

HEALTH, SAFETY & SECURITY COMMITTEE
OPEN AGENDA
Wednesday 7th March 2018 at 2 – 4 pm
Conference Suite, Paul Webley Wing

HSS 17/18 2 A	Minutes To approve: minutes of the meeting held on 4 th October 2017	[Attached]
HSS 17/18 2 B	Action Points	[Oral Updates]
HSS 17/18 2 C	Matters Arising/Matters for Report	[Oral Updates]
HSS 17/18 2 D	Report from the Health & Safety Manager To receive	[Attached]
HSS 17/18 2 E	Report from the Assistant Director of Estates To receive	[Attached]
HSS 17/18 2 F	Occupational Health Services To receive: A verbal update from the HR Manager	[Oral Updates]
HSS 17/18 2 G	Fieldwork, Travel and Security Form To approve: Revised form	[Attached]

SOAS, UNIVERSITY OF LONDON
HEALTH SAFETY & SECURITY COMMITTEE (HSSC)

Conference Suite, Paul Webley Wing

4 October 2017 at 10.00am

MINUTES

MEMBERS:

Regina Everitt (Library representative)
Dr Collette Harris
Peter Baran
Dr Elizabeth Hull (UCU representative)
Russell Hunter (H&S Manager)
Dr Chris Ince (Chair)
Jahan Latif (UNISON representative)*
Mehdi Baraka (Student Representative)*
Alyx Lakewood*
Rychard Scrasefield (Assistant Director, Estates & Facilities)
Tim Surch (HR Business Partner (Academic))
Dr Mark Weeden
Dana Healy

IN ATTENDANCE:

*- indicates a member unable to attend

Minutes

HSS 17/18 1 A

The minutes from the meeting that was held on 24 May were **approved** as a true record.

Action Points

HSS 17/18 1 B

The committee **noted** the following points in relation to action points:

(i) HSS 16/17 3 B – Smoke Free Campus

The Committee **noted** that signs and posters had been redesigned and would be in place by the end of the month.

(ii) HSS 16/17 3 B – Access Statement

The Committee **noted** that the Access Statement for PWW had been completed as part of the revised evacuation plan.

(iii) HSS 16/17 3 B – Risk Register

The Chair **reported** that the Risk Register had been revised based on any feedback. The School was reviewing the methodology and the register would be considered at the next meeting of the Committee.

(iv) HSS 16/17 2 D – H&S Annual Report

The Committee **noted** that the additional data had been supplied.

(ii) HSS 16/17 2 G – Clean out week

The Committee **noted** that this would take place before the end of term and would also provide an opportunity to promote good records management practices.

Matters Arising/Matters for Report

HSS 17/18 1 C

(i) Risk Assessments for overseas travel

The Committee **discussed** the revised procedures for overseas travel and fieldwork. Training was being provided to departments and the documents were on line to facilitate completion. Further embedding of the process was required and Heads of Department were responsible for this.

The Committee **noted** that the Doctoral School had included elements of the procedure in its own documentation for research students and relevant links with the research ethics procedures. Further work would take place to look at PGT students.

Reports from the Health & Safety Manager

HSS 17/18 1 D

The Committee **received** the report from the Health & Safety Manager. The Report covered several topics including the completion of building audits for all SOAS properties and that this had informed the H&S improvement plan for the current academic year.

Good progress had been made in many areas but further work was required to address some concerns that remained from the previous year including roof protection, signage and fire doors. Estates & Facilities had plans in place to address these concerns or had measures in place to restrict access to any areas, such as the roofs, to minimise any risks. The Assistant Director would follow up with the H&S Manager and report back at the next meeting.

An audit of all teaching spaces had highlighted a few minor safety issues that had already been fixed.

The report covered several other areas including small improvements to the Overseas Travel Policy, evacuation plans and safety training.

Reports from the Assistant Director of Estates

HSS 17/18 1 E

The Committee **received** the Report from the Assistant Director of Estates. The report covered several areas including confirmation the School was meeting all its statutory testing requirements, the impact and cost of security in relation to events during 2016/17 and reassurance that the current security and safety arrangements would be preserved during the plans for a self-delivered facilities management service.

The Committee **noted** that there would be a project board established to oversee the work on the move to a self-delivered facilities management service.

Health & Safety Policy

HSS 17/18 1 F

The Committee **approved** minor revisions to the Health & Safety Policy. These mostly related to changes in roles or job titles as part of the restructure of academic departments and professional services. These would be recommended to the Board of Trustees for formal approval.

The Committee **noted** that the Chair would contact Heads of Department about the roll out of the new policy and the need to appoint departmental safety contacts where this has not already been completed.

Fire Policy

HSS 17/18 1 G

The Committee **approved** a revised version of the SOAS Fire Policy. This had been updated to reflect the latest evacuation strategy for each building.

Work was underway to see if secondary power supplies could be included as part of the lift refurbishment programme, which would enable their use in fire evacuations.

The Committee **noted** that the Grenfell Fire would lead to a major review of fire legislation and although the initial focus would be on similar buildings it was likely that there would be a shift to increased control within fire-related legislation. The Committee **noted** that there were no concerns with the student residences the School had arrangements with.

Legionella Policy

HSS 17/18 1 H

The Committee **approved** the School's Legionella Policy

Occupational Health Services

HSS 17/18 1 I

The Committee **noted** the work of the Group looking at the Stress Management Policy and

this had now been mapped to the HSE documentation and the School's staff survey results. Other work was taking place with the OH provider on the wider issue of mental health support and provision.

The Committee **noted** that there had been an increase in OH referrals, predominately for muscular-skeletal issues. Existing adaptive equipment was being reused where possible.

Reports from Staff Representatives, Student Representatives HSS 17/18 1 J
and from Union Safety Representatives

The Committee **noted** that cooling measures were required in the AV spaces in both LG50 and BGLT.

The SU reported that it was undertaking generic risk assessments for all standard club and society activities. All societies were then required to complete a specific risk assessment for any activity or event not covered within the generic assessments.

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HSS 17/18 2 B

Action Points

Item	Action	When?	By?	Progress
HSS 17/18 1 D – H&S Report	Follow up on actions outstanding from 16/17 safety plan	Feb 18	RH / RSF	Update to be provided in meeting
HSS 17/18 1 F – H&S Policy	Take to BoT for approval	Feb 18	CI	Completed
HSS 17/18 1 F – H&S Policy	Contact HoDs re departmental safety contacts	Feb 18	CIs	Update to be provided in meeting

Health and Safety Manager's Report

Health, safety and Security Committee is asked **to receive** the report.

Executive Summary

The report outlines the most recent updates on key areas of health and safety. No trends or poor practice were identified through analysis of incidents.

Health and Safety policies have been updated to reflect the new academic structure, no practice or significant content changes have been made.

Recommendations

- a. To consider the content of the report.

Financial Impact

N/A

Risks

N/A

Equality implications

N/A

Consultation

N/A

Fire

Please see attached a list of reported fire alarm activations between the last committee meeting 4th October and 26th February, numbering 10 in total. This is a slight increase in the number previously reported (7).

The causes of the activations were as follows:

- 5x planned drills in the main building, Faber Building, Brunei Gallery, 53 Gordon Sq and 21/22 Russell Sq
- An unknown cause from SHSB which set off the alarms in the PWW
- 2x spurious call point activations (PWW and Main building)
- Contractor operations causing dust to trigger the alarm in 21/22 Russell Sq
- Heat from a wash hand basin in 53 Gordon Sq

Accidents/incidents and First Aid

Attached is a table documenting all accidents/incidents reported since the last meeting, numbering 11 in total. This represents a significant increase when compared to the number reported at the last meeting (3)

Of the 11 accidents/incidents, three were as a result of staff or students fainting, one due to a student having a seizure, one was an instance of someone slipping on a wet floor during bad weather (warning signage was in place) and another a reported incident involving a student with a suspected eye infection. In addition since the last meeting we have also had two reported cases of students contacting first aiders due to feeling “unwell”, a trip on the stairs which resulted in a knee injury, a case of someone hitting their head on a low door frame (which is sign posted as such) and lastly a cut finger.

In summation, although the number of reported accidents/incidents has increased since the last meeting, there is nothing to suggest a trend of bad practice nor have the reported cases highlighted a particular area which we should pay particular attention to going forward.

General Health and Safety updates

- This year’s risk audits for each SOAS site are under way with 53 Gordon Sq, PWW and Brunei gallery being completed at the time of writing.
- A safety audit of the SU (JCR/ SU BAR) has also been carried out and required corrective actions communicated to Peter Baran.
- In addition to the premises risk audits, RH has carried out an overall audit of SOAS’s health and safety arrangements, procedures and management processes. This audit uses an algorithm to calculate a score out of 100. This has been carried out each February since 2016. In 2016 our overall score was 84%, followed last year by a score of 91%. RH stated last year that he expected, with further improvement, the 2018

score to be in the region of 95%-97%. RH is happy to confirm that our 2018 score is in fact 97%. While the aim should be to achieve a 100% score, maintaining a score in the region 97% year on year is a very healthy position to be in.

- Since the last meeting the majority of corrective actions from last year's audits have been completed. The exception being the previously reported issues surrounding roof safety, centred in the main around adequate edge protection and protection of fragile surfaces. Arrangements for these are being confirmed with Estates.
- Another area flagged on last year's audits, whereby improvements can be made, is the restricting of windows on the upper levels of PWW. At present the majority are able to be opened wide enough to allow someone to fall through. RH has discussed with Chris and Francine from Estates and they are currently investigating whether there are options available for restricting the windows without breaching heritage stipulations.
- An occupational noise survey of the print room has been carried out via Bouygues and as a result of those findings RH has worked with Steve Redding (print room manager) to produce a workplace risk assessment. As well as the noise levels and associated controls needed, the risk assessment also considers the working environment as a whole.
- The appointment of departmental safety reps has begun with the appointment of Lisa Smith in Governance and Legal services. RH & CI to continue to recruit others in the coming weeks.
- A review of our Artificial Optical Radiation risk assessment has been undertaken, as nothing has changed either at SOAS or regulation wise since this was last carried out, no further action is required.
- Another risk assessment review that has been undertaken is one which considers how flammable substances are stored at SOAS in accordance with the (Dangerous Substances and Explosive Atmospheres Regs). This concentrates mainly on substances that can cause fire or explosion. At SOAS this necessitates evaluating what substances we store on site. It also looks at how and where we store them and in what quantity. Work is ongoing with Bouygues and John Hollingworth in respect of this, the main issues being appropriate storage facilities and provision of information for each substance held.
- Reviews of our DSE, PEEPS, Manual Handling and New and Expectant mothers' policies have been undertaken. These have, in the main, remained the same with only very minor wording alterations made where needed.
- A training session will be held in April focusing on our Oversea Travel Policy (date to be finalised) The aim being to promote the policy throughout the school and to provide further clarity for those using it.
- We have fulfilled our legal obligation and carried out at least 2 planned fire drills at all SOAS sites during the last 12 months
- At the last meeting RH reported that a safety signage audit was being carried out across the campus. This has been completed and approximately 60 extra signs were

required. With the exception of 3 signs, all requirements raised by the audit have been completed.

DSE and work stations

There have been 5 DSE assessments carried out since the last meeting, once again exactly the same figures as was reported for the last meeting. This figure seems to be around the average number that we would expect over a 3 month period. As previously mentioned the only time we tend to see a spike in their number is when there is a large departmental move.

Summary of fire alarm activations

DATE	TIME	DETAILS	FIRE BRIGADE CALLED	DRILL	NOTES
11/10/17	7:39	Heat from wash hand basin activated alarms (53 Gordon Sq)	No	No	Seen by H&S
13/10/17	22:55	Contractor cutting stone produced a large amount of dust which activated the alarm (21/22 Russell Sq)	No	No	Seen by H&S 26/2/17
13/10/17	18:56	Call activated by unknown person (main building)	Yes	No	Seen by H&S 26/2/17
6/12/17	11:00	Alarm activated as part of planned drill (main building)	No	Yes	Seen by H&S 06/12/17
9/12/17	9:22	Issue in SHSB	Yes	No	Seen by H&S 09/12/17

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12/12/17	9:35	Alarm activated as part of planned drill (Brunei)	No	Yes	Seen by H&S 12/12/17
19/12/17	16:39	Call point activated by unknown person (PWW)	No	No	Seen by H&S 02/01/18
10/1/18	10:00	Alarm activated as part of planned drill (Gordon Sq)	No	Yes	Seen by H&S 10/01/18
22/1/18	10:30	Alarm activated as part of planned drill (21/22 Russell Sq)	No	Yes	Seen by H&S 10/01/18
21/2/18	10:30	Alarm activated as part of planned drill (21/22 Russell Sq)	No	Yes	Seen by H&S 10/01/18

seen by H&S date is when report was seen by Russell Hunter, rather than when it was initially reported

Summary of Accidents/Incidents

Incident Number	Date	Location	Summary of Accident/Incident	Date report seen by H&S
59	27 th Oct 17	Library	Student reported paper cut	30 th Oct 17
60	30 th Oct 17	SG31 PWW	Student fainted	30 th Oct 17
61	2 nd Nov 17	Library Level B	Student fainted	6 th Nov 17
62	14 th Nov 17	F310	Member of staff hit head on low door frame	15 th Nov 17
63	21 st Nov 17	SG25 PWW	Student unwell	22 nd Nov 17
64	23 rd Nov 17	Near KLT	Student tripped on stairs and hurt knee. Paramedics called, medication dispensed.	27 th Nov 17
65	28 th Nov 17	S209 PWW	Student unwell	29 th Nov 17

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66	30 th Nov 17	N/A	Student reported eye pain, suspected eye infection. Sent to Moorfields.	30 th Nov 17
67	4 th Jan 18	Reception, main building	Member of staff slipped on wet flooring and cut head. Signage and weather matting in situ at the time. Member of staff sent to hospital.	4 th Jan 18
68	10 th Jan 18	Unknown	Student suffered seizure	15 th Jan 18
69	13 th Feb 18	Library entrance	Student fainted	14 th Feb 18

H and S update Estates

H and S update from Estates team.

Report for information

Executive Summary

Short paper highlighting the security and H and S operational activities currently underway with in the estates team and to highlight any changes or risk that this committee should be aware of.

Recommendations & Next Step

Remedial action on Audits underway to be reported back to this committee

Highlight the risk of the new self-delivered services, due to come on stream in September 2018.

Highlight any on-going operational issues for this committee.

Financial Impact

N/a

Risks

How the new estates team will look to manage risks in the future in the new self-delivered services.

Equality implications

N/a to this paper

Security services

The last term has seen a number of events which required additional resources on site.

The main topics which I will cover in my report:-

- *Overview on security and self-delivery*
- *The security arrangement during the last term*
- *Incident Log and trends*
- *General operational Health and safety and compliance*

Security overview and self-delivery

The first term has been relatively quiet, the SOAS community has benefited from the removal of the barrier system to the main college building and has helped with reducing the bottle neck in the main reception at peak times. The security team has risk assessed the reception space and has introduced a similar system for checking visitors in and out, as they do at the Paul Webley wing with a simple badge check carried out.

As we head towards the transition period from a contracted security services to a self-delivered service, we have been focusing on a number of key areas that need to be in place at transfer:

- *The ability to ensure licence our security guards to SIA standards of equivalent level*
- *Understand how their shift patterns will be managed in line with the working time directive*
- *How will we recruit/cover shifts that become vacant at short notice or through AL?*

These questions and others are actively being assessed and solutions put forward to manage them, so that day one we can maintain continuity of services without impacting on the student experience.

Security arrangements during term one.

The introduction of ID card checks are now carried out by the security staff throughout the day. Despite some initial negative feedback, the SOAS community has got used to this badge check on entry.

All students/academics and professional staff members should be carrying their SOAS/UOL pass at all times, especially if they wish to get into the Library, this is good practice.

The future security arrangements

As stated in my last report we continue to provide additional security cover to the Student Union when required. We have a number of newly trained site guards to assist in Door work and to cover AL etc...

We continue to assess each event request, especially when additional security cover may be required, this is on a case by case basis. We look to make sure that the same faces are used for event management as this helps to build trust and reassurance.

Incident Log and trends between August–January 18 comparisons

	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18
Break in / Damage					3	1
Robbery/Mugging						
Assault						
Theft						
Emergency Services					3	
Anti Social	1	2	2	1		4
Rough Sleepers				3		0
Library Related						2
First Aid / Personal Injury				2	1	2
Drugs				1		0
Attempted Theft						0
Fire Alarm Activations	1	3	3		4	1
Fire Evacuations					3	1
Panic Alarms / Fire Doors		1	1		3	0
Lift Entrapments	1	1	1	2	9	2
Unacceptable Behaviour		1	1	1		4
Reported Technical Faults	19	24	24	24	8	8

I would draw your attention to the Lift entrapments, we have seen an increase in incidents, which we are investigating.

Rough sleeping became an issue in the College building. They were asked to leave, security are investigating how they got in.

Lost Property August 17 – Jan 18

	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18
Collected	60	72	260	199	183	179
Reclaimed	10	4	47	37	16	30
Total Collected	940	1012	1272	1139	1322	179
Total Reclaimed	186	190	237	223	239	30

The figures are consistent to the same period last year, with no particular or unusual items being left or recovered by the security teams.

General security/operation information and general information

- Training is being provided on the use of two types of evacuation chair located across the campus. This roll out of training will continue during the initial period of the term.
- The PWW south entrance door activation period has been changed, on request of UOL. The door now stays open longer to accommodate ease of access during normal operation periods.
- New site security manager started, replacing Hubert. Glenn Davis started in September. Glenn has a strong operational management back ground.

Mechanical and electrical services & compliance

Contract M and E services continue to deliver the required regulatory certification and compliance. A number of key activities have been carried out in the last few months.

Auditing site compliance is currently underway, this is an annual audit to check and confirm our regulatory status, and is based on key compliance activities carried out as part of Bouygues PPM schedule.

Fire evacuation observations and actions.

There have been a number of fire activations during the course of the last 6 months. We continue to review the reasons why we evacuate, they include vaping in enclosed buildings evacuations triggered by linked fire system in the Paul Webley wing and though call points being activated, by person/s unknown.

General operational Health and safety and compliance

A number of key observations have been made by the estates team during their regular site inspections. They noted that general housekeeping needed to be kept on top of. Areas to note:-

- *The goods in area and bin stores needed to be kept clear (a build-up of waste).*
- *The moated area had a number of items stored within it which restricted access to the fire exits. Estates team are working getting these items removed as soon as possible.*
- *Internally keeping on top of storage areas*
- *The SU spaces especially the fire routes had significant amounts of stored items which needed to be relocated, as this poses a significant fire hazard. This has been passed to the Russell to investigate further. Further audits of this and other highlighted space will be conducted of the course of the next few months.*

We continue to work with the SOAS community to develop well managed spaces free from a build-up of waste and unwanted items.

Changes to services and the self-delivery of specialist services

At the end of the summer term we announced that we would self-deliver our own services by September 2018. Part of this transition from contracted services to a self-delivered services is how we then manage the additional compliance risk as it would no longer be the responsibility of our services partner.

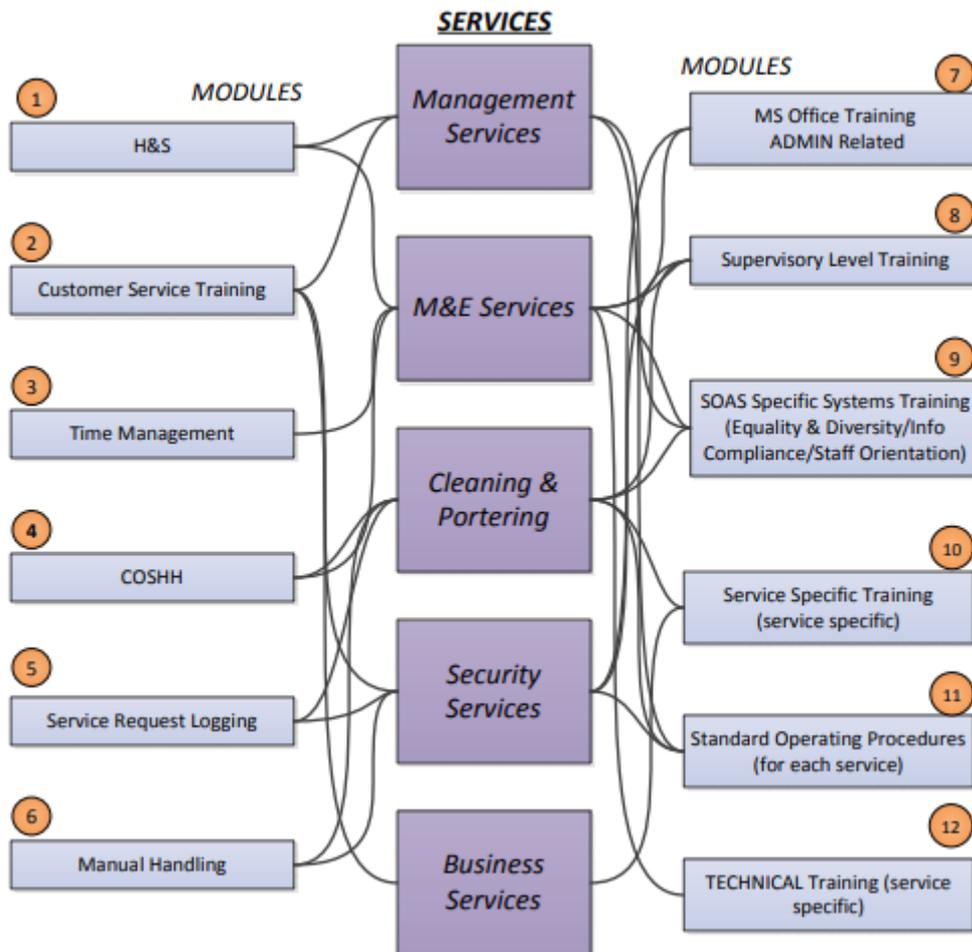
Clearly much of this responsibility will sit within our self-delivered team. The examples of this are:-

- *COSHH management*
- *Manual handling*
- *General health and safety awareness*
- *PPE and safe system of work*
- *Responsibility for compliance*
- *L8 water testing and treatment*
- *Basic but important administrative roles*

- Insurance risk

These are just some of the risk factors. Clearly there is a need to provide refresher training for all the sites teams, this will establish a level of basic understanding of their responsibilities and of course advanced training for the new SOAS estates management team.

To help understand the types of training that needs to be considered see below, they all help refresh and develop staff skills but help manage our risk from the ground up.



The structure to support 130 plus staff will be vital, and the infrastructure to help maintain continuity of services during the initial period. The overall structure of the new services will become clear in the next few weeks.

The self-delivery project board will oversee the process of change, ensuring that at each stage the risk of running our own services is managed appropriately.

WEE electrical waste proposal

The proposal to offer the opportunity for the SOAS community to benefit from a one off free electrical goods collection has now been expanded to include a number of other local institutions.

This process has been delayed because of this addition of the other local institutions but we are expecting this to be rolled out in March leading up to Easter.

Fieldwork, Travel and Security Form

Health, safety and Security Committee is asked **to approve** the recommended form.

Executive Summary

The old Fieldwork Form has been reviewed following advice from Health and Safety Manager that the old form was not compliant with SOAS H&S policy.

The form will support the Doctoral School to manage the work and support the welfare of research students during fieldwork.

Recommendations

- a. Approve the form for implementation.

Financial Impact

N/A

Risks

The current guidance is not compliant with the School's H&S policy.

Not implementing the form would result in insufficient monitoring and information required by our insurer not being collated by the Doctoral School.

Equality implications

N/A

Consultation

- Doctoral School Management Group (approved for recommendation)
- Research Ethics Panel (approved for recommendation)

Fieldwork, Travel and Security Form

This form must be completed and submitted to the Doctoral School **AT LEAST TWO MONTHS** before your planned date of travel. **No data may be collected before you have sought and obtained approval for your fieldwork.**

Please complete this document with care since only one resubmission will be permitted, after which permission to carry out primary research will be denied. You should expect to hear within four weeks of submission.

You are advised to review the FCO guidance immediately before travel and amend your travel arrangements in consultation with the Doctoral School if it is no longer safe to travel to your proposed fieldwork site.

1. Student's Certification

I confirm that I have read and completed all sections after discussion with my supervisor:

- Fieldwork application
- Travel and Security Assessment
- Risk Assessment

I understand that I must inform the Doctoral School by email immediately in the event that I need to extend my period of fieldwork OR wish to change the location of the fieldwork site.

I confirm that I have read and understood the details of SOAS's Insurance Policy for fieldwork and have copies of the relevant documents.

2. Student's Details

Student number:	
Student name: (First name, SURNAME)	
Department / Centre:	
Emergency contact name:	
Emergency contact telephone number and/or email address:	
Relationship to you:	
Signature:	
Date:	

DOCTORAL SCHOOL USE ONLY

FCO advisory	Refer to RT	Refer to REP	APPROVE	REJECT

Updated November 2017

3. Supervisor's Certification

I support the request that the student named above should be enrolled on overseas fieldwork/research status for the period(s) indicated.

The following arrangements will be made for supervision during s fieldwork/research:

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The following links are planned with another institution:

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Normally only **three terms** of fieldwork/research are permitted as part of a three year full-time programme (or equivalent part-time) and only three terms of s fieldwork/research (or equivalent part-time fieldwork/research) may count towards the nine terms of full-time study normally prescribed for a PhD programme. Any variation from this pattern would need the approval of the Associate Dean (Research). If the proposed fieldwork/research does not fit the normal pattern, please make a case in writing and the Doctoral School will arrange for it to be considered by the relevant Associate Dean (Research).

I confirm that the student will be transferred to PhD before leaving for overseas **fieldwork/research**:

SUPERVISOR'S DETAILS

Name:	Signature:	Date:

This form must be sent as a pdf scan to doctoralschool@soas.ac.uk

Guidance Notes

Research Integrity Training

This is available online and all students beginning their PhD in 2017/18 and later are required to complete it.

Using Personal Data in Research

Any PhD student who is collecting or using personal data as part of their PhD research must read and adhere to the [School's Code of Practice for Use of Personal Data in Research](#) and [data protection legislation \(UK, EU and International\)](#) throughout their research and when submitting their thesis for examination and to the Library and SOAS Research Online. PhD students must ensure that personal data is anonymized before they submit their thesis unless they have received specific informed consent that it can be included.

Informed Consent

PhD students must ensure that they carefully prepare for collecting informed consent from research participants used in their PhD research. The School's Code of Practice for Use of Personal Data in Research includes a template consent form which includes all the information you need to provide to research participants. The form can be adapted to a particular research project and language context. Evidence of the consent you have collected should be kept as long as you keep and use the data for your PhD research and future publication and you should include a blank version of the consent form you used in your thesis when it is submitted.

Research Data Management and Personal Data

Before the collection of any personal data for research PhD students must ensure they are aware of the practical steps that need to be taken in order that personal data it is collected, handled and shared in accordance with data protection legislation.

In addition to the Code of Practice for Using Personal Data in Research, there is a lot of essential practical advice and training about collecting and using and storing research data which PhD students must read before collecting research data:

- [SOAS Research Data Management](#) pages includes dedicated information on working securely and safely with personal data and general good practice relating to research data management
- Research Data Management Training is also available throughout the year at SOAS including Working with Personal Data and Data Management Planning. PhD students should attend prior to undertaking data collection. Training is advertised through the [Library Training & Events Page](#)

This above guidance will help fill in section 4. If you need any further help or information you should contact:
dataprotection@soas.ac.uk for further advice about UK and International Data Protection Legislation
researchdata@soas.ac.uk for further advice about research data management

4. Research Data Management Planning

Writing a Data Management Plan is one of the best ways you can ensure you are collecting, handling and storing your research data in line with data protection legislation, as well as helping you to organize your research data efficiently and effectively. Please fill in the following questions in relation to your PhD project.

NB* If your plans relating to data collection and management haven't changed since filling in your upgrade form please simply add in the plan you created previously.

What existing sources of data will you use for your research?	
What new research data will you create or collect?	
How will you collect the research data?	
How much research data do you expect to collect?	
What file formats will your research data be collected in?	
How will you organize and describe your research data?	
Where will you store your research data and how will you back it up?	
Will you be collecting personal data in your research? If so store and travel with your research data securely?	
Describe how you will you collect and document consent from all your research participants?	
How will you protect the anonymity of your research participants in your thesis in preparation for deposit in SOAS Library and SOAS Research Online?	

5. Fieldwork Application

Notes:

- a) **You must normally be transferred to PhD status before leaving for fieldwork/research.**
- b) Fieldwork can take place overseas or within the UK.
- c) You may not be absent on fieldwork/research during the first three months or the last three months of your prescribed period of full-time or part-time study and not normally during the first year of a full-time programme of study (or first two years of a part-time programme of study). Fieldwork is normally undertaken in the **second full-time year** (or part-time equivalent) of a PhD programme and any variation would need the approval of the Associate Dean (Research).
- d) Normally only **three terms** of fieldwork/research are permitted as part of a three-year full-time programme (or equivalent part-time) and only three terms of fieldwork/research (or equivalent part-time fieldwork/research) may count towards the nine terms of full-time study normally prescribed for a PhD programme. Any variation from this pattern would need the approval of the Associate Dean (Research).
- e) Please note that the term length for Research students runs from the first day of term until the day preceding the start of the following term. Fieldwork is calculated on a term by term basis.
- f) Please note that a **risk assessment should be made** before research students travel into the field. It is the student's responsibility to assess the risk and discuss it as necessary with the supervisor and others. The School advises all students to consult Foreign and Commonwealth Office guidance and **NOT** to travel to countries or areas contrary to FCO recommendations.
- g) It is your responsibility to ensure that you are travelling on the correct visa for the country in which fieldwork is being conducted. SOAS, University of London bears no responsibility for visa arrangements. Where possible you should ensure that you are legally able to carry out your fieldwork in the countries specified.
- h) Students should ensure they have read the **Policy Schedule for Travel Insurance**. All documents can be found online via the **Research Students' Common Room**.
- i) **Each fieldwork location (city and country), address and expected dates must be listed on the form below.**
- j) Remember to come to the Doctoral School Office with your passport (and visa, if applicable) within one week of your return from fieldwork to complete enrolment.

I am applying to the Doctoral School for fieldwork/research in the following areas:

Travel site 1: <i>Example</i> (City, Country)	<i>Berlin, Germany</i>
Does this country or region appear on the FCO website advising against travel?	<i>No</i>
Proposed activity: (e.g. archive research, interviews, study at an overseas University)	<i>Archive research at Humboldt University and interviewing members of 3 Lutheran churches</i>
Why is travel essential?	<i>To access materials only held in German archives and to speak to established church congregations</i>
Local address:	<i>To be updated after online enrolment in September</i>
Date of Departure:	<i>1 October 2017</i>
Date of Return:	<i>31 March 2018</i>

Travel site 1: (City, Country)	
Does this country or region appear on the FCO website advising against travel?	
Proposed activity: (e.g. archive research, interviews, study at an overseas University)	
Why is travel essential?	
Local address:	
Date of Departure:	
Date of Return:	

Travel site 2: (City, Country)	
Does this country or region appear on the FCO website advising against travel?	
Proposed activity: (e.g. archive research, interviews, study at an overseas University)	
Why is travel essential?	
Local address:	
Date of Departure:	
Date of Return:	

Travel site 3: (City, Country)	
Does this country or region appear on the FCO website advising against travel?	
Proposed activity: (e.g. archive research, interviews, study at an overseas University)	
Why is travel essential?	
Local address:	
Date of Departure:	
Date of Return:	

Travel site 4: (City, Country)	
Does this country or region appear on the FCO website advising against travel?	
Proposed activity: (e.g. archive research, interviews, study at an overseas University)	
Why is travel essential?	
Local address:	
Date of Departure:	
Date of Return:	

Please note that a local address must be supplied to the Doctoral School once you have arrived at your fieldwork site – this is normally done via online enrolment or by emailing doctoralschool@soas.ac.uk.

6. Travel and Security Assessment

The purpose of the assessment is to ensure that students are not exposed to risks which could affect their health and safety and so that SOAS can meet its legal obligations. Students should also ensure that they are familiar with the contents of the Health & Safety Policy and the Overseas Travel Policy.

Location and dates of travel:	
<p>Have you travelled there previously?</p> <p>(Please specify any extensive knowledge or contacts you may have gained from living or working in this country previously)</p> <p>Have you sought advice from others regarding this destination?</p>	
<p>Are you being hosted by another organisation?</p> <p>If yes, please state the name:</p> <p>Will you be given a security briefing by them on arrival?</p> <p>Does the host organisation provide security training?</p> <p>Does the organisation have a security or emergency system in place for you to use? If so, please give details:</p>	
<p>How will you transfer to and from the location?</p> <p>What are the security arrangements in place for the transfer?</p>	

<p>What form of transport will you be using while abroad? If driving a vehicle, do you hold an appropriate driving license?</p>	
<p>Details of health checks and vaccinations relevant to this trip</p>	
<p>Any other health related information that you may think is relevant</p>	
<p>At any point do you envisage travelling alone? (if yes please refer to the SOAS overseas travel policy guidance on personal security/travelling alone)</p>	
<p>What contingency / communication plans have you put in place?</p>	
<p>Is there any equipment that you require to facilitate your travels?</p> <p>Do you have a mobile phone and does it work in the area to which you are travelling?</p> <p>Do you require a satellite phone?</p>	
<p>Will you need to carry any personal or sensitive data across borders?</p> <p>Have you checked the data protection legislation of all countries in which you</p>	

<p>will collect or use personal data? Are there any risks associated with forced data disclosure on equipment you will carry at the borders through which you will travel?</p> <p>Have you planned how you will transfer personal and sensitive data securely through borders in accordance with local laws or assessed when you need to anonymize data before travelling?</p>	
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7. Risk Assessment

Hazard	Risk (High / Medium / Low)	Remedial Measures	Comments / Actions
Social / Political Unrest: FCO advises against travel to destination(s) on safety/security grounds		Check the FCO website for up-to-date advice. Reschedule visit if feasible. Also read recommendations mentioned in the SOAS Overseas Travel policy: Appendix 1 Section 3 "Your destination"	
Personal attack / kidnap: Dangers associated with travelling alone; arriving at night, Terrorism etc.		Precautionary measures should be taken to protect personal safety. Inform hosts of itinerary. Be aware of specific local risks. Travel during daylight hours if possible. Also read recommendations mentioned in the SOAS Overseas Travel policy: Sections 5, 10 & 13 as well as Appendix 1 section 13 "Personal Security"	
Disclosure of Personal Data		Refer to SOAS Code of Practice for Use of Personal Data in Research. Attend Research Data Management training at SOAS. Anonymize data as soon as possible after data collection. Check international data protection laws and seek advice before you travel.	
Driving		Check safety of vehicle. Check insurance. Avoid driving at night Also read recommendations mentioned in the SOAS Overseas Travel policy: Appendix 1 Section 2 "When travelling by car"	
Transport		Use carriers with good safety record and consider employing a local drive.	
Theft or loss of ID documents and other belongings: passport, driving license, bank cards, travel tickets, laptop		Keep items secure. Record details of numbers, issue dates, etc. and store separately both with you and at home. Have emergency contact numbers. Report to police if theft suspected. Minimise amount of cash carried. Also read recommendations mentioned in the SOAS Overseas Travel policy: Appendix 1 Section 4 "Documents"	
Injury relating to work activity		Consider returning home to recuperate and changing fieldwork dates – please email the Doctoral School	
Fit enough to travel/Pre -		Take medical advice. Carry written details of medical condition, adequate supplies of prescribed medication, details of blood group,	

existing medical conditions		etc. Consider translation of information into local language. Also read recommendations mentioned in the SOAS Overseas Travel policy: section 6 as well as Appendix 1 section 9 Medical Provisions”	
Exposure to infection: Known endemic illnesses in destination(s)		Take medical advice and arrange vaccination/ inoculation / prophylaxis as appropriate for e.g. Cholera, Diphtheria, Hepatitis B, Japanese Encephalitis, Malaria, Meningitis, Poliomyelitis, Tetanus, Tick-borne Encephalitis, Tuberculosis, Typhoid, and Yellow Fever. Also read recommendations mentioned in the SOAS Overseas Travel policy: Section 6	
Insect and animal bites		Avoid by prevention – repellents, clothing, etc. Carry appropriate treatment. Also read recommendations mentioned in the SOAS Overseas Travel policy: Appendix 1 Section 9 “Medical Provisions”	
Contaminated water/ food		Avoid food or water which could be contaminated. Carry water sterilising tablets Also read recommendations mentioned in the SOAS Overseas Travel policy: Appendix 1 Section 8 “Food and Drink”	
Minor injuries and ailments		Carry basic First Aid kit. Also read recommendations mentioned in the SOAS Overseas Travel policy: Appendix 1 Section 9 “Medical Provisions”	
Sunburn		Avoid by prevention – hat, sunglasses, and sunblock. Carry appropriate treatment. Also read recommendations mentioned in the SOAS Overseas Travel policy: Appendix 1 Section 9 “Medical Provisions”	
Health care in EU		Up to date European Health Insurance Card	
Emergency		Ensure you have a contact available 24 hours per day and that suitable methods of contact are available. Ensure access to additional funds is possible in the event of existing tickets being lost or stolen. Carry the medical assistance document provided by the School's insurer RSA. Programme emergency contact numbers (e.g. Family, supervisor, embassy) into your mobile phone.	

		Have copies of your passport and travel documents in case the originals are lost or stolen. Identify a local contact who can assist in an emergency	
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8. Insurance Policy Information

A travel insurance policy is permanently in force for business related travel by employees and students undertaken on behalf of the School.

Employees and students may apply for an insurance travel card and other documentation from John Faulkner, Senior Financial Administrator (jf1@soas.ac.uk). Employees and staff should take this card with them whenever they are travelling abroad on School business. Questions regarding cover and special circumstances should be sent to John Faulkner, Senior Financial Administrator.

Please note that: the travel card gives you the emergency contact numbers and the policy Number. You should contact **John Faulkner** if you are travelling to one of the sanctioned territories listed below:

- **Ukraine (Crimea)**
- **Russia**
- **Cuba**
- **Iran**
- **North Korea**
- **Sudan**
- **Syria**

There may be reduced cover if there are sanctions imposed against a country that you are visiting.

You should also contact John Faulkner if you are travelling to any destination for a period of more than a year.

If you need to make a claim against the policy after your return please let the Senior Financial Administrator know. You can find insurance documentation (policy details, specialised risk assessment form, and claim forms) by going into MySOAS/Directorates/Finance & Planning/Insurance.

Claims, or incidents which might give rise to a claim, must be reported promptly to John Faulkner (jf1@soas.ac.uk) or directly to the insurer. Losses should be reported immediately to the local police or the transport carrier. Receipts should be obtained to support the claim on return to the UK.

Our insurers RSA provides assistance documentation that has information such as contact details for emergency medical assistance, and country specific guidance.

For further information please contact John Faulkner. Insurance cover is conditional upon the traveller complying with the relevant SOAS Overseas Travel Policy guidance and risk assessments.