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](https://www.st-andrews.ac.uk/itsupport/o365/))

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| **Researcher Name** | Joanna Moreland | | |
| **Email** | jelm@st-andrews.ac.uk | **Date Submitted** | 03/02/2020 |
| **School/Unit:** | Computer Science | **Supervisor**  **(if student):** | Dr Ishbel Duncan |

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| Undergraduate |  | Staff | |  |
| Postgraduate Research |  | Postgraduate Taught | |  |
| Module Co-ordinator on taught module |  | Module Code | CS4099 | |

| **Project Title**  (If your title is not immediately understandable to a lay audience, be sure it is clearly explained in the project description) |
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| **Medical Pronunciation App** |
| **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](https://www.st-andrews.ac.uk/assets/university/research/documents/restricted/ethical-application-exemplars.pdf)). |
| The project aims to make a software application to teach medical workers how to pronounce medical terms. The application will display a list of words and play a recording of a selected word with the correct pronunciation to the user. The user will then record their own attempt to pronounce the word that will be compared to the original recording. The application will then advise the user regarding their pronunciation so that they can improve.  Subjects will be those within the medical field of ages 18 and over. Participants will be asked to take part by mass email. The research will take place within St Andrews university. A survey will be used to gather medical terms to add to the application. Audio recordings will also be collected for use as samples in the application. Another survey will be used for feedback regarding the produced application. |
| **Ethical Considerations:** Give an overview of both **the ethical issues raised** by your research and **how you will address** them (see [exemplars](https://www.st-andrews.ac.uk/assets/university/research/documents/restricted/ethical-application-exemplars.pdf)).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.)* |
| Consent will be voluntary as the mass email will be sent out to all so no persuasion is required. The advert will inform the participants fully regarding the project and PIS and consent forms will answer more questions. Participants are free to ask Joanna Moreland more questions at any time.  Ethical issues arise from the recording of voices that will then be heard by users of the application. Voice recordings are required to provide the correct pronunciation of a word that will be played back to users of the application. Audio is identifiable and the participants will be informed of this before they take part. Questionnaires ask for personal responses and opinions. These will be filled out anonymously with no request for data such as name, age or gender but purely for the participants experience with complex words or their experience of using the application. |

**Has ethical approval for this research already been obtained from an external ethics committee?** 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 form there are icons, links and guidance to assist you, hover over them for tips or ctrl+click to follow links:** | |
| --- | --- |
| Document | **This icon indicates that a supporting document may be required - see Appendix 1. DOCUMENT CHECKLIST** |
| **Pencil** | **This icon indicates that you may need to provide an explanation or more information in Q31** |
| [Information](https://www.st-andrews.ac.uk/research/ethics/humans/) | **This icon indicates there is guidance on how to answer (hover the pointer over the icon)** |
| End | **This icon follows ‘skip to question X’ statements - Ctrl+Click the icon to skip to that part of the document** |
| [Link](https://www.st-andrews.ac.uk/research/ethics/humans/) | **This formatting indicates a link to relevant documents or webpages** |

| RESEARCH INFORMATION | | | | | | | |
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|  | 1. Estimated start date of research activities [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/) | | | | 30/01/2019 | | |
|  | **LOCATION AND EXTERNAL APPROVALS** | | | | | | |
|  | 1. Location of the research [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/) | **University of St Andrews** | | | | | |
| Document  **Pencil** | 1. If applicable, have you obtained permission to access the site of research? [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/)   If YES please state agency/authority etc. and provide documentation. If NO please indicate why in Q31 | | | | | **NOT APPLICABLE** | |
|  | **FUNDING** | | | | | | |
|  | 1. Is this research funded by any external sponsor or agency? [Information](http://www.dcc.ac.uk/resources/policy-and-legal/funders-data-policies) | | | | | | **NO** |
|  | If **YES**, please provide the name of the funder: | |  | | | | |
| Document | 1. Does the funder appear on the automatically [approved list of ethical funders?](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-funder-application/) If NO, you must complete an [ethical funder application](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-funder-application/) and attach the approval to your application | | | | | | **NOT APPLICABLE** |
|  | **COLLABORATION & ROLES** [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/collaborative/) | | | | | | |
|  | 1. **a**. Does this research entail collaboration with researchers from other institutions and/or across   other University Schools/Units? If YES state name and affiliations below: | | | | | | **NO** |
|  | **Name** | | | **Affiliation** | | | |
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|  | **b.** If the research is collaborative, has a framework been devised to ensure that all collaborators,  are given appropriate recognition in any outputs? | | | | | | **NOT APPLICABLE** |
|  | 1. Where projects raise ethical considerations to do with roles in research, intellectual property,   publication strategies/authorship, responsibilities to funders, research with policy or other  implications etc., have you taken appropriate steps to address these issues? | | | | | | **NOT APPLICABLE** |

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| Research participants | | | |
| **Pencil** | 1. 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? [Information](https://www.st-andrews.ac.uk/research/environment/committees/sec/)   If **YES**, but the project has other ethical considerations, skip to Q31 and detail these [End](#_ETHICAL_ISSUES)  If **YES,** and the project has no other ethical considerations, skip to ‘Declarations’ [End](#_DECLARATIONS)  If **NO**, continue with the rest of the form | **NO** | |
|  | 1. Who are your participants? [Information](https://www.st-andrews.ac.uk/research/environment/committees/sec/) | | |
|  | Medical professionals and students. Medical professionals consists of university lecturers in the School of Medicine and GPs. NHS staff will not be used unless they are a GP. | | |
|  | 1. Describe below how you will identify, approach and recruit participants [Information](https://www.st-andrews.ac.uk/research/environment/committees/sec/) | | |
|  | For researching difficult medical words: a questionnaire will be sent out to a GP and/or lecturer who will distribute it to appropriate colleagues or students.  Users of the application: local students in St Andrews will be asked to participate by mass email. | | |
|  | 1. Estimated duration of participant involvement [Information](https://www.st-andrews.ac.uk/research/environment/committees/sec/) | | |
|  | It will take between 15 and 30 minutes to answer questions/use application and answer questions. Users of the application may be called back to comment on improvements. | | |
|  | 1. Do participants fall into any of the following vulnerable groups? [Information](https://www.st-andrews.ac.uk/research/environment/committees/sec/) (Check all that apply) | |  |
| [Document](https://www.st-andrews.ac.uk/staff/policy/hr/pvgandcriminalrecords/#PVGSchemeRecords) | Children (under the age of 16 in Scotland or 18 in England and Wales) | |  |
| [Document](https://www.st-andrews.ac.uk/staff/policy/hr/pvgandcriminalrecords/#PVGSchemeRecords) | Protected adult, receiving care or welfare services | |  |
| [Document](https://www.st-andrews.ac.uk/staff/policy/hr/pvgandcriminalrecords/#PVGSchemeRecords) | People with learning or communication difficulties | |  |
| [Document](https://www.st-andrews.ac.uk/utrec/guidelinespolicies/children/) | Residents/Carers in a specific location e.g. Care Home | |  |
| [Document](http://www.hra-decisiontools.org.uk/ethics/) | NHS patients or staff [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans) | |  |
| [Document](http://www.hra-decisiontools.org.uk) | People in custody | |  |
|  | People engaged in illegal activities (e.g. drug taking) [Information](https://www.st-andrews.ac.uk/research/environment/committees/sec/) | |  |

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| ETHICal risk CHECKLIST | | |
| **Pencil** | **If you answer ‘NO’ to any of the following please provide a full explanation in Q31** | |
|  | 1. Will you tell participants that their participation is voluntary and that they can decline to participate with no disbenefit? [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/consent/) | **YES** |
|  | 1. 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? [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/consent/) | **YES** |
|  | 1. 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? [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/consent/) | **YES** |
|  | 1. Will you obtain appropriate consent from participants? [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/consent/) | **YES** |
|  | 1. 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? [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/templates/) | **YES** |
|  | 1. 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? | **YES** |
|  | 1. 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) [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/) | **YES** |
|  | 1. 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) [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/) | **YES** |
|  | 1. 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? [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/templates/) | **YES** |
|  | 1. With questionnaires and/or interviews, will you give participants the option of omitting questions they do not want to answer? | **YES** |
| **Pencil** | **If you answer YES to any of the following please provide a full explanation in Q31** | |
|  | 1. 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? [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/) | **NO** |
|  | 1. Will your project involve deliberately misleading participants in any way? [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/deception/) | **NO** |
|  | 1. Will any financial inducement, other than expenses, be offered to participants? [Information](https://www.st-andrews.ac.uk/research/environment/committees/sec/) | **NO** |
|  | 1. Are any of the participants in a dependent relationship with the investigator? i.e. family members, patients, students [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/dependent-relationships) | **NO** |

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| RISK ASSESSMENTS & INSURANCE | | |
| Document  **Pencil** | 1. Does your research require a [risk assessment as per University policy](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/) ? [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/)   (if YES, include this with your application, or if it is still being processed, indicate this in Q31) | **NO** |
|  | 1. For fieldwork and travel abroad, have you checked that you are covered by [University travel insurance](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/) ? | **NOT APPLICABLE** |

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| DATA MANAGEMENT |
| Collection, storage and destruction of data should be undertaken in accordance with [University guidance and policies](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/) plus [data protection law](https://www.st-andrews.ac.uk/staff/policy/gdpr-faq/). For queries on data protection, contact [dataprot@st-andrews.ac.uk](mailto:dataprot@st-andrews.ac.uk) ; on research data management, contact [research-data@st-andrews.ac.uk](mailto:research-data@st-andrews.ac.uk). Additional [training](https://www.st-andrews.ac.uk/terms/data-protection/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. |

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| 1. Given the definitions above - at the point of collection, will data collected by your research include: |  | |
| 1. personal data? | **YES** | |
| 1. special category data? | **NO** | |
| 1. **Data Lifecycle**   Describe how you will ensure the confidentiality of personal data over the full lifecycle (see [exemplars](https://www.st-andrews.ac.uk/assets/university/research/documents/restricted/ethical-application-exemplars.pdf)).  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 [stored](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/), e.g. encrypted file on secure University Server, locked filing cabinet * Consideration of the requirements of [data protection law](https://www.st-andrews.ac.uk/staff/policy/gdpr-faq/) and Open Access requirements of funders   The information you provide in these sections should reflect the contents of your participant documents | | |
| * 1. **Collection and Transfer** [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/)   Describe what data you will be collecting (ensuring it is the [minimum amount necessary](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/) for your purposes), including how/when you will collect it, and how you will ensure its safe transfer into storage | | |
| Practitioner voice recordings will be collected at the beginning of the project. They will sign the PIS and PCF recorder forms prior to participating and as such will agree to the use of their voice data in an identifiable form. These will be recorded on a phone, any transfer of the data will be done privately, over secure communication channels of Outlook’s OneDrive or highly encrypted services such as WhatsApp. Once it is in storage it will not be shared outside professional use in the application and will be deleted from storage on devices where it is no longer essential.  Test user voice data will be collected briefly and not transferred.  Data will be collected in questionnaires. One questionnaire will collect medical terms that professionals find difficult to pronounce. The second will ask questions that describe the users experience once they have used the application. This data will be in written form or on a scale between 1 and 10. This data will be collected using Qualtrics.  Joanna Moreland and Ishbel Duncan (Supervisor) will have access to the raw data. Test users will have access to identifiable recordings. Markers will have access to processed data in a report. Data will be stored on computer science servers.  In trials, user voice recordings are deleted once comparison with the practitioner recordings is completed. | | |
| 1. **Storage, Backup and Access** [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/)   Describe how the data will be securely stored, backed up and accessed | | |
| The practitioner’s recordings will be stored in a FULLY IDENTIFIABLE form, which means that the data will be identifiable as that of the participant. The fully identifiable data will be stored on Computer Science servers and the researcher’s own password protected device, and only Joanna Moreland, Ishbel Duncan (Supervisor), the dissertation marker and test users of the application will be able to access it. The audio will be shared with test users and the audio recorder will be made aware of this via the PIS recorder as they may be identified by their voice data.  Test user’s voice data will be used briefly to compare it to the practitioner’s recordings. It will be destroyed immediately after use.  The questionnaire data will be stored in an ANONYMISED form, which means that parts of the data will be edited or deleted such that no-one, including the researchers, could use any reasonably available means to identify participants from the data. The un-anonymised data will then be permanently deleted. The anonymised data will be stored in Computer Science servers and the researcher’s own password protected device, and only Joanna Moreland, Ishbel Duncan (Supervisor) and the dissertation marker will be able to access it.  All data will be stored on lab computers in the school of computer science, University of St Andrews. This comes with the benefits of security and back ups handled by the school. Access to data will be permitted only to those with access to the server which will be stored on one user account only. Data will also be stored on the researcher’s own password protected device which no one else will be able to access the device as the password is not common knowledge. Following the completion of the dissertation all data (audio and questionnaire) will be destroyed in June 2020. | | |
| 1. **Sharing and Publication** [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/)   Describe if, where and in what form the data will be shared. Researchers should consider [institutional, funder and publisher policies](https://www.st-andrews.ac.uk/library/services/researchsupport/researchdata/researchdatapolicies/) 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   **Pencil**  If your data will be shared or published in an IDENTIFIABLE form, provide a rationale and further explanation in Q31 | |
| Practitioners’ voice recordings will be shared (published and/or placed in a database accessible by others) in a FULLY  IDENTIFIABLE form, which means that the data will be identifiable as that of the participant. This data will be available to Joanna Moreland, Ishbel Duncan (Supervisor), the dissertation marker and test users of the application and the recorder will be informed of the possibility of identification via the PIS recorder document. This data will NOT be passed to the Google API.  Test users’ voice recordings will be shared (published and/or placed in a database accessible by others) in a FULLY  IDENTIFIABLE form, which means that the data will be identifiable as that of the participant and attributed to them. As such the data will be subject to Google’s terms and conditions for use of such data, which can be found here: <https://policies.google.com/terms>  Survey participants’ data will be shared (published and/or placed in a database accessible by others) in an ANONYMISED form, which means that no-one could use any reasonably available means to identify participants from the data. Data from questionnaires will be shared in the final dissertation write up in tables, figures or in quote form. This will be purely to inform markers of the user’s opinion on whether the project was a success or not. This data however will be anonymous and so no opinions can be attributed to any given participant. The data will thus not be identifiable. | |
| 1. **Retention and Destruction** [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/)   Describe how long the data will be retained for and if or when the data will be destroyed (see [University guidance](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/)).  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). | |
| All participants’ data (voice recordings and survey results) will be shared as described above, and then the data held by the researcher will be destroyed before the end of June 2020 following marking of the project. Test user’s voice recordings will be destroyed instantly after use. | |

| ETHICAL ISSUES |
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| 1. Please provide a clear, concise description of your research design and methodology, the ethical issues raised and how you will address them (see [exemplars](https://www.st-andrews.ac.uk/assets/university/research/documents/restricted/ethical-application-exemplars.pdf)). 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 Pencil, if required.   Use sub-headings for structure where appropriate. If necessary, continue on a separate sheet. |
| **Project Description:** Recordings will be taken from medical practitioners that will be played to users of the application for training purposes. This will permit the user to make an attempt at the correct pronunciation based on the playback they’ve heard. The user will be given a percentage score of how well they did in comparison to the original recording and (if required) a recommendation will be given to encourage improvement in any sections of the word they got wrong. Comparison will be performed in early trials by using Google’s speech-to-text API and comparing the textual words. In later editions spectrogram analysis will be used to gain a more accurate comparison. Via either of these methods the user should learn to pronounce the word correctly.  Surveys will be distributed to ascertain what medical terms it would be beneficial to add to the system for learning purposes, e.g. Particularly difficult words medical professionals would like to hear taught in the app. Surveys will also be given to system users who are willing to provide feedback.  Each participant will fully read the PIS document relevant to their interaction with the system and will sign the appropriate PCF to confirm their understanding of all relevant documents.  **Selection and recruitment:** Participants will be aged 18 and over and will be recruited from the local and student  population of St Andrews and GPs known by myself or my supervisor. Recruitment will take place through written advertisements that will be placed in buildings around St Andrews. Online advertisements will also be posted on Facebook, the School of Medicine student and lecturer email, and student memos (All advertisements are attached; see adverts).  **Informed Consent:** Participants will be emailed with a Participant Information Sheet (See PIS documents) that will  include details on the study’s aims and procedure. The researcher will ensure that participants understand the  information included in the participant information sheet so that they will know exactly what their participation  in the study will entail. During the study session, participants will be presented with the informed consent form  (See PCF documents) which they will sign, indicating that they agree to participate in the study and have their data  stored and analysed.  **Risks:** No physical exertion is required to take part in the experiment as such there is no risk to the participants physical health. The experiment at no point asks personal or invasive questions and thus there is no risk to mental health. There is a possibility that the time to partake in the experiment will exceed the suggested completion time shown on the attached forms.  **Risk of loss of confidentiality of participant information:** Recorded audio data will be identifiable. To address this the participant will be informed of this prior to taking part in the experiment and so make an informed decision on whether to take part. Following the completion of the dissertation the audio data will be destroyed, see Q30b.  Questionnaire data will be anonymous, and it will be impossible to trace it to the corresponding participant, securing confidentiality. Following data collection completion, this data will be destroyed. Until then, data will be kept in the way described in Q30b.  **Address Risks:** Only store professional voice recordings on private university servers and researcher’s password protected personal device.  **In-app data sharing:**  Users of the application should also be aware that their attempt to pronounce the word will be sent over the internet to Google’s speech-to-text API. As such, users of the application are subject to Google’s terms and conditions for API use giving Google “(and those [they] work with) a worldwide licence to use, host, store, reproduce, modify, create derivative works (such as those resulting from translations, adaptations or other changes that [they] make so that [user] content works better with our Services), communicate, publish, publicly perform, publicly display and distribute such content.” <https://policies.google.com/terms> |

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| D**ECLARATIONS** | | | |
| * I am aware of, understand and will enact my responsibilities as a researcher as detailed in:   + The University’s [Principles of Good Research Conduct](https://www.st-andrews.ac.uk/research/integrity-ethics/research-integrity/good-research-conduct/) policy and [ethical guidelines](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/)   + Any relevant professional guidelines (e.g. BPS, MRC, ASA)   + The University’s Policy and guidance on [Data Management and Protection](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/confidentiality-data-protection/) * 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** | 07/02/2020 |

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| **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.* | | | |
| **Supervisor Comment** |  | | |
| **I confirm that I have discussed the ethical implications of this project with the student applicant, that I have read this application, and that I approve its submission to the ethics committee for consideration** | | | |
| **Supervisor signature** |  | **Date** | 07/02/2020 |

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| **Submission guidance:**  To submit your application, it must be sent to your [School Ethics contact](https://www.st-andrews.ac.uk/research/environment/committees/sec/):   * 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:   + staff: email the form to your School Ethics administrator from your @st-andrews.ac.uk email address to confirm your identity.   + 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. | | | |

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| 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 **Pencil** | | | |
| **Application document(s)** | **Attached?** | **When to include this** |  |
| [Participant Information Sheet](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/templates/) | **YES** | Research involves human participants |  |
| [Participant Consent Form](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/templates/) | **YES** | Research involves human participants | [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/consent/) |
| [Participant Debrief](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/templates/) | **NOT APPLICABLE** | Research involves human participants | [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/templates/) |
| All [advertisements](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/templates/) | **YES** | Participants will be recruited using adverts | [Information](https://www.st-andrews.ac.uk/research/environment/committees/sec/) |
| Questionnaire / Online Survey Screenshots | **YES** | Research includes questionnaires or surveys | [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/ethical-guidance/online-surveys-or-questionnaires/) |
| Interview questions/Focus Group guide | **NOT APPLICABLE** | Research includes interviews or focus groups |  |
| Copies of [letters to parents/ guardians/children](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/templates/) | **NOT APPLICABLE** | Research involves children or educational establishments | [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/templates/) |
| **External approvals/documents** | **Attached?** | **When to include this** |  |
| [Data Management Plan (DMP)](https://www.st-andrews.ac.uk/library/services/researchsupport/researchdata/planningfordata/datamanagementplan/) | **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](mailto:research-data@st-andrews.ac.uk). | [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/) |
| [Ethical funder approval letter](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-funder-application/) | **NOT APPLICABLE** | The research is funded by an organisation not on the approved funders list | [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-funder-application/) |
| [Risk assessment](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/) | **NOT APPLICABLE** | Research involves fieldwork risk, such as travel abroad or lone working | [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/) |
| [Insurance documents](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/) | **NOT APPLICABLE** | May be required for fieldwork or travel abroad | [Information](https://www.st-andrews.ac.uk/research/ethics/humans/applications/ethical-review/appendable-documents/) |
| [DBS / PVG documents](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/) | **NOT APPLICABLE** | Research involves vulnerable participants:   * Children (under 16 in Scotland/18 in England) * Vulnerable adults | [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/) |
| [External permission forms / emails](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/) | **NOT APPLICABLE** | Research requires permission for access to sites, data, participants or other aspects. | [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/) |
| [Security sensitive research declaration](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/) | **NOT APPLICABLE** | Research involves contact with individuals, data or material linked to terrorist or extremist activity | [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/) |
| **External ethical application/approval documents** | **Attached?** | **When to include this** |  |
| [NHS ethical approval](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/) documents - in full | **NOT APPLICABLE** | Research involves:   * NHS data, patients, sites or staff * Participants who are in custody   Participants who are in care | [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/) |
| Ethical approval documents (in full) from [an external review body](https://www.st-andrews.ac.uk/research/https:/www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/appendable-documents/humans/applications/ethical-review/collaborative/) | **NOT APPLICABLE** | Your research has already been reviewed and approved by another institution or organisation | [Information](https://www.st-andrews.ac.uk/research/integrity-ethics/humans/applications/ethical-review/collaborative/) |

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