UK EES CODE OF CONDUCT AND FIELD SAFETY PLAN

INTRODUCTION

The UK Earth and Environmental Sciences Code of Conduct defines the expectations for behaviors and interactions between members of our community. This code was primarily adapted from the Code of Conduct implemented by the Jackson School of Geosciences at the University of Texas.

The Field Safety Plan is designed to allow departmental leaders to assess risks and develop mitigation plans to deal with those risks. Although this particular safety plan was primarily adapted for fieldwork, similar safety plans should be developed for mitigating risks and incidents that could occur at the laboratory group and departmental levels.

The following Field Safety plan is designed to be used as a “pre-flight” checklist that will help Field Leaders develop plans for risk assessment, mitigation, and de-escalation. It will also be used in the field as a blueprint for responding to incidents, medical and/or environmental emergencies, and other events that require intervention. Field Leaders should complete a comprehensive Safety Plan for each field location, using the template below as a guide. This Safety Plan requires consideration of basic risks relating to environmental health and safety but also a consideration of cultural risks related to race, gender, religion, and regional cultural issues that may cause participants in these activities to feel uncomfortable and even unsafe. Identifying and then eliminating or mitigating these risks is key to growing diversity and inclusion in geoscience field programs. It is expected that this will be a living document that will constantly be revised and adapted to changing needs in geoscience programs.

CODE OF CONDUCT

Faculty-Staff, Research Associate-Staff, Faculty-Research Scientist, Faculty-Student, and Peer Interaction should:

- Promote an environment that is intellectually stimulating, free of harassment, advances diversity, inclusion, and collegiality, and encourages cooperation and collaboration in our primary goals of teaching, research, and community engagement
- Be supportive, equitable, accessible, encouraging, and respectful
- Recognize and respect the cultural backgrounds of fellow faculty, research associates, students, and staff
- Be sensitive to the power imbalance in the tenured full professor-junior professor and faculty-research associate-staff relationships
- Avoid harassment, intimidation, or discrimination in any form
- Avoid unwelcome physical contact
- Avoid physical or verbal abuse of anyone, including disparaging comments related to gender, gender identity, sexual orientation, physical and mental disability, physical appearance, age, socio-economic status, veteran status, race, creed, color, religion, ancestry, national origin, marital/domestic partnership/relationship status, or other protected characteristics

Faculty and Research Associates acting as student advisors (in addition to above) should:

- Be sensitive to the power imbalance in the student-advisor relationship
- For teaching assistantship positions, provide clear expectations at the start of the semester, with particular emphasis on tasks that required focused efforts during key parts of the semester so that time can be properly allotted; make sure that time will not exceed 20 hrs/week
For research assistantships, generate a list of expectations for the semester that is agreed between the student and the advisor, with the understanding that the tasks assigned will contributed to the professional training of the student and that the tasks will be meaningful to the student’s educational experience

- Avoid assigning duties or activities that are outside of the students’ academic/professional responsibilities
- Respect students’ needs to allocate their time amongst competing demands while maintaining timely progress toward their degree
- Advise graduate students on the selection of an appropriate thesis topic, making sure that expectations fit the scope of the degree pursued, and assist them in selecting a thesis committee
- Advise graduate students on timelines and expectations for submitting thesis proposal and committee selection
- Set clear expectations and goals for students regarding their academic performance and research progress and meet regularly and often in order to provide feedback on progress
- Read and review thesis documents in a timely manner for both students you supervise and those for which you are a committee member
- Provide students with training and oversight in all relevant aspects of research, including the design of research projects, the development of oral and written communication, grant preparation as appropriate, and the use of rigorous research techniques
- Devise effective ways of providing students with guidance and supervision during any prolonged advisor absence
- Provide and discuss clear criteria for authorship at the beginning of all collaborative projects
- Discuss plagiarism with your students who are involved in research, including what plagiarism is and how to properly cite the work the others, including copyright and self-plagiarism
- Encourage participation in professional meetings and try to secure funding for such activities
- Provide career advice, offer help with interview and application preparation, and write letters of recommendation in a timely manner
- Be a role model by acting in an ethical, professional, and courteous manner toward other students, staff, and faculty

Graduate Students should:
- Recognize that they bear the primary responsibility for the successful completion of their degree
- Exercise the highest ethical standards in all aspects of their research
- Complete all tasks assigned by the department within the timeline specified by the primary course instructor of record (in the case of teaching assistants) or research advisor (in the case of research assistantships), such as teaching, grading, research objectives, and other assistantship responsibilities
- Know the policies governing graduate studies in the department and the graduate school and take responsibility for meeting departmental, college, and graduate school deadlines
- Be proactive about communicating with the advisor and thesis committee, understanding that communication is a two-way endeavor
- Be considerate of other time constraints imposed on faculty and staff, including competing demands
- Clearly communicate with their advisors regarding their career preferences
- Be proactive about improving their research skills, including written and oral presentation skills
- Always act in an ethical, professional, and courteous manner toward other students, staff, and faculty
- Raise complaints and concerns through appropriate channels and only in good faith
Departments, School, and Programs should:

- Provide students with up-to-date information that includes policies, practices, degree requirements, and resources
- Assist students with advisor and committee member selection and provide students with contacts and resources for potential conflict resolution (e.g., ombudsperson, DUS or DGS, or Department Chair)
- Ensure the list of courses offered by the department are being taught
- Monitor graduate student progress toward degree and professional development, including mentoring meetings, committee meetings, exam completions, and other benchmarks appropriate to discipline
- Monitor student completion and time to degree
- Provide and monitor training in the ethical conduct of research for faculty and students
- Provide appropriate infrastructure to allow students to complete their education and research in a timely and productive manner
- Establish and communicate policies for emergencies and unplanned situations that may disrupt the work of students and/or faculty
- Respond promptly and appropriately to concerns raised by faculty and students

FIELD SAFETY PLAN

For each field class/trip/expedition, a field safety plan should be developed using the template below. These plans can be recycled when the same trip is run multiple times. These plans should also be living documents that can be constantly modified and adapted. Experienced field trip leaders know that the details are key. The risks to be assessed (and mitigated) include General Health and Safety Risks, Natural Environmental Risks, and Cultural Environmental Risks. The first are generally easy to identify (though not always) and plans for mitigation are generally straightforward. Cultural Environmental Risks are generally much more complex. Cultural risks include differences in race, religion, language, customs, norms, dress codes, and behaviors, to name a few. When assessing the Cultural Risks in particular, it is important for field leaders to consider how these risks may vary between participants that may span a broad and diverse array of race, religion, gender, sexual preference, comfortability with the field environment, etc. What may not feel threatening to the field leader or other participants may make some participants feel uncomfortable or even unsafe.

All trips should have a pre-trip orientation or briefing with all participants, where the risks identified in the assessment (and their planned mitigations) are communicated clearly and effectively with the participants. This will allow the participants to decide which risk level they are comfortable with and allow them to establish a line of communication with Trip Leaders about their concerns.

All participants will also fill out a medical form which will be put in a sealed envelope to be kept by the Team Leader. This form will only be opened in the event of a medical emergency involving the participant. This form will help the First Aider (identified below) and the Emergency Medical Services provide the best care possible. These sealed envelopes will be returned to each participant at the end of the trip.
### Field Safety Overview

| Field Leader(s)/Contacts(s): | Primary Field Leader + Cell Phone Number  
Teaching Assistant + Cell Phone Number  
Teaching Assistant + Cell Phone Number |
<table>
<thead>
<tr>
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<th></th>
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</thead>
<tbody>
<tr>
<td>Field Orientation Meeting:</td>
<td>Date and time of field orientation meeting: for course trips, can take place during regular course times. Orientation meeting must include discussion of the Safety Plan and all of the major safety, emergency, and environmental elements in the plan.</td>
</tr>
<tr>
<td>Satellite Phone Numbers:</td>
<td>List number of satellite phone, Garmin InReach, or N/A. Team leaders can substitute satellite phones with Garmin InReach when doing field work or leading field trips in areas with poor cell phone coverage. In areas with reliable cell phone coverage, this would not be applicable.</td>
</tr>
<tr>
<td>First Aiders</td>
<td>List name of those that will deliver first aid should need arise. Have a plan in place to deliver necessary first aid, including designating at least two trip leaders with First Aid Training. This requirement should lead us to establish a basic first aid training program for our faculty and TAs. May consider having one or two faculty members get first aid trainer certified so that they can lead the training each year.</td>
</tr>
<tr>
<td>First Aid Kits</td>
<td>List location of all first aid kits on the trip. This should include location of main vehicle first aid kit kept in a vehicle as well as at least two smaller first aid kits to be carried in the backpack of the First Aiders when away from the vehicle. It is the responsibility of the Field Leader to verify that the First Aid Kits are brought on the trip. It is also the responsibility of the Field Leader to inspect the First Aid Kits and make sure they have the necessary materials for delivering basic first aid (lists will be included with each).</td>
</tr>
</tbody>
</table>
| Incident Management Chain of Command | Incident Manager: ??, Alternate: ??  
Group Manager: ??, Alternate: ??  
Primary First Aider: ??, Alternate: ?? |
|                                | In the event of an incident occurring, the Incident Manager is responsible for directing control of the Incident and the Group Manager will be responsible for managing the rest of the group not involved in the incident. For medical emergencies, the Primary First Aider will work with the Incident Manager to mitigate the situation. This process can be integrated with First Aid training so that all leaders understand the responsibilities and expectations of each role. |
| What to say to the emergency responder on the phone: | • Your name and telephone contact number  
• Your geographic location (include lat/lon if appropriate)  
• Report nature of emergency  
• How many injured and how many total in your group  
• Current weather at your location  
• First aid and other relevant survival equipment you have available  
• Experience level of First Aiders |
Field Participants and Emergency Contact

<table>
<thead>
<tr>
<th>Participant:</th>
<th>First Aid</th>
<th>Driver</th>
<th>Emergency Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ex: Ryan Thigpen 865-386-6644</td>
<td>Y</td>
<td>Y</td>
<td>Summer Brown (540-599-5696)</td>
</tr>
</tbody>
</table>

Environmental and Cultural Risk Assessment

**General Health and Safety Risks:**

List any and all risks to general health and safety, including any risks inherent to the activity itself (hiking, etc), participant behavior (any participant behavior impacting the Field Leaders or other participants), Field Leader abilities (skills, experience, maturity, or judgement when leading the group), medical management (medical conditions of participants that may create concern), and nutrition and dehydration.

Also consider the availability of rest stops and bathroom breaks. If these facilities do not exist on the field exercise, this must be mitigated and, most importantly, properly communicated to all participants in the pre-trip briefing.

Also consider the distance to hospitals, primary care, pharmacies, etc. What will you do if one of the participants gets sick?

**Environmental (Natural) Risks**

List any and all risks associated with the natural environment (weather, animals, terrain, facilities). Also consider other environmental challenges, like necessity of participant fitness, communication challenge (including a lack of cell phone coverage), etc.
Environmental (Cultural) Risks

List any and all risks associated with the local cultural environment, including interactions with other institutions, law enforcement, land management agencies, property owners, local citizens, local laws and customs, appropriate dress and behavior, etc.

Resources: Refer to the LGBTQ+ Travel Safety Index and the Digital Green Book (in prep) to determine the risks of travel to certain areas, keeping in mind that these are subject to change and should be confirmed independently before the trip.

Risk Management and Mitigation
Discuss plans to mitigate or respond to risks identified in the risk assessment. Be sure to include details of the response, including identifying responsibilities for each member of the field leadership team.

General Health and Safety:

Environmental (Natural):

Environmental (Cultural):

Incident Management and Emergency Response Plan

In the event of an incident:

- Make sure your group and anyone else in the immediate area are safe.
- **Remain calm.** For field leaders, any panic or anxiety that you show will be amplified by participants in your group. During an incident, participants will look to the Leaders for calm and reassurance. Staying calm can also be the best tactic for incident de-escalation.
- **Assess hazards, which may include cultural or human hazards such as threats from outside the group.** For medical and environmental emergencies, the cardinal rule of first responders is “Don’t become a patient or casualty during the course of your response.”
- **Preserve life and prevent further injury.**
- **Minimize any damage to property or the environment.**
- **Contact appropriate emergency response organization.**

During an incident, Leadership Team, including the Group Manager, Incident Manager, and the First Aider, is responsible for:

- Managing the incident, securing the scene, and notifying appropriate emergency service

During an incident, Group Manager (GM) is responsible for:

- Keeping group out of harm’s way.
- Keeping group focused and informed
- Being prepared to help the Incident Manager or First Aid Support

During an incident, Incident Manager (IM) is responsible for:
• Monitoring and coordinating response and resources
• Initiating the call to emergency services, if necessary (may delegate)

During the incident, the First Aider (FA) is responsible for:

• Assessing the injured individual and provide medical care, if necessary
• Communicating to IM nature of injuries and necessity/options for medical assistance and/or evacuation