Dublin City University School of Computing

APPLICATION FOR APPROVAL OF AN UNDERGRADUATE OR TAUGHT MASTERS PROJECT INVOLVING **HUMAN PARTICIPANTS**

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PROJECT TITLE	Face Mask Detector App
PRINCIPAL INVESTIGATOR(S) *The Principal Investigator is the project supervisor and s/he has primary responsibility for the project.*	Dr. Suzanne Little
START AND END DATE	09:00 Monday 19th January 2021 17:00 Friday 7th May 2021

STUDENT NAME(S), COURSE AND YEAR (E.G. EC4)	Andrew Nechifor Mahjabeen Soomro CASE4
LEVEL OF RISK *Please confirm that this project requires notification only*	Notification only: YES

1. ADMINISTRATIVE DETAILS

1.1 WILL THE PROJECT BE UNDERTAKEN ON-SITE AT DUBLIN CITY UNIVERSITY?

YES or NO
YES

If NO, state details of the off-campus location – provide details of the approval to gain access to that location in section 2.7.

DECLARATION BY PRINCIPAL INVESTIGATOR / SUPERVISOR

The information contained herein is, to the best of my knowledge and belief, accurate. I have read the University's current research ethics guidelines, and accept responsibility for the conduct of the procedures set out in the attached application in accordance with the form guidelines, the REC guidelines (https://www.dcu.ie/researchsupport/researchethics.shtml), the University's policy on Conflict of Interest, Code of Good Research Practice and any other condition laid down by the Dublin City University Research Ethics Committee. I have attempted to identify all risks related to the project that may arise in conducting this project and acknowledge my obligations and the rights of the participants.

If there exists any affiliation or financial interest for researcher(s) in this project or its outcomes or any other circumstances which might represent a perceived, potential or actual conflict of interest this should be declared in accordance with Dublin City University policy on Conflicts of Interest.

I and my co-investigators and/or supporting staff have the appropriate qualifications, experience and facilities to conduct the project set out in the attached application and to deal with any emergencies and contingencies related to the project that may arise. Supervisor(s) signature(s) are required as evidence that they have read and approve the submission.

Please note:
- *Any amendments to the original approved proposal must receive prior School Ethics Committee approval.*

- *As a condition of approval investigators are required to document and report immediately to the School of Computing Ethics Committee any adverse events, any issues which might negatively impact on the conduct of the project and/or any complaint from a participant relating to their participation in the study*

Electronic Signature(s):

Principal investigator / Supervisor: _

Print Name(s) here: Suzanne Little __

Date: _22/01/2021_____

I/We, the students on this proposal, have read and approve this submission

Student(s)   signature(s):___   Andrew N   ____

Mahjabeen S.   _____

Print   Name(s)   here:_____Andrew   Nechifor___Mahjabeen Soomro_____

Date: _29/11/20_____

2.   PROJECT OUTLINE

2.1   LAY DESCRIPTION, AIMS & JUSTIFICATION, METHODOLOGY *(up to.100 words)*
Please outline, in terms that any non-expert would understand, what your project is about, including what participants will be required to do. Please explain any technical terms or discipline-specific phrases. State the aims and significance of the project.

The app will involve the user opening their camera and be assisted in taking a picture or uploading a picture from their gallery and have a facial recognition model applied to their face. The picture will be temporarily stored on AWS database server so the facial recognition model can be applied. Once the model has analyzed the picture, the results will be returned and the temporary data held on the database will be fully discarded. Results will then be shown to the user. The application will be able to perform this when the user is both wearing a mask on and with a mask off. The user will be informed if they are in poor lighting, if they are not in the center of the camera and if they are wearing a mask incorrectly, they will be informed in what way. Our facial recognition model will be developed, trained and tested using a large, public and published online dataset of thousands of images that contains pictures of faces with both masks worn and masks off. The application will analyse this dataset and output the results of this analysis. The user will also have the ability to upload their own dataset and have it analysed as well.

2.2   PARTICIPANT PROFILE
List and very briefly describe each participant group where applicable. For instance, participant group 1 will consist of…, participant group 2 will consist of… etc. Provide the number, age range and source of participants. Please provide a justification of your proposed sample size.

In this project the source of the participants will be from DCU. This will be the easiest way for us since we can recruit other students to test the app as a result of being students ourselves. The participants will be asked to take a picture of their face with the assistance of the app. Afterwards, we will observe how they interact with the app and the results of the facial analysis performed by the application. Finally, we will ask them questions from our questionnaire to receive feedback on the app. We are going to ask 5 students since they would be familiar with phone apps and that would be a suitable sample size to see how the app performs. The age range of participants will be anyone that is 18 or older. This age was chosen since they would be old enough to give their informed consent.

2.3 PARTICIPANT RECRUITMENT

We will enter public social areas of DCU like the labs and the U building. There we will be asking students if they would like to help test our app if they have free time. We will give them a consent that displays all the relevant details about the app and the participants' role in the testing.

2.4I IS IT LIKELY THAT ANY PARTICIPANTS COULD BE CONSIDERED POTENTIALLY VULNERABLE?

YES or NO
NO

2.5 WILL THE IDENTITY OF THE PARTICIPANTS BE PROTECTED?

YES or NO
YES

If NO, please explain why

IF YOU ANSWERED YES TO 2.5, PLEASE ANSWER THE FOLLOWING QUESTION:

2.6 HOW WILL THE ANONYMITY OF THE PARTICIPANTS BE RESPECTED?

The name, age or personal details of the participant will not be asked or written down. Any images the user will take of themselves will not be stored, instead they will be immediately discarded after the facial recognition model has processed the image.

2.7 LEGAL LIMITATIONS TO DATA CONFIDENTIALITY

> The participants will be handed the Plain Language Statement document to be made aware of the legal limitations of data confidentiality. They will tick a box if they do consent to these limitations after being reading and becoming informed of them.

2.8(a)   EXPLAIN HOW PARTICIPANTS ARE TO BE RECRUITED
Please provide specific details as to how you will be recruiting participants. How will people be informed that you are doing this research? How will they be approached and asked if they are willing to participate? If you are e-mailing, mailing or phoning people, please explain how you have obtained their names and contact details. If a recruitment advertisement is to be used, please ensure you attach a copy to this application.

> As previously stated, we will enter public social areas of DCU like the labs and the U building. There we will be asking students if they would like to help test our app if they have free time. We will give them a consent that displays all the relevant details about the app and the participants' role in the testing.

2.8(b)   CHILD PARTICIPANTS (anyone under 18 years old)
*If your participants include children, you **must** confirm that you are in compliance with the research specific guidelines as detailed in "Keeping Children Safe - Policies and Procedures supporting Child Protection at DCU" - available at: https://www4.dcu.ie/sites/default/files/policy/157%20-%20child_protection_handbook_rev1%282%29%281%29.pdf*

Please indicate your compliance with the following guidelines:	**Mark here**
We confirm that we have read and agree to act in accordance with the DCU Child Protection policy and procedures	
We confirm that we have put in place safeguards for the children participating in the project	
We confirm that we have supports in place for children who may disclose current or historical abuse (whether or not this is the focus of the project)	

2.9   PLEASE EXPLAIN WHEN, HOW, WHERE, AND TO WHOM RESULTS WILL BE DISSEMINATED, INCLUDING WHETHER PARTICIPANTS WILL BE PROVIDED WITH ANY INFORMATION AS TO THE FINDINGS OR OUTCOMES OF THE PROJECT?

> The results will only be disseminated to the users of our app whenever they take a picture or upload a dataset.

2.10   ARE OTHER APPROVALS REQUIRED TO GAIN ACCESS TO ANOTHER LOCATION, ORGANISATION, SCHOOL ETC.?

YES or NO
NO

If YES, please specify from whom and attach a copy of the approval documentation. If this is not yet available, please explain when this will be obtained.

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3.   RISK AND RISK MANAGEMENT

3.1   EXPLAIN AND JUSTIFY THE STATED LEVEL OF RISK TO PARTICIPANTS

The risk involved is very small since it is irrelevant who the participant is, they will be kept completely anonymous

3.2   POTENTIAL RISKS TO PARTICIPANTS AND RISK MANAGEMENT PROCEDURES
Identify, as far as possible, all potential risks to participants (physical, psychological, social, legal, economic, etc.), associated with the proposed project. Will your project involve deception, investigation of participants involved in illegal activities, performance of any acts which might diminish the self-esteem of participants or cause them to experience embarrassment, regret or depression? Please explain what risk management procedures will be put in place to minimise these risks.

We anticipate no major risk to the participants here. A low risk might involve the user feeling slight discomfort by their own appearance in the camera. However, we will be ensuring that no pictures taken are stored or saved.

3.3   ARE THERE LIKELY TO BE ANY BENEFITS (DIRECT OR INDIRECT) TO PARTICIPANTS FROM THIS RESEARCH?

YES or NO
NO

If YES, provide details

3.4   ARE THERE ANY SPECIFIC RISKS TO YOURSELVES IN CARRYING OUT THIS PROJECT?
Examples include use of dangerous materials, asking certain types of questions,The project being undertaken in certain locations, researchers working alone in isolated areas, etc.

YES or NO
NO

If YES, please describe and explain what risk management procedures will be put in place to minimise these risks

3.5   DEALING WITH ADVERSE/UNEXPECTED OUTCOMES
Please describe what measures/protocols you have put in place in the event that there are any unexpected outcomes or adverse effects to participants arising from involvement in the project.

When applying our facial recognition model to the camera and images, we will only be temporarily holding onto any images to perform the facial analysis on them. Afterwards, they are immediately discarded and disposed of. In the unlikely event that our app accidentally saves an image (this could be due to poor programming), we will make sure to immediately delete and wipe any images saved by this error.

3.6   SUPPORT FOR PARTICIPANTS
Depending on risks to participants you may need to consider having additional support for participants during/after the study. Consider whether your project would require additional support, e.g., external counselling available to participants. Please advise what support will be available.

Our project will not need any additional support for the participants that may be involved.

3.7   HOW WILL THE CONDUCT OF THE PROJECT BE MONITORED?
Please explain how the principal investigator will monitor the conduct of the project (especially where several people are involved in recruiting or interviewing, administering procedures, etc.) to ensure that it conforms with the procedures set out in this application. In the case of student projects please give details of how the supervisor(s) will monitor the conduct of the project.

We will have regularly scheduled meetings with our supervisor, as well as constant updates via email to make sure that our project is on the correct part and conforms to proper regulations and procedures.

3.8   DO YOU PROPOSE TO OFFER PAYMENTS OR INCENTIVES TO PARTICIPANTS?

YES or NO
NO

If YES, please provide further details

3.9   DO ANY OF THE RESEARCHERS ON THIS PROJECT HAVE A PERSONAL, PHILOSOPHICAL, FINANCIAL, POLITICAL, IDEOLOGICAL, OR COMMERCIAL INTEREST IN ITS OUTCOME THAT MIGHT INFLUENCE THE INTEGRITY OF THE PROJECT OR BIAS THE CONDUCT OR REPORTING OF THE PROJECT, OR UNDULY DELAY OR OTHERWISE AFFECT THEIR PUBLICATION?

YES or NO
NO

If YES, please specify how this conflict of interest will be addressed

4. PERSONAL DATA - COMPLIANCE WITH THE GENERAL DATA PROTECTION REGULATION (GDPR)
Applicant declaration:

0	I understand that the proposed project, as set out in this form, is to be carried out by me in my capacity as a student of Dublin City University.	YES or NO	YES

What does "Personal Data" mean?

Personal data is any information about a living person, where that person is identified or could be identified, either from the data itself or when it is combined with other data.

Personal Data is defined in [Article 4(1) of the GDPR](#) and can include, but is not limited to the following: hard-copy information (e.g. files, records); electronic information (e.g. databases, online survey returns); written information; consent declarations, interview notes, still or moving images; audio & visual recordings; IP addresses; an individual's handwriting; clinical or medical data; diagnostic or other clinical imaging; etc.

Further information is available from the [DCU Data Protection Unit](#)

4.1   ASSESSING DATA PROTECTION RISKS & REQUIREMENTS

Note 1: What does 'Minor' and 'Vulnerable Individual' mean?

A **minor** is defined as an individual below 18 years of age. Where the processing relates to 'electronic marketing' the age limit is reduced to 16 years. A **vulnerable individual** may be anyone who is unable to consent to, or oppose, the processing of his or her personal data for any reason. Both of these are of particular importance if the project compels the provision of data from individuals.

Note 2: What does 'large scale processing' mean?

The GDPR does not define what constitutes large-scale. EU guidance recommends that the following factors, in particular, be considered when determining whether the processing is carried out on a large scale:
- the number of data subjects (either as a specific number or proportion of the relevant population);
- the volume of data and/or the range of different data items being processed;
- the duration, or permanence, of the data processing activity; &
- the geographical extent of the processing activity.

Examples of large-scale processing include, but are not limited to:
- processing of patient data in the regular course of business by a hospital;
- processing of travel data of individuals using a public transport system (e.g. tracking via travel cards);
- processing of real time geo-location data of customers of an international fast food chain for statistical purposes by a processor specialised in these activities;
- processing of customer data in the regular course of business by an insurance company or a bank;
- processing of personal data for behavioural advertising by a search engine; &
- processing of data (content, traffic, location) by telephone or internet service providers.

Examples that do **not** constitute large-scale processing include, but are not limited to:
- processing of patient data by an individual physician; and
- processing of personal data relating to criminal convictions and offences by an individual lawyer.

A. Applicant Data Protection Assessment Questionnaire – Part I		
1 Does your project include living human subjects?	**YES or NO**	**NO**
2 Does your project include the use of any information (i.e. 'Personal Data') relating to an identified, or identifiable, person?	**YES or NO**	**NO**

3	Does your project include the use of identifiers such as: a name, an identification number, location data, an online identifier, or other similar identifiers?	YES or NO	**NO**
4	Does your project include the use of Personal Data specific to the physical, physiological, genetic, mental, economic, cultural or social identity of any living individual?	YES or NO	**NO**

If you answered 'Yes' to one or more of Questions 1-4 above, please continue to Part II below (otherwise proceed to the next section of this form). You should also consult with your Supervisor / Principal Investigator to ensure adequate Data Protection compliance measures are in place.

B. Applicant Data Protection Assessment Questionnaire – Part II			
5(a)	Does your project include the use of Personal Data of individuals which reveals any of the attributes or characteristics below? If 'Yes,' please indicate which will be used in your project **(tick all that apply):**	YES or NO	....
	racial or ethnic origin	YES or NO	....
	political opinions	YES or NO	....
	religious or philosophical beliefs	YES or NO	....
	trade union membership	YES or NO	....
	genetic data	YES or NO	....
	biometric data	YES or NO	....
	data concerning health	YES or NO	....
	data concerning a natural person's sex life or sexual orientation	YES or NO	....
5(b)	Does your project include the use of Personal Data relating to minors or vulnerable individuals? *(See **Note 1**, below)*	YES or NO	....
6	Does your project include the use of Personal Data of individuals relating to their criminal convictions and/or offences?	YES or NO	....
7	Does your project include large-scale processing of personal data relating to living individuals? *This may include: a wide range or large volume of personal data; processing which takes place over a large geographical area; or where a large number of people are affected (e.g. over 100 individuals); or where the processing is extensive or has long-lasting effects. (See **Note 2**, below)*	YES or NO	....

8	Does your project include any form of automated processing of personal data, used to evaluate certain personal aspects relating to a living individual? *In particular, to analyse or predict aspects concerning that person's performance at work, economic situation, health, personal preferences, interests, reliability, behaviour, location or movements*	**YES or NO**	**….**
9	Does your project include any partners which are third parties outside of DCU? *e.g. Research partners, third party software providers or other providers such as translation or transcription services, etc.*	**YES or NO**	**….**
10 (a)	Does your project involve the sharing or processing of Personal Data outside the EU or the EEA? *i.e. the EEA is the European Economic Area (the EU plus Norway, Liechtenstein and Iceland)*	**YES or NO**	**….**
10 (b)	If 'Yes', please state which non-EU or EEA country is involved:		
11	Does the project require the matching or combining of separate datasets of information on individuals in a way that would exceed their reasonable expectations of privacy? *An example would be combining mobile phone location data along with any other dataset to identify individuals.*	**YES or NO**	**….**

If you answered 'Yes' to one or more of these questions, you should make sure that you have strong and secure data privacy risk mitigation safeguards in place, discuss these with your supervisor.

4.2   WILL ANONYMISATION OR PSEUDONYMISATION OF THE PERSONAL DATA, WHERE APPLICABLE, BE UNDERTAKEN?

Anonymisation is the process of removing personal identifiers, both direct and indirect, that may lead to an individual being identified. Pseudonymisation is the processing of personal data in such a manner that the personal data can no longer be attributed to a specific living individual without the use of additional information, provided that such additional information is kept separately and is subject to technical and organisational measures to ensure its security.

YES or NO
…

If YES, please explain below the methods by which you intend to anonymise/pseudonymise the personal data:

5.   DATA/SAMPLE STORAGE, SECURITY AND DISPOSAL
For the purpose of this section the term 'Data' includes personal data that is in a raw or a processed state (e.g. interview audiotape, transcript or analysis, etc.). The term 'Samples' include body fluids and/or tissue samples.

5.1   HOW AND WHERE WILL THE DATA/SAMPLES BE STORED?
DCU recommends that any data stored electronically offsite should utilise the DCU Google Drive. Alternative offsite storage will need to be justified and must meet data protection and GDPR compliance requirements.

The data of the user will be held temporarily on the database server hosted on AWS services during the testing of the ap. Once the system is finished with the analysis and the tests have

been performed, the data of the user will be let go off the database and discarded meaning no data of the user will ever be stored.

5.2   WHO WILL HAVE ACCESS TO DATA/SAMPLES?

The supervisor and any examiners assessing our project at the end of the year will have access to the users temporary data/samples.

5.3   HOW LONG IS THE DATA TO BE HELD OR RETAINED?

When the user takes a photo, the image will be held temporarily by the system. Once the system is finished with the analysis and the tests have been performed and displayed to the user, the image and the data will be discarded off immediately.

5.4   IF YOUR PROJECT DOES INVOLVE THE USE OF PERSONAL DATA THEN WILL THIS BE USED AT A LATER DATE FOR THE PURPOSE OF PUBLICATION OF THE RESULTS OF THE PROJECT?

YES or NO
NO

5.5   IF THE DATA/SAMPLES ARE TO BE DISPOSED OF AT THE END OF THE PROJECT PLEASE EXPLAIN HOW, WHEN AND BY WHOM THIS WILL BE DONE?

How will the data/samples be disposed of? Please describe the means by which the personal data will be deleted or destroyed. This includes personal data held in hard copy and digital formats.	At the end of the retention period, the data will be disposed of completely via deletion of the record of data as well as a memory wipe of the network and servers it was stored on.
By whom will the data/samples be disposed? Please indicate the designated team member(s) with responsibility for deletion and/or destruction of the research project's personal data.	Andrew Nechifor

6. PLAIN LANGUAGE STATEMENT *(Attach to this document. Up to a max of 400 words)*

PLEASE CONFIRM WHETHER THE FOLLOWING ISSUES HAVE BEEN ADDRESSED IN YOUR PLAIN LANGUAGE STATEMENT/ INFORMATION SHEET FOR PARTICIPANTS:
Note that this list is a check-list of all of the things that you should include in your plain language statement, if they are relevant (they are in most cases). In the earlier sections of this form you have already written the text that can be used to create your plain language statement. References to the relevant sections are provided on each line.

	YES or NO
Introductory Statement (Student(s) and supervisor names, school, title of the project) [Table, p 1]	**YES**
What is this project about? [section 2.1]	**YES**
Why is this project being conducted? [section 2.1]	**YES**
What will the participant be expected to do/have to do if they decide to participate in the study?[section 2.1]	**YES**
How will their privacy be protected? [section 2.5, section 2.6]	**YES**
How will the data be used and subsequently disposed of? [section 5.3]	**YES**
What are the legal limitations to data confidentiality? [section 2.7]	**YES**
Are there any benefits of taking part in the study? [section 3.3]	**YES**
Are there any risks of taking part in the study? [section 3.2]	**YES**
Confirmation that participants can change their mind at any stage and withdraw from the study [see plain language statement template, appendix 1]	**YES**
How will participants find out what happens with the project? [section 2.9]	**YES**
Contact details for further information [see plain language statement template, appendix 1]	**YES**

7. INFORMED CONSENT FORM *(Attach to this document. Approx. 300 words, see appendices 2 and 3 for templates.)*

8. ASSENT FORM & PLAIN LANGUAGE STATEMENT FOR CHILDREN *(Attach to this document.)*

A child specific Plain Language Statement (PLS) should be used in project where children will be involved. The PLS must be written in a way that is understandable for children within your targeted age group. It also must state, in plain language, the nature of their involvement in the project and inviting their participation. The PLS should specifically describe what will be expected of participants, the risks and inconveniences for them, and other information relevant to their involvement. In addition, child participants should also be provided with an Assent Form. Parents/guardians will be provided with the Informed Consent Form, but each child should provide assent before taking part in the project. The Assent Form needs to be understandable to the age-group you are targeting. See link to sample templates on the website: https://www.dcu.ie/researchsupport/researchethics.shtml

NB – IF AN ASSENT FORM IS NOT BEING USED, THE REASON FOR THIS MUST BE JUSTIFIED HERE.

9. SUBMISSION CHECKLIST *(Attach to this document)*

Please confirm that all supplementary information is included in your application (in electronic copy). If questionnaire or interview questions are submitted in draft form, please indicate this by putting (draft) after YES. A copy of the final documentation must be submitted for final approval when available.

My application has been collated as one electronic PDF file which includes the following documentation:	INCLUDED (mark as YES)	NOT APPLICABLE (mark as N/A)
Recruitment advertisement [consistent with section 2.3]		N/A
Plain language statement/Information Statement [see section 6 and appendix 1]	**YES**	
Informed Consent form [see appendices 2 and 3]	**YES**	
Informed Assent form (children only)		N/A
Evidence of external approvals related to the research [see sections 1.1 and 2.10]		N/A
Questionnaire/Survey	**YES**	
Interview/Focus Group Questions		**N/A**

Appendix 1
DUBLIN CITY UNIVERSITY
Sample Template – Plain Language Statement (Up to a max of 400 words)

A Plain Language Statement (PLS) should use language that reflects the participant age group and corresponding comprehension level. It should contain the following information. The headings are there for guidance and do not need to be included in your form.

Introduction to the Study
Identify the Study Title, the university department involved, the student(s) and supervisor

Data Protection/Privacy Notice (Personal Data – GDPR Compliance)
An appropriate Privacy Notice is the means by which data subjects are informed about the use of their data. If personal data is being collected and processed, please refer to https://www.dcu.ie/ocoo/dp/guides.shtml for advice and include the following information in the PLS:

- *The identity of the Data Controller/Joint Data Controller and Data Processor should be clearly. stated. The Data Controller will always be DCU (where the researcher is a DCU researcher), the PLS should identify this and also the name of the project, team and School/Unit. A data processor may hold or process personal data but does not exercise responsibility for or control over the personal data, for example, a transcription service, or a software or cloud hosting company. A Data Processor cannot be an employee of the Data Controller.*
- *The identity of the DCU Data Protection Officer – Mr. Martin Ward (data.protection@dcu.ie Ph: 7005118 / 7008257)*
- *The purpose of the data processing i.e. the reasons why the data is being requested and the purpose to which it will be applied.*
- *The reason(s) for which the data will be processed or held*
- *The categories or types of personal data to be processed*
- *The details of any third parties (i.e. data processors) with whom the data will be shared or transferred, and the reasons for sharing*
- *The details of any external (i.e. non-DCU) parties with whom the data will be shared or transferred, and the reasons for sharing*
- *Where relevant, details of any intention to transfer the data to other countries, especially if outside of the EEA (European Economic Area), and the basis for such transfers*
- *The retention period, or the criteria used to determine retention periods*
- *The right of the individual to lodge a complaint with the [Irish Data Protection Commission](#)*
- *Information on the rights of the data subject - Individuals' have the right to access their own personal data and PLS should inform them how to do this and who to contact (DCU Data Protection Unit).*
- *Information on their rights to withdraw consent and who to contact to withdraw consent. In some cases it may be possible for participants to withdraw their consent to the use of their data*
- *If it is intended that the data be used for future studies, you must specify the general parameters of the future further project uses to which the participant's project data may be put.*
- *In cases where personal data will later be anonymized (e.g. for statistical or aggregated data), it is best practice to describe this, so that the participant is fully informed.*

Advice as to whether or not data is to be destroyed after a minimum period
Define when data will be destroyed after the end of the project

Details of what participant involvement in the Study will require
E.g., involvement in interviews; completion of questionnaire; audio/video-taping of events, and the estimated time commitment for the activities

Potential risks to participants from involvement in the Study (if greater than that encountered in everyday life)

Any benefits (direct or indirect) to participants from involvement in the Study

Advice as to arrangements to be made to protect confidentiality of data, including that confidentiality of information provided is subject to legal limitations
Participants need to be made aware that confidentiality of information provided cannot always be guaranteed by researchers – please include the following statement:
"Confidentiality of information can only be protected within the limitations of the law - i.e., it is possible for data to be subject to subpoena, freedom of information claim or mandated reporting by some professions".
Depending on the project proposal and academic discipline, you may need to state additional specific limitations.

Statement that involvement in the Study is voluntary
State that participants may withdraw from the Study at any point. You should explain to the participant that their participation in the project will end, at the point they withdraw, and refer back to the data protection/privacy notice as to what will happen regarding their data. For example, withdrawing consent may mean that no future data collection will take place but previously collected data will still be processed etc.

Any other relevant information – e.g.
- *if the sample size is small, advice to participants that this may have implications for privacy/anonymity*
- *if participants are in a dependent relationship with any of the researchers, a clear statement that their involvement/non-involvement in the project will not affect their ongoing assessment/grades/management*

A Plain Language Statement must end with the following statement:

If participants have concerns about this study and wish to contact an independent person, please contact:
The Secretary, Dublin City University Research Ethics Committee, c/o Research and Innovation Support, Dublin City University, Dublin 9. Tel 01-7008000, e-mail rec@dcu.ie

Appendix 2
DUBLIN CITY UNIVERSITY

Sample Template – Informed Consent Form (approx. 300 words)

An Informed Consent Form should generally contain the information detailed below. It should be written in the first person, e.g. "I will be asked to attend…I may withdraw from the study at any point…..I am aware that the data…etc." The headings are there for guidance and do not need to be included in your form.

Study Title
Also identify the school/centre involved, the principal investigator and any other investigators.

Clarification of the purpose of the study
If personal data is being collected and processed, please ensure that the participants acknowledge the identity of the data controller and the purposes of the processing for which the personal data are intended

Confirmation of particular requirements as highlighted in the Plain Language Statement
Requirements may include involvement in interviews, completion of questionnaire, audio/video-taping of events etc.. Getting the participant to acknowledge requirements is preferable, e.g.

Participant – please complete the following (Circle Yes or No for each question)	
I have read the Plain Language Statement (or had it read to me)	*Yes/No*
I understand the information provided	*Yes/No*
I understand the information provided in relation to data protection	*Yes/No*
I have had an opportunity to ask questions and discuss this study	*Yes/No*
I have received satisfactory answers to all my questions	*Yes/No*
I am aware that my interview will be audiotaped	*Yes/No*

Confirmation that involvement in the Study is voluntary
E.g.I may withdraw from the Study at any point.

Confirmation of arrangements to be made to protect confidentiality of data, including that confidentiality of information provided is subject to legal limitations

Confirmation of arrangements regarding retention/disposal of data

Confirmations relating to any other relevant information as indicated in the PLS
E.g. I consent to the use of my data for future studies within the following parameters (provide detail)

Signature:

I have read and understood the information in this form. My questions and concerns have been answered by the researchers, and I have a copy of this consent form. Therefore, I consent to take part in this project

Participants Signature:

Name in Block Capitals:

Witness:

Date:

Appendix 3
Anonymous Online Consent Form Template

In cases where an anonymous questionnaire is being used, researchers are required to provide a separate tick box for each statement that the participant is being asked to consent to/acknowledge. Each statement must be included as an essential field in order to ensure that full informed consent has been obtained. (see example below).

An Informed Consent Form should generally contain the information detailed below. It should be written in the first person, e.g. "I will be asked to attend…I may withdraw from the study at any point…..I am aware that the data…etc." The headings are there for guidance and do not need to be included in your form.

Study Title
Also identify the school/centre involved, the supervisor and any students.

Clarification of the purpose of the study

Confirmation of particular requirements as highlighted in the Plain Language Statement
Getting the participant to acknowledge requirements is mandatory, Participants should not be able to access the survey until they have agreed to all items and indicated their consent.

Example:

Participant – please complete the following (by clicking Yes/No for each question)

INFORMED CONSENT FORM

<u>Participant Informed Consent Form</u>

I. Research Study Title

The study in which you are being requested to participate in the testing of an experimental project called the 'Face Mask Detector App'. It is being conducted by Andrew Nechifor and Mahjabeen Soomro, two 4th year Computer Applications students from the School of Computing.

II. Purpose of the research

In the current global pandemic, there is no global facial recognition app or system that can detect whether you are wearing a mask or not and simultaneously inform the person of how they are wearing the mask incorrectly. It is usually very difficult to acquire accurate data and statistics in this area from datasets as well. This study aims to give new abilities and insights to users of the application in this important area.

III. Confirmation of particular requirements as highlighted in the Plain Language Statement

As stated in the Plain Language Statement, participants in this research will be requested to enter the name of a brand or a business into the app and to allow the principal investigators to observe them performing this action and witnessing their reactions to the data acquired.

<u>Participant – please complete the following (Circle Yes or No for each question)</u>
Have you read or had read to you the Plain Language Statement	Yes / No
Do you understand the information provided?	Yes / No
Have you had an opportunity to ask questions and discuss this study?	Yes / No
Have you received satisfactory answers to all your questions?	Yes / No
Do you agree to be supervised and observed while testing the app?	Yes / No

Participants' involvement in this study is totally voluntary. As a participant you may withdraw from the Research Study at any point. There will be no penalty for withdrawing before all stages of the Research Study have been completed.

VI. Arrangements to protect confidentiality of data

Every effort will be made to respect participants' anonymity. Participants' actual names will be protected and fake names will be used if direct references are required. Any images

taken by the user will be immediately discarded and disposed of by the application after the user is finished testing the app. Notes of the user testing and/or transcripts will be held by the principal researchers and principal investigators and will be stored in a secure location.

VII. Signature

I have read and understood the information in this form. My questions and concerns have been answered by the researchers, and I have a copy of this consent form. Therefore, I consent to take part in this research project.

Participants Signature: **_____**

Name in Block Capitals: **_____**

Date: **_____**

Dublin City University

Plain Language Statement

Introduction to the Research Study

The name of the Research Study is "Face Mask Detector App". The research using a camera to analyse the face of a user with facial recognition. This research is being conducted to allow users to see if they are wearing a mask correctly or not, to inform them how they are wearing a mask incorrectly and to analyse datasets of images of people with masks on or off. The Research Study is being performed by two students of the DCU Computing Department. The students performing the project are Andrew Nechifor and Mahjabeen Soomro. If you wish to contact them for more information, please email them at andrew.nechifor2@mail.dcu.ie or mahjabeen.soomro2@mail.dcu.ie

Details of what participant involvement in the Research Study will require

The participant will be involved in taking a photo with the assistance of the application and viewing the analysis and data it shows.

Potential risks to participants from involvement in the Research Study (if greater than that encountered in everyday life)

No major risks to participants will be anticipated during their involvement in the Research Study. A low risk of discomfort to the appearance of their own could occur but no images will be stored or saved by the application.

Any benefits (direct or indirect) to participants from involvement in the Research Study

No benefits will occur to the participants from involvement in the Research Study

How will participant privacy be protected?

We will not be writing down or recording the name, age or personal details of participants involved in this Research Study.

Advice as to whether or not data is to be destroyed after a minimum period

The data will need a couple months of processing and examination before it can be destroyed, so any data acquired will be destroyed before the start of the academic year of 2021/2022.

Confirmation that participants can change their mind at any stage and withdraw from the study

Any participant can change their mind at any stage and withdraw from the study if desired.

Statement that involvement in the Research Study is voluntary

Involvement in the Research Study is completely optional and voluntary.

How will participants find out what happens with the project?

Our participants will be contacted with information about the project with an organised meeting at a later date at their discretion and convenience.

If participants have concerns about this study and wish to contact an independent person, please contact:

The Secretary, Dublin City University Research Ethics Committee, c/o Research and Innovation Support, Dublin City University, Dublin 9. Tel 01-7008000, e-mail rec@dcu.ie

Questionnaire
Questions after using the Face Mask Detector App

Q1: Was taking an image of your face with the assistance of the app easy or hard?

_____

Q2: (to the previous question, regardless of answer): Why was it easy or hard?

_____

Q3: Was navigating around the menus and pages of the application easy or hard?

_____

Q4: (if participant said hard to Q1): What made it harder for you?

_____

Q5: Did you like the results that were displayed by the app?

_____

Q6: (to the previous question, regardless of answer): Why did you like / not like it?

_____

Q7: Was the app's performance fast or slow for you?

_____

Q8: If you could add an additional feature, what would it be?

_____