***To be completed by Researcher*** ***alongside Research Approval Process application form***

**Research Governance Self-Assessment Risk Tool**

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| **Title of Proposal** |  |
| **Name of Researcher** |  |
| **Key Risk Areas** |
| **Research Participants** |
| High Risk | 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. | □ |
| Medium Risk | Informed consent and ability to withdraw from study possible with support to overcome barriers, e.g. advocates, translators / interpreters, signers or technology. | □ |
| Low Risk | Informed consent and ability to withdraw from study fully possible. | □ |
| Justification for assessed risk level |  |
| **Researcher Competence** |
| High Risk | Researcher(s) not well qualified with little or no experience of topic under investigation, the participants or the methods to be used, e.g. undergraduate researcher, student project. | □ |
| Medium Risk | Researcher(s) reasonably well qualified with some experience and knowledge of two of the following three factors: topic of investigation, the participants or research methods to be used. | □ |
| Low Risk | Researcher(s) well qualified with experience and knowledge of the topic of investigation, the participants and research methods to be used. | □ |
| Justification for assessed risk level, including career stage of researcher(s) i.e. Masters students, PhD students, Associate Professors. |  |
| **Nature of Information Being Sought** |
| High Risk | The topic and kinds of 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, e.g. criminal records, social service history, mental health history. | □ |
| Medium Risk | The topic or the kinds of information being sought include items likely to be considered slightly personal or sensitive by some, e.g. age, ethnicity, income. | □ |
| Low Risk | The topic and kinds of information being sought do not focus on personal information at all, e.g. opinions about services. | □ |
| Justification for assessed risk level |  |

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| **Information Security** |
| High Risk | Highly personal and/or sensitive information could be disclosed/accessed if appropriate information security measures are not in place. Data subjects could be identified and face personal detriment, and BMDC could face adverse publicity, as well as lawsuits from data subjects affected. | □ |
| Medium Risk | Secondary data is used but may include a limited amount of contact with service users, their family or carers, or staff to collect primary data. Data subjects could be identified and face personal detriment, and BMDC could face adverse publicity if information was disclosed or access without appropriate permissions. | □ |
| Low Risk | The topic and kinds of information being sought do not focus on personal information at all, no data subject can be identified and therefore BMDC would not be at risk if data was disclosed or accessed. | □ |
| Justification for assessed risk level |  |
| **Appropriateness of Methodology** |
| High Risk | The methods are not appropriate to the subject of the study or the research questions being asked, the need for the study is not established or the project does not have the resources to properly address the research question(s). | □ |
| Medium Risk | The methods may not be appropriate either to the subject of the study or to the research questions, or the need for research is not established, or the project does not have the resources to properly address the research question(s).  | □ |
| Low Risk | The methods are fully appropriate, there is a need for the study and resources are sufficient to carry out the study. | □ |
| Justification for assessed risk level |  |
| **Methods / Nature of Data Collection** |
| High Risk | High level of face-to-face contact or telephone/email interaction between investigator and participant, e.g. interviews, observations. | □ |
| Medium Risk | Some face to face contact or telephone/email contact and interaction for limited amounts of time. | □ |
| Low Risk | No face to face contact or telephone/email interaction between researcher and participant. | □ |
| Justification for assessed risk level |  |
| **Level of Privacy to Participant** |
| High Risk | Not confidential | □ |
| Medium Risk | Confidential/Pseudonymised | □ |
| Low Risk | Anonymous | □ |
| Justification for assessed risk level |  |
| **Relationship Between Researcher and Participants** |
| High Risk | Participants are personally known to researcher who may have other duties/responsibilities towards all or some of the participants which may create potential conflicts of interest. | □ |
| Medium Risk | Limited information about the participants is provided to the researcher to make the study possible or more reliable. | □ |
| Low Risk | Participants are unknown to the researcher and cannot be identified. | □ |
| Justification for assessed risk level |  |
| **Risk to the Researcher** |
| High Risk | The researcher will perform lone work with a vulnerable service user(s) or in a situation that could potentially lead to harm. | □ |
| Medium Risk | The researcher will perform work alongside a BMDC member of staff in a situation that could potentially lead to harm. | □ |
| Low Risk | The researcher is not working in a situation that could realistically lead to harm. | □ |
| Justification for assessed risk level |  |
| **Risk to the Participant** |
| High Risk | The participant will be asked questions of a sensitive nature that have the potential to cause distress. | □ |
| Medium Risk | The participant will be asked challenging questions but without a genuine potential to cause distress. | □ |
| Low Risk | The participant will be asked questions that are not reasonably challenging. | □ |
| Justification for assessed risk level |  |

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| **External Considerations** |
| High Risk | Study is likely to have a significant impact on the Council’s reputation/level of trust with communities. | □ |
| Medium Risk | Parts of the study may have an impact on the Council’s reputation. | □ |
| Low Risk | There are no known sensitivities to the potential impact of the research. | □ |
| Justification for assessed risk level |  |
| **Multi-Site Projects (including 4 or more local authorities) see page 9 in guidance** |
| High Risk | Project has not received ADASS (Association of Directors of Adult Social Services) approval  | □ |
| Medium Risk | Project is pending approval and changes are suggested. | □ |
| Low Risk | Project has been given approval by ADASS panel. | □ |
| Justification for assessed risk level |  |  |
| **Name:**  | **Date:**  |
| **Signed:**  | **Position:** |

**Please note:** The appropriate BMDC Research Approval Committee will evaluate the self-assessment and decide on the overall level of risk associated with the study/research.

Please return this completed form, along with the Research Approval Process Application Form to:

HDRC@bradford.gov.uk