Guidance for the Ethics Risk Assessment

September 2023

RISK ASSESSMENT FORM						
Section 1 - Risk Assessment Reference Number **(this is required for staff and research student ethics applications INCLUDING MRes, but NOT for MA/ MSc or undergraduate)** **(please access the link HERE and scroll to the bottom of that page to find out who to contact to obtain the risk reference number)** **Information on completing the risk assessment can be found here**						DeptPrefix_RISK_XXXXX
Section 2 - Title of Project:						
Title as per the application						
Section 3 - Description of activity including whether it involves human participants:		**Section 4 - Date:**	**From:**	DD/MMM/YYYY	**Until:**	DD/MMM/YYYY
Description of the activity should be written in layman's terms so that the hazards within the risk assessment can be understood in the context of the work being carried out.						
Section 5 - Does your research involve clinical procedures with human beings? If YES then Good Clinical Practice (GCP) training is mandatory as outlined in departmental SOPs). Please confirm that you have completed this if required. If required and you have not yet completed the University's GCP training course, you must complete the online NHS training here and provide the certificate for this.						YES ☐ NO ☐
Section 6 - Area/Locations	Where is the work being undertaken? Where within the University? Off-site? Another country? (Location will have an impact on the hazards identified in Section 9)					

Section 7 - Project Team	**Name**	**Job Title**
1	Joe Bloggs	Researcher
2	Who is authorised to be part of the project?	Assistants
3	It is important that all members of the team who contribute are included	Supervisors etc

Section 8 - Number of people affected	XX	**Rate**	**H=Hourly, D=Daily, W=Weekly, M=Monthly, Q=Quarterly, S=Six monthly, A=Annually**
		XX	

Section 9 - Identify the Hazards

1.	Work at height	**Y**	**7.**	Fixed machinery or lifting equipment	☐	**12.**	Layout , storage, space, obstructions	☐	**18.**	Lone working/work out of hours	Y	**24.**	Hazardous fumes, chemicals, dust	Y	**30.**	Access and egress	☐
2.	Confined space/ asphyxiation risk	☐	**8.**	Use of portable tools/equipment	☐	**13.**	Lack of welfare facilities	☐	**19.**	Violence to staff/verbal assault	☐	**25.**	Hazardous biological agents	Y	**31.**	Contractors	☐
3.	Hot Works	☐	**9.**	Electrical Equipment/Electricity	☐	**14.**	Slips, Trips & Falls/Housekeeping	Y	**20.**	Fieldtrips/field work	Y	**26.**	Fall of objects	☐	**32.**	Food preparation	☐
4.	Manual handling operations	☐	**10.**	Vehicles/driving at work	☐	**15.**	Lighting levels	☐	**21.**	Radiation sources	☐	**27.**	Asbestos	☐	**33.**	Work with animals	☐
5.	Outdoor work/ weather conditions	☐	**11.**	Noise or Vibration	☐	**16.**	Heating & ventilation	☐	**22.**	Hazardous / Non-Hazardous Waste	☐	**28.**	Legionella	☐	**34.**	Traffic Routes	☐
6.	Display screen equipment	☐	**12.**	Pressure vessels/Gases	☐	**17.**	Occupational stress	☐	**23.**	Fire hazards & flammable material	☐	**29.**	Occupational Diseases	☐	**35.**	Other(s) - specify	Y

Section 10 – Risk Assessment

Hazard No.	**Hazards** List what could cause harm from this activity *e.g. working at height, trip hazard, fire, etc*	**Persons at Risk / Consequence** List who (e.g. researcher, participate, student, visitor etc) might be harmed and how	**Risk rating** decide level of risk without your controls in place **VH=Very High, H=High, M=Medium, L=Low, VL=Very Low**	**Control Measures** For each hazard, list the measures you will be taking to minimise the risk identified *e.g. appointing competent persons, training received, planning, use of personal protective equipment, provision of first aid, task risk assessment, COSHH, SOP etc*	**Residual Risk rating** decide level of risk once all your controls are in place **VH=Very High, H=High, M=Medium, L=Low, VL=Very Low**	**Additional Controls** **Any actions to reduce the risk further** (provide details below in Section 2) Labelled: A B C etc
	Below are examples of the types of hazard and potential control measures that may be required. **For each hazard below, the control measures specified are NOT COMPREHENSIVE and need to be determined.**					
24	Use of chemicals	• Researcher: Exposure to carcinogens Burns due to liquid nitrogen	•	• Follow relevant SOPs, COSHH assessments and control measures such as fume cupboards, PPE e.g. • Risk_LSC_00126 Area Risk Assessment Lab XYZ • COSHH liquid nitrogen	•	A

20	Field work - Animals	• Researcher/Students: Being gored by a deer	•	• Researcher will review Risk Assessments that SOPs that relate to field work and animals	•	
25	Biological exposure	• Researcher: Illness related to exposure of biological xyz	•	• Process within a week under HTA regulations • Wear appropriate PPE • Following procedures XYZ	•	
18	Unfamiliar location	• Researcher: During travel to the area, finding the location	•	• Locations visited prior to the interview to determine any risks related to the area/ building • Advice provided by location of any potential hazards in the area. • Local H&S procedures to be followed provided by the venues	•	
18	Lone working	• Researcher: Potential for attack	•	• Contact supervisor before and after meeting with participant • Lone and Remote Working Policy to be followed	•	
1	Work at height - using steps	• Researcher: Fall off the steps, injuring themselves	•	• Will ensure that the steps are in condition, the floor is free of cables.	•	B
14	Slips and trips	• Researcher & Participant: Injury through falling over	•	• Trailing cables will be put away/secured properly • Any spills will be cleaned up promptly	•	
35	Safeguarding	• Researcher: Accusation of inappropriate discussions and / or behaviour They experience safeguarding issues e.g. abuse/neglect • Student: Subjected to safeguarding issues	•	• No communication between researcher and student outside of school hours • All student contact will be under the supervision of a qualified teacher / adult nominated by the Head Teacher • Researcher to receive safeguarding training from the PI and school Safeguarding Officer	•	

				• before they go into the school and when they first visit the school • All researchers are to have an Enhanced DBS check prior to entering the school • Cannot enter a school without the Enhanced DBS		
35	Allergens	• Participant: Allergic reaction to the food consumed Allergic reaction to tape / glue used to fix sensors to the skin	•	• Participant will complete a pre-screening questionaire • SOP 1234 – Consuming food • RISK ABC_Allergens	•	
35	Emotional distress	• Researcher / Participant: Emotional distress may occur due to the questions being asked about their past.	•	• Researcher to be aware of the impact that the questioning may have on them • Participants will always be monitored for signs of emotional distress. It will be made clear that they can withdraw from the project at any time. Breaks can be taken through the interview • Direct participants to appropriate support services such as Wellbeing/Samaritans etc	•	
	Data Protection (GDPR)	**Concerns around Data Protection (GDPR) are not a health and safety hazard and should not be included in the risk assessment. This should be addressed in the Ethics Application Form.**				

Section 11 – Additional Controls

Hazard Label (A,B,C)	Hazards	Additional Controls Required	Action by Whom	Target Date	Completion Date	Signature When Completed

A	Use of chemicals	1) Additional SOPs need to be written 2) New COSHH assessments required	1) Joe Bloggs 2) Jane Blogs	1) 01 Jan 2024 2) 10 Oct 2023		
B	Work at height	• Work at height training required	Joe Bloggs	18 Oct 2023		

Section 12 - Comments

List of documents referred to under Control Measures in Section 9, e.g. SOPs, Risk Assessments etc.

Please ensure the name of the document is included not just the document number.

- Risk_LSC_00126 - Area Risk Assessment Lab XYZ
- COSHH Liquid Nitrogen
- SOP 1234 – Consuming food
- RISK ABC - Allergens
- Risk_LSC_00126 Area Risk Assessment Lab 123
- Lone and Remote Working Policy

Section 13 - Authorisation

The signatures below confirms that a meeting/discussion has taken place if necessary and that the Hazard, Risks and appropriate Control measures outlined above have been read and understood.

Signed (Applicant) **Please note that a second signature is also required as detailed below:**		**Print Name**		**Date**	
Approval					
Student Applications must be signed by the Supervisor/PI		**Print Name**		**Date**	
OR					
Staff Applications to be signed by Peer Review by a Roehampton Colleague		**Print Name**		**Date**	

Risk Rating

The Risk Rating is the level of risk associated with the hazard ***before*** any control measures are put in place.

The Residual Risk Rating is the level of risk associated with the hazard ***after*** the control measures have been put in place. If control measures are identified, then the Residual Risk rating will always be lower.

Risk Rating	Description
Very High	Harm is extremely likely and a the most severe level
High	Harm is likely and could be at the most severe level
Medium	Harm is possible and could be towards the higher level of severity
Low	Harm is likely but if it was to occur, it would be at the lower level of severity
Very Low	Harm is very unlikely and if it was to occur, it would be at the lowest expected level of severity

Further Information and Training

Every month the Health and Safety Office provide a 2-hour Risk Assessment training course that is open to all staff members and PhD students, dates can be found on the staff portal under Upcoming Events found here.

Additional information on the Five Steps to Risk Assessment can be found here.