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Amendments

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SUBMISSION ID	CREATED DATE TIME	CREATED BY	STATUS	DESCRIPTION	UPDATED DATE TIME	COORDIN...
No items to display.						

Submission

Submission Ref	29897
Status	Approved
Submission Coordinator	I Watson (Academic) i.watson@northumbria.ac.uk

Name: sean.pattinson — sean.pattinson

Email: sean.pattinson@northumbria.ac.uk

Faculty: Engineering and Environment

Department: Computer and Information Sciences

Submitting As: UGT - Undergraduate Taught student

Externally Approved: ☐ **Note: ONLY tick this box if your project has already received full ethical approval from an external organisation**

Module Level Approval: ☐ *Tick this box if staff and this submission refers to an entire module.*

**** Only to be used for low or medium risk projects as categorised by the diagnostic risk question set ****

Module Code: KV6003 Help

Module Tutor: Xiaomin Chen Find Help Clear

Titl... Senior Lecturer

De... Engineering and Environment

Em... xiaomin.chen@northumbria.ac.uk

Research Supervisor: I Watson (Academic) Find Help Clear

Titl... Senior Lecturer

De... Engineering and Environment

Em... i.watson@northumbria.ac.uk

Named Submission Coordinator (PGT/UGT only)

i.watson@northumbria.ac.uk

Find Help

Clear

If you are an undergraduate or postgraduate taught student please select a Named Submission Coordinator. If you are not sure who this is please contact your Module tutor or Supervisor as appropriate.

Ethical Risk Level

Medium

Click here to answer the ethical risk questions

Ethical Risk Diagnostic Questions and Responses

Refresh

ID	QUESTION	ANSWER
1	Gathering data or information from human participants (e.g. via questionnaire / interview/survey/experiment/ social media/ VR)?	YES
2	Collecting personal data, i.e. name, email, home address, computer IP address, phone number etc?	YES
3	Analysis of secondary data NOT in the public domain (e.g. archive material that require organisational membership)?	YES
4	The collection or use of information which is 'commercially sensitive'?	NO
5	Financial inducements other than expenses and compensation for time?	NO
6	Gathering data/information at a physical location external to Northumbria University campuses, franchised locations, and not your normal place of work?	YES
7	Collection of samples such as plants, soils etc, that might disturb the environment or archaeological remains?	NO
8	Research involving animals or materials derived from animals?	NO
9	Anything else which means that the research poses greater than minimal ethical risk?	NO
10	Discussion of highly sensitive topics, including, but not exclusively: bereavement; sexual behaviour, drug use; abuse or exploitation; trauma; pornography; bullying?	NO
11	Potentially vulnerable people or groups, for example children and young people (under 18s), or those who might lack capacity to consent, for example, a learning disability, dementia, or cognitive impairment?	NO
12	Intrusive interventions: the use of drugs or other substances (e.g. food, drink, placebos or drugs); procedures involving physical distress (e.g. prolonged or repetitive testing, ionising radiation); emotional distress (e.g. stress o anxiety)?	NO
13	Funding from a source that may be controversial (e.g. due to the nature of the funder, or a conflict of interest)?	NO
14	Covert methods of investigation or deception?	NO

15	International partners, or research undertaken outside of the UK where there may be issues of local practice an political sensitivities? (In these instances it will be necessary to act in accordance with the legal and ethics revie requirements in the countries included in the research and demonstrate awareness of these.)	NO
16	Access to records of personal or sensitive confidential information, including genetic or other biological information concerning identifiable individuals?	NO
17	Individuals or groups where permission of a gatekeeper is normally required for initial or continued access to participants (e.g. NGOs, community leaders)?	NO
18	Recruitment or collection of data from patients, staff or volunteers via the NHS, or social care settings (e.g., home, or residential care)?	NO
19	The collection of bodily tissue e.g. blood, saliva, urine samples from living or deceased persons?	NO
20	A health related study or clinical trial of an investigational medicinal product or a medical device?	NO
21	Direct testing on animals or materials derived from animals?	NO
22	Work that involves direct observation of, or participation in, activities during which it is anticipated that illegal activity, or regulatory breach is likely to occur (e.g. hunting, drug dealing, accessing the dark web, hacking)?	NO
23	Access to or collection of data, information, materials (e.g. magazines, publications, websites, and social media) relating to extremism, radicalisation or terrorism (including extreme or terror groups)?	NO
24	Funding/ sponsorship from, or the involvement of, the UK Ministry of Defence, Military (UK and International), an or, EU Security funding call?	NO
25	The collection of data/information that might be confidential or classified (e.g. protected by the Official Secrets Act)?	NO
26	Other considerations that mean that this research should be treated as 'high risk'?	NO

Co-investigators

Add Edit Delete Save Refresh

NAME OF CO-INVESTIGATORS

No items to display.

G1: General Aims and Research Design (Mandatory)

Title

Title of your research project

Staff and Student Tutorial Booking System

Outline General Aims and Research Objectives

State your research aims/questions (maximum 500 words). This should provide the theoretical context within which the work is placed, and should include an evidence-based background, justification for the research, clearly stated hypotheses (if appropriate) and creative enquiry.

The aim of the project is to obtain feedback on the web application and to allow users prioritise or change the requirements of the system to ensure that it is usable and fit for purpose.

The objective's of the research are:
- To develop a web based tutorial booking system.
- To test and improve the tutorial booking system with users.
- To demonstrate how a web based tutorial system could improve the current tutorial booking methods.

G2: Research Activities (Mandatory)

Please give a detailed description of your research activities

Please provide a description of the study design, methodology (e.g. quantitative, qualitative, practice based), the sampling strategy, methods of data collection (e.g. survey, interview, experiment, observation, participatory), and analysis. Do sensitive topics such as trauma, bereavement, drug use, child abuse, pornography, extremism or radicalisation inform the research? If so have these been fully addressed?

The research activities that will be undertaken will be a focus group that will make use of methods such as card sorting to allow the group to prioritise user requirements as well as suggest new requirements or modify existing ones to be more transparent and identifiable by the end user. The final research activity will be undertaken will be testing of the application by a 2nd focus group to ensure that the system is usable by its intended end user and to also identify any issues with the application that may not be discovered during testing by the researcher.

M1: People and/or Personal Data

☑ **Tick if your work involves people and/or personal data?**

Sample Groups

Provide details of the sample groups that will be involved in the study and include details of their location (whether recruited in the UK or from abroad) and any organisational affiliation. For most research studies, this will cover: the number of sample groups; the size of each sample group; the criteria that will be used to select the sample group(s) (e.g. gender, age, sexuality, health conditions). If the sample will include NHS staff or patients please state this clearly. If this is a pilot study and the composition of the sample has not yet been confirmed, please provide as many details as possible.

Sample groups are expected to be Northumbria University students and/or staff primarily lecturers, There will be 1 to 2 sample groups. If there are 2 one group will be used for testing the application I am building and the other group will be used as a focus group to help prioritise user requirements and provide feedback on UX design of the web application. The size of each sample group will be 8 to 10 people in total so a total of 16 to 20 people involved overall, the main criterion that will be used to select the sample groups will be technical ability.

Nature of data pertaining to Living Individuals

If you will be including personal data of living individuals, including still or moving images, please specify the nature of this data, and (if appropriate) include details of the relevant individuals who have provided permission to utilise this data, upload evidence of these permissions in the supporting documentation section.

Details of any Special Category Data - If you will be collecting data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership, data concerning health or data concerning a natural person's sex life or sexual orientation, please specify which categories you will be using.

The project involves collecting consent of participants who will be taking part in the focus groups or application testing, participants data will be anonymised for use in the report no actual names of participants will be provided and participants will be referred to as particpant 1, 2, etc.

Legal Basis for Processing: Further guidance can be found here

If you require further information, please contact the Data Protection Officer by emailing

dp.officer@northumbria.ac.uk

The legal process for processing personal data is “Article 6(1) e: processing is necessary for the performance of a task carried out in the public interest”. No special categories of data are to be collected in this study.

Recruitment

Describe the step by step process of how you will contact and recruit your research sample and name any organisations or groups that will be approached. Your recruitment strategy must be appropriate to the research study and the sensitivity of the subject area. You must have received written permission from any organisations or groups before you begin recruiting participants. Copies of draft requests for organisational consent must be included in the ‘Supporting Documentary Evidence’. You must also provide copies of any recruitment emails/posters that will be used in your study.

Recruitment will be done by means of students known to the researcher that attend Northumbria University who will be approached in regards to the study and informed about the focus groups and will be asked if they wish to take part in the research.

☐ **Remuneration**

Details of remuneration

Will you make any payment or remuneration to participants or their carers/consultees? If yes: Please provide details/justifications. Note that your Faculty may have specific guidelines on participant payments/payment rates etc and you should consult these where appropriate.

Type a value

Type of Consent

Informed Consent

Type of Consent Details

Please include copies of information sheets and consent forms in the ‘G6: File Attachments' section. If the study involves participants who lack capacity to consent, procedures in line with sections 30-33 of the Mental Capacity Act will need to be put in place. If you are using alternative formats to provide information and /or record consent (e.g. images, video or audio recording), provide brief details and outline the justification for this approach and the uses to which it will be put:

The type of consent required for this project will be informed consent, participants will be provided with a participant information sheet detailing the nature of the study as well as key information such as their right to their own pesonal data as well as the right to withdraw from the study, they will be provided with information pertaining to the study so they can make an informed decision if they wish to take part or not.

Researcher and Participant Safety Issues

If there any risks the research could cause any discomfort or distress to participants (physical, psychological or emotional) describe the measures that will be put in place to alleviate or minimise them. Please give detailsof the support that will be available for any participants who become distressed during their involvement with the research.

There are no known risks that the research possesses it does not cover any sensitive topics but should participants feel distressed they can withdraw from the study at any time without any negative consequences to themselves or the study.

Data Gathering Materials Used

Provide a detailed description of what the participants will be asked to do for the research study, including details about the process of data collection (e.g. completing how many interviews / assessments, when, for how long, with whom). Add any relevant documentation to the 'Supporting Documentary Evidence' section of this form.

Data will be gathered as part of Focus Groups there will be 2 focus group sessions the first one will utilize card sorting to allow participants to prioritize the identified requirements of the system as well as adding new or modifying existing requirements, The second focus group session will be focused on application testing where participants will partake in testing the application using the test plans provided by the researcher. These focus groups are expected to last no longer than 1 hour for each session and will be conducted by the primary researcher.

Potential Ethical Issues

Please describe any potential ethical issues the project may have which are not covered above, and how you have sought to minimise these.

There are no known risks that the research possesses it does not cover any sensitive topics but should participants feel distressed they can withdraw from the study at any time without any negative consequences to themselves or the study. Therefore there are no known ethical issues.

M2: DBS Clearances Required

Add Edit Delete Save Refresh

Do not upload your DBS certificate to this system as this would be contravening General Data Protection Regulations.

Further information relating to DBS Clearance can be found in the Ethics and Governance Handbook using the link below

Ethics and Governance Handbook

******* All fields below relating to DBS certificates must be completed *******

NAME OF PERSON ON CERTIFICATE	TYPE OF DBS CLEARANCE	CERTIFICATE REFERENCE	ADULTS/CHILDREN	DATE OF DBS CERTIFICATE
		(Add new row)		

M3: Secondary Data

☐ Tick if you will be using secondary data NOT in the public domain?

M4: Commercial Data

☐ Tick if your work involves commercially sensitive data?

M5: Environmental Data

☐ Tick if your work involves the collection of environmental data?

G3: Research Data Management Plan (Mandatory)

Anonymising Data (mandatory)

Describe the arrangements for anonymising data and if not appropriate explain why this is and how it is covered in the informed consent obtained.

Any personal data that is collected such as name or email addresses will be anonymized by assigning an ID number to the record as well as anonymizing the participants name so in any writings on the subject the participants of the focus groups will be identified as participant 1, participant 2 and so on.

Storage Details (mandatory)

Describe the arrangements for the secure transport and storage of data collected and used during the study. You should explain what kind of storage you intend to use, e.g. cloud-based, portable hard drive, USB stick, and the protocols in place to keep the data secure.

If you have identified the requirement to collect 'Special category data', please specify any additional security arrangements you will use to keep this data secure.

All data will be kept in locked storage. All electronic data; including the recordings from your interview, will be stored on the University U drive, which is password protected. All data will be stored in accordance with University guidelines and the Data Protection Act (2018).

The data will be stored until the 30/9/2021.

Retention and Disposal (mandatory)

☑ **I confirm that I will comply with the University's data retention schedule and guidance.**

Research Data Management link

General Data Protection Regulations including Data Protection link

Records Retention Schedule link

G4: Research Project Timescale (Mandatory)

Proposed Start Date 13/05/2021

Proposed End Date 30/09/2021

G5: Additional Information

☐ **Externally Funded**

External Funder

Please give details of your 'other' funder

Agresso Reference

☐ Franchise Programme Organisation

Please give details of your franchise organisation

Type a value

☐ NHS Involvement

Please give details of any NHS involvement

Type a value

☐ Clinical Trial(s)

Please give details of any Clinical Trial(s)

Type a value

☐ Medicinal Products

Please give details of any Medicinal Product(s)

G6: File Attachments

Additional files can be uploaded e.g. consent documentation, participant information sheet, etc.

Please note: It is best practice to combine all documents into one PDF (This avoids the reviewer having to op…

Go To Attachments

G7: Health and Safety (Mandatory)

☑ I confirm that I have read and understood the University's Health and Safety Policy.

☑ I confirm that I have read and understood the University's requirements for the mandatory completion of risk assessments in advance of any activity involving potential physical risk.

The University Health and Safety Policy can be accessed here

The University Risk Assessment Code of Practice can be accessed here

Please confirm either:

☐ There are PHYSICAL risks associated with the research project work and I confirm that a risk assessment has been approved and attached to this ethics submission.

OR

☑ I can confirm that there are no physical risks associated with this project and so no risk assessments are required.

Students requiring assistance with completing their risk assessment should get in touch with their supervisor or module tutor as the first point of contact. If further assistance is needed, the Faculty Technician can provide further guidance.

For more specific risk assessments (e.g. lab work), especially where the project is Medium or High risk, you are required to consult the Faculty Technical Manager; your Supervisor/Module Tutor will be able to put you in touch.

If you have any questions or concerns, please contact the University Health and Safety Team by emailing CRHealthandSafety@northumbria.ac.uk

G9: Electronic Signature (Mandatory)

☑ I confirm my supervisor has reviewed the contents of this document

☑ I confirm I have assessed the ethical risk level of my work correctly and answered the above sections as fully and accurately as possible.

Full Name: sean.pattinson

Date: 26 March 2021 14:39:58

PDF Version

Create PDF

No items to display.

Review Comments, Conditions and Outcomes

Log of any Ethical Incidents

Log New Incident

INCIDEN...	CREATED DATE TIME	CREATOR NAME	COMPLAINANT DETAILS
No items to display.			

Title and Objectives (see G1)

Add Save

Reviewer A: Approve Reviewer B:

e.g. Are the research question and/or study aims clear?

DATE	ROLE	COMMENT
5/11/2021	**DC**	**The aim, needs to be re-written, it is too long winded.** **No objectives. Without these the ethics will be rejected and not marked.**
5/13/2021	**PI**	**aim rewritten and objectives added please let me know if an further changes need to be made.**

Proposed Methodology and Analysis (see G2)

Add Save

Reviewer A: Approve Reviewer B:

e.g. Is the design appropriate to the research question?
Are the methods of data analysis appropriate to the research question?

DATE	ROLE	COMMENT
5/11/2021	**DC**	**Fine, detailed and approporiate**

Sample and Recruitment (see M1)

Add Save

Reviewer A: Approve Reviewer B:

e.g. Is the sampling approach appropriate to the design?
Is the sample sufficient and achievable?
Is the process of recruitment clearly explained?
Are participants receiving payments for taking part, and if so is the payment appropriate?
If the DBS is ticked, has the appropriate information been included?

DATE	ROLE	COMMENT
No items to display.		

Consent (see M1)

Add Save

Reviewer A: Approve Reviewer B:

e.g. Is the approach to consent seeking clear?
Is consent from parents/ carers/ guardians required?

Are all necessary recruitment and informed consent documentation included (e.g. letters of permission, letters of invitation)
Is the information sheet adequate to ensure informed consent?
Are the consent form(s) appropriate?

DATE	ROLE	COMMENT
No items to display.		

Researcher and Participant Safety (see M1)

Add Save

Reviewer A: Approve **Reviewer B:**

e.g. Is there any risk of physical harm for the researcher(s) or the participants and if so what attempts have been made to alleviate or minimise them?
Have Risk Assessments been referred to where appropriate?

DATE	ROLE	COMMENT
No items to display.		

Research Activities (see G2-G8, M1-M5, H1-H5)

Add Save

Reviewer A: Approve **Reviewer B:**

e.g. Are the research tasks described clearly?
Do sensitive topics such as trauma, bereavement, drug use, child abuse, pornography or extremism/ radicalism inform the research? If so have these been fully addressed? (and we can use this to amend the information on risk levels on the form)Is there any risk that the tasks may cause psychological harm and if so what attempts have been made to alleviate or minimise them?

DATE	ROLE	COMMENT
No items to display.		

Data Management Plan (see G3)

Add Save

Reviewer A: Approve **Reviewer B:**

e.g. Have sufficient steps been taken to ensure participant anonymity/confidentiality of data?
Are the arrangements for data storage and disposal clearly outlined?
Are these arrangements in line with University and/or the funding body requirements?

DATE	ROLE	COMMENT
No items to display.		

File Attachments (see G6)

Add Save

Reviewer A: Approve **Reviewer B:**

Please note: where file attachments have not been added because they are not required, please select Approve.

COMMENT BY	DATE	ROLE	COMMENT
No items to display.			

General Comments (see Help)

Add Save Help

DATE	ROLE	COMMENT
No items to display.		