APPLICATION FOR Research Ethics Approval

Version 4 - FINAL – 27/01/15

All researchers should be familiar with the University’s Research Ethics Policy and associated procedures, available [here](https://sp.falmouth.ac.uk/sites/re/ethics/default.aspx). No element of a research project which falls under the scope of the Policy should begin before written approval has been given.

All research projects are subject to ethics approval. This form enables researchers to either:

1) declare a project out of scope. The form incorporates a short cut for this.

2) provide more detail on ethical considerations. Research ethics approval is required for research projects that:

* directly involve people in research activities, through their physical participation, eg. interviews, questionnaires, surveys, observational research, requiring the active or passive involvement of a person;
* indirectly involve people in the research activities, through their provision of or access to personal data and/or tissue
* involves people on behalf of others (eg. legal guardians of children and the psychologically or physically impaired and supervisors of people under controlled environments (eg. prisoners, school pupils).

There are special arrangements for research in the health and when it involves animals, and guidance should be sought direct from the Committee in these cases.

Convening an event, such as a conference or workshop, only requires research ethics approval where research takes place, eg. leading to an identifiable research output, and only that specific part of the event where the research is taking place.

Please note that all events (seminars, conference, workshops, etc) should be discussed with your Director of Department taking into consideration any professional ethics or reputational concerns.

IF YOU ARE UNSURE, YOU SHOULD ASSUME RESEARCH ETHICS APPLIES. IN THIS CASE SEEK GUIDANCE FROM THE COMMITTEE BEFORE CONTINUING.

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| Part A – Overview of the project | | | | | | | |
| 1 | Title of the project | Creating and Modelling competitive StarCraft AI using BWAPI through the use of expert knowledge | | | | | |
| 2 | Briefly summarise the project’s aims, objectives and methodology | The aim of this project is to design a StarCraft AI that could compete against other human made AI’s, the use of expert knowledge comes into play with the implementation of pre-defined strategies and counter strategies. This will be created using the Brood War API (BWAPI) and BWAPI-Mono-Bridge2 a bridge that allows the use of BWAPI in C#. | | | | | |
| 3 | Start and end dates | October To May | | | | | |
| 4 | Principal Investigator | Title: MR  Name: James Hellman  Department: BSc Computing for Games | | | | | |
| 5 | Other key investigators | Title | Name | Post | Role in project | Organisation | Department |
| Dr | Swen Gaudl | Researcher | Supervisor | Meta Makers Research Team | Games Academy |
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| Part B – Does the project require research ethics approval? | | | | | | | |
| 6a | Does any part of the project constitute research, ie. a process of investigation leading to new insights, effectively shared (eg. identifiable research output)?  If you answer No to this question please provide a rationale here (max 100 words) | **Yes**  If Yes or don’t know, continue to 6b. If No, the project is out of scope. Go direct to 18a. | | | | | |
| 6b | Does your research involve participants of any type, ie. humans or animals, directly or indirectly? Review the questions in Part C as a guide | **Don’t know**  If Yes or don’t know, continue to Part C. If No, the project is out of scope. Go to direct to 18a. | | | | | |
| Part C – Details of the research | | | | | | | |
| 7 | Give a brief reflection/overview of the ethics issues in this project. | With this project there is the potential to have people test the AI by playing against it. Or Have the AI compete against other AI’s created by the public. | | | | | |
| 8 | Who will the participants be? Identify specifically any vulnerable groups or individuals and address any special measures you intend to take to accommodate them | Students/Tutors from the Games Academy or open source AI’s. No special measures will be needed.  No vulnerable groups will be chosen. | | | | | |
| 9 | How will participants be recruited and how many will be involved? | If there are any people recruited for this project, it will be a small group of up to 10 people. They will be picked out from the academy and asked if they would like to test the AI. | | | | | |
| 10 | What will participants be asked to do? | They would be asked to play one or multiple matches against a Star Craft AI. | | | | | |
| 11 | What potential risks to the interests of participants do you foresee and what steps will you take to minimise those risks? A participant’s interests include their physical and psychological well-being, their commercial interests; and their rights of privacy and reputation | *Possible risks could include:*  *Stress from being in a competitive situation*  *Posture while playing as the game could take a while.*  *Health and safety check on the equipment as to ensure no harm could befall the player, from the equipment.*  *An epilepsy warning.*  *Regular breaks for a longer lasting session.* | | | | | |
| 12 | Will you be obtaining personal information from any of the participants? E.g. name, personal opinions, address, recorded images or audio, date of birth, notes and observations. | **No**  **If you answer ‘Yes’, please give details. In your response, please consider:** How will you store and use this information during the course of your research? What parts of this information will need to be confidential and how? Will you exhibit or publish the information? Will you retain information after the research is concluded? If information is to be destroyed, explain why this is appropriate. | | | | | |
| 13 | What potential risks to yourself or other members of the research team do you foresee and what steps will you take to minimise those risks? Eg. does your research raise issues of personal safety for you or others involved in the project, especially if taking place outside working hours or off University premises | *Stress from constant work at the computer this can be lessened by taking regular breaks.*  *Office health and safety, i.e. taking regular breaks as to ensure no eye strain occurs, also keeping a good posture to protect the spine.* | | | | | |
| 14 | What potential risks to the environment do you foresee and what steps will you take to minimise those risks, eg. does your research involve plants or soil | *None.* | | | | | |
| 15 | Will payments or in-kind contributions be made to participants? | **NO**  *If YES, please state amount and whether payment is for out-of-pocket expenses, or a fee* | | | | | |
| 16 | If the project is to receive financial support (real or in-kind) from outside the University, please give details, including any restrictions that have been imposed upon the conduct of the research. Please discuss this with RIO. Financial propriety, protection of commercial rights and reputation are important for you, the University and other third parties (eg. sponsors, participants etc.) | ***NO*** | | | | | |
| 17 | Will any restrictions be placed on the publication of results? | **NO**  *If YES, please state the nature of the restrictions, (eg. details of any confidentiality agreement)* | | | | | |
| 18a | Declaration of Principal Investigator if activity is out of scope | I confirm that the form is accurate and complete to the best of my knowledge and belief and it does not fall under the scope of the Research Ethics Policy.  Signature:  Date: | | | | | |
| 18b | Declaration of Principal Investigator if activity is in scope | I confirm my responsibility to deliver the project in accordance with the University’s Research Ethics Policy and Guidelines on Good Research Practice and, where externally funded, with the terms and conditions of the research funder. In signing this form I am also confirming that:   1. The form is accurate and complete to the best of my knowledge and belief. 2. There is no potential material interest that may, or may appear to, impair the independence and objectivity of researchers conducting this project. 3. I undertake to conduct the project as set out in the application unless deviation is agreed by the University and to comply with any conditions. 4. I agree to keep all ethics issues in the project under review and to re-submit a new application for ethics approval should any new issue arise or significant change occurs. 5. I understand and accept that the ethical propriety of this project may be monitored by the University. 6. I have included the following documents:   ❑ An information sheet (compulsory)  ❑ A consent form (compulsory)  ❑ Copy of the full proposal/application (compulsory)  ❑ Other relevant information  Signature:  Date: | | | | | |
| 19 | Support from Director of Department | I have reviewed the project with the applicant and confirm it either does not fall under the scope of the Research Ethics Policy or I support it.  Full Name:  Signature:  Date: | | | | | |
| 20 | REC use only |  | | | | | |