

Guidance for the Ethics Risk Assessment

July 2024

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)				DeptPrefix_RISK_XXXXX		
Information on completing the risk assessment can be found here						
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 e.g:						
<ul style="list-style-type: none"> • The effect of vapour pressure on the solubility of D-Ribo-2-hexulose in Nilgiri and its resulting effect on gustation. • Researchers will be going to the deepest mine in the world, the Mponeng Gold Mine, and to base camp in the Himalayas to determine the amount of sweetener that can be dissolved in black tea at different altitudes and the effect it has on taste of the tea. 						
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.				YES <input type="checkbox"/> NO <input type="checkbox"/>		
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.						
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)				

Commented [A1]: Detailed guidance on how to complete a RA can be found in the SOP:

[Risk Assessment - Writing, Reviewing and Implementing Risk Assessments Procedures](#)

Commented [A2]: If a resubmission is required:

- Highlight changes in yellow
- Remove comments from final version

Commented [A3]: Where there is red writing you must provide the information

Commented [A4]: [Click here to request a Risk Assessment Reference Number - Including Ethics H&S risk assessments for staff and research student applications](#)

The H&S Office does not provide RA numbers for ethics applications.

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	Researchers = XX Participants = YY	Rate XX	H=Hourly, D=Daily, W=Weekly, M=Monthly, Q=Quarterly, S=Six monthly, A=Annually

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

Commented [A5]: This can be a description and put in Section 3 if it is easier. In this box write 'Section 3' if this the case e.g.:

- 1 x 1hr online interview per participant
- 3 x in person meetings per participant
- Each participant will be met 3 x in person and 2x online

Commented [A6]: The hazards should be easily identified if the description of the activity in Section 3 is clearly defined. E.g.

- Altitude sickness
- Allergy to sweetener and tea
- Access and egress
- Hypothermia
- Manual handling of equipment
- Flammable gas and explosion risk of electrical equipment in a mine

Commented [A7]: Use 35 for any hazard that does not fit the other categories e.g. emotional distress, home working.

Commented [A9]: Control measures must be determined by assessing what is reasonably practicable.

Commented [A10]: Ensure that any control measures identified in your application, participant consent forms or information sheets are included in this document.

Commented [A8]: See definitions page 7.

**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.**

6	DSE	<ul style="list-style-type: none"> • Researcher Risk of musculoskeletal issues e.g. back pain, eye strain. • Participant Risk of musculoskeletal issues e.g. back pain, eye strain. 	•	<ul style="list-style-type: none"> • Staff must complete the compulsory online DSE Training and Assessment module on the LMS. • Staff will inform student researchers of learnings regarding the DSE training. • Participants are only completing a 15-minute questionnaire. • Participants will be advised that they can take breaks and need to be comfortable for the online interviews. 	•	
35	Competency	<ul style="list-style-type: none"> • Researcher – Student Injury to lack of knowledge / how to use equipment / unaware of policies or procedures. 	•	<ul style="list-style-type: none"> • Supervisor will ensure that suitable training is provided along with relevant policies, procedures, risk assessments etc. • Supervisor has determined what work the Student can carry out safely whilst unsupervised. This will be reviewed regularly. • Supervisor has attended the in-person risk assessment training provided by the H&S Office and has informed student of learnings. of how to complete the risk assessment. • Student researcher has attended the in-person risk assessment training. 	•	
35	Homeworking	<ul style="list-style-type: none"> • Researcher Risk of musculoskeletal issues e.g. back pain, eye strain. 	•	<ul style="list-style-type: none"> • Staff to self-enrol and complete the LMS online Home Working module (016-E). 	•	

Commented [A11]: You are likely to need to remove or add various control measures from the examples given.

Commented [A12]: Risk assessment training is provided monthly by the Health & Safety Office, dates can be found in the [Staff Events within the Staff Portal](#). It is a 2 hour, in-person training session where the second hour is dedicated for attendees to work on and ask questions about their risk assessments.

Once a Supervisor has attended the training they can request for their PhD students, who are submitting ethics risk assessments, to attend.

				<ul style="list-style-type: none"> Staff will inform student researchers of learnings regarding the Home Working module. 		
24	Use of chemicals	<ul style="list-style-type: none"> Researcher: Exposure to carcinogens. Burns due to liquid nitrogen. 	•	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Researcher/Students: Being gored by a deer 	•	<ul style="list-style-type: none"> Researcher will review Risk Assessments that SOPs that relate to field work and animals. 	•	
25	Biological exposure	<ul style="list-style-type: none"> Researcher: Illness related to exposure of biological xyz. 	•	<ul style="list-style-type: none"> Process within a week under HTA regulations. Wear appropriate PPE. Following procedures XYZ. 	•	
18	Unfamiliar location	<ul style="list-style-type: none"> Researcher: During travel to the area, finding the location. 	•	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Researcher: Potential for attack. 	•	<ul style="list-style-type: none"> Contact supervisor before and after meeting with participant. Lone and Remote Working Policy to be followed. 	•	
1	Work at height - using steps	<ul style="list-style-type: none"> Researcher: Fall off the steps, injuring themselves. 	•	<ul style="list-style-type: none"> Will ensure that the steps are in condition, the floor is free of cables. 	•	B
14	Slips and trips	<ul style="list-style-type: none"> Researcher & Participant: Injury through falling over. 	•	<ul style="list-style-type: none"> Trailing cables will be put away/secured properly. 	•	

				<ul style="list-style-type: none"> Any spills will be cleaned up promptly. 		
35	Safeguarding	<ul style="list-style-type: none"> Researcher: Accusation of inappropriate discussions and / or behaviour They experience safeguarding issues e.g. abuse/neglect. Student: Subjected to safeguarding issues. 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> 	
35	Allergens	<ul style="list-style-type: none"> Participant: Allergic reaction to the food consumed. Allergic reaction to tape / glue used to fix sensors to the skin. 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> Participant will complete a pre-screening questionnaire. SOP 1234 – Consuming food. RISK ABC_Allergens. 	<ul style="list-style-type: none"> 	
35	Emotional distress	<ul style="list-style-type: none"> Researcher / Participant: Emotional distress may occur due to the questions being asked about their past. 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> 	
	Data Protection (GDPR)	<p>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.</p>				

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
<p>List of documents referred to under Control Measures in Section 9, e.g. SOPs, Risk Assessments etc.</p> <p style="text-align: center;">Please ensure the name of the document is included not just the document number.</p> <ul style="list-style-type: none"> • 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:	Signature required, not a typed name.	Print Name	Name of Applicant	Date	Date

Commented [A13]: If a resubmission is required this date needs to be changed to reflect an update.

Approval					
Student Applications must be signed by the Supervisor/PI	Signature required, not a typed name.	Print Name	Name of Applicant	Date	Date
OR					
Staff Applications to be signed by Peer Review by a Roehampton Colleague	Signature required, not a typed name.	Print Name	Name of Applicant	Date	Date

Commented [A14]: If a resubmission is required or the RA is updated, the Peer Reviewer needs to review the changes and the date needs to be updated to reflect that they have seen the changes.

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](#).