

Ethics Application Form

Please answer all questions

1. Title of the investigation

Research Software Survey at the University of Strathclyde

Please state the title on the PIS and Consent Form, if different:

2. Chief Investigator (must be at least a Grade 7 member of staff or equivalent)

Name: Oliver Henrich

☐ Professor

☐ Reader

☐ Senior Lecturer

☒ Lecturer

☐ Senior Teaching Fellow

☐ Teaching Fellow

Department: Physics

Telephone: 0141 548 4012

E-mail: oliver.henrich@strath.ac.uk

3. Other Strathclyde investigator(s)

Name: Neil Ghani

Status (e.g. lecturer, post-/undergraduate): Professor, HoD

Department: Computer and Information Sciences

Telephone:

E-mail: neil.ghani@strath.ac.uk

Name: Fredrik Nordvall Forsberg

Status (e.g. lecturer, post-/undergraduate): Chancellor's Fellow

Department: Computer and Information Sciences

Telephone:

E-mail: fredrik.nordvall-forsberg@strath.ac.uk

Name: Daniel Thomas

Status (e.g. lecturer, post-/undergraduate): Chancellor's Fellow

Department: Computer and Information Sciences

Telephone:

E-mail: d.thomas@strath.ac.uk

Name: Romain Michalec

Status (e.g. lecturer, post-/undergraduate): Postdoctoral Research Associate

Department: Naval Architecture, Ocean and Marine Engineering

Telephone:

E-mail: romain.michalec@strath.ac.uk

Name: Ben Hourahine

Status (e.g. lecturer, post-/undergraduate): Senior Lecturer

Department: Physics

Telephone:

E-mail: benjamin.hourahine@strath.ac.uk

Name: Leighton Pritchard

Status (e.g. lecturer, post-/undergraduate): Chancellor's Fellow

Department: Strathclyde Institute of Pharmacy and Biological Sciences

Telephone:

E-mail: leighton.pritchard@strath.ac.uk

4. Non-Strathclyde collaborating investigator(s) (where applicable)

Name: N/A

Status (e.g. lecturer, post-/undergraduate):

Department/Institution:

If student(s), name of supervisor:

Telephone:

E-mail:

Please provide details for all investigators involved in the study:

5. Overseas Supervisor(s) (where applicable)

Name(s): N/A

Status:

Department/Institution:

Telephone:

Email:

I can confirm that the local supervisor has obtained a copy of the Code of Practice: Yes ☐ No ☐

Please provide details for all supervisors involved in the study:

6. Location of the investigation

At what place(s) will the investigation be conducted

Online, University of Strathclyde

If this is not on University of Strathclyde premises, how have you satisfied yourself that adequate Health and Safety arrangements are in place to prevent injury or harm?

N/A

7. Duration of the investigation

Duration(years/months) : 0 year / 1 month

Start date (expected): 27 / 07 / 2020 Completion date (expected): 26 / 08 / 2020

8. Sponsor

Please note that this is not the funder; refer to Section C and Annexes 1 and 3 of the Code of Practice for a definition and the key responsibilities of the sponsor.

Will the sponsor be the University of Strathclyde: Yes ☒ No ☐

If not, please specify who is the sponsor:

9. Funding body or proposed funding body (if applicable)

Name of funding body: N/A

Status of proposal – if seeking funding (please click appropriate box):

☐ In preparation

☐ Submitted

☐ Accepted

Date of submission of proposal: / / Date of start of funding: / /

10. Ethical issues

Describe the main ethical issues and how you propose to address them:

There are no ethical issues from our point of view.

11. Objectives of investigation (including the academic rationale and justification for the investigation) Please use plain English.

The primary purpose of the survey is to determine the need and scope for a centralised research software engineering service to increase Strathclyde's capacity to produce better software for better research, and to increase our competitiveness in funding applications and knowledge exchange activities.

12. Participants

Please detail the nature of the participants:

Members of academic staff, professional services and PGR students

Summarise the number and age (range) of each group of participants:

Number: Unknown Age (range) 18+

Please detail any inclusion/exclusion criteria and any further screening procedures to be used:

N/A

13. Nature of the participants

Please note that investigations governed by the Code of Practice that involve any of the types of participants listed in B1(b) must be submitted to the University Ethics Committee (UEC) rather than DEC/SEC for approval.

Do any of the participants fall into a category listed in Section B1(b) (participant considerations) applicable in this investigation?: Yes ☐ No ☒

If yes, please detail which category (and submit this application to the UEC):

14. Method of recruitment

Describe the method of recruitment (see section B4 of the Code of Practice), providing information on any payments, expenses or other incentives.

The link to the survey will be distributed online via mailing lists. As incentive we offer a voluntary participation in a prize draw for one of ten £20 Amazon vouchers. Each participant is limited to one voucher.

15. Participant consent

Please state the groups from whom consent/assent will be sought (please refer to the Guidance Document). The PIS and Consent Form(s) to be used should be attached to this application form.

The groups comprise academic staff, professional and technical services and PGR students.

16. Methodology

Investigations governed by the Code of Practice which involve any of the types of projects listed in B1(a) must be submitted to the University Ethics Committee rather than DEC/SEC for approval.

Are any of the categories mentioned in the Code of Practice Section B1(a) (project considerations) applicable in this investigation? ☐ Yes ☒ No

If 'yes' please detail:

Describe the research methodology and procedure, providing a timeline of activities where possible. Please use plain English.

A link to the Qualtrics survey will be distributed. Answers will be recorded and analysed. The survey will be open for 2 - 4 weeks.

What specific techniques will be employed and what exactly is asked of the participants? Please identify any non-validated scale or measure and include any scale and measures charts as an Appendix to this application. Please include questionnaires, interview schedules or any other non-standardised method of data collection as appendices to this application.

Participants are asked to answer questions about their use and development of research software, common development tools as well as their support requirements for software development.

Where an independent reviewer is not used, then the UEC, DEC or SEC reserves the right to scrutinise the methodology. Has this methodology been subject to independent scrutiny? Yes ☐ No ☒

If yes, please provide the name and contact details of the independent reviewer:

17. Previous experience of the investigator(s) with the procedures involved. Experience should demonstrate an ability to carry out the proposed research in accordance with the written methodology.

Since 2014 similar surveys have been conducted at about 20 Russell Group universities. The lead applicant was involved in their design and analysis through the UK RSE Leader's Network and the Society of Research Software Engineering.

18. Data collection, storage and security

How and where are data handled? Please specify whether it will be fully anonymous (i.e. the identity unknown even to the researchers) or pseudo-anonymised (i.e. the raw data is anonymised and given a code name, with the key for code names being stored in a separate location from the raw data) - if neither please justify.

There are three optional questions where participants can enter their email address (prize draw, free software consultation, joining of RSE mailing list). Once this optional information has been processed, it will be deleted from the data set before the data set will be exported for further analysis.

Explain how and where it will be stored, who has access to it, how long it will be stored and whether it will be securely destroyed after use:

The recorded answers to the main part of the survey will be stored in our GitHub repository at https://github.com/strathclyde-rse/strathclyde_software_survey_analysis_2020. We are not planning to destroy the data set after use.

Will anyone other than the named investigators have access to the data? Yes ☒ No ☐

If 'yes' please explain:

Our GitHub repository is a fork of a public repository at the University of Southampton. As such anyone who has a GitHub account can access the data set.

19. Potential risks or hazards

Briefly describe the potential Occupational Health and Safety (OHS) hazards and risks associated with the investigation:

None

Please attach a completed eRisk Assessment for the research. Further Guidance on Risk Assessment and Form can be obtained on [Occupational Health, Safety and Wellbeing's webpages](#)

20. What method will you use to communicate the outcomes and any additional relevant details of the study to the participants?

We will not contact the participants individually as we will not store information about their identity.

21. How will the outcomes of the study be disseminated (e.g. will you seek to publish the results and, if relevant, how will you protect the identities of your participants in said dissemination)?

An internal report will be produced that summarises the results and trends. This information will be communicated via internal mailing lists and newsletters. After the initial processing step (prize draw, free

software consultation and joining of RSE mailing list) there will be no information about the identity of any participant. We reserve the right to contribute the results of our local survey to publications of the wider RSE community.

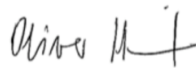
Checklist	Enclosed	N/A
Participant Information Sheet(s)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Consent Form(s)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sample questionnaire(s)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sample interview format(s)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sample advertisement(s)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
OHS Risk Assessment (S20)	<input checked="" type="checkbox"/>	
Any other documents (please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

22. Chief Investigator and Head of Department Declaration

Please note that unsigned applications will not be accepted and both signatures are required

I have read the University's Code of Practice on Investigations involving Human Beings and have completed this application accordingly. By signing below, I acknowledge that I am aware of and accept my responsibilities as Chief Investigator under Clauses 3.11 – 3.13 of the [Research Governance Framework](#) and that this investigation cannot proceed before all approvals required have been obtained.

Signature of Chief Investigator




Please also type name here:

Oliver Henrich

I confirm I have read this application, I am happy that the study is consistent with departmental strategy, that the staff and/or students involved have the appropriate expertise to undertake the study and that adequate arrangements are in place to supervise any students that might be acting as investigators, that the study has access to the resources needed to conduct the proposed research successfully, and that there are no other departmental-specific issues relating to the study of which I am aware.

Signature of Head of Department



Please also type name here

Paul McKenna

Date:

21 / 07 / 2020

23. Only for University sponsored projects under the remit of the DEC/SEC, with no external funding and no NHS involvement

Head of Department statement on Sponsorship

This application requires the University to sponsor the investigation. This is done by the Head of Department for all DEC applications with exception of those that are externally funded and those which are connected to the NHS (those exceptions should be submitted to R&KES). I am aware of the implications of University sponsorship of the investigation and have assessed this investigation with respect to sponsorship and management risk. As this particular investigation is within the remit of the DEC and has no external funding and no NHS involvement, I agree on behalf of the University that the University is the appropriate sponsor of the investigation and there are no management risks posed by the investigation.

If not applicable, tick here ☒

Signature of Head of Department



Please also type name here

Date:

/ /

For applications to the University Ethics Committee, the completed form should be sent to ethics@strath.ac.uk with the relevant electronic signatures.

24. Insurance

The questionnaire below must be completed and included in your submission to the UEC/DEC/SEC:

Is the proposed research an investigation or series of investigations conducted on any person for a Medicinal Purpose? Medicinal Purpose means: <ul style="list-style-type: none">▪ treating or preventing disease or diagnosing disease or▪ ascertaining the existence degree of or extent of a physiological condition or▪ assisting with or altering in any way the process of conception or▪ investigating or participating in methods of contraception or▪ inducing anaesthesia or▪ otherwise preventing or interfering with the normal operation of a physiological function or▪ altering the administration of prescribed medication.	No
---	----

If **"Yes"** please go to **Section A (Clinical Trials)** – all questions must be completed

If **"No"** please go to **Section B (Public Liability)** – all questions must be completed

Section A (Clinical Trials)

Does the proposed research involve subjects who are either: <ul style="list-style-type: none">i. under the age of 5 years at the time of the trial;ii. known to be pregnant at the time of the trial	N/A
---	-----

If **"Yes"** the UEC should refer to Finance

Is the proposed research limited to: <ul style="list-style-type: none">iii. Questionnaires, interviews, psychological activity including CBT;iv. Venepuncture (withdrawal of blood);v. Muscle biopsy;vi. Measurements or monitoring of physiological processes including scanning;vii. Collections of body secretions by non-invasive methods;viii. Intake of foods or nutrients or variation of diet (excluding administration of drugs).	N/A
---	-----

If **"No"** the UEC should refer to Finance

Will the proposed research take place within the UK?	N/A
--	-----

If **"No"** the UEC should refer to Finance

Title of Research	N/A	
Chief Investigator	N/A	
Sponsoring Organisation		
Does the proposed research involve:		
a) investigating or participating in methods of contraception?	N/A	
b) assisting with or altering the process of conception?	N/A	
c) the use of drugs?	N/A	
d) the use of surgery (other than biopsy)?	N/A	
e) genetic engineering?	N/A	
f) participants under 5 years of age (other than activities i-vi above)?	N/A	
g) participants known to be pregnant (other than activities i-vi above)?	N/A	
h) pharmaceutical product/appliance designed or manufactured by the institution?	N/A	
i) work outside the United Kingdom?	N/A	

If **“YES”** to **any** of the questions a-i please also complete the **Employee Activity Form** (attached).
If **“YES”** to **any** of the questions a-i, and this is a follow-on phase, please provide details of SUSARs on a separate sheet.

If **“Yes”** to any of the questions a-i then the UEC/DEC/SEC should refer to Finance (insurance-services@strath.ac.uk).

Section B (Public Liability)

Does the proposed research involve :		
a) aircraft or any aerial device	No	
b) hovercraft or any water borne craft	No	
c) ionising radiation	No	
d) asbestos	No	
e) participants under 5 years of age	No	
f) participants known to be pregnant	No	
g) pharmaceutical product/appliance designed or manufactured by the institution?	No	
h) work outside the United Kingdom?	No	

If **“YES”** to any of the questions the UEC/DEC/SEC should refer to Finance (insurance-services@strath.ac.uk).

For NHS applications only - Employee Activity Form

Has NHS Indemnity been provided?	N/A
Are Medical Practitioners involved in the project?	N/A
If YES, will Medical Practitioners be covered by the MDU or other body?	N/A

This section aims to identify the staff involved, their employment contract and the extent of their involvement in the research (in some cases it may be more appropriate to refer to a group of persons rather than individuals).

Chief Investigator		
Name	Employer	NHS Honorary Contract?
Strathclyde Research Software Engineers Community	University of Strathclyde	No
Others		
Name	Employer	NHS Honorary Contract?
		N/A

Please provide any further relevant information here: