

DUE DILIGENCE AND FIELD RESEARCH: A PRIMER

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SOME CONSIDERATIONS

- ▶ Field research is critical to many projects
- ▶ University provides some coverage (insurance, training, etc)
 - ▶ BUT...
- ▶ You and your PI are responsible to plan and mitigate and act in a responsible manner...
 - ▶ WHAT WOULD A REASONABLE PERSON DO?"

FIELD RESEARCH AND PROV./FED. LAW

- ▶ By law you and your PI must ensure the safety off all participants in the workplace...
 - ▶ Occupational Health and Safety
 - ▶ WCB
 - ▶ Traffic act
 - ▶ National Transportation act
 - ▶ TDG
 - ▶ Communication
 - ▶ Etc.
- ▶ YOU need to ensure any and all Laws are followed
 - ▶ Negligence?

DUE DILIGENCE AND PARTNERS

- ▶ Partners may have higher safety, insurance, etc. standards than the law or the University
 - ▶ Important that you meet these
 - ▶ Funding and/or contractual consequences
 - ▶ When in doubt ask!
- ▶ Generally relate to training/certification, site orientation, PPE, and insurance coverage...always check!
 - ▶ Site access may be denied if deficient

DUE DILIGENCE AND THE UNIVERSITY

- ▶ University has basic rules that **MUST** be met
- ▶ There are resources
 - ▶ **FIELD RESEARCH OFFICE**
 - ▶ Dept. safety contacts (Alex D.)
 - ▶ Environmental Health and Safety
- ▶ **REMEMBER** a field site is considered a workplace
 - ▶ WCB etc

PLANNING AND TIMING

- ▶ FRO has several templates to assist
- ▶ A good place to start
- ▶ http://www.ualberta.ca/~fieldoff/docs/FieldResearch_Domestic_Time_Table_Final.pdf

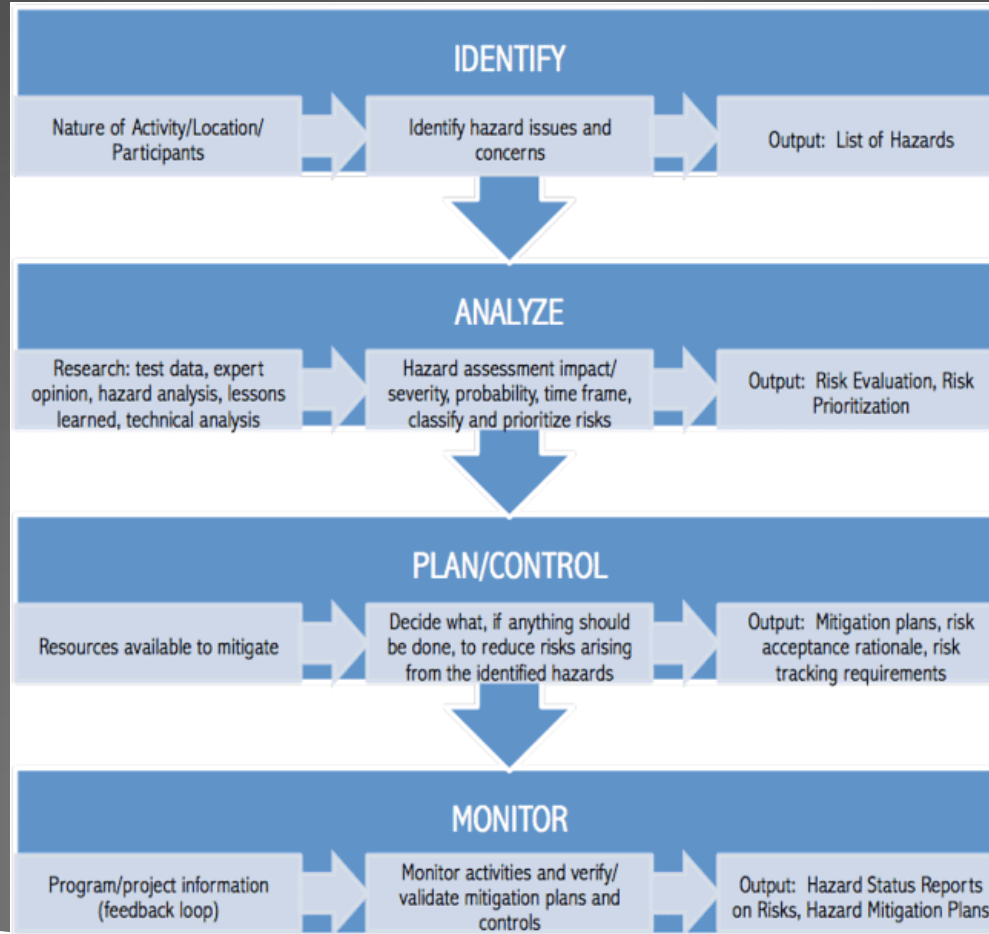
FIELD ACTIVITY PLAN

- ▶ http://www.ualberta.ca/~fielddoff/docs/FieldResearch_Domestic_Time_Table_Final.pdf
- ▶ A template to GUIDE you through your field planning (your will be unique)
 - ▶ Locations
 - ▶ Dates
 - ▶ Permissions (access, ethics etc)
 - ▶ Participants
 - ▶ Medicals if necessary
 - ▶ Transportation & drivers
 - ▶ Insurance
 - ▶ Communications
 - ▶ Response plan
 - ▶ Equipment and SOPs
 - ▶ PPE

HIRING

- ▶ Hiring of assistants can be complicated
 - ▶ Psychological and social elements
 - ▶ Immaturity
 - ▶ HR in Ren Res can offer advice
- ▶ Keep in mind timelines especially related to training
 - ▶ Driver training
 - ▶ 1st Aid training
 - ▶ Specialized training
- ▶ Tailgate training
 - ▶ Often adequate but need documentation

HAZARD ASSESSMENT



HAZARD ASSESSMENT

- ▶ http://www.ualberta.ca/FIELDOFFICE/docs/planning_fieldactivities_manage_risk_final_may_13_09.pdf
- ▶ Another template to GUIDE you
- ▶ Hazard assessment is not complicated and is often an iterative process
- ▶ Developing one is easy
 - ▶ Get a piece of paper and draw a line down the middle
 - ▶ L side are hazards; R side is mitigation of that risk

A SCENARIO FOR HAZARD ASSESSMENT

- ▶ Let us consider a field project
 - ▶ NSERC funded w/ an industrial partner
 - ▶ A team of 3 - 1 PI; 1 graduate student researcher; 1 undergrad assistant
 - ▶ Field season April 15 – Oct 15
 - ▶ Field site is N of Lac La Biche AB
 - ▶ Bears; moose; weather
 - ▶ Will access the site and others min. 1x every 2 weeks for up to 4 days at a time
 - ▶ ATV access to some sites
 - ▶ Chainsaw + ax to clear access
 - ▶ Setting up met stations (some construction)
 - ▶ Often each team member will sample separate sites at the same time
 - ▶ Using specialized tools in the field (radioactive catalyst; 25% HCl)

DOCUMENTATION

- ▶ Very important to have records and filed appropriately ...
 - ▶ Many w/ PI but some w/ the dept.
 - ▶ Consider if someone were to need access in an emergency ...field plans; hazard assessments; insurance information; contact documents --- file w/ dept.
- ▶ Informed Consent forms (waivers) and Emergency Information
 - ▶ See the FRO website re waivers...there are specific conditions but *generally* employees do NOT need waivers
 - ▶ <http://www.ualberta.ca/FIELDOFFICE/planning.html>

“any University employee (including graduate students conducting their own research), do not need to sign these forms. These consents are for students taking a field course, volunteers and non-U of A participants.”

PROOF OF INSURANCE

- ▶ Some partners will require a “certificate of insurance”
 - ▶ Can easily be provided via the Risk Management office
 - ▶ See website

INCIDENTS

- ▶ Incidents
 - ▶ Reporting in a timely manner is critical
 - ▶ A legal requirement (WCB)
- ▶ There are offices on campus to help
 - ▶ CSS
 - ▶ Dept
 - ▶ HR
 - ▶ EH&S
- ▶ Info on the FRO website
- ▶ Portal <http://www.ualberta.ca/FIELDOFFICE/incident.html>

SOME IMPORTANT CONSIDERATIONS

▶ Driving and vehicles

- ▶ There are special requirements for licencing and permissions to drive on UofA business
- ▶ Udrive Safe <http://www.uofaweb.ualberta.ca/driving/>
- ▶ Appropriate vehicles
- ▶ ATV; towing; log books; inspections – UofA is a National Commercial Carrier

▶ Communications

- ▶ Important consideration
- ▶ Radios; cell phones; satellite phones
- ▶ Tri-council charge back

RESOURCES

- ▶ Field Research Office

- ▶ <http://www.ualberta.ca/FIELDOFFICE/index.html>

Has virtually everything you will need and if they don't they can assist in finding resources

FINAL THOUGHT

- ▶ You are responsible to do what a reasonable person would do to eliminate or minimize/reduce hazards.
- ▶ Some simple planning from available templates will save immense grief.
- ▶ Start planning sooner than later.

THANKS!!

► Questions

