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| **Project Title:**  **Reference No.:** |  | **Proposer(s):** | **PI and collaborator/RA names** | **Date:** | **…of completion of risk assessment form** |

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|  | **Potential Risk Factors** | **Probability of Risk Arising (H/M/L)** | **Impact**  **(H/M/L)** | | **Risk Indicators** | **Control Mechanisms** | **Named Risk Lead** |
| **Financial** | Funder/commissioner problems:  Funders’ insolvency?  Failure to deliver promised funds?  Last minute budget changes – under-funding?  Matched funding not available?  No infrastructural support?  Funding delays in monies being delivered?  Funders’ linking funding to deliverables. | Estimate:  High  Medium  Low |  | | Information from any source accounting for risk. | Outline proposal already submitted and approved  Cautionary notes minuted and recorded  Regular meetings with funders/advisors  Regular progress meetings with project team  Audited oversight of institutional financial management | Named person with responsibility |
| Project budget overspend |  |  | | Regular (monthly) finance reports  Regular reporting mechanisms to funder and institutional finance  Project management systems to control project stages | Designated budget holders (for all partner organisations)  Monthly finance reports  Sanctions for overspends  Expenditure monitoring  Finance procedures for each partner organisation followed  Clear contingencies allowances indicated in budget | Named person(s) with responsibility |
| Specific project-related sources of income generation |  |  | | Market research of potential income sources and likely returns  Monitoring of income sources  Evaluations of income generation proposals | Provide information to help assess potential  Network with appropriate individuals/organisations    Develop effective marketing strategy  Pilot any proposed income generation | Named person(s) with responsibility |
| Any partner organisations or individuals unable to meet deliverables due to financial difficulties |  |  | | Annual finance audits  Yearly business plans  Formal reporting mechanisms | Check partner organisations individual finance procedures  Monitor partners’ management meetings | Named person(s) with responsibility |
| **Legal/**  **Contractual** | Lack of appropriate working space for research project staff  Damage/costs to larger institution |  |  | | Formal health and safety risk assessment undertaken  Disputes with staff unions, or need to address concerns of public representative bodies | Health and safety risk assessment action plan  Office space commissioned  ICT requirements implemented  Public relations and normal negotiating procedures in place | Named person(s) with responsibility |
| Poor communication between research collaborators and/or partner organisations |  |  | | Clear project meeting minutes – circulated reviewed  Independent advisors on project board  Stage reviews and authorisation to continue | Non disclosure agreement signed by partner organisations  Project management system followed to check off project deliverables and ensure each stage signed off by key partners/stakeholders  Standard reporting mechanisms in place ensuring external review of project processes  Regular internal project team meetings  Written agreement between partner organisations setting out terms and conditions for joint working accountabilities  Research governance framework followed | Named person(s) with responsibility |
| **Reputation, delays and grievances**  **Methodological limitations** | Any potential for adverse publicity for the project |  | |  | Stakeholder meeting minutes  Related local & national media stories | Proactive engagement with stakeholders & media throughout project  Establish and maintain strong links with partner organisations  Develop effective marketing plan for any project products or outputs  Develop a project communication and dissemination strategy for project duration | Named person(s) with responsibility |
| Lack of commitment from any related professional/service user/ client organisations or groups |  | |  | Summary project meeting minutes made available (edited?)  Feedback from professional/service user/client organisations or groups | Involve key stakeholders from the start of the project  Set up a stakeholder group with input, evaluation (and control?) over aspects of the project  Develop a project communication and dissemination strategy for project duration | Named person(s) with responsibility |
| Loss of subject/respondent information  Inappropriate disclosure of respondent information  Respondents/subjects dissatisfied |  | |  | Research Ethics committee  Database monitoring arrangements  Feedback from respondents and/or research team member  Complaints made by respondents | Comply with Data Protection Act 1998  Ensure all data is non identifiable to subject/respondent – code questionnaire immediately  All subject data stored electronically is password protected  All other subject data stored in a lockable file  Follow research governance guidance on the protection of subject information  Implement any recommendations from the appropriate research ethics committee(s)  Research data regularly backed-up  Two copies of research database stored securely  Clear grievance route – indicated to subjects | Named person(s) with responsibility |
| Project rejected/subjected to amendment by research ethics committee |  | |  | Feedback sought from research ethics committee  Feedback from stakeholders and advisors | Input from ethics advisor sought prior to submitting project proposal  Advice and input from institutional research director and research sponsor  Implement recommendations from ethics committee and resubmit if required  Stakeholder group approves project proposal | Named person(s) with responsibility |
| Poor uptake of project outputs or deliverables (if appropriate) |  | |  | Feedback from stakeholder steering group  Feedback from user panel  Monitoring of outputs and uptake  Feedback from any pilot phases | Develop project communication and dissemination strategy  Full involvement of stakeholder group and user groups throughout project  Marketing strategy developed for each project output  Evaluate pilot phases of project products and implement changes | Named person(s) with responsibility |
| Low response rate |  | |  | Monitoring of research instruments via professional organisations, stakeholder and user groups representative of subject population  Monitoring of data collection procedures | Full involvement of user and stakeholder groups in developing & piloting research instruments  Maintain strong links with the relevant organisations to facilitate process  Awareness raising strategy implemented prior to data collection  Ensure equality of access to data collection procedures by providing alternative forms of completion (e.g. paper, online, large print, translation) | Named person(s) with responsibility |
| **Resource** | Changes in key project staff |  | |  | HR processes  Appraisal process  Adequate staffing | Develop succession plan  Ensure handover mechanism in place  Involve other key members in partner organisations in project processes  Ensure ‘cover’ arrangements for illness etc. | Named person(s) with responsibility |
| Appropriately qualified PI and RF/RA fellow recruited to undertake project |  | |  | Recruitment process  Appraisal process  Liaison meetings with any partners sharing recruitment | Clear and appropriate training plan for researchers developed & implemented  All human resources processes in place to manage the recruitment process  Weekly supervision undertaken, and as required, from project sponsor | Named person(s) with responsibility |
| Project overruns planned timeframe |  | |  | Project board meetings  Feedback from PI at key project stages | Project management systems used to manage project time frames  GANTT chart developed and updated regularly to monitor timeframes involved for each task  Project supervision undertaken by project board | Named person(s) with responsibility |