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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:HighMediumLow |  | Information from any source accounting for risk. | Outline proposal already submitted and approvedCautionary notes minuted and recordedRegular meetings with funders/advisorsRegular progress meetings with project teamAudited oversight of institutional financial management | Named person with responsibility |
| Project budget overspend |  |  | Regular (monthly) finance reportsRegular reporting mechanisms to funder and institutional financeProject management systems to control project stages | Designated budget holders (for all partner organisations)Monthly finance reportsSanctions for overspendsExpenditure monitoringFinance 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 returnsMonitoring of income sourcesEvaluations of income generation proposals | Provide information to help assess potentialNetwork 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 auditsYearly business plansFormal reporting mechanisms | Check partner organisations individual finance proceduresMonitor partners’ management meetings | Named person(s) with responsibility |
| **Legal/****Contractual** | Lack of appropriate working space for research project staffDamage/costs to larger institution |  |  | Formal health and safety risk assessment undertakenDisputes with staff unions, or need to address concerns of public representative bodies | Health and safety risk assessment action planOffice space commissioned ICT requirements implementedPublic 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 reviewedIndependent advisors on project boardStage reviews and authorisation to continue | Non disclosure agreement signed by partner organisationsProject management system followed to check off project deliverables and ensure each stage signed off by key partners/stakeholdersStandard reporting mechanisms in place ensuring external review of project processesRegular internal project team meetingsWritten agreement between partner organisations setting out terms and conditions for joint working accountabilitiesResearch governance framework followed | Named person(s) with responsibility |
| **Reputation, delays and grievances****Methodological limitations** | Any potential for adverse publicity for the project |  |  | Stakeholder meeting minutesRelated local & national media stories | Proactive engagement with stakeholders & media throughout projectEstablish and maintain strong links with partner organisationsDevelop effective marketing plan for any project products or outputsDevelop 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 projectSet up a stakeholder group with input, evaluation (and control?) over aspects of the projectDevelop a project communication and dissemination strategy for project duration | Named person(s) with responsibility |
| Loss of subject/respondent informationInappropriate disclosure of respondent informationRespondents/subjects dissatisfied |  |  | Research Ethics committeeDatabase monitoring arrangements Feedback from respondents and/or research team memberComplaints made by respondents | Comply with Data Protection Act 1998Ensure all data is non identifiable to subject/respondent – code questionnaire immediately All subject data stored electronically is password protectedAll 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-upTwo copies of research database stored securelyClear grievance route – indicated to subjects | Named person(s) with responsibility |
| Project rejected/subjected to amendment by research ethics committee |  |  | Feedback sought from research ethics committeeFeedback from stakeholders and advisors | Input from ethics advisor sought prior to submitting project proposalAdvice and input from institutional research director and research sponsorImplement recommendations from ethics committee and resubmit if requiredStakeholder group approves project proposal | Named person(s) with responsibility |
| Poor uptake of project outputs or deliverables (if appropriate) |  |  | Feedback from stakeholder steering groupFeedback from user panelMonitoring of outputs and uptakeFeedback from any pilot phases  | Develop project communication and dissemination strategy Full involvement of stakeholder group and user groups throughout projectMarketing strategy developed for each project outputEvaluate 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 instrumentsMaintain strong links with the relevant organisations to facilitate processAwareness raising strategy implemented prior to data collectionEnsure 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 processesAppraisal processAdequate staffing | Develop succession planEnsure handover mechanism in placeInvolve other key members in partner organisations in project processesEnsure ‘cover’ arrangements for illness etc.  | Named person(s) with responsibility |
| Appropriately qualified PI and RF/RA fellow recruited to undertake project |  |  | Recruitment processAppraisal processLiaison meetings with any partners sharing recruitment | Clear and appropriate training plan for researchers developed & implementedAll human resources processes in place to manage the recruitment processWeekly supervision undertaken, and as required, from project sponsor | Named person(s) with responsibility |
| Project overruns planned timeframe |  |  | Project board meetingsFeedback from PI at key project stages | Project management systems used to manage project time framesGANTT chart developed and updated regularly to monitor timeframes involved for each taskProject supervision undertaken by project board | Named person(s) with responsibility |