

The main Policy (PART ONE) must be followed closely, therefore excursion leaders and organisers must have access to and have read the whole of that document.

There are three forms in this section:

LEADER & CHECKLIST EX B1 is a record of preparation and must be included with applications.
HEAD'S APPROVAL EX B2 is sent to the Service **AND** a copy retained for reference.
SERVICE' APPROVAL EX B3 may be sent to the Service but is for Service use **ONLY**.
POST EXCURSION EVALUATION EX B4 is an essential part of the overall risk management strategy.

Level 3 and 4 visits comprise **(from POLICY Part One Section 3.5 Page 12) -**

Level 3

- a boat or aircraft journeys with carriers **OTHER** than those officially approved by the Service;
- b any journey **OUTWITH** Orkney, but within the UK;
- c visits to beaches or foreshores (other than in Level 2b) or any offshore installation;
- d coastal/moorland/hill/upland walks or journeys;
- e wilderness activity;
- f camping or campcraft;
- g any activity run or organised by an Adventure Activity Licensing Service(AALS) provider holding a current license.

Level 4

- a any hazardous or adventurous activity, run, organised or hosted by an agency or provider not licensed, or not required to be licensed, by the Adventure Activity Licensing Service(AALS);
 - b any hazardous or adventurous activity, including for example – cold- or open-water activity, cycling, horse riding, orienteering etc. run by any of the excursion leaders.
 - c any excursion, activity, journey or visit outside the United Kingdom.
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Checklist headings serve to remind the leader about the many facets of excursion organisation and leadership; it is necessary to enter **Y(es)** or **NA(not applicable)**, rarely **N(o)**, in all appropriate boxes of the **CHECKLIST**. The Head only, or a specifically designated person, may put marks in Head boxes.

In **Excursion Type, Aims and Objectives** (Box 9) suggests that a written excursion plan is desirable rather than a series of yes/no remarks to direct questions. When writing a short excursion itinerary, leaders may reveal the need for additional planning or safety precautions.

The **Travel and Transport** section needs very careful attention, as it is often during travel that external regulations apply or when unexpected problems might occur. Arrangements for party control during rest stops, or at ferry terminals and airports particularly, must be well thought out and included in detailed Risk Assessments. Drivers of **private/hired/OIC vehicles** must read and submit Form EX C7, apply good practice, use the aide memoire checklist prior to each journey and be familiar with The Minibus Driver Awareness Scheme (**MIDAS**)¹ (mandatory if using an OIC owned minibus on excursions.) Drivers must always agree a procedure for separation, delay or non arrival.

Risk and Safety Management. Possible emergencies must be prepared for and high quality **risk assessments** are always required for any activity in levels 3 and 4. It is quite acceptable to use some **generic risk assessments** in preference to Activity- or Location-specific assessments but these must be entirely relevant to the particular excursion. Some examples of assessments (for instance Beaches, Foreshore and Coastal Walks) are in Section 5 (Good Practice Guides).

It is always necessary to write risk assessments for **reserve activities** or for any alternative arrangements (box 22) as Serviceal approval for activity in Levels 3 or 4 cannot be given once the excursion is underway.

¹ http://www.rosopa.co.uk/roadsafety/info/minibus_code.pdf

Leader Emergency Information (EX D3) may be needed for emergencies. This information is essential whenever an excursion is out of establishment hours, remote, or is defined as a hazardous activity, or when off Orkney.

Emergency Arrangements. The Service's **Serious Accident Procedures** (EX D8 Party Leaders) must be carried and it is imperative that all leaders know the general requirements. EX D9 (Officials) will be carried whenever operating 'remotely' or off Orkney. Leader illness/incapacitation and possible delays in travel must all be taken into account. It is highly desirable for the leader to **visit locations** before the excursion and to note any outstanding issues related to safety or, even, simple comfort. On beaches, for instance, check that debris is safe and that tide tables are accurate enough for the planned activity. **Home-base contacts** (out-of-hours support) will become a 'lifeline' if an accident or serious incident occurs away from immediate support. Make certain the contact knows all about your plans and supply them with every relevant piece of information. Home Base Contacts must have both EX D8 and EX D9.

Where a **Provider Information Form** (EX C1 to EX C7) is used, it must be attached to the Leader and Head's Checklist. Time constraints may prevent this form from being filled by the relevant provider, so the leader or organiser may spend time entering the relevant boxes on behalf of the provider. This CANNOT be done without direct questioning of the provider's representative. Organisers should be aware that errors on these forms will be their responsibility - boxes 39 and 40 contain committing statements. Only the Head may tick the Head boxes. Assistance with interpretation of returned forms may be required from the Service's relevant excursion advisor. It is probably a good idea to take blank copies of the Provider forms during excursions away from Orkney.

Any **Unlicensed hazardous activities** (the subject of EX C4) will need careful consideration because it is possible that any unregulated sport- or activity-coaches may not be subject to rigorous training or vetting procedures. Very few activities are allowed without a license or a leader qualification and an audit-trail which will be defined by the relevant National Governing Body. Organisers will need to tread carefully when a provider cannot give evidence of very careful preparation for activity or if planning a hazardous activity which does not have a governing body – an example might be paint-balling. Excursion leaders running hazardous activities MUST use EX C4.

For Level 4 visits (**International or Adventurous Activity**) risk assessments should be seen, and commented on, by a suitably qualified person. Whilst some Heads, excursion co-ordinators, business managers or leaders may be qualified to do this, it is always advisable to obtain an external opinion. It is a requirement to seek advice from the Service whenever adventurous activity or an International excursion is planned.

EX B2 **Head's Approval** can only be completed by the Head or, very rarely, a delegated person. Copies of both this and the checklist, along with any Provider Information Form(s) and all relevant risk assessments, are sent to the Service for excursion approval. Originals or copies are retained at the establishment for external audit purposes. It is essential that a secure location is used for the storage of such documents.

Nature and scope of approval both the Head of Establishment and the excursion leader should read Policy Page 13 of PART ONE (Approval Procedures).

Service approval can only be granted if the Head has already approved the visit and signed EX B2. When Service approval is given for the excursion, it will be for the activities specified on the Leader and Head's checklist in Box 8. It is very doubtful that approval for any unplanned activity at levels 3 or 4 will be given DURING an excursion. Any **unplanned activity** at levels 1 or 2 must be approved by the Head – this approval may be gained during the excursion but only from the Head or a specifically designated person.

Notes or observations, made after approval or the excursion, should be made on the **Post Excursion Evaluation Form EX B4**

SERVICE AUDITS

From time to time the Service will audit all checklists, approvals and associated paperwork held at the Establishment. Therefore, the Head must keep all excursion applications and relevant paperwork.

**LEVEL 3 & 4 EXCURSIONS
EX B1 LEADER & HEAD CHECKLIST
- YELLOW -**

Used for excursions or visits in levels 3 or 4 as defined in PART ONE (Policy and Procedures) Section 3.5, this checklist identifies associated requirements and duties. It is intended to be a record of preparation and also requires the Head's input. It MUST be retained for Service audit purposes.

The '**essential-reading**' Support Note EX B offers advice about these planning and approval forms.

It is recommended that only the Excursion Leader and the Head make entries on this form, which may, in the event of an accident, become part of an evidence trail.

Party Details

1 Establishment			
2 Excursion Leader		Contact phone no.	
3 Other named Leaders			
	All are Disclosure Checked Yes <input type="checkbox"/> No <input type="checkbox"/>		
4 Party members	Female - number & age range.		Male - number & age range.
	4a How many under 8 years old in total:		

Excursion Type, Aims and Objectives

Head

5 Date(s)			
6 Location(s)			
7 Level of excursion			
8 Main purpose of excursion - include activities			
9 There is a written itinerary or excursion plan	Attached <input type="checkbox"/>		

Communications and Consent

Y Head

10 Excursion Consent for each participant has been sent and will be complete prior to departing on this excursion				
11 Parents/Guardians know precise detail of the excursion	Attached <input type="checkbox"/>			
12 Group Member's detailed medical information will be collated and checked prior to the excursion				
13 The group members know details of the excursion				
14 A record of Leaders' Emergency Information EX D3 will be carried	No <input type="checkbox"/>			

Travel and Transport

Y N Head

15 All transport providers used have been approved by the Service					
16 An Unapproved ¹ Transport Provider is being used (Use form EX C6)	Attached <input type="checkbox"/>				
17 A private/hired/OIC vehicle or minibus is being used					
18 Has the driver of the private/hired/OIC vehicle and / or minibus read and completed form EX C7	Attached <input type="checkbox"/>				
19 Are all drivers driving private/hired/OIC vehicles or minibuses qualified and suitable?					

¹ An **approved** transport provider list is available from the Service.

(EX B1 LEADER & HEAD CHECKLIST)

Risk and Safety Management

Head

20 These possible emergencies have been considered -			
21 Risk Assessing is complete for:		Y	N
a Travel	Attached <input type="checkbox"/>		
b Locations	Attached <input type="checkbox"/>		
c Activities	Attached <input type="checkbox"/>		
d Any additional Support Needs	Attached <input type="checkbox"/>		
e Reserve activities ³	Attached <input type="checkbox"/>		
f Others?			
22 Proposed reserve activities/arrangements are:			Y
23 There is a briefing sheet for all leaders' roles and duties			
24 Training needs for leaders and assistants are addressed or in hand			
25 Where public may have access to children, protection procedures are in place			

Emergency Arrangements

Y Head

26 The Service's Accident Procedures Documents (EX D8 & D9) ⁴ will be carried			
27 Arrangements are in place for any Out-of-Hours support that may be required Home Base Contact name Tel. number(s)			
28 Parameters are defined for aborting the activity or excursion			
29 At least one leader familiar with locations to be used		No <input type="checkbox"/>	
30 Excursion first-aider's name(s)			
31 Carry cards will be issued**		No <input type="checkbox"/>	
32 A 'Missing Person' procedure is established. (use form EX D6)			
33 What personal or group safety equipment is carried by leaders (apart from that issued by a provider)? None <input type="checkbox"/>			
34 To the best of your knowledge, emergency communication are suitable - at the venues during travel			

Financial and Insurance Arrangements

Y Head

36 Insurance is provided by the OIC, details of the OIC policy have been made available to parents/guardians (GP G11)			
37 All financial arrangements are satisfactory For International trips, they MUST be approved by the Service (use form EX D10)			
38 Parents/Guardians are aware of all their financial commitments			

³ You MUST consider reserve activities as if for some reason, the planned activity may have to be cancelled

⁴ The Service's Serious Accident Procedures are FORMS EX D8 & EX D9. EX D8 is always carried when operating in Orkney, both EX D8 & EX D9 will be carried whenever off Orkney. Any appointed Home Base Contact must have EX D9, even during ON-Orkney excursions.

** Carry cards are mandatory when off Orkney and recommended during other excursions

(EX B1 LEADER & HEAD CHECKLIST)

Provider information

			Y	N	Head
39	A Provider Information form is being used for -				
a	Facility(ies) ⁵	Form EX C1 Attached <input type="checkbox"/>			
b	Service Provider ⁶	Form EX C2 Attached <input type="checkbox"/>			
c	AALS Licensed Provider ⁷	Form EX C3 Attached <input type="checkbox"/>			
d	An Unlicensed Activity Provider ⁸	Form EX C4 Attached <input type="checkbox"/>			
e	Accommodation Provider ⁹	Form EX C5 Attached <input type="checkbox"/>			
f	Unapproved Transport Provider ¹⁰	Form EX C6 Attached <input type="checkbox"/>			
g	Driver of Private /Hired Vehicle Approval and Checklist	Form EX C7 Attached <input type="checkbox"/>			
40	ALL outstanding issues or questions related to Providers have been answered.				

Unlicensed or other hazardous activities Tick here if these four questions are not applicable Head

41	The following unlicensed hazardous or adventurous activities are planned:			
42	Who is the provider of these activities and have they satisfactorily completed Provider Form EX C5			
	Provider Name _____	Form EX C5 Attached <input type="checkbox"/>		
43	Who in the Service has been contacted regarding the suitability, safety and approval to take part in the activities stated in box 41			
	Who? _____	Y N		
44	At least one leader is familiar with the activity locations to be used			

Mobile Expeditions (Self-contained or camping trips) These three not applicable Y N Head

45	All equipment is tried, tested and leaders are trained in its use			
46	At least two leaders are on this mobile excursion			
47	Emergency communications are possible throughout the excursion	Not Known <input type="checkbox"/>		

International visits Tick here if these four questions are not applicable Y N Head

48	Authorisation from Director of Education & Leisure Services obtained for this trip			
49	Overseas travel is arranged through an ATOL company			
50	Checks will be complete for visas and passports			
51	Medical and repatriation arrangements will be in place			

⁵ A typical Facility might be the Picky Centre - **Form EX C1**

⁶ A typical Service Provider might be a Tourist Guide at Maes Howe - **Form EX C2**

⁷ A typical Provider might be an AALS license holder - **Form EX C3**

⁸ A typical unlicensed but potentially hazardous activity might be Piste Skiing or Woodland 'trails' - **Form EX C4**

(A list of Adventurous activities REQUIRED to be licensed, in 2006, can be seen on Form EX C3 Support Note.)

⁹ Accommodation means overnight sleeping provision or sometimes dining facility- **Form EX C5**

¹⁰ A typical Unapproved Transport Provider might be a Private hire bus in Inverness - **Form EX C6**

Attach this Checklist, all risk assessments and any Provider Forms to the Head's Approval Form EX B2 and retain for audit purposes

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This form must be signed by the Head after scrutinising the Leader Checklist EX B1, associated risk assessments, any provider forms and all other safety and welfare arrangements for the excursion.

This side MUST be attached to the checklist and both copied to the Service

1 ESTABLISHMENT _____
Telephone Number _____ FAX Number _____
HEAD'S NAME _____
LEADER(S) _____
PARTY CONTACT No(s). _____
EXCURSION TO _____
EXCURSION LEVEL _____ DATE(S) _____

2 Group numbers and age range (*side 1 box 4*):
Female _____ Age range _____ Male _____ Age range _____
How many under 8 years old in total _____

3 Comments for Excursion Organiser (this may be extended on a separate sheet)

4 I confirm that I have checked ALL BOXES (numbered 1-50), the general arrangements, risk assessments, any Provider Forms and all other associated forms and paperwork for the above visit and give my approval for the excursion or activity, as specified in the Leader's Checklist EX B1 Boxes 5-8, to take place.

Signed (Head) _____ Date _____

Additional OIC insurance cover is compulsory for all Level 3 and 4 excursions – this will be only be applied once form EX B3 is confirmed with the Trip Leader

**These forms are an integral part of records for off-site activity.
They MUST be retained for Service audit purposes.**

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FACSIMILE INFORMATION

FROM _____ TO _____

DATE _____ TIME _____

1
ESTABLISHMENT _____ HEAD'S NAME _____

LEADER'S NAME _____ FAX NUMBER _____

ACTIVITY AT OR JOURNEY TO _____

EXCURSION LEVEL _____ EXCURSION DATES _____

2 Based on information received -
INTERIM APPROVAL IS GIVEN TO COMMENCE FINAL PLANNING

3 I have studied this application, the risk assessments, the associated documentation and the Head's Approval Form. I am satisfied with all aspects, including the planning, organisation, safety and staffing of the proposed visit.

APPROVAL IS GIVEN DEFERRED REFUSED

4 NOTES FOR THE ATTENTION OF THE HEAD.

5 APPROVER'S NAME & SIGNATURE _____

Received Partial Check Check Complete

Additional School Journey Insurance cost: £

Approval Number

Date.....

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Used for **Post Excursion Evaluation**. As well as summarizing the excursion in general, this form serves to record errors, omissions and incidents. It is an essential tool of quality management and completes risk management of the whole excursion. It should be completed near the conclusion of, or very soon after the excursion, so as to reflect accurate detail.

It must be retained along with all other associated paperwork.

1 Excursion and dates		
2 Excursion Leaders		
		Yes No
3 Was there, or will there be, a review or debriefing with all party members?	<input type="checkbox"/>	<input type="checkbox"/>
4 What were the main points raised by them and which may be useful for anyone else running this type of Excursion?		Yes No
5 There will there be a review with all excursions leaders	<input type="checkbox"/>	<input type="checkbox"/>
6 A report will be or has been sent to Parents/Guardians	<input type="checkbox"/>	<input type="checkbox"/>

The following are loose headings and are given here to suggest the type of information required. The evaluation may be written in any form and these headings may be deleted, overwritten or ignored. However, please be certain to include issues with implications for future planning or action for any similar excursions.

7 Excursion planning

8 Support administration

9 Travel and transport

10 General objectives met or not

11 Group management issues

12 General safety

13 Discipline issues

14 Suitability of facilities (including accommodation)

15 Incident / Accidents (please note that any accident that results in a physical injury should also be recorded in the Accident book)

16 Actions taken or yet to be taken

Entries on this form will be seen by auditors and may be used in analyses.
NO reference to the specific Establishment will be made in any analysis, circulated or published material.

Evaluation completed by _____

Date _____

Checked by Establishment Head Sign and date
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