University Research Ethics Committee

RESEARCH ETHICS RISK ASSESSMENT AND MANAGEMENT – EXAMPLE

This form should be used to support the assessment of risks associated with your research project and their mitigation. This must be completed and submitted where relevant (see questions 43.2 and 44.1 on the Application Form for Research Ethics Approval).

Prior to completion, if there is any aspect of the risks or risk management process associated with your proposed research that you feel unsure about then it is **your responsibility** (as the researcher) to seek further guidance.

Example:

Identified Risks	**Likelihood**	**Potential Impact/Outcome**	**Risk Management/Mitigating Factors**
Identify the risks/hazards present	High/Medium/Low	Who might be harmed and how?	Evaluate the risks and decide on the precautions, e.g., Health & Safety

Travel risks to location of research project:
• Road/rail accident
• Physical assault
	Low	Researcher:
		• Physical injury
		• Psychological harm
			• Travel with companion
			• Awareness of options for mode of travel
			• Awareness of physical environment, e.g., alleyways, open spaces
			• Researcher to be aware of health and safety policies of research location:
			  ○ Fire bells
			  ○ Location of fire alarms & exits

Discussion of a sensitive topic in an interview has potential to cause distress to participant	Medium	Participant: • Psychological stress Researcher: • Anxiety about dealing with a complex situation	• Offer to cease interview • Signpost participant to external/internal support services
Whistle-blowing	Low	Participant: • Emotional distress from	• Inform participants of limits to confidentiality in Participant Information

		disclosing the event • Bias/prejudice as a result of disclosure	Sheet • At time of disclosure, cease interview • Have identified person to pass on details of the event
Data collection with groups of participants	Low	Disagreements or conflicts between people	Confirm researcher experience and skill in group facilitation
Data collection taking place in an unfamiliar location with people not already known to researcher	High	Researcher: physical injury or psychological harm	• Visit location prior to data collection to assess possible risks associated with built and social environment • Use this information to plan session • Identify back up at location • Allow extra time to familiarise participants with research and environment • Researcher to have contact details and means of making timely contact with back up
Disclosure of information about poor practice	Low	Immediate, urgent or prompt response may be required from service providers	• Ensure all verbal and written information about research indicates possible researcher response to disclosure
Disclosure of unmet health or social care needs	Medium	Immediate, urgent or prompt response may be required from service providers	• Ensure all verbal and written information about research indicates possible researcher response to disclosure
Research participant in danger of harm to self or others	Low	Immediate or urgent response may be required from service providers or emergency services	• Ensure all verbal and written information about research indicates possible researcher response to indication of danger to self or others