# Appendix 2: Risk Assessment Tool

Please complete the following Research Risk Assessment Tool, which the Research Governance Panel will use to review your assessment of risk as part of the approval process.

Title of Proposal

Name of Researcher: Telephone Number:

Email Address: Date of Application: Click here to enter a date.

| **Area** | **High Risk** | **Medium Risk** | **Low Risk** |
| --- | --- | --- | --- |
| **Characteristics of Participants** | Participants are unable to consent or withdraw from the study due to age or incapacity, communication issues arising from language, literacy issues, sensory or speech impairments. |[ ]  Informed consent and the ability to withdraw from the study is possible with support to overcome communication barriers e.g. advocates, translators / interpreters, signers or technology. |[ ]  The participant is capable of making a decision on consenting to partake in the research and has the ability to withdraw from the study fully. |[ ]
| Details of assessed risk |  |  |  |  |  |  |
| **Competence of researcher** | Researcher has little or no experience or knowledge of the topic being researched, the participants / data or the methods being used. |[ ]  Researcher reasonably well qualifies with experience and knowledge of two of the following three factors – topic of investigation, the participants or data and the methods used. |[ ]  Researcher is well qualified with experience and knowledge of the participants and research skills.  |[ ]
| Details of assessed risk |  |  |  |  |  |  |
| **Nature of information being sought** | The topic or information being sought are likely to be regarded as highly personal or sensitive by those from whom it is being collected or about whom it is to be obtained.  |[ ]  The topic or information being sought includes items likely to be considered slightly sensitive or personal by some people, e.g. ethnicity, religion, income, age. |[ ]  The topic or information being sought does not focus on personal information at all e.g. opinions about a received service. |[ ]
| Details of assessed risk |  |  |  |  |  |  |
| **Methods / nature of data collection** | High level of face to face contact and / or interaction between investigator and participant e.g. person interviews, observations. |[ ]  Some face to face contact and interaction for limited amounts of time. |[ ]  No face to face interaction between researcher and participant. |[ ]
| Details of assessed risk |  |  |  |  |  |  |
| **Appropriateness of methods and quality of research design** | It is not known whether the methods are appropriate for the study and no advice has been sought concerning the methods. No additional resources have been made available to undertake the research. |[ ]  It is believed that the methods are the most appropriate for the study, although it is not known whether they have been used successfully in a similar project. Advice has been sought and resource implications considered. |[ ]  The methods are fully appropriate as they have been used successfully on similar, or the same, project previously and / or advice has been sought with regards to methods. The necessary resource are available to undertake the research. |[ ]
| Details of assessed risk |  |  |  |  |  |  |
| **Relationship between researcher and Participants** | Participants are personally known to the researcher and the researcher may have other duties or responsibilities towards all or some of the participants which may create a potential conflict of interest. |[ ]  Limited information about the participants will be available to the researcher to ensure participants cannot be identified. |[ ]  The participants are unknown to the researcher. |[ ]
| Details of assessed risk |  |  |  |  |  |  |
| **Level of privacy for participants** | Details of the information collected and participants involved will not remain confidential. |[ ]  All the information collected will remain confidential, although identifiable information will be collected as part of the study. |[ ]  Participants are anonymous and no identifiable information will be used or collected as part of the study, or participants have the option to remain anonymous if they so wish. |[ ]
| Details of assessed risk |  |  |  |  |  |  |
| **Sensitivity of the topic** | Study is likely to be extremely sensitive. |[ ]  Parts of the study may be sensitive. |[ ]  The study is not considered to be sensitive. |[ ]
| Details of assessed risk |  |  |  |  |  |  |

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| **Good practice Checklist** | **Yes** | **No** | **N/A** |
| The research planned involved users in either the design, conduct, analysis and reporting of the research? |[ ] [ ] [ ]
| Equalities issues are clearly addressed in the proposal? |[ ] [ ] [ ]
| Where appropriate researchers hold a current DBS check? |[ ] [ ] [ ]
| Forms and information to be used as part of the research meets the needs of the research participants and where appropriate are available in alternative formats. |[ ] [ ] [ ]
| There are clear plans for distribution of findings to participants. |[ ] [ ] [ ]
| The proposal confirms to the Data Protection Act/GDPR and the Caldicott standards. |[ ] [ ] [ ]
| The proposed plan does not discriminate or place any groups at a disadvantage? |[ ] [ ] [ ]
| Are the purposes of the research clearly stated? |[ ] [ ] [ ]
| Does the research conform to these purposes? |[ ] [ ] [ ]
| Are all researchers aware of their responsibility? |[ ] [ ] [ ]
| Has the line manager / Head of Service approved for staff to be involved in the research? |[ ] [ ] [ ]

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