University of St Andrews

University Teaching and Research Ethics Committee (UTREC)

Application Form – Cover Sheet

Note: this page contains meta data about your research which is subject to audit and monitoring

This form requires use of Microsoft Word desktop version (available via IT Services)

RESEARCHER NAME	Charlotte Knight				
Email	ck204@st-andrews.ac.ul	<	Date Submitted	30/10/2019	
School/Unit:	School of Computer Scien	nce	Supervisor (if student):	Dr Tristan Henderson	
Undergraduate		X	Staff		
Postgraduate Research			Postgraduate T	aught	
Module Co-ordinator on taught module			Module Code	CS4098	
Project Title (If your title is no	t immediately understandab	ole to a lay a	udience, be sure it is	clearly explained in the proj	ect description)
Summarising Wi	reless Network Datasets				

Project description: Give a concise narrative description without technical terminology of what you are proposing to do; who your participants are (e.g. age, organisation) and how they will be approached/ recruited; where the research will take place (e.g. site, country); what methods you will use, (e.g. survey, interview). (900 characters for database reasons) (see exemplars).

The aim of this project will be to create a summarised report from large wireless network datasets in order to enable more efficient onward processing of the data. This will mean maintaining some information from the dataset while reducing the overall quantity of data that must be stored and processed. The output summaries that will be created may utilise an existing format if my research can identify an appropriate one. My project will produce an application involving new approaches to summarisation to run over data collected in the CRAWDAD network data archive; the approach taken may also be extended to work on datasets in real-time so as to eliminate the need for storing large datasets before summarisation.

Ethical Considerations: Give an overview of both **the ethical issues raised** by your research and **how you will address** them (see <u>exemplars</u>). This could include: how you will ensure consent is voluntary and informed; confidentiality and how your data will be managed to protect this; potential risks to participants such as distress or reputational harm. NOTE: this should not substantially duplicate the response given in 'Project description' above. (900 character max.)

I will be working with datasets collected from real devices, due to this there is a possibility that the users involved may be identified. The data has been anonymised; all device identification addresses have been replaces with arbitrary character sequences. However, there is the possibility that the data may be accidentally deanonymised during my project. This chance is very small as I will not be aiming to manipulate the data in this way. I have agreed to the CRAWDAD Data Usage Policy which includes clauses prohibiting the development or application of algorithms aiming to extract personal identifiable data from the datasets, or to disclose any personally identifiable data found. If I were to accidentally deanonymise any data from the CRAWDAD archives I would immediately delete any record of this data from my devices.

Has <u>ethical approval</u> for this research already been obtained from an external <u>ethics committee</u>? If YES, do not complete the rest of this form. Instead submit a copy of the external application paperwork and approval, and a copy of this page, to your School Ethics Committee.

In this	In this form there are icons, links and guidance to assist you, hover over them for tips or ctrl+click to follow links:		
	This icon indicates that a supporting document may be required - see Appendix 1. DOCUMENT CHECKLIST		
	This icon indicates that you may need to provide an explanation or more information in Q31		
i	This icon indicates there is guidance on how to answer		
>> I	This icon follows 'skip to question X' statements - Ctrl+Click the icon to skip to that part of the document		
<u>Link</u>	This formatting indicates a link to relevant documents or webpages		

RESEAF	RCH INFORMATION				
	ESTIMATED START DATE OF RESEAR	RCH ACTIVITIES 1	07/10/19		
	LOCATION AND EXTERNAL APPROVALS	,			
	2. Location of the research 1	t Andrews			
	3. IF APPLICABLE, HAVE YOU OBTAINED PERMISSION TO ACCESS THE SITE OF RESEARCH? 1 IF YES PLEASE STATE AGENCY/AUTHORITY ETC. AND PROVIDE DOCUMENTATION.			N/A	
	IF NO PLEASE INDICATE WHY IN QERROR! REFERENCE SOURCE NOT FOUND.				
	FUNDING		·		
	4. IS THIS RESEARCH FUNDED BY ANY	EXTERNAL SPONSOR	OR AGENCY? 1	NO	
	IF YES , PLEASE PROVIDE THE NAME OF	THE FUNDER:			
<u></u>	5. Does the funder appear on the automatically approved list of ethical funders? If NO, you must				
	complete an ethical funder application and attach the approval to your application				
	COLLABORATION & ROLES ①				
	INSTITUTIONS AND/OR ACROSS	6. A . DOES THIS RESEARCH ENTAIL COLLABORATION WITH RESEARCHERS FROM OTHER INSTITUTIONS AND/OR ACROSS		NO	
	OTHER UNIVERSITY SCHOOLS/UNITS? IF YES STATE NAME AND AFFILIATIONS BELOW: Name Affiliation				
		TIVE, HAS A FRAMEW	ORK BEEN DEVISED TO ENSURE THAT	NOT	
	ALL COLLABORATORS, ARE GIVEN APPROPRIATE RECOGNITION IN ANY OUTPUTS?				
	7. WHERE PROJECTS RAISE ETHICAL CONSIDERATIONS TO DO WITH ROLES IN RESEARCH, INTELLECTUAL PROPERTY,			NOT	
	PUBLICATION STRATEGIES/AUTHORSHIP, RESPONSIBILITIES TO FUNDERS, RESEARCH WITH POLICY OR OTHER			APPLICABLE	

RESEA	ARCH PARTICIPANTS	
•	8. ARE YOU USING ONLY LIBRARY; INTERNET SOURCES; UNPUBLISHED DATA (WITH APPROPRIATE LICENSES AND PERMISSIONS) OR DATA IN THE PUBLIC DOMAIN AND SO HAVE NO HUMAN INVOLVEMENT SUCH AS INTERVIEWING OF PEOPLE? IF YES , BUT THE PROJECT HAS OTHER ETHICAL CONSIDERATIONS, SKIP TO Q31 AND DETAIL THESE IF YES , AND THE PROJECT HAS NO OTHER ETHICAL CONSIDERATIONS, SKIP TO 'DECLARATIONS' IF NO , CONTINUE WITH THE REST OF THE FORM	YES
	9. WHO ARE YOUR PARTICIPANTS? 1	<u> </u>
	10. Describe below how you will identify, approach and recruit participants	
	11. ESTIMATED DURATION OF PARTICIPANT INVOLVEMENT 1	
	12. DO PARTICIPANTS FALL INTO ANY OF THE FOLLOWING VULNERABLE GROUPS? (1) (CHECK ALL	
	CHILDREN (UNDER THE AGE OF 16 IN SCOTLAND OR 18 IN ENGLAND AND WALES)	
	Protected adult, receiving care or welfare services	
	People with learning or communication difficulties	
	Residents/Carers in a specific location e.g. Care Home	
	NHS patients or staff ¹	
	People in custody	
	People engaged in illegal activities (e.g. drug taking) 1	

If y	ou answer 'NO' to any of the following please provide a full explanation in QError! Reference sour	ce not found
13.	WILL YOU TELL PARTICIPANTS THAT THEIR PARTICIPATION IS VOLUNTARY AND THAT THEY CAN DECLINE TO PARTICIPATE WITH NO DISBENEFIT? 1	Click to sel
14.	WILL YOU DESCRIBE THE MAIN PROJECT/EXPERIMENTAL PROCEDURES TO PARTICIPANTS IN ADVANCE SO THAT THEY CAN MAKE AN INFORMED DECISION ABOUT WHETHER OR NOT TO PARTICIPATE? 1	Click to sel
15.	WILL YOU TELL PARTICIPANTS THAT THEY MAY WITHDRAW FROM THE RESEARCH WITHIN THE TIME SPECIFIED IN THE PIS AND FOR ANY REASON, WITHOUT HAVING TO GIVE AN EXPLANATION, AND WITH NO DISBENEFIT? 1	Click to sel
16.	WILL YOU OBTAIN APPROPRIATE CONSENT FROM PARTICIPANTS?	Click to sel
17.	IF THE RESEARCH IS PHOTOGRAPHED OR VIDEOED OR TAPED OR OBSERVATIONAL, WILL YOU ASK PARTICIPANTS FOR THEIR CONSENT TO BEING PHOTOGRAPHED, VIDEOED, TAPED OR OBSERVED?	Click to sel
18.	WILL PARTICIPANTS BE FREE TO CONTINUE IN THE STUDY IF THEY REJECT THE USE OF INTRUSIVE RESEARCH METHODS SUCH AS AUDIO-VISUAL RECORDERS AND PHOTOGRAPHY?	Click to sel
19.	WILL YOU TELL PARTICIPANTS THAT THEIR DATA WILL BE TREATED WITH FULL CONFIDENTIALITY AND THAT IF PUBLISHED OR SHARED, IT WILL NOT BE IDENTIFIABLE AS THEIRS? (SEE DATA MANAGEMENT Q30)	Click to sel
20.	WILL PARTICIPANTS BE CLEARLY INFORMED OF HOW THE DATA WILL BE STORED, WHO WILL HAVE ACCESS TO IT, AND WHEN THE DATA WILL BE DESTROYED? (SEE DATA MANAGEMENT Q30)	Click to sel
21.	WILL YOU GIVE PARTICIPANTS A DEBRIEF EXPLANATION IN WRITING OF THE STUDY AFTER PARTICIPANT INVOLVEMENT EXPLAINING WHERE PARTICIPANTS CAN FIND OUT ABOUT THE RESULTS OF THE PROJECT AND ACCESS SOURCES OF SUPPORT, IF APPROPRIATE? 1	Click to sel
22.	WITH QUESTIONNAIRES AND/OR INTERVIEWS, WILL YOU GIVE PARTICIPANTS THE OPTION OF OMITTING QUESTIONS THEY DO NOT WANT TO ANSWER?	Click to sel
If y	ou answer YES to any of the following please provide a full explanation in Q Error! Reference source	e not found.
	23. Is there any significant risk (inc. physical/psychological harm or distress) to the researcher and / or any participants, field assistants, students, collaborators involved in the project? 1	Click to sel
	24. Will your project involve deliberately misleading participants in any way?	Click to sel
	25. Will any financial inducement, other than expenses, be offered to participants?	Click to sel
	26. Are any of the participants in a dependent relationship with the investigator? i.e. family members, patients, students •	Click to sel

RISK A	ASSESSMENTS & INSURANCE	
	27. Does your research require a <u>risk assessment as per University policy</u> ? (if YES, include this with your application, or if it is still being processed, indicate this in Q31)	Click to select

DATA MANAGEMENT

Collection, storage and destruction of data should be undertaken in accordance with <u>University guidance and policies</u> plus <u>data protection law</u>. For queries on data protection, contact <u>dataprot@st-andrews.ac.uk</u>; on research data management, contact research-data@st-andrews.ac.uk. Additional training is available.

In this section, the following definitions are used:

- **Personal data** information relating to natural persons who: can be identified directly from the information in question; or who can be indirectly identified from that information in combination with other information. NOTE: consent forms are not considered personal data (copies must be securely retained for the lifetime of the research)
- **Special category data** personal data relating to race, ethnic origin, politics, religion, trade union membership, genetics, biometrics (where used for ID purposes), health, sex life, or sexual orientation
- Fully identifiable data personal data that can be directly linked to an individual
- Pseudonymised data personal data that can be indirectly linked to an individual using a 'key'
- Anonymised data data that cannot be linked to an individual using any reasonable means, is NOT personal data.

29. Given the definitions above - at the point of collection, will data collected by your research include:	
a. personal data?	NO
b. special category data?	NO

30. Data Lifecycle

Describe how you will ensure the confidentiality of personal data over the full lifecycle (see <u>exemplars</u>).

You should include in each of these sections:

- What form the data will take, particularly if and how it will be anonymised or pseudonymised or if it will remain identifiable
- Who will have access to the data, e.g. John Doe and Professor X or me and my supervisor/co-researcher(s)
- Secure locations where data is <u>stored</u>, e.g. encrypted file on secure University Server, locked filing cabinet
- Consideration of the requirements of data protection law and Open Access requirements of funders

The information you provide in these sections should reflect the contents of your participant documents

a. Collection and Transfer 1

Describe what data you will be collecting (ensuring it is the minimum amount necessary for your purposes), including how/when you will collect it, and how you will ensure its safe transfer into storage

The data will be downloaded from the CRAWDAD archive and then stored securely on School lab server.

b. Storage, Backup and Access •

Describe how the data will be securely stored, backed up and accessed

The data will be stored on School servers. They do not need to be backed up since a copy resides on the CRAWDAD servers for which there is already a St Andrews CS mirror). They will be accessed only from lab machines.					
c. Sharing and Publication ①					
Describe if, where and in what form the data will be shared. Researchers should consider <u>institutional</u> , <u>funder and publisher</u> <u>policies</u> before deciding on their approach to sharing data arising from their study. It is crucial that researchers anticipate their potential future data sharing and/or publication requirements.					
Some example of sharing data include: - depositing the data (raw or edited) in a research data repository					
 including data files with a publication, dissertation or other research output 					
 including excerpts of data like tables, figures or quotes in a publication, dissertation or other research output 					
If your data will be shared or published in an IDENTIFIABLE form, provide a rationale and further explanation in Q31					
Summaries of the data will be generated by the tool that this project will develop. These summaries should not contain any personal data. If the project is successful, these summaries may be published on the CRAWDAD archive. d. Retention and Destruction					
d. Retention and Destruction Describe how long the data will be retained for and if or when the data will be destroyed (see University guidance). This may be a fixed date, relative to an event such as study completion, or could be indefinite. Include here if and how the data will change form (i.e. pseudonymised data becoming anonymised for long term retention).					
The local copy of the data used for this project will be deleted when the student has left the University, in line with CS account deletion policies.					

ETHICAL ICCLIES		

ETHICAL ISSUES

- 31. Please provide a clear, concise description of your research design and methodology, the ethical issues raised and how you will address them (see exemplars). You should also include:
 - Details of how you will obtain consent
 - Description and rationale for adjustments made to the template participant documents
 - Detailed responses for questions marked 🖍, if required.

Use sub-headings for structure where appropriate. If necessary, continue on a separate sheet.

On participating in the studies for which data has been uploaded to CRAWDAD participants should have given consent for their data to be used in accordance with the Data Usage Policy which I have read and accepted. This Data Usage Policy specifically includes that users of the CRAWDAD data should respect the privacy of the users who's data has been collected, the full text of the Policy is included at the end of this document. All data from the CRAWDAD archives will have been anonymised before I have access to it. During my project I will be intending to summarise datasets from the CRAWDAD archive and will therefore be reducing the amount of data in the datasets. This reduction in data will be due to the summaries containing statistics from the aggregation of the original data, therefore no personal data will be present in the output.
There is a risk that the data may be accidentally deanonymised during my project. This would lead to the participants privacy being compromised. I will respect the privacy of these participant users by making no purposeful attempt to deanonymise the CRAWDAD data. If any of the data is accidentally manipulated in a way that reveals any personally identifiable information I will not disclose it and will respond by immediately removing all such information from any devices on which it is stored. Due the nature of my project, in which the output summaries will contain less data than the original CRAWDAD datasets, this risk is very low.

	I am aware of, understand and will enact my responsibilities as a researcher as detailed in: O The University's Principles of Good Research Conduct policy and ethical guidelines	1	
	o Any relevant professional guidelines (e.g. BPS, MRC, ASA)		
	O The University's Policy and guidance on <u>Data Management and Protection</u>	8	
	O I am aware of the conditions of any funding associated with my work and will ensure that information given to my research participants is in line with those conditions.		
	 I understand that I must store the final completed copy of this form as part of my research project paperwork. 		
	Researcher signature Date	Click or tap to	

ADDITIONAL SECTION FOR STUDENT RESEARCHERS

Student researchers must not submit an ethical amendment application without first discussing it with their Supervisor, and the Supervisor reading and signing this form. Applications submitted without the below section completed by the Supervisor will be returned to the applicant.

	This be retained to the applicant.
Supervisor Comment	I HAVE NO CONCERNS - ALL USAGE IN THIS PROJECT IS IN LINE WITH THE ARCHIVE -ICENSE.
I confirm that I have dis	ssed the ethical implications of this project with the student applicant, that I have read this prove its submission to the ethics committee for consideration
Supervisor signature	Date Click or tap to enter a date.

Submission guidance:

To submit your application, it must be sent to your **School Ethics contact**:

- Electronic form (.doc, .docx, .pdf) is the preferred submission format for Ethics Applications, as it allows for easy transferral of text to the database
- If you submit a scanned copy of a handwritten or typed form, or a hardcopy, please email your School Ethics contact an electronic form version of the Cover Sheet (first page).

Signing the form:

- Creating an electronic signature is straightforward sign a piece of blank paper, take a photo i.e. with a smartphone, copy and paste the image into the signature box and resize it as necessary
- If you or your supervisor wish to physically sign a hardcopy, please follow the guidance above on submission requirements
- If you/your supervisor choose to type a signature:
 - o staff: email the form to your School Ethics administrator from your @st-andrews.ac.uk email address to confirm your identity.
 - o students email the form to your supervisor from your @st-andrews.ac.uk email address.
 - supervisor: add your name/ signature to the form and then forward it to the School Ethics administrator from your @st-andrews.ac.uk email address

Under **no circumstances** should this form, or supplementary documents, contain identifiable information about your participants i.e. completed consent forms.

APPENDIX 1. DOCUMENT CHECKLIST

Please ensure all relevant documents are attached to your application.

You should indicate in Q31 if your research will require any additional documents/approvals. If you have approvals in hand when submitting this form, you should append these to the application and indicate this below. Some School Ethics Committees may require all documents/approvals to be fully obtained before you seek ethical approval.

For online research, such as surveys, you may include relevant screenshots or excerpts of text instead of forms.

Templates are available for some documents, follow the links. Preferably, template participant documents should be used as given. You may adjust the content to suit your project, but you MUST document a rationale for the changes in Q31 of the application form 🖍

Application document(s)	Attached?	When to include this	
Participant Information Sheet	NOT APPLICABLE	Research involves human participants	
Participant Consent Form	NOT APPLICABLE	Research involves human participants	•
Participant Debrief	NOT APPLICABLE	Research involves human participants	1
All advertisements	NOT APPLICABLE	Participants will be recruited using adverts	1
Questionnaire / Online Survey Screenshots	NOT APPLICABLE	Research includes questionnaires or surveys	1
Interview questions/Focus Group guide	NOT APPLICABLE	Research includes interviews or focus groups	
Copies of <u>letters to parents/ guardians/children</u>	NOT APPLICABLE	Research involves children or educational establishments	1
External approvals/documents	Attached?	When to include this	
Data Management Plan (DMP)	NOT APPLICABLE	ONLY if you already have a DMP (e.g. due to funder requirements). If YES, also email a copy to research-data@st-andrews.ac.uk.	í
Ethical funder approval letter	NOT APPLICABLE	The research is funded by an organisation not on the approved funders list	í
Risk assessment	NOT APPLICABLE	Research involves fieldwork risk, such as travel abroad or lone working	1
Insurance documents	NOT APPLICABLE	May be required for fieldwork or travel abroad	•
DBS / PVG documents	NOT APPLICABLE	Research involves vulnerable participants: • Children (under 16 in Scotland/18 in England) • Vulnerable adults	1
External permission forms / emails	YES	Research requires permission for access to sites, data, participants or other aspects.	•
Security sensitive research declaration	NOT APPLICABLE	Research involves contact with individuals, data or material linked to terrorist or extremist activity	1
External ethical application/approval documents	Attached?	When to include this	

NHS ethical approval documents - in full	NOT	Research involves:	
	APPLICABLE	 NHS data, patients, sites or staff 	0
		 Participants who are in custody 	
		Participants who are in care	
Ethical approval documents (in full) from an	NOT	Your research has already been reviewed and	A
external review body	APPLICABLE	approved by another institution or organisation	•

Please list below any other documents that are included in your application:

External permission from - CRAWDAD Date Usage Licence (https://crawdad.org/registration-form.html):

CRAWDAD Data License

Dear Licensee:

Thank you (hereinafter referred to as "Licensee") for your interest in obtaining and using materials from the CRAWDAD archive, hereinafter referred to as "Data" and any software tools that may be obtained from the CRAWDAD site from time to time (the "Tools"). CRAWDAD is the Community Resource for Archiving Wireless Data At Dartmouth, and is operated by Trustees of Dartmouth College ("Dartmouth College").

Data Licensing Information:

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Licensee agrees to respect the privacy of those human subjects whose wireless-network activity is captured by the Data and to comply with all laws applicable to Licensee's use of the Data, including without limitation such applicable laws pertaining to the protection of personal information, security of data, and data breaches. Licensee agrees not to apply, adapt or develop algorithms for the extraction of the true identity of users and other information of a personal nature, which might constitute "personally identifiable information" or "protected health information" under any such applicable laws. In particular, Licensee agrees not to publish or otherwise disclose to any other person or entity any information that constitutes "personally identifiable information" or "protected health information" under any such applicable laws derived from the Data through manual or automated techniques.

Licensee acknowledges that CRAWDAD is a non-profit initiative established for the benefit of society at large. In addition to its obligations in the preceding paragraph, Licensee will endeavor to use the Data in an ethical and responsible way with the aim of doing no harm to any person or entity. At minimum, in connection with Licensee's use of the Data, Licensee will comply with applicable professional codes of conduct and applicable requirements of institutional review boards or similar bodies with authority over Licensee's use of the Data.

Licensee agrees to acknowledge the source of the Data or Tools in any publications or presentations reporting on Licensee's use of those Data or Tools. CRAWDAD provides specific citation information for each Tool and set of Data; Licensee shall acknowledge the source of the Data or Tool using this citation information.

Dartmouth College reserves the right to provide each provider of the Data or any Tools with aggregate statistical information regarding Licensee's and/or other persons' use of such provider's Data or Tools.

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Licensee may direct questions or comments regarding CRAWDAD, including any reports of inability to access Data or Tools to CRAWDAD staff at crawdad.org/contact.html. Licensee's acceptance and use of the Data or Tools binds Licensee to the terms and conditions of this License as stated here.