Knowledge Exchange Ethics Self-Assessment form

This form is to be completed by lead applicants to determine whether an application for Leeds Trinity University ethical approval is required for the KE activity.

*Office use only*

|  |
| --- |
| Application number: |
| Date application received: |
| Outcome: |

## To be completed by the Lead applicant

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| --- |
| Name:  |
| LTU email address: |
| School/Institute: |
| Subject area: |
| Project title: |

**Please answer ALL of the questions below by inserting YES or NO in the final column of the table:**

**Will your KE activity …….?**

|  |  |  |
| --- | --- | --- |
| 1 | Involve testing a research question, hypothesis or completion of a clinical trial? |  |
| 2 | Produce generalisable or transferable new findings? |  |
| 3 | Require participants to be randomised to different groups? |  |
| 4 | Require any treatments, interventions, processes or services to be allocated by randomisation? |  |
| 5 | Require changing treatment, intervention, processes or services from accepted standards or existing practice for any of the participants/service users involved? |  |
| 6 | Collect / contain sensitive personal data? |  |
| 7 | Include a financial incentive to participate in the work? |  |
| 8 | Involve your own students, colleagues, or employees of the University? |  |
| 9 | Take place outside the UK? |  |
| 10 | Involve participants who are particularly vulnerable or at risk? |  |
| 11 | Involve any participants who are unable to give informed consent? |  |
| 12 | Involve data collection taking place BEFORE informed consent is given? |  |
| 13 | Involve any deception or covert data collection? |  |
| 14 | Involve a risk to the person(s) carrying out the work if participants beyond that experienced in everyday life? |  |
| 15 | Cause (or likely to cause) physical or psychological harm or negative consequences? |  |
| 16 | Use intrusive or invasive procedures? |  |
| 17 | Involve the possibility of incidental findings related to health status? |  |
| 18 | Fit into any of the follow security-sensitive categories: concerns terrorist or extreme group; commissioned by the military; commissioned under an EU security call; involves the acquisition of security clearances? |  |

## Classification

The following guidance will help classify your KE activity.

Enter **YES i**n the box which applies to your KE activity

|  |  |
| --- | --- |
| If you answered NO to all the above questions, your KE activity is not research and does not require Leeds Trinity University Ethical approval |  |
| If you answered NO to questions from 1 to 5, but YES to any question from 6-18 your KE activity is not research but is high risk and will require Leeds Trinity University Knowledge Exchange Ethical approval |  |
| If you answer YES to any questions from 1-5 your KE activity is research and will require Leeds Trinity University Research Ethical approval |  |
| If you answered YES to any questions from 1-5 your KE activity is research and YES to any questions from 6-18 your KE is also high risk and will require Leeds Trinity University Research Ethical approval |  |

When considering the type of approval required for knowledge exchange projects, the following flowchart may be of use (figure 1), relating to the use of the knowledge exchange self-assessment form and decision-making process.



Figure 1: Flow chart outlining the decision-making process for knowledge exchange (KE) projects requiring ethical approval

## NOTES

1. If you are in any doubt or have questions regarding whether your KE activity is research and whether or not it requires Leeds Trinity University Ethics approval and/or
2. If you are unsure if any external permissions or ethical review is required for the KE activity, and you are:
3. A student: seek further advice from your supervisor or tutor;
4. A member of academic staff: seek further advice from the chair of the University Research Ethics & Integrity Committee, the Chair of your School/Institute Research Ethics & Integrity Committee.

Please submit this completed form to ethicscommittee@leedstrinity.ac.uk