

UNIVERSITY OF ST ANDREWS SCHOOL OF COMPUTER SCIENCE Artifact evaluation umbrella ethics application form

Please read both of these documents together, as COVID-19 has meant that an amendment has been made to the regular artifact evaluation ethics application.

Pages 2 to 8 of this document outline the “regular” artifact approval. In essence, this covers projects for which the only human subjects involvement is a short (< 30 minutes) anonymous evaluation with fellow students or staff.

Pages 9 to 15 outline the amended approval for projects taking place in summer 2021. In essence, projects cannot involve face-to-face interaction, so the above anonymous evaluation must take place using Qualtrics, Microsoft Teams and/or Skype for Business (note that this is not the same as regular Skype).

If your project involves more than 30 minutes of evaluation, non-anonymous questionnaires, or the use of any other tools, then you must submit a full ethics application form. Note that if a project involves face-to-face interaction, you will need to submit a full ethics application and complies with the regulations: <https://www.st-andrews.ac.uk/research/integrity-ethics/humans/training/>. Please discuss this with your supervisor.

Juan Ye
School of Computer Science Ethics Convener May 2021

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 conducting 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 how 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 you 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? **YES** ☐ **NO** ☒
 If YES, please give details of the inducement being offered and justify
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 does not 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	<input type="checkbox"/>	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO	<input checked="" type="checkbox"/>
Participant Information Sheet	<input type="checkbox"/>	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO	<input checked="" type="checkbox"/>
Consent Form	<input type="checkbox"/>	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO	<input checked="" type="checkbox"/>
Debriefing Form	<input type="checkbox"/>	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO	<input checked="" type="checkbox"/>
External Permissions	<input type="checkbox"/>	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO	<input checked="" type="checkbox"/>
Letters to Parents / Children / Head Teachers etc.....	<input type="checkbox"/>	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO	<input checked="" type="checkbox"/>
PVG Approval (Scotland) or Police Check (England/Other)	<input type="checkbox"/>	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO	<input checked="" type="checkbox"/>
Advertisement	<input type="checkbox"/>	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO	<input checked="" type="checkbox"/>
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:

SCHOOL ETHICS COMMITTEE OFFICIAL USE ONLY

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/>*

[This form requires use of Microsoft Word desktop version \(available via IT Services\)](#)

Risk filter questions	Yes	No
<p>Will your research involve participants from any of the following groups:</p> <ul style="list-style-type: none"> Children aged 16 years or younger (18 in England) Protected adults NHS patients or staff Individuals engaged in criminal activity Individuals in custody, care homes, or other residential institutions Individuals impacted by a traumatic event such as war, displacement, acts of terrorism, abuse, discrimination, crime, disasters, life-changing illness or injury, bereavement Individuals where there is any doubt over their capacity for freely given consent such as through cognitive impairment, language barriers, legal status, terminal illness. Any other individuals where the researcher or SEC identifies a vulnerability that cannot be satisfactorily mitigated. 	<input type="checkbox"/>	x
<p>Will your research involve sensitive topics such as:</p> <ul style="list-style-type: none"> Criminal activity Traumatic experiences like those detailed above Self-identity i.e. gender, national, ethnic or racial identity Body image Mood or mental health conditions 	<input type="checkbox"/>	x
<p>Will your research involve collection, creation or inference of special category data. Special category data is:</p> <ul style="list-style-type: none"> personal data revealing racial or ethnic origin personal data revealing political opinions personal data revealing religious or philosophical beliefs personal data revealing trade union membership data concerning health data concerning a person's sex life or sexual orientation genetic data biometric data (where this is used for identification) 	<input type="checkbox"/>	x
Will your research involve collection, creation or inference of any other personal, confidential or sensitive data where you feel this might cause distress or that could cause harm should this data be intercepted	<input type="checkbox"/>	x
Is there a risk that the research may result in participants becoming distressed? (Consider that this may be harder to monitor remotely and that usual support services may be disrupted)	<input type="checkbox"/>	x
Will your research involve the use of deception, the withholding of any information about the aims of the research or anything other than total transparency over your role as a researcher?	<input type="checkbox"/>	x
Will your research involve face-to-face contact between you, or any others associated with the research, and participants? (Note the current restrictions on face-to-face interaction)	<input type="checkbox"/>	x
If you answered YES to ANY of the above, your application will undergo normal review by your SEC.		
If you answered NO to ALL of the above, your application will undergo proportionate review by your SEC.		

Interim risk filter form in response to COVID-19

Please complete the risk filter questions - these determine whether your application will undergo full review or proportionate review by your School ethics committee. See the information on [the Interim guidance for research involving humans web page](#).



University of
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University Teaching and Research Ethics Committee (UTREC)

Ethical Amendment 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 \[IT Services\]\(#\)\)](#)

Original approval code:	CS12476		
Original Project Title:	Evaluation of artifacts produced for CS projects		
Amended Project Title:			
Original researcher name(s):			
Amended researcher name(s):			
School/Unit:	Computer Science	Supervisor:	Kasim Terzic (as project coordinator)
Email	ethics-cs@st-andrews.ac.uk	Date Amendment Submitted	22/04/2020

Undergraduate	<input checked="" type="checkbox"/>	Staff	<input type="checkbox"/>
Postgraduate Research	<input type="checkbox"/>	Postgraduate Taught	<input checked="" type="checkbox"/>
Module Co-ordinator on taught module	<input type="checkbox"/>	Module Code	CS4099 CS4098 CS5098 CS5099 CS5199 CS5899 IS5188 IS5189 IS5198 IS5199

Amended project description: Please describe the amendment(s) to be made to the project, and the rationale for the amendment(s), in a lay-accessible narrative. (NOTE: if amendments to project description and/or ethical considerations are substantial, the SEC may require a new Ethical Application Form) (900 characters for database reasons) (see [exemplars](#)).

CS12476 is an umbrella application for the large number of Computer Science dissertation projects which involve the development of a software artifact and a critical evaluation involving an anonymous short (up to 15 minute) evaluation with students or staff aged 18+. This normally takes place face-to-face in the Computer Science labs with fellow students, but this is no longer possible during the COVID-19 pandemic. Therefore we amend the application for remote evaluation using anonymous online Qualtrics questionnaires and remote viewing over Microsoft Teams or Skype for Business (using University credentials).

Amended ethical considerations: Please indicate any 'new' ethical considerations that would arise because of the amendment(s) described above. (900 characters for database reasons) (see [exemplars](#)).

Data will now be collected online rather than face-to-face, which introduces new concerns around data protection. To address these, all collected feedback will be anonymous, and all projects will use approved University services (Qualtrics, Microsoft Teams, Skype for Business) and the standard UTREC template text.

SUMMARY OF KEY CHANGES

Give a **very brief** summary of details from your original application and any key changes that have been made in this amendment. If no changes have been made to any of these items leave blank.

	Previous details (original application)	New details (this amendment)
Research aims or objectives		
Participants	Students and staff aged 18+ participating face-to-face	Students and staff aged 18+ participating online
Location of research / research site / data source	Computer Science labs	Online
Recruitment method	E-mail or face-to-face	E-mail or Microsoft Teams
Consent method		
Data collection method	Paper transcription	Qualtrics questionnaire and remote viewing over Microsoft Teams or Skype for Business (with University credentials)
Data Type	Paper records	Qualtrics records
Storage, retention and destruction	Paper records destroyed after grading	Electronic records destroyed after grading
Publication and sharing		

ETHICAL ISSUES

Please provide a clear, concise statement of the ethical issues raised by the amendments to this project and provide details of how you will address these issues. This section should also provide full details of any amendments to research methodology. If necessary, continue on a separate sheet. (see [exemplars](#)).

Computer Science students are expected to produce a software or hardware artifact as part of their dissertation project, e.g. computer applications, websites or games. Typically they want to collect opinions concerning the quality of this artifact as part of their critical appraisal, and this is done in the form of a demonstration of the artifact to participants, accompanied by a short questionnaire comprising questions only relating to the artifact, with no questions about the participant. These are low-risk activities for participants.

Due to COVID-19 these demonstrations and questionnaires can no longer be conducted face-to-face, and so we are asking students to change to Qualtrics questionnaires instead. These will be anonymous and participation will be optional, with participants being informed using the standard template text from the UTREC website. For live demonstration of project artifacts, Microsoft Teams or Skype for Business (using University credentials) will be used. All of these services are approved for use by the University Data Protection Officer. Everything else will remain the same; these changes are the minimum required to switch the face-to-face evaluation to an online format.

If students want to carry out other types of evaluation, e.g. non-anonymous questionnaires or use other platforms, then this umbrella application will not apply and a full ethics application will be required.

YES

DECLARATIONS

- I am aware of, understand and will enact my responsibilities as a researcher as detailed in:
 - The University's [Principles of Good Research Conduct](#) policy and [ethical guidelines](#)
 - Any relevant professional guidelines (e.g. BPS, MRC, ASA)
 - The University's Policy and guidance on [Data Management and 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.

X
X
X
X
X

Researcher signature

TRISTAN HENDERSON (as School Ethics Convener)

Date

22/04/2020

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

Submission guidance:

To submit your application, it must be sent to your [School Ethics contact](#):

- 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 administrator with a typed 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.

Ethical Amendment Form – Document Checklist

Please ensure that you have included copies of any of the documents listed below, if those documents are part of the project paperwork and have been amended, even if only slightly

For online research, such as surveys, you may include relevant screenshots or excerpts of text instead of forms

If all relevant documents are not included, your amendment application will be returned without review

Ethical Amendment Application Form	YES
Amended advertisements (online/paper)	NOT APPLICA
Amended letters to parents/guardians/children	NOT APPLICA
Amended Participant Information Sheet	NOT APPLICA
Amended Participant Consent Form	NOT APPLICA
Amended Questionnaire/Survey (screenshot if online survey)	NOT APPLICA
Amended Semi/Structured interview questions/Focus Group guide	NOT APPLICA
Amended Participant Debriefing Form	NOT APPLICA
Amended Data Management Plan. If this exists, please email a copy to research-data@st-andrews.ac.uk	NOT APPLICA
Amended external permissions: forms / emails / NHS approvals (in full)	NOT APPLICA
Amended DBS / PVG documents	NOT APPLICA
Amended fieldwork risk assessment form	NOT APPLICA
Amended security-sensitive research declaration	NOT APPLICA
Amended ethical funder approval	NOT APPLICA

Please list below any other amended documents that are included with this amendment application:



University of
St Andrews

University Teaching and Research Ethics Committee (UTREC)

Standard/Proportionate Review Filter

This form requires use of Microsoft Word desktop version (available via [IT Services](#))

Standard/proportionate review filter

Please complete the filter questions - these determine whether your application will undergo standard review or proportionate review by your School ethics committee. If you are unsure which responses to select, please [contact your School ethics committee](#). For more information on the review process please visit the [Ethical review application webpage](#).

Filter questions	Yes	No
Will your research involve participants from any of the following groups: <ul style="list-style-type: none"> Children under 16 years of age (18 in England) Protected adults NHS patients or staff Individuals engaged in criminal activity Individuals in custody, care homes, or other residential institutions Individuals impacted by a traumatic event such as war, displacement, acts of terrorism, abuse, discrimination, crime, disasters, life-changing illness or injury, bereavement Individuals where there is any doubt over their capacity for freely given consent such as through cognitive impairment, language barriers, legal status, terminal illness. Any other individuals where the researcher or SEC identifies a vulnerability that cannot be satisfactorily mitigated. 	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will your research involve sensitive topics such as: <ul style="list-style-type: none"> Criminal activity Traumatic experiences like those detailed above Self-identity i.e. gender, national, ethnic or racial identity Body image Mood or mental health conditions 	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will your research involve collection, creation or inference of special category data. Special category data is identifiable data that is also: <ul style="list-style-type: none"> personal data revealing racial or ethnic origin personal data revealing political opinions personal data revealing religious or philosophical beliefs personal data revealing trade union membership data concerning health data concerning a person's sex life or sexual orientation genetic data biometric data (where this is used for identification) 	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will your research involve collection, creation or inference of any other personal, confidential or sensitive data where you feel this might cause distress or that could cause harm should this data be intercepted?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Is there a risk that the research may result in participants becoming distressed? (For remote research, consider that this may be harder to monitor and whether participants will be able to access support)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will your research involve the use of deception, the withholding of any information about the aims of the research or anything other than total transparency over your role as a researcher?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will your research involve in-person face-to-face contact between you, or any others associated with the research, and participants?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will your research require you, your participants, or any others involved in the research such as fieldworkers, to travel between countries (or jurisdictions/areas where there are substantially different circumstances i.e. those subject to local 'lockdowns')?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If you answered YES to ANY of the above, your application will undergo standard review by your SEC.		
If you answered NO to ALL of the above, your application will undergo proportionate review by your SEC.		



University of
St Andrews

Version 2021_1.0

University Teaching and Research Ethics Committee (UTREC)

Ethical Amendment 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 \[IT Services\]\(#\)\)](#)

Original approval code:	CS12476		
Original Project Title:	Evaluation of artifacts produced for CS projects		
Amended Project Title:			
Original researcher name(s):			
Amended researcher name(s):			
School/Unit:	Computer Science	Supervisor:	Michael Torpey (as project coordinator)
Email	ethics-cs@st-andrews.ac.uk	Date Amendment Submitted	11/05/2021

Undergraduate	<input checked="" type="checkbox"/>	Staff	<input type="checkbox"/>
Postgraduate Research	<input type="checkbox"/>	Postgraduate Taught	<input checked="" type="checkbox"/>
Module Co-ordinator on taught module	<input type="checkbox"/>	Module Code	CS4099 CS4098 CS5098 CS5099 CS5199 CS5899 IS5188 IS5189 IS5198 IS5199

Amended project description: Please describe the amendment(s) to be made to the project, and the rationale for the amendment(s), in a lay-accessible narrative. (NOTE: if amendments to project description and/or ethical considerations are substantial, the SEC may require a new Ethical Application Form) (900 characters for database reasons - using a font size of 11 or larger will help ensure you do not go over this limit) (see [exemplars](#)).

Duration of participant involvement increased from “up to 15 minutes” to “up to 30 minutes”, since 15 minutes is a very short time especially when setting up remote calling software is involved.

The duration of this ethical approval should be extended to September 2023. It is currently due to end in September 2021, but we expect to run projects along similar lines over the next few years.

Amended ethical considerations: Please indicate any ‘new’ ethical considerations or changes to the risk/benefit balance that would arise because of the amendment(s) described above. (900 characters for database reasons - using a font size of 11 or larger will help ensure you do not go over this limit) (see [exemplars](#)).

No additional considerations are necessary.

SUMMARY OF KEY CHANGES

Give a **very brief** summary of details from your original application and any key changes that have been made in this amendment. If no changes have been made to any of these items leave blank.

With this amendment, will the research now involve any of the following (tick all that apply)	Face-to-face contact with participants	<input type="checkbox"/>
	Remote or online contact with participants	<input type="checkbox"/>
	No direct participants (i.e. secondary or archival data)	<input type="checkbox"/>
	Engagement of fieldworkers, or similar, to collect data	<input type="checkbox"/>
	Travel	<input type="checkbox"/>

	Previous details (original application)	New details (this amendment)
Research aims or objectives		
Participants		
Location of research / research site / data source		
Recruitment method		
Consent method		
Data collection method		
Data Type		
Storage, retention and destruction		
Publication and sharing		

DATA MANAGEMENT

Will this amendment involve any changes to the data management aspects of your project as described in the original application? (i.e. type and form of data and its secure collection, transfer, storage, access, sharing, retention and destruction). Check the [guidance on data management](#) (also see [exemplars](#)).

NO

If YES, describe these below

ETHICAL ISSUES

If you have not already done so in your original application, or if this has changed, please provide a clear, concise description of the risks and benefits of the research, making clear why you believe there is a favourable risk/benefit balance.

Please provide a clear, concise statement of the ethical issues raised by the amendments to this project and provide details of how you will address these issues. This section should also provide full details of any amendments to research methodology. If necessary, continue on a separate sheet. (see [exemplars](#)).

No new ethical issues raised.

SUPPLEMENTARY QUESTIONS (COVID-19) - IN-PERSON FACE-TO-FACE RESEARCH / RESEARCH INVOLVING TRAVEL

This section must be completed if your research involves in-person face-to-face contact with participants, travel or the engagement of fieldworkers and this was not completed in your original application (or if this has changed).

If this section does not apply to your research, tick here to confirm and move on to Declarations ☒

S1. Provide a brief justification for using methods that involve face to face contact with participants, travel or the engagement of fieldworkers i.e. why online or remote methods are not appropriate or feasible

S2. Briefly describe the restrictions that are currently in place in the location(s) of your research, how this may impact your research, and how you will ensure your research, participants or fieldworkers do not contravene these restrictions.

S3. Briefly describe the impact on your research, participants or fieldworkers, and how this will be managed, should you need to pause or prematurely terminate the project. For example, if you had to self-isolate or if restrictions are re-imposed.

S4. Briefly describe how you will ensure your participants, or any fieldworkers, do not feel under pressure to participate or assume risks on your behalf. This should include careful consideration of financial incentives, any sense of 'duty' if the research is COVID-19 related, or potential disadvantages that may be incurred as a result of declining or withdrawing from the research.

S5. Describe the risks of distress to individuals by participating in face-to-face research following a period of life where seclusion may have been normalised, and the mitigations you will put in place to address this. These mitigations must be mindful of the limitations on support services, healthcare resources, and access to friends and family.

DECLARATIONS

- [illegible]

Researcher signature	MICHAEL TORPEY (as School Project Coordinator)	Date	11/05/2021
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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	
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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	Click or tap to enter a date.
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Submission guidance:

To submit your application, it must be sent to your [School Ethics contact](#):

- Electronic form (.doc, docx, pdf) is the preferred submission format for Ethics Applications, as it allows for easy

- 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 administrator with a typed 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.

Ethical Amendment Form – Document Checklist

Please ensure that you have included copies of any of the documents listed below, if those documents are part of the project paperwork and have been amended, even if only slightly.

For online research, such as surveys, you may include relevant screenshots or excerpts of text instead of forms.

If all relevant documents are not included, your amendment application will be returned without review.

Research involving face to face contact with participants or travel

A recent risk assessment must be included if your research involves face to face contact with participants or travel. Updated copies of participant information sheets and consents form must also be included for face to face research as these contain information on contact tracing and health and safety.

Ethical Amendment Application Form	YES
Approved risk assessment (this MUST be included for research with fieldwork risk such as travel abroad, lone working etc. You may also need a risk assessment, of confirmation that these are already in place, for your site of research)	NOT APPLICABLE
Amended advertisements (online/paper)	NOT APPLICABLE
Amended letters to parents/guardians/children	NOT APPLICABLE
Amended Participant Information Sheet	NOT APPLICABLE
Amended Participant Consent Form	NOT APPLICABLE
Amended Questionnaire/Survey (screenshot if online survey)	NOT APPLICABLE
Amended Semi/Structured interview questions/Focus Group guide	NOT APPLICABLE
Amended Participant Debriefing Form	NOT APPLICABLE
Amended Data Management Plan. If this exists, please email a copy to research-data@st-andrews.ac.uk	NOT APPLICABLE
Amended external permissions: forms / emails / NHS approvals (in full)	NOT APPLICABLE
Amended DBS / PVG documents	NOT APPLICABLE
Amended security-sensitive research declaration	NOT APPLICABLE
Amended ethical funder approval	NOT APPLICABLE

Please list below any other amended documents that are included with this amendment application: