



Research Ethics Checklist & Risk Assessment (Self-Assessment)

Research Ethics Checklist

Consideration of the ethical implications of research is an essential part of the project's integrity and validity. Research staff should complete and submit this checklist to research@cisl.cam.ac.uk before commencing any research activities.

The aim of this assessment is for the researcher to consider whether any ethical concerns are raised. Self-assessment requires individual researchers to determine, in the light of CISL's values & standards, what is, and is not, acceptable behaviour.

(Adapted from the Cambridge Judge Business School Ethics Checklist, based on the UK Economic and Social Sciences Research Council Ethical Approval checklist)

Lead researcher: _____

Project title: _____

	Yes	No
Will the study involve recruitment of patients or staff through the UK National Health Service (NHS) or the use of NHS data or premises and/or equipment?		
Does the study involve participants age 16 or over who are unable to give informed consent, eg people with learning disabilities: see Mental Capacity Act (MCA) 2005? NB: All research that falls under the auspices of the MCA must be reviewed by an NHS NRES		
Does the research involve vulnerable groups: children, those with cognitive impairment, or those in unequal relationships e.g. your own students?		
Will you require the co-operation of a gatekeeper for access to the individuals under study, e.g. HR manager of a firm? (Please indicate if this gatekeeper could influence participants, withdraw consent during the research, veto publication of results, or affect anonymity of participants)		
Will it be necessary for participants to take part in the study without their knowledge and consent at the time, e.g. covert observation of people in non-public places?		
Will the study involve discussion of sensitive topics, e.g. salaries, drug use, sexual activity?		
Is pain or more than mild discomfort likely to result from the study?		
Could the study induce psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life?		
Will the study involve prolonged or repetitive testing?		
Will the research involve administrative or secure data that requires permission from the appropriate authorities before use?		
Is there a possibility that the safety of the researcher may be in question (e.g. in international research: locally employed research assistants)?		
Does the research involve members of the public in a research capacity (participant		

research)?		
Will the research take place outside the UK? Please indicate below what local legislation may apply.		
Will the research involve respondents to the internet or other visual/vocal methods where respondents may be identified?		
Will the research involve sharing of data or confidential information beyond initial consent given?		
Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants?		
Will you be analysing an existing dataset? (Please indicate if this data is in the public domain, and if not, that you have permission from the data owner to undertake analysis and report results)		

If you have answered 'yes' to any question, please indicate how you intend to address any potential ethical concerns.

This form will be reviewed by CISL's Research Team. Research staff should not start any data collection until they have received approval, provided via email from CISL. CISL's Research Team should be informed about any changes or ethical issues arising as the project progresses.

Signature of lead researcher: _____

Date: _____

This signature confirms that any potential ethical concerns were addressed by the researcher and CISL is satisfied with the proposed measures in place for addressing these.

Signature of Director of Research Strategy: _____

Date: _____

Risk Assessment

(Refers to locations other than Cambridge where you will undertake fieldwork for your research.)

Part 1 – Information relating to your working away from Cambridge

1	Surnames (Family Names):	Forenames(s):
2	Your Contact Details (telephone numbers, email & postal address):	
4	Research Subject (title and brief description of project):	
6	Emergency Contacts (indicate their relationship to you):	
	Please make sure that your emergency contact has agreed to take on this role	
7	Telephone numbers, email & address of Emergency Contacts:	
8	Working Away Destination(s) (list each town and country you intend to work away in):	
9	Detailed Itinerary - What will you be doing and when?	
	Please provide a detailed breakdown of your activities, travel arrangements and location	
10	Start and End Dates you be working away:	
11	Your Working Away Destination telephone numbers, email address & postal address:	
12	Telephone numbers, email address & postal address of contact at Working Away Destination:	
13	Names and full contact details of anyone travelling with you:	

14	Does the UK Foreign and Commonwealth Office (FCO) website advise against travel to your intended destination? Please note that the Faculty will not endorse projects that take place in a destination where the FCO advises against all travel before departure date. See: https://www.gov.uk/foreign-travel-advice	
15	Please confirm you have read (and on what date you read) the FCO Travel Advice^[1] for your intended location(s) and mark below what it is. If the FCO advice advises against all but essential travel, or all travel, please get in touch with your Director of Studies.	
	See our travel advice before travelling	Advise against all but essential travel
		Advise against all travel
16	Please provide details of the Embassy/Consulate/High Commission with which you will be registering, including their contact details:	
	Where possible, please register before you leave Cambridge	
17	Do you need to apply for a visa or arrange for any other documentation for working away? Please provide details:	
18	Do you have appropriate vaccinations (with documentation), medical and emergency evacuation insurance? Please provide details:	
19	Do you have travel insurance/medical cover? Please provide details and policy number:	
20	Please describe your plans for immediate evacuation, should it be necessary (provide full details):	
21	Are there any potential physical or psychological problems that might arise due to the nature of your research? Please provide details:	
22	Do you have the appropriate permission to access libraries, archives, museums, and, do you have the necessary letters of introduction? Please provide details:	

^[1] <https://www.gov.uk/foreign-travel-advice>

Part 2 – Personal risk assessment

You need to consider the hazards you might encounter (e.g. busy roads, dark streets, cliffs, deep or running water); the risks associated with them (e.g. road collisions, being attacked, falling, drowning or being swept away); and, your measures for minimising or avoiding these risks.

What hazards do you perceive you might experience while undertaking this fieldwork?	What are the risks associated with these hazards. (For example: 'Fast-moving traffic', 'Trip hazard', 'Armed guards')	What do you consider is the likelihood of 1) your being exposed to these risks, and, 2) the severity of the risk? Please indicate: low, medium, high for 1 and 2.	How do you propose to avoid or reduce the likelihood of being exposed to the risk?	If you consider the risk requires that (a) you take advice locally, or (b) you inform someone locally of your intentions, who would this be?

If you have taken advice from someone or used reference material in order to quantify the risks involved listed above, please note their name and contact details here:

1 Do you agree to let someone know when you leave and return from field sites especially when working alone?

2 Do you agree to purchase a local sim card (if appropriate) and keep your mobile phone on your person and charged at all times?

3 Do you agree to keep in regular contact with CISL?

4 Do you agree to regularly monitor the FCO website for travel information updates?

Research Staff should also consider the following:

1. Training and information on Risk Assessment for Fieldwork and lone working see:
<http://www.training.cam.ac.uk/ohss/event/1480879> and
<http://www.training.cam.ac.uk/ohss/event/1479504>
2. The list of hazards below is provided for you to consider but is not exhaustive. If any of these hazards can be eliminated altogether, or can be reduced at source by making an inherent change then you must consider doing so. Hazards will also need an additional, more technical assessment on a specialist form - please ask the University Safety Office for further advice. Hazards to consider: High or low temperatures; High pressures; Civil unrest
Chemical hazards; Biological hazards; Genetically Modified Organisms; Ionising radiations; Lasers; Sharp objects; Dusts; Work at heights; Animal houses; Magnetic fields; Machinery hazards; Electricity; Manual Handling; Noise; Vibration; Falling objects; Collapsing structures; Flooding; Slips, trips and falls; Asphyxiant gases; Flammable gases.
3. Please explain how an accident, incident or health condition could arise. You must consider all events which are reasonably foreseeable.
4. Please see the health and safety risk assessment handbook for further guidance on levels of risk: <http://www.admin.cam.ac.uk/offices/safety/risk/>
5. When deciding on suitable control measures, you should ensure that you are complying with all relevant University policy and guidance documents, and that you have considered the hierarchy of control measures. In order to comply with legislation, we must also take all steps which are 'reasonably practicable' to reduce risk. This means that we should take all steps which are (in terms of time, cost and trouble) reasonable in relation to the reduction of risk achieved.

Useful Links

Institute for Sustainability Leadership <http://www.cisl.cam.ac.uk> – Reception +44 (0)1223 768850

University Safety Office: <http://www.admin.cam.ac.uk/offices/safety/>

University Insurance Office: <http://www.admin.cam.ac.uk/offices/insurance/>

Foreign and Commonwealth Office: <https://www.gov.uk/government/organisations/foreign-commonwealth-office>

Part 3 – Declaration

I have assessed the proposed activity and its associated risks and declare that (please check box):

1a There is no significant risk:	1b The risk will be controlled by the measures listed:
2 Signatures	
I agree to keep in regular contact with CISL and notify any change of plans.	
Lead researcher Name (in print):	Signature:
CISL Research Team Name (in print):	Signature:
Comments:	

This assessment should be reviewed if there is a material change to the process, the equipment, location or relevant safety technologies. It should also be reviewed when new people are involved, or after an incident has taken place.