Approval Code: CS12476
(Official Use Only)

UNIVERSITY OF ST ANDREWS
TEACHING AND RESEARCH ETHICS COMMITTEE (UTREC)

ETHICAL APPLICATION FORM

Please Tick: (*click on the box then click 'Checked' for a cross to appear in the box*)

Undergraduate ☐   Postgraduate Research ☐   Postgraduate Taught ☐   Staff ☐

Lecturer/Course Controller on behalf of Taught module ☒   Module Codes: CS4099 CS4098 CS5098 CS5099 CS5199 CS5899 IS5188 IS5189 IS5198 IS5199

Researchers Name(s):		
Project Title:	Evaluation of artifacts produced for CS projects.	
School/Unit: (Please indicate)	Comp Sci	Supervisor:
Emails		Date Submitted September 2016

Rationale: Please detail the project in 'lay language' addressing the reason for conduction the research; including details of participants and location.   *DO NOT exceed 75 Words (for database reasons).   This summary will be reviewed by UTREC and may be published as part of its reporting procedures.*

CS projects involve the production of software artifacts, and a critical evaluation of the artifact is an expected component of the project report. This application covers questionnaires that help the student evaluate their artifact.

Ethical Considerations: Please detail the Ethical issues with full seriousness addressing all issues raised by the research and explain now these issues will be addressed.   *DO NOT exceed 75 words (for database reasons).   This summary will be reviewed by UTREC and may be published as part of its reporting procedures.*

Participants will be internal to the University, and will be asked to provide anonymous feedback on the effectiveness, design and utility of a project-based artifact. Questions are limited to the artifact and opinions of the artifact. No personal data is needed nor collected.

APPLICATIONS MUST BE SUBMITTED TO THE RELEVANT SCHOOL ETHICS COMMITTEE
https://www.st-andrews.ac.uk/utrec/SEC/SECMembers/   **PLEASE DO NOT SUBMIT DIRECTLY TO UTREC.**

- Please submit an electronic copy and one hard copy (with signatures) to the Secretary/Administrator. In the absence of a Secretary please submit to the SEC Convener.
- Applicants must be accompanied by the relevant supporting documents without which a full ethical assessment cannot be made.
- Please do not type out with the text boxes provided, note that the Text Boxes are fixed in size and will not allow any viewing beyond the word limit permitted.

If ethical approval has been obtained from the University of St Andrews for research so similar to this project that a new review process may not be required, please give details of the application and the date of its approval.

Approval Code:

Date Approved:

Project Title:

Researchers Name(s):

RESEARCH INFORMATION

1. Estimated Start Date: Week 2 of the semester the module is running.

2. Estimated Duration of Project: S1 and S2 for Honours Projects, Summer term for MSc Projects.

3. Is this research funded by any external sponsor or agency?   **YES** ☐   **NO** ☒

If YES please give details:

**For projects funded by ESRC please be aware of the Ethical and Legal Considerations found at
http://www.esds.ac.uk/aandp/create/ethical.asp**

ESRC Funded Studentships (postgraduate Students) please be aware of the requirements as outlined at (in particular in relation to Submission of data to the Economic and Social Data Service, ESDS

4. Does this research entail collaboration with researchers from other institutions and/or across other University Schools/Units?   **YES** ☐   **NO** ☒

If YES state names and institutions of collaborators:

5. If the research is collaborative has a framework been devised to ensure that all collaborators, including all University Staff, External Researchers, and Students, are given appropriate recognition in any outputs?   **N/A** ☒   **YES** ☐   **NO** ☐

6. 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?   **N/A** ☒   **YES** ☐   **NO** ☐

7. Location of Research Fieldwork to be conducted: University of St Andrews

8. Are you using only library, internet sources or unpublished data *(with appropriate licenses and permissions)* and so have no human involvement such as interviewing of people?   **YES**   **NO**

9. a. Who are the intended Participants (e.g. students aged 18-21) and how will your recruit them (e.g. advertisement)   STUDENTS AND STAFF AGED 18+

   b. Estimated duration of Participant Involvement.   Up to 15 minutes

If you have answered YES to Q8 but the project has other Ethical Considerations please go to Q.28. If there are no other Ethical Considerations please sign and submit.

ETHICAL CHECKLIST

10. Have you obtained permission to access the site of research?

    N/A ☒ **YES** ☐ **NO** ☐

    If YES please state agency/authority etc. & provide documentation.
    If NO please indicate why in Q.28

11. Will inducement i.e. other than expenses, be offered to participants?
    If YES, please give details of the inducement being offered and justify

    YES ☐ **NO** ☒

12. Has ethical approval been sought and obtained from any external body
    e.g., REC(NHS)/LEA and or including other UK Universities? If YES,
    please attach a copy of the external application and approval.

    N/A ☒ **YES** ☐ **NO** ☐

13. Will you tell participants that their participation is voluntary?

    YES ☒ **NO** ☐

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?

    YES ☒ **NO** ☐

15. Will you tell participants that they may withdraw from the research at
    any time and for any reason, without having to give an explanation?

    YES ☒ **NO** ☐

16. Please answer either a. or b.
    a. Will you obtain written consent from participants?

    YES ☐ **NO** ☒

    b. *(ONLY: Social Anthropology, Geography/Geoscience,
        International Relations & Biology)*

    Will you obtain written consent from participants, in those cases
    where it is appropriate?

    YES ☐ **NO** ☐

17. Please answer either a. or b.
    a. 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?

    N/A ☒ **YES** ☐ **NO** ☐

    b. *(Social Anthropology & Biology ONLY)*
       Will participants be free to reject the use of intrusive research
       Methods such as audio-visual recorders and photography?

    N/A ☐ **YES** ☐ **NO** ☐

18. Please answer either a. or b.
    a. Will you tell participants that their data will be treated with full
       confidentiality and that if published, it will not be identifiable as
       theirs?

    YES ☒ **NO** ☐

    b. Will you tell participants their work /contribution will be credited
       unless they specifically request anonymity?

    YES ☐ **NO** ☐

19. 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?

    YES ☒ **NO** ☐

20. Will you give participants a brief explanation in writing of the study?
    i.e. a debrief

    YES ☐ **NO** ☒

21. With questionnaires and/or interviews, will you give participants the
    option of omitting questions they do not want to answer?

    N/A ☐ **YES** ☒ **NO** ☐

If you have answered NO to any question 12- 21, please give a brief explanation in the statement of
Ethical Considerations on Page 1 and expand in Q28 if necessary.
If you have answered YES, it must be clearly illustrated in the relevant paperwork which must be attached i.e.
Participants Information Sheet, Consent Form, Debriefing Form, Questionnaire, Letters etc……

WORKING WITH CHILDREN AND OR VULNERABLE PEOPLE

Do participants fall into any of the following special groups?

22.   a.   Children (under the age of 16 in Scotland or 18 in England/Wales)   **YES** ☐   **NO** ☒

   b.   Vulnerable Adult, receiving care or welfare services   **YES** ☐   **NO** ☒

   c.   People with learning or communicative difficulties   **YES** ☐   **NO** ☒

   d.   Residents/Carers in a specific location, e.g. Care Home   **YES** ☐   **NO** ☒

NOTE TO SCHOOL ETHICS COMMITTEE.   If the researcher has answered YES to Q22 this application, with all supporting documentation, **must** be forwarded to UTREC for review and approval. Exempt: Geography and Geoscience, Medicine and Psychology

NOTES TO RESEARCHER. If you answer YES to Q.22 a.–d., you may be required to obtain Protection of Vulnerable Groups [PVG] *Disclosure* approval. 'Working with Children and or Vulnerable People' guidelines and procedures can be found on our webpage https://www.st-andrews.ac.uk/utrec/ethicalapplication/children/

For those planning to conduct research in England / Northern Ireland please obtain the equivalent police check. Disclosure and Barring Service (DBS), previously known as *CRB*. https://www.gov.uk/crb-criminal-records-bureau-check/overview

   e.   NHS Patients or Staff   **YES** ☐   **NO** ☒

   f.   Institutionalised persons   **YES** ☐   **NO** ☒

If you answer YES to Q 22.,e. or f., it is likely you will be required to obtain approval from the NHS. This **must** be sought prior to approval from the relevant SEC or UTREC.

   g.   People in custody   **YES** ☐   **NO** ☒

   h.   People engaged in illegal activities, e.g., drug-taking   **YES** ☐   **NO** ☒

If YES to Q22. g. or h., you should ensure that the relevant Risk Assessment Checklist has been completed. https://www.st-andrews.ac.uk/utrec/guidelines/riskassessment/

If you have answered NO to Q22 a–d please skip Q23 and proceed to Q24.

23.   Have you lived/worked outside the UK in the last 12 months?   **YES** ☐   **NO** ☐

If you have **lived outside the United Kingdom (UK) for a period of more than 6 months and answered YES to the Q22** you will be required to provide a police check from that country to cover that period. Further information and helpful links are available on our 'Working with Children and or Vulnerable People' webpage https://www.st-andrews.ac.uk/utrec/ethicalapplication/children/

ETHICAL RISK

This section is for ethical use only and <u>does not</u> replace the requirement to submit a Fieldwork Risk Assessment Form to the relevant Health and Safety/Risk Officer in your School.   The University official procedures on Risk and Safety measures are linked from our webpage https://www.st-andrews.ac.uk/utrec/guidelines/riskassessment/

24. Are any of the participants in a dependant relationship with the investigator e.g. lecturer/student? If YES, give explanation in Q.28.   **YES** ☐ **NO** ☒

25. Will your project involve deliberately misleading participants in any way? If YES, give details in Q.28 and state why it is necessary and explain how debriefing will occur   **YES** ☐ **NO** ☒

26. Is there any significant risk to any paid or unpaid participant(s), field assistant(s), helper(s) or student(s), involved in the project, experiencing either physical or psychological distress or discomfort? If Yes, give details in Q.28 and state what you will do if they should experience any problems e.g. who to contact for help.   **YES** ☐ **NO** ☒

27. Do you think the processes, including any results, of your research have the potential to cause any damage, harm or other problems for people in your study area?   If YES, please explain in Q.28 and indicate how you will seek to obviate the effects.   **YES** ☐ **NO** ☒

There is an obligation on the Lead Researcher & Supervisor to bring to the attention of the School Ethics Committee (SEC) any issues with ethical implications not clearly covered by the above

ETHICAL STATEMENT

28. Write a clear but concise statement of the ethical considerations raised by the project and how you intend to deal with them.   It may be that in order to do this you need to expand on the Ethical Considerations section on page 1. (continue on additional pages if necessary)

It is expected that students produce a software and/or hardware artifact as part of their CS project. Examples of such artifacts are devices, computer applications, games, and web site development. Students may wish to collect opinions concerning the quality of their artifact as part of their critical evaluation. This collection of opinions would be in the form of a questionnaire which comprises only of questions relating to the artifact, and has no questions about the participant.

We do not believe it to be proportionate to require written consent nor participant debriefing for such short and non-personal questionnaires. Data gathered will only be presented in the project report – no personal participant data will be collected, stored or disseminated.

The participation or non-participation in the questionnaire will not affect the potential participating student's academic assessment in any way.

This application is not intended to cover any project that involves any interaction with humans other than a simple set of questions about an artifact that does not require personal participant data.

DOCUMENTATION CHECKLIST

Ethical Application Form		**YES** ☐	**NO** ☒
Participant Information Sheet		**YES** ☐	**NO** ☒
Consent Form		**YES** ☐	**NO** ☒
Debriefing Form		**YES** ☐	**NO** ☒
External Permissions		**YES** ☐	**NO** ☒
Letters to Parents / Children / Head Teachers etc…..		**YES** ☐	**NO** ☒
PVG Approval (Scotland) or Police Check (England/Other)		**YES** ☐	**NO** ☒
Advertisement		**YES** ☐	**NO** ☒
Other (please list):			

DECLARATION

I am familiar with the UTREC Guidelines for Ethical Research http://www.st-andrews.ac.uk/utrec/guidelines/ and *BPS, *ESRC, *MRC and *ASA (*please delete the guidelines not appropriate to your discipline) Guidelines for Research practices, and have discussed them with other researchers involved in the project.

STUDENTS ONLY
My Supervisor has seen and agreed all relevant paperwork linked to this project   **YES** ☐   **NO** ☐

Print Name:	
Signature	
Date:	

SUPERVISOR(S)
The Supervisor must ensure they have read both the application and the guidelines, and also has approved the project and application, before signing below, with clear regard for the balance between risk and the value of the research to the School/Student. (Supervisors should provide this on a separate sheet or supply to the student to insert below) Please, if you wish, add comments in no more than 200 words:

Print Name:	
Signature	
Date:	

STAFF RESEARCHER ONLY   **YES** ☐   **NO** ☐

Print Name:	
Signature	
Date:	

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SCHOOL ETHICS COMMITTEE OFFICIAL USE ONLY

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STATEMENT OF ETHICAL APPROVAL

This project has been considered using agreed University Procedures and has been:

☐ Approved   ☐ Not Approved pending:

                                        ☐ More Clarification Required

                                        ☐ New Submission Recommended

                                        ☐ Discussed with Supervisor

                                        ☐ Referred to UTREC

                                        ☐ Referred to Fieldwork Subcommittee

Convenor's Name	
Signature	
Date:	

Please use the space below and additional pages to attach any supporting documents i.e. Participant Information Sheets, Consent Forms, Debriefing Forms, Questionnaires, Letter to Parents etc.
We recommend you refer to the sample documents provided at https://www.st-andrews.ac.uk/utrec/EthicalApplication/SampleDocuments/