

School of Computer Science

Cue Card for Applications for Ethical Approval.

This template should be used in conjunction with the form to gain ethical approval from the University Research Ethics Committee. It broadly defines the parameters within which Computer Science related research with participants can be conducted without raising any significant ethical issues. It is not exhaustive however, so if your research falls outside these parameters, it does not necessarily mean it will not gain approval. If you can justify the methods you are using, and demonstrate how you will resolve any ethical issues that may arise, your research is likely to be approved by the Committee.

In the template, 'indirect contact' means you will not see or speak to participants directly (for example, in research utilising an online questionnaire); 'direct contact' means you will interact with participants in a face-to-face situation, or on the phone.

The information given in this template is very brief. When you write your application, you should give as much detail as possible.

4.1 to 4.5 Participants

Participants in the study are adults aged 16 or over who are able to give informed consent. They will not come from the following groups:

- Children under 16
- Adults with learning difficulties
- Adults who are unconscious or very severely ill
- Adults who have a terminal illness
- Adults in emergency situations
- Adults with mental illness (particularly if detained under mental health legislation)
- Adults with dementia
- Prisoners
- Young offenders
- Adults in Scotland who are unable to consent for themselves
- Those who could be considered to have a particularly dependent relationship with the investigator, e.g. those in care homes, medical students.
- Other vulnerable groups

4.8 Recruitment

Indirect Contact with the Participants	Direct Contact with Participants
4.8i Participants will be identified by the researcher.	4.8i Participants will be identified by the researcher.
4.8ii The recruitment will be via: Directories/ Databases in the public domain Personal letters/ emails sent to people	4.8ii The recruitment will be via: Personal letters/ emails sent to people identified as potentially suitable participants

<p>identified as potentially suitable participants Posters Advertisements Networks and recommendations Email distribution lists</p> <p>4.8iii An information sheet has been prepared which gives participants full details of the project. It will be made clear to participants in the covering letter/email that:</p> <ul style="list-style-type: none"> • A non-reply will not be pursued beyond a single reminder. • Anonymity and confidentiality will be maintained. <p>You should attach a copy of the information sheet to your application.</p>	<p>Posters Advertisements Networks and recommendations Email distribution lists</p> <p>4.8iii An information sheet has been prepared in a format that meets the individuals' communication needs, which gives participants full details of the project. It will be made clear to participants that:</p> <ul style="list-style-type: none"> • No one will be made to participate in the research study against their will, and no undue influence will be exerted in order to persuade the participant to take part in the research. • Participation is entirely voluntary and refusal will attract no sanction and no reason for non-participation is required. • Participants are informed that if they agree to participate in the study, they are free to leave the study at any time without being required to give reasons for leaving. • Anonymity and confidentiality will be maintained as far as possible. <p>You should attach a copy of the information sheet to your application.</p>
<p>4.9 Incentives</p> <p>Participants will not receive any incentive for participating in the study.</p>	<p>4.9 Incentives</p> <p>Participants will not receive any incentive for participating in the study, other than, where appropriate, out of pocket expenses or gift voucher. The value of such items does not exceed £20.</p>

5 Details of Risks

Indirect Contact with the Participants	Direct Contact with Participants
5.2 Procedures to be undertaken	5.2 Procedures to be undertaken

<p>None</p>	<p>Participants will commonly be evaluating software on a desk-top PC or other electronic device, and may be asked to undertake a series of tasks as part of the evaluation process. Response times, error rates and other relevant quantitative measures may be taken as a means of evaluating performance. The information sheet will make clear that the purpose of recording such measurements is to evaluate the software, not to test the participant's abilities.</p> <p>Sessions may be audio or video-taped, and participants may have eye movements recorded.</p>
<p>5.3 Activities to be undertaken One or more postal questionnaires (or online equivalent) will be sent to potential participants, depending on whether the research is single or multi-staged. The questionnaires will take no longer than one hour to complete.</p> <p>You should attach a copy of the questionnaire to your application.</p>	<p>5.3 Activities to be undertaken Questionnaire administered by the researcher – maximum 1 hour. Attending a focus group – maximum 2 hours Attending an interview – maximum 2 hours Participating in an activity that is observed by the researcher - maximum 2 hours.</p> <p>You should attach a copy of the questionnaire/interview topics to your application.</p>
<p>5.4 What are the potential adverse effects, risks or hazards for research participants, including potential for pain, discomfort, distress, inconvenience or changes to lifestyle for research participants?</p> <p>No foreseeable adverse effects, risks or hazards for research participants including potential for pain, discomfort, distress, inconvenience or changes to lifestyle have been identified at the time of application for research participants.</p>	<p>5.4 What are the potential adverse effects, risks or hazards for research participants, including potential for pain, discomfort, distress, inconvenience or changes to lifestyle for research participants?</p> <p>No or minimal adverse effects, risks or hazards for research participants are anticipated - including potential for pain, discomfort, distress, or changes to lifestyle - at the time of application for research participants.</p> <p>Minimal effects may include participants being asked to take part in an activity at a time that subsequently becomes inconvenient, complete an unfamiliar or time-consuming task (which could potentially cause stress), or use a</p>

	computer for a long period (>30 minutes).
<p>5.5 Will individual or group interviews/questionnaires discuss any topics or issues that might be sensitive, embarrassing or upsetting, or is it possible that criminal or other disclosures requiring action could take place during the study (e.g. during interviews/group discussions, or use of screening tests for drugs)?</p> <p>No individual questionnaires will ask questions on any topics or issues that would be considered by a reasonable person to be sensitive, embarrassing, upsetting, or likely to reveal criminal or other disclosures requiring action. Participants may discuss personal information that is available in the public domain (e.g. on Facebook) but not personal information that is not available in the public domain.</p>	<p>5.5 Will individual or group interviews/questionnaires discuss any topics or issues that might be sensitive, embarrassing or upsetting, or is it possible that criminal or other disclosures requiring action could take place during the study (e.g. during interviews/group discussions, or use of screening tests for drugs)?</p> <p>Individual or group interviews/questionnaires discuss topics or issues that would not be considered by a reasonable person to be embarrassing or upsetting, nor likely to result in criminal or other disclosures requiring action. Participants may discuss personal information that is available in the public domain (e.g. on Facebook) but not personal information that is not available in the public domain.</p>
<p>5.6 Expected total duration of participation in the study for each participant</p> <p>Maximum one hour.</p>	<p>5.6 Expected total duration of participation in the study for each participant</p> <p>Maximum 2 hours.</p>
<p>5.8 What is the potential for adverse effects, risks or hazards, pain, discomfort, distress, or inconvenience to the researchers themselves? (If any)</p> <p>There are no foreseeable potential adverse effects, risks or hazards, pain, discomfort, distress, or inconvenience to the researchers themselves.</p>	<p>5.8 What is the potential for adverse effects, risks or hazards, pain, discomfort, distress, or inconvenience to the researchers themselves? (If any)</p> <p>There are no or minimal potential adverse effects, risks or hazards, pain, discomfort, distress, or inconvenience to the researchers themselves.</p>

6. Safeguards

Indirect Contact with the Participants	Direct Contact with Participants
<p>6.1 What precautions have been taken to minimise or mitigate the risks identified above?</p> <p>No foreseeable risks have been identified.</p>	<p>6.1 What precautions have been taken to minimise or mitigate the risks identified above?</p> <p>Marginal risks identified for participants.</p>

	<ul style="list-style-type: none"> • If the activity is inconvenient then it will either be cancelled or rearranged for a time that is convenient for the participant. • Participants may withdraw from the study at any point without giving a reason, minimizing pressure to complete a potentially stressful task. • In studies that require long periods of time at a computer, participants will be encouraged to take breaks every 30 minutes (or sooner if the participant wishes) in accordance with the School's VDU use policy. <p>Marginal risks identified for researchers.</p> <ul style="list-style-type: none"> • A risk assessment has been completed by the researcher's supervisor/manager and has identified only marginal risk levels.
<p>6.2 Informed Consent Information on the research has been provided in a suitable format for potential participants and includes the following details:</p> <ul style="list-style-type: none"> • the name of the researcher and contact details • an explanation that it is a student project and what the researcher is hoping to achieve in the research • what is going to be done by the researcher • how long it will take to complete the questionnaire • a clear explanation of what the participant is expected to do during the study • a statement that the participant is not obliged to take part • a clear statement on confidentiality and data security and usage in line with University policy. <p>Other information that will be included is as relevant:</p> <ul style="list-style-type: none"> • duration of the study • location of the study • anticipated outcomes in respect of publication of findings 	<p>6.2 Informed Consent Informed consent will be obtained from all participants by the researcher. Information on the research has been provided in a suitable format for potential participants and includes the following details:</p> <ul style="list-style-type: none"> • the name of the researcher and contact details of the researcher or recruitment facilitator for any questions prior to deciding whether to take part. • an explanation that it is a student project and what the researcher, is hoping to achieve in the research • what is going to be done by the researcher • a clear explanation of what the participant is expected to do during the study • a statement that the participant is not obliged to take part, and may withdraw at any time • a clear statement of payment of any out-of-pocket expenses or gift voucher. • a clear statement on confidentiality and data security and usage in line with University policy.

<p>Where projects have multiple stages informed consent is to be obtained for each phase of the work.</p> <p>You should attach a copy of the consent form to your application.</p>	<p>Other information that will be included is as relevant:</p> <ul style="list-style-type: none"> • duration of the study • location of the study • anticipated outcomes in respect of publication of findings <p>Where projects have multiple stages informed consent is to be obtained for each phase of the work.</p> <p>You should attach a copy of the consent form to your application.</p>
<p>6.3 Will a signed record of consent be obtained</p> <p>In the case of a postal/on-line questionnaire, completion of the questionnaire will be taken as proof of informed consent. A statement will appear on the questionnaire explaining this.</p>	<p>6.3 Will a signed record of consent be obtained</p> <p>A record of consent in a suitable format will be obtained prior to any research activities with the participant being carried out.</p> <p>Participants have the right to decline the use of data gathering devices such as tape recorders, video cameras and eye trackers, and use of direct quotations from transcripts in any published documents. Specific permission will be sought via the record of consent for the use of recording devices and quotations.</p>
<p>6.4 How long will the participant have to decide whether to take part in the research?</p> <p>The maximum decision time will be determined by the cut off date for return of questionnaires/completion of online questionnaires for the study (no minimum decision time, although participants should be asked to pause to think about taking part before agreeing).</p>	<p>6.4 How long will the participant have to decide whether to take part in the research?</p> <p>Participants will have as long as they require up to the completion date of the study, with a minimum period of 24 hours to decide whether or not to take part.</p>
<p>6.6 What arrangements are in place to ensure participants receive any information that becomes available during the course of the research that may be relevant to their continued participation?</p> <p>If any information, pertinent to the study, becomes available as the study progresses then participants will be informed immediately.</p>	<p>6.6 What arrangements are in place to ensure participants receive any information that becomes available during the course of the research that may be relevant to their continued participation?</p> <p>If any information, pertinent to the study, becomes available as the study progresses then participants will be informed immediately. Participants will be</p>

	reminded that their participation is voluntary and they are free to withdraw at any time.
<p>6.9 What arrangements have been made to provide indemnity and/or compensation in the event of a claim by, or on behalf of, participants for (a) negligent harm and (b) non-negligent harm?</p> <p>The research is being carried out wholly within the UK and if granted ethical approval will be covered under the University's insurance arrangements for students conducting research.</p>	<p>6.9 What arrangements have been made to provide indemnity and/or compensation in the event of a claim by, or on behalf of, participants for (a) negligent harm and (b) non-negligent harm?</p> <p>The research is being carried out wholly within the UK and, if granted ethical approval, will be covered under the University's insurance arrangements for students conducting research.</p>

7. Data Protection and Confidentiality

Indirect Contact with the Participants	Direct Contact with Participants
<p>The researcher will abide by the provisions of the Data Protection Act and the University Data Protection Policy.</p> <p>Data and results obtained from the research will only be used in the way(s) for which consent has been given.</p> <p>Data will be:</p> <ul style="list-style-type: none"> • Fairly and lawfully processed • Processed for limited purposes • Adequate, relevant and not excessive • Accurate • Kept for a minimum of 10 years • Processed in accordance with the participant's rights • Secure • Not transferred to settings without adequate protection. 	<p>The researcher will abide by the provisions of the Data Protection Act and the University Data Protection Policy.</p> <p>Data and results obtained from the research will only be used in the way(s) for which consent has been given.</p> <p>Data will be:</p> <ul style="list-style-type: none"> • Fairly and lawfully processed • Processed for limited purposes • Adequate, relevant and not excessive • Accurate • Kept for a minimum of 10 years • Processed in accordance with the participant's rights • Secure • Not transferred to settings without adequate protection.
<p>7.2 What measures have been put in place to ensure confidentiality of personal data? Give details of whether any encryption or other anonymisation procedures have been used and at what stage?</p> <p>Anonymity will be preserved by the</p>	<p>7.2 What measures have been put in place to ensure confidentiality of personal data? Give details of whether any encryption or other anonymisation procedures have been used and at what stage?</p> <p>Anonymity will be preserved by the</p>

<p>removal of identifiers and the use of ID numbers or pseudonyms, breaking the link between data and identifiable individuals.</p> <p>Where such links need to be preserved in order to match data sets in a repeated measures design, coding frames including participant identities are to be kept securely in a locked draw (or other secure location, e.g. password protected data stick) accessed only by the researcher and separate from the data base.</p>	<p>removal of identifiers and the use of ID numbers or pseudonyms, breaking the link between data and identifiable individuals.</p> <p>Where such links need to be preserved in order to match data sets in a repeated measures design, coding frames including participant identities are to be kept securely in a locked draw (or other secure location, e.g. password protected data stick) accessed only by the researcher and separate from the data base.</p>
<p>7.3 Where will the analysis of the data from the study take place and by whom will it be undertaken?</p> <p>The analysis is to take place in a private study area by the researcher conducting the study. Data must be kept secure, and not be left unsupervised or unprotected at any point.</p>	<p>7.3 Where will the analysis of the data from the study take place and by whom will it be undertaken?</p> <p>The analysis is to take place in a private study area by the researcher conducting the study. Data must be kept secure, and not be left unsupervised or unprotected at any point.</p>
<p>7.4 Who will have control of and act as the custodian for the data generated by the study?</p> <p>The researcher or researcher's supervisor/manager will control and act as custodian for the data generated by the study.</p>	<p>7.4 Who will have control of and act as the custodian for the data generated by the study?</p> <p>The researcher or researcher's supervisor/manager will control and act as custodian for the data generated by the study.</p>
<p>7.5 Who will have access to the data generated by the study?</p> <p>The researcher will have access to the data generated by the study. In addition the supervisor/manager of the researcher may see the data, in order to guide the student in analysis of the data, but only when all links that could identify individual participants have been removed.</p>	<p>7.5 Who will have access to the data generated by the study?</p> <p>The researcher will have access to the data generated by the study. In addition the researcher's supervisor/manager may see the data, in order to guide the student in analysis, but only when all links that could identify individual participants have been removed.</p>
<p>7.6 For how long will data from the study be stored?</p> <p>The data will be stored for 10 years, in accordance with University recommendations.</p> <p>It will be stored in a locked drawer accessed by the researcher or researcher's supervisor/manager only, or electronically in a secure, password</p>	<p>7.6 For how long will data from the study be stored?</p> <p>The data will be stored for 10 years, in accordance with University recommendations.</p> <p>It will be stored in a locked drawer accessed by the researcher or the researcher's supervisor/manager only, or electronically in a secure, password</p>

protected location.	protected location.
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8. Reporting Arrangements

Indirect Contact with the Participants	Direct Contact with Participants
<p>8.1 Please confirm that any adverse event will be reported to the Committee Any adverse event will be reported to the UREC committee.</p>	<p>8.1 Please confirm that any adverse event will be reported to the Committee Any adverse event will be reported to the UREC committee.</p>
<p>8.2 How is it intended the results of the study will be reported and disseminated? Dissertation/short report to participants where relevant.</p>	<p>8.3 How is it intended the results of the study will be reported and disseminated? Dissertation/ short report to participants where relevant.</p>
<p>8.3 How will the results of research be made available to research participants and communities from which they are drawn? They will not be available where there is no direct contact with participants in the study. However in a multistage study, a short report for participants will be provided.</p>	<p>8.3 How will the results of research be made available to research participants and communities from which they are drawn? A short report, in an appropriate format, may be sent to participants in the study detailing the main results of the study. No individual feed back to be given to participants as links between the data and individuals will have been broken.</p>

9. Funding and Sponsorship

If this is a student project and does not have external funding, the sponsor is the supervisor of the student.

10. Conflict of interest

No conflict of interest has been identified at the point of application. Should a conflict of interest become apparent as the study progresses then UREC will be informed.