bites, accidents, sun, food and water, E111 form.
8. British Diabetic Association 10 Queen Anne Street, London W1M 0BD, Tel 0207 323 1531. Specific information on diabetes and travel; country specific travel guides available.
9. NERC overseas conditions of service handbook, copies available from local personnel staff or Personnel Policy Section, Swindon Office.
10. Control Risk Group (CRG) www.crg-online.com
11. World Health Organization (WHO) <http://www.euro.who.int/en/home>
12. The British Chamber of Shipping who produce weekly updates on all maritime matters including Port Security and Piracy which is especially important for overseas voyages in certain areas
13. British Embassies in country, who should be contacted prior to arrival and during stay
14. Visiting port authorities in accordance with the ISPS code
15. The International Maritime Organisation
16. Agents in the UK and especially overseas countries i.e. South America prior to and on arrival
17. Regional Coastguard depending on routing
18. The International Civil Aviation Organisation (ICAO)
19. In country Government Air Management and Airfield Authorities.
20. In country Military Authorities
21. Both UK and in country operational stakeholders
22. Local Agents / operational collaborators

APPENDIX VIII: PERSONAL HEALTH AND SAFETY RESPONSIBILITIES AND LIABILITIES WHEN WORKING OVERSEAS

Concern has been expressed by staff working overseas regarding their personal responsibilities and liabilities for health and safety. This message reiterates and clarifies NERC policy.

NERC believes that health and safety standards current in the United Kingdom should be applied to our work worldwide, whether or not local standards exist or are set lower than those in the UK. However, NERC accepts that conditions overseas may be very different from conditions in the home countries; it might be impossible to operate identical means of meeting these standards. In addition, the back-up from senior management usually readily available within the UK might be difficult or impossible to access within any practical time frame in remote field sites abroad.

The local manager of any NERC project overseas should follow UK policies and procedures and introduce comparable risk management as far as this is practicable. Where it is not practicable, the principles of good safety management should be applied within the limitations of local conditions. This means that local decisions should be based on risk assessment in the same way as decisions in the UK. It is recognised these will sometimes be on the spot assessments covering issues which could not have been (or had not been) foreseen in the UK planning and that formal line management signing off will not be possible.

In line with good risk assessment practice, as many as possible of the staff working on the project locally should be consulted on identifying the hazards and managing the significant risks.

Difficulties, local solutions and lessons learnt should be communicated to senior management in the UK as soon as is practically possible, though it is recognised that this will not be immediate in many cases. This communication builds up our experience and informs future planning.

NERC will back up decisions made by local managers of overseas projects in the field irrespective of whether senior management in the UK felt, in retrospect, that the decision was wrong. In the worst case, this would involve defence in local courts. No NERC staff member working overseas would face personal financial loss as a result of decisions made on health and safety.

In exactly the same way as in the UK, NERC cannot indemnify staff against personal prosecution in foreign courts. If staff were found guilty of criminal offences, the record would be against them personally. This is inescapable for any organisation. However, prosecution will only occur in cases of gross personal negligence and following the policy outlined above should preclude it.

Disciplinary procedures are only initiated in the UK against staff members who knowingly, recklessly or maliciously flout safety policy.

APPENDIX IX: HIGH RISK WORK

1. NERC * conducts risk assessment of all of its work in accordance with health and safety legislation (e.g. Regulation 3 of the Management of Health & Safety at Work Regulations 1999). This appendix refers solely to Health & Safety risk as opposed to Security risk.

2. All activities where the conclusion of the assessment is that the work is still 'high risk' after taking into account all relevant precautions and mitigation should not normally go ahead. If the high level of risk can be justified, the justification will be documented and accompanied by a mitigation strategy, with control mechanisms and actions. The NERC Health & Safety Advisor will be asked to comment on the effectiveness of mitigation strategies for activities that have a high health & safety risk.

3. On occasions, areas of work are identified where totally reliable risk mitigation or management methods to reduce the final overall risk to below 'high' cannot be implemented. In such cases, all such potential projects are listed on the corporate Risk Register and require high level management discussion of the issues before a decision is made on whether to proceed. Normally, such discussion will take place at Research Centre management committee level, but on advice from the NERC Health & Safety Advisor, the final decision might be referred to and be taken at NERC Executive Board level.

4. Such projects with a high residual (or post mitigation) risk would only be undertaken if a "higher level" justification was identified. Higher level justification could include pressing scientific or policy need (for example working on active volcanoes where the need to predict future eruptions has implications for protecting lives) or substantial benefit to local communities in areas of political unrest or under-development.

5. Higher level justification is only applied where substantial mitigation or management of identified risk is possible and where no alternative, lower risk alternatives are available. It is not blanket overriding of the risk assessment process.

6. When a decision to proceed with such projects is made by the Research Centre Management Committee and / or the NERC Executive Board, it will always be subject to potentially affected staff being:

- made fully aware of the risk assessment, the risk management proposed and the residual risks identified
- given access to all reports and discussion papers on the issue
- fully informed of the uncertainties in the risk assessment
- told that the work will only be undertaken on a volunteer basis
- given the option to withdraw if their personal view of their safety changes
- reassured that regular review will be made of the risks and that they will be informed immediately of any change in the information or perception of the risk

7. Staff should be reassured that no pressure will be applied by management to either participate in 'high risk' activities, or not participate, and that there will be no adverse effects on career prospects either way. Any staff who believe they are being pressurised should first contact their Research Centre Director, and if concerns still remain, inform another member of the NERC or the Union Safety Representative

**NERC Collaborative centres and other organisations receiving substantial NERC funding can use this as a guide for allowing high risk activities to proceed or otherwise.*

APPENDIX X: SUMMARY OF THE INTERNATIONAL SHIPS AND PORT FACILITY SECURITY CODE (ISPS)

The International Ship and Port Facility Security (ISPS) code became a legal requirement on 1 July 2004. All cargo ships over 500 GRT and all passenger ships in international trade, including high-speed light craft, must have a security certificate in place.

IMO's Maritime Safety Committee, which starting its work immediately after the September 11 2001 incident, developed the ISPS code. The code is a standalone instrument, put in force by an amendment to SOLAS chapter XI/2. It consists of a mandatory requirement, part A, and a recommendation, part B.

SOLAS will be amended to set the following additional requirements:

- An Active Identification System to know where ships are at any time
- Ship Identification Number to easily identify a ship.
- Ship Security Alert System to notify if something is wrong onboard.
- Continuous Synopsis Record of ship operation.

The code operates with three security levels:

- 1 - Minimum appropriate protective security measures shall be maintained at all times.
- 2 - The level at which appropriate additional protective security measures shall be maintained for a period of time as a result of heightened risk of security incident.
- 3 - The level at which further specific protective security measures shall be maintained for a period of time when a security incident is probable or imminent.

Each flag state has authorised a Recognised Security Organisation (RSO) to certify each vessel and its company. (In the UK this is the Maritime and Coastguard Agency, MCA).

The code sets up a framework for the security of ships:

- The authorisation of a dedicated company security officer.
- The authorisation of a dedicated ship security officer.
- The completion of a ship-specific security assessment.
- The completion of a ship-specific security plan.
- Following audit, the issue and an International Ship Security Certificate (ISSC).

Work required onboard ships

The company has to set its own security policy and qualify dedicated security officers. A competent person has to make an assessment of the potential risks and the measures to address the risks. A ship security plan has to be developed on that basis. Ship security officers have to be allocated and trained in accordance with the security plan. The plan has to be implemented on board the ships before a certificate can be obtained.

Work to be done by port facilities

A similar procedure will apply for the port facilities serving ships with an International Ship Security Certificate (ISSC). Port facilities are not required to be certified according to the draft of the code, but they have to report to IMO that they have their secure regime in place in due time. The contracting government should ensure that appropriate measures are in place to avoid unauthorised disclosure of, or access to, security sensitive material relating to port facility security assessments and plans.

Prior to arrival the vessel must contact the port authority and confirm what security level the port is working to. The vessel must then operate at a minimum of the port's level. The ISPS Code allows for the vessel to operate at a higher security level than the port if the Master desires. The vessel must maintain records of the last ten ports visited. Failure to do so may result in the vessel being refused entry.

The effect of the ISPS Code implementation on scientists working on board the NERC vessels should be negligible. However, the advent of the ISPS Code is reflected in increased customs

scrutiny of marine cargo. It is therefore vital that all equipment to be sent to the vessels has the correct customs paperwork, manufacturer's packaging including accurate weights and prices for goods. Failure to do so may result in customs refusing clearance, leading to delays to the scientific cruise programme. There is also a requirement for the vessel to conduct a search of personnel and goods coming on board. This is worked as a percentage of personnel boarding dependent on the level of security at which the vessel is working, i.e. at Level 1 up to 5% must be searched. Where possible non-invasive search techniques will be used.

An adequate means of identity may be needed to access Port or Wharf areas as well as gaining access on board ships.

Scientists will be further briefed on the ISPS Code at the pre-cruise meeting and / or during the on-board familiarisation training. Vessels will conduct security drills as required and if requested, the scientists will be expected to take part and assist the vessel during these drills.

APPENDIX XI: SUGGESTED FORMAT FOR PROPOSALS FOR TRAVEL TO HIGH RISK DESTINATIONS

PROPOSAL FOR HIGH RISK OVERSEAS TRAVEL

Name and Research Centre:

Dates of Travel:

Reason for visit and nature of proposed overseas work:

Travel details (including modes of transport to/from airports):

Accommodation abroad:

Check: CRG Website (www.crg-online.com – password and login name obtainable locally); Foreign and Commonwealth Website, (<http://www.fco.gov.uk/en/travelling-and-living-overseas/travel-advice-by-country/>) and our travel insurers. Travel insurance details can be obtained from the Corporate Risk Group via your local HR / Personnel section. It should be noted that our overseas travel insurance requires that FCO advice is followed or the cover is invalidated. If any of the areas visited or passed through during the proposed overseas travel have any CRG category of ‘high’ then approval of this proposal by the Research Centre Director is required.

RISK RATINGS FROM CRG WEBSITE

Note: work in countries / areas classified by CRG as ‘Extreme’ may not proceed

Countries / Areas to be visited (including any stopovers / transit / fieldwork routes.	Political	Security	Terrorism	Travel

Justification for travel to high risk locations:

Proposed mitigation to deal with the travel risks identified by CRG / FCO

It is considered the benefits of the work justify its high risk nature and proposed the mitigation will minimise the likelihood and consequence of the hazards.

Signed (proposer): Date:

Approved (Line Manager/Supervisor)..... Date

Approved (Director) Date

Reviewed by (Safety Advisor)..... Date.....

Send copies to your Safety Advisor and the NERC Risk, H&S and Security Group at Swindon for their information.

Note: If there is any doubt about the justification and / or mitigation the proposal may need to be considered at NERC Executive Board level prior to the work commencing.

APPENDIX XII: SECURITY CHECKLIST FOR OVERSEAS WORK WHERE HIGH RISK (as defined by CRG) IS IDENTIFIED

Non-UK operations with an increased level of risk over normal operations, of extended duration and/or involving high value equipment should be subject to a pre-detachment recce. The decision to proceed with the proposed science operation or not, should be based on a risk assessment resulting from the findings of the recce.

Security Advice and Guidelines to be considered and applied as appropriate are:

- Discuss risk level with F&CO and CRG – ongoing.
- Establish chain of command for the operation on the ground, for both NERC specific and NERC collaborative operations. Inform in country UK government agency.
- Establish a minimum of two reliable sources of communications on the ground that are available 24/7.
- Ensure contact numbers are known to all operational personnel, UK Government in country agencies, Swindon Office and operational home base in UK.
- Establish local hospital liaison and medical back up cover.
- Advise operational staff of above medical facility contact numbers and liaison personnel names.
- Set up contact/liaison with military and air authorities as appropriate.
- Select suitable accommodation in terms of personal security and location.
- Survey and select proprietary transport or taxi company as appropriate. If self driving hire cars, local traffic regulations/rule of the road to be learnt and self tested for all drivers prior to leaving UK and on arrival in country. Advice from in country UK government agencies to be sought re: hire cars.
- Ensure proposed operations plan is known to and discussed with in Country UK agencies and Swindon Office.
- Discuss and rehearse communications needs/contact routine for all operations personnel working singly or away from base camp.
- Discuss need for and selection of additional security personnel, with in country government agency and CRG.
- Check need for and set up a “get out quick” procedure and method for quitting the operational area.
- Check and establish an emergency evacuation system/procedure for quitting the country.
- Plan, rehearse and continually review emergency evacuation procedures. It should be recognised that withdrawal, partial evacuation or “lying low” out of area, may also be possibilities worthy of consideration subject to the local situation, Local advice from in countries’ reliable sources i.e. UK government Offices/CRG should be sought and considered in the decision making process.

For marine operations:

- Discuss and check out Ports security with local agent, Port Authorities and Coastguard in terms of:
 - Port Security level (ISPS)
 - Port guarding
 - Waterborne Patrols
 - Provision of gangway sentries
 - Transport to and from Docks area
 - Port surrounds environment i.e. high crime? No go? Red Light? Area
 - Ports crime rate – methodology
 - Harbour/Port Waters Police?
 - Stowaway possibilities
 - ISPS requirements vis a vis Cargo handling/stevedores ID verification
- Marine operations involving transiting within 60 miles of coasts, remaining on station, slow cruising for operational purposes should be discussed with local coastguard, in country Navy, in terms of Piracy risks.
- Rehearse counter piracy actions in line with ship’s contingency drills procedures.

For aircraft operations:

- Discuss and check out Airfield security in terms of secure aircraft parking/hangarage/fuel supplies.
- Check out transport for transiting from Airfield to hotel.
- Check out security of airfield offices for operational use.
- Check out method of fuel payment. If cash only is accepted, source secure storage for cash in large sums i.e. local banks, UK High Commission/Consulate, or small safe within the aircraft.
- Liaise with in country air authorities re: operational flying area and risks of air infringement of military air space and diversionary airfields as necessary.

Hazardous Environment Training

CRG run three day courses on Hazardous Environment Training which you may wish to consider as pre-detachment training for certain risk areas.

Cash

There will be occasions when cash will need to be used, take this into account when planning and make suitable security arrangements.

Hostage/Kidnap Situation

Should a hostage / kidnap situation occur the UK government policy guidelines would be followed.