

Dublin City University School of Computing ETHICS COMMITTEE

NOTIFICATION FORM FOR LOW-RISK PROJECTS AT UNDERGRADUATE OR TAUGHT MASTERS LEVELS

Application Number:		

Please read the following information carefully before completing your application. Failure to adhere to these guidelines will make your submission ineligible for review.

- Download this form
- > Completed applications must be uploaded to your School of Computing GitLab repo, and must be located in "docs/ethics.pdf".
- > Your supervisor will be notified automatically and must approve your approach initially.
- > The application should consist of one electronic file (PDF) only. The completed application must include this form and also must incorporate all supplementary documentation, especially that being given to the proposed participants e.g consent forms, plain English language statement. It must be proofread and spell-checked before submission.
- ➤ All sections of the application form must be answered as instructed and within the word limits given.

Applications which do not adhere to all of these requirements will not be accepted for review and will require resubmission

Applications must be completed on this form; answers in the form of attachments will not be accepted, except where indicated. No hard copy applications will be accepted. The project <u>must not</u> commence until written approval has been received from the School of Computing Ethics Committee.

PROJECT TITLE	MDsmrt
PRINCIPAL INVESTIGATOR(S)	Prof Andy Way
The named Principal Investigator is the person with primary responsibility for the research project. In the case of Taught Masters projects and undergraduate projects the supervisor is the Principal Investigator.	
START AND END DATE	23/10/18 - 31/5/19
LEVEL OF RISK	Low

Please indicate whether this project requires more
than a notification Justification for your choice is
required under section 3.1

Please confirm that <u>all</u> 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.

		ated as one electronic file which g documentation:	INCLUDED (mark as YES)	NOT APPLICABLE (mark as N/A)
Bibliography				N/A
Recruitment ad	lvertisement			N/A
Plain language	statement/Infor	mation statement	Yes	
Informed conse	ent form		Yes	
	Data //www.dcu.ie/site ty_schedule.xls	Security Schedules/default/files/info/3blank_data_		N/A
Evidence of ext	ternal approvals	related to the research		N/A
Questionnaire/S	Survey		Yes	
Interview/Focus	s Group Questio	ns		N/A
Debriefing mate	erial			N/A
Other (e.g. loca	al government ap	oproval)		N/A

Please note:

- 1. Any amendments to the original approved proposal must receive prior SCEC approval.
- 2. As a condition of approval investigators are required to document and report immediately to SCEC any adverse events, any issues which might negatively impact on the conduct of the research and/or any complaint from a participant relating to their participation in the study

1. ADMINISTRATIVE DETAILS

Project Type: Undergraduate Project – Final Year

1.1 INVESTIGATOR CONTACT DETAILS

PRINCIPAL INVESTIGATOR(S): Your supervisor and other academic staff who are assisting, it should be clear who is the person who is carrying out the research procedures.

NAME	SCHOOL/UNIT	EMAIL
Prof Andy Way	School Of Computing	
		andy.way@adaptcentre.ie

OTHER INVESTIGATORS (STUDENT(S):

NAME	SCHOOL/UNIT	EMAIL
Niall Lyons	School Of Computing	niall.lyons4@mail.dcu.ie

1.2	WILL THE RESEARCH BE UNDERTAKEN ON-SITE AT A Dublin City University CAMPUS ? YES or NO YES
<u>2.7.)</u>	(If NO, state details of the off-campus location – provide details of the approval to gain access to that location in section
1.3	IS THIS PROTOCOL BEING SUBMITTED TO ANOTHER ETHICS COMMITTEE, OR HAS IT BEEN PREVIOUSLY SUBMITTED TO AN ETHICS COMMITTEE? YES OF NO NO
(If YES,	please provide details and attach copies of approval(s) received etc.)

DECLARATION BY PRINCIPAL INVESTIGATOR(S)

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 SCEC 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 research that may arise in conducting this research and acknowledge my obligations and the rights of the participants.

If there exists any affiliation or financial interest for researcher(s) in this research 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 or supporting staff have the appropriate qualifications, experience and facilities to conduct the research set out in the attached application and to deal with any emergencies and contingencies related to the research that may arise.

Electronic Signature(s):

Principal investigator(s): Prof Andy Way

Print Name(s) here: Prof Andy Way

Date: 1/4/19

2. PROJECT OUTLINE

2.1 LAY DESCRIPTION (Max. 300 words)

Please outline, in terms that any non-expert would understand, what your research project is about, including what participants will be required to do. Please explain any technical terms or discipline-specific phrases.

I plan to research the User interface/user experience concepts of my application MDsmrt.

My project will be surrounded around how a user can interact with the application and can easily understand the flow.

Participants will be asked to fill out a simple questionnaire form.

2.2 AIMS OF AND JUSTIFICATION FOR THE RESEARCH (Max. 400 words)

State the aims and significance of the project. Where relevant, state the specific hypothesis to be tested. Please provide a brief description of background research, a justification as to why this research project should proceed in that context and an explanation of any expected benefits to the community. NB – all references cited should be listed in an attached bibliography.

The aim of this project is to provide an application for both doctors and nurses to securely store files on the Ethereum blockchain. If this project is successful it will help in researching further projects on how blockchain can be applied to many applications.

2.3 DESCRIBE THE METHODOLOGY BEING USED TO ACHIEVE YOUR STATED AIMS

Provide an outline of the proposed method and state who is doing which task – include details of data collection techniques, the tasks participants will be asked to do, the estimated time commitment involved, and how data will be analysed. If the project includes any procedure which is beyond already established and accepted techniques please include a description of it. There should be enough detail provided to facilitate ethical review, but applicants are encouraged to keep it as succinct as possible.

The information I will be using from the questionnaire will help me in identify key user features and will help me creating a UI/UX that is clean and efficient.

2.4 PARTICIPANT PROFILE

Provide the number, age range and source of participants. Please provide a justification of your proposed sample size. Please provide a justification for selecting a specific gender, age, or any other group if this is done in your project.

Number of participants: 10-30 Age of participants: 18-70

Source of participants: Friends + college students

The research will be performed on people of all ages and tech expertise.

2.4(a) PARTICIPANT VULNERABILITY

Are some or all of participants vulnerable in any way? (e.g by virtue of the group they belong to, people who have undergone traumatic or adverse emotional events, people with diminished cognitive ability, power relations between

	researchers and participants etc.)? If they are, state what this vulnerability (or vulnerabilities) is research is being done with such participants.	and Justily Wily
	No	
b)	CHILD PARTICIPANTS (anyone under 18 years old) If your participants include children, you must confirm that you are in compliance with the research soldetailed in "Keeping Children Safe - Policies and Procedures supporting Child Protection at Dhttps://www4.dcu.ie/sites/default/files/policy/157%20-%20child protection handbook rev1%28.	CU" - available
	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 research	
	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 research)	
	I will be recruiting people to fill out this simple survey through word of mouth in when at home.	n college and
	PLEASE EXPLAIN WHEN, HOW, WHERE, AND TO WHOM RESULTS WILL BE INCLUDING WHETHER PARTICIPANTS WILL BE PROVIDED WITH ANY INFORMAT FINDINGS OR OUTCOMES OF THE PROJECT?	
	Through user testing the participant will not be not be able to see the overathe survey, therefore will not be disseminated.	all results o
	ARE OTHER APPROVALS REQUIRED TO GAIN ACCESS TO ANOTHER LOCATION, ETC.? YES or NO NO	ORGANISAT
ES,	please specify from whom and attach a copy of the approval documentation. If this is not yet available when this will be obtained.)	able, please ex
ES,		able, please ex

2.8	HAS A SIMILAR PROPOSAL BEEN PREVIOUS YES or NO	LY APPROVED BY THE DCU SCEC?
	(If YES, please state both the REC Application Number	and Project Title)

3. RISK AND RISK MANAGEMENT

3.1 JUSTIFICATION OF STATED LEVEL OF RISK TO RESEARCH PARTICIPANTS

You must provide a justification for the stated level of risk, as indicated on the cover page of your application. Note that the level of risk may be influenced by the vulnerability of the research group, the methods employed and the nature of the research itself. For further information on risk levels, please refer to the Levels of Review information on the website: https://www.dcu.ie/researchsupport/researchethics.shtml

This project is low risk, as a user must only look at the application and go through some initial questions about the UI/UX elements of the application. This will take a maximum of five minutes. The data being used will have no personal information identifying an individual.

3.2 DOES THE RESEARCH INVOLVE:

	YES or NO
use of a questionnaire? (attach copy)?	Yes
interviews (attach interview questions)?	no
 observation of participants without their knowledge? 	no
 participant observation (provide details in section 2)? 	no
 audio- or video-taping interviewees or events? 	no
 access to personal and/or confidential data (including student, patient or client data) without the participant's specific consent? 	no
 administration of any stimuli, tasks, investigations or procedures which may be experienced by participants as physically or mentally painful, stressful or unpleasant during or after the research process? 	no
 performance of any acts which might diminish the self-esteem of participants or cause them to experience embarrassment, regret or depression? 	no
 investigation of participants involved in illegal activities? 	no
 procedures that involve deception of participants? 	no
 administration of any substance or agent? 	no
 use of non-treatment of placebo control conditions? 	no
 collection of body tissues or fluid samples? 	no
 collection and/or testing of DNA samples? 	no
participation in a clinical trial?	no
 administration of ionising radiation to participants? 	no

3.3 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 research. Please explain what risk management procedures will be put in place to minimise these risks.

As participants will be filling out a questionnaire there will be no physical, psychological, social, legal or economic risk.

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

YES or NO

(If YES, provide details.)

through this I can then tweak the application to give the user a better user experience. 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 recruiting or interviewing, administering procedures, etc.) to ensure that it conforms with the procedures set out if application. In the case of student projects please give details of how the supervisor(s) will monitor the conduct of project. This is a student project, all project activity will be monitored by my supervisor Prof. Andy Was supervisor Prof. Andy Was supported by the project of participants of	.5	ARE THERE ANY SPECIFIC RISKS TO RESEARCHERS?
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3.10	DO ANY OF THE RESEARCHERS ON THIS PROJECT HAVE A PERSONAL, PHILOSOPHICAL, FINANCIAL OR COMMERCIAL INTEREST IN ITS OUTCOME THAT MIGHT INFLUENCE THE INTEGRITY OF THE RESEARCH, OR BIAS THE CONDUCT OR REPORTING OF THE RESEARCH, 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. INVESTIGATORS' QUALIFICATIONS, EXPERIENCE AND SKILLS (Approx. 200 words)

List the academic qualifications and outline the experience and skills <u>relevant to this project</u> that the PI, other researchers and any supporting staff have in carrying out the research and in dealing with any emergencies, unexpected outcomes, or contingencies that may arise. State specifically who will be carrying out the research procedures

I am a final year CASE student in DCU.

I have never carried out a project involving the ethereum blockchain before, although I do have experience in developing web applications that have been used at scale.

My project supervisor Prof Andy Way has worked on many large scale projects. meaning if I run into any difficulties I can use his experience to deal with them in an efficient manner.

5. CONFIDENTIALITY/ANONYMITY

5.1 WILL THE IDENTITY OF THE PARTICIPANTS BE PROTECTED?

YES or NO

(If NO,	please exp	olain why.)
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IF YOU ANSWERED YES TO 5.1, PLEASE ANSWER THE FOLLOWING QUESTIONS:

5.2 HOW WILL THE ANONYMITY OF THE PARTICIPANTS BE RESPECTED?

Please bear in mind that where the sample size is very small, it may be impossible to guarantee anonymity/confidentiality of participant identity. Participants involved in such projects need to be advised of this limitation in the Plain Language Statement/Information Sheet. If you intend to fully anonymize the data, please provide details

The questionnaire will be through a google form, meaning the identity of all participants is unknown.

5.3 LEGAL LIMITATIONS TO DATA CONFIDENTIALITY

Participants need to be made aware that confidentiality of information provided cannot always be guaranteed by researchers and 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. This information should be included in your Plain Language Statement and Informed Consent Form. Depending on the research proposal and academic discipline, you may need to state additional specific limitations.

State how and where participants will be informed of these limitations

Explained in the Plain Language Statement.

	PERSONAL LATION		COMPLIANCE					
from the DCU and	data in conjunction d its constituent unit	with other info	dividual (i.e. the 'Data's rmation that is in, or is n teams etc.). Further coo/dp/guides.shtml	likely to co	me into,	the possession o	of the 'Data	Controller' (i.e.
6.1	IS PERSONAL YES or NO NO	DATA BEIN	G PROCESSED AS	PART O	F THIS I	PROJECT?		
			r compliance with					Mark here
			read and agree and procedures rega				:U Data	
	We confirm the	at we have	put in place a Persached it to this app	sonal Da			(PDSS)	
	Please see th guidance	e GDPR and	d the Research E	thics Pro	ocess s	ection of the	SCEC ma	<u>ain webpage</u> for
IF YOU	ANSWERED YE	S TO 6.1, PL	EASE ANSWER TI	HE FOLL	OWING	QUESTIONS:		
6.2			L DATA IS BEING I			ata relating to etl	nicity/race	of participants, their
rvote spe	sex lives and/or s			onelic dala	and/or di	ata relating to eti	micity/race	or participants, trieir
6.3	WILL ANONYN YES or NO	IISATION/PS	SEUDONYMISATIO	N OF THE	E PERS	ONAL DATA B	E UNDER	TAKEN?
	(If NO, please exp	olain why.)						

7. DATA/SAMPLE STORAGE, SECURITY AND DISPOSAL

For the purpose of this section, "Data" includes that in a raw or processed state (e.g. interview audiotape, transcript or analysis). "Samples" include body fluids or tissue samples.

7.1 HOW AND WHERE WILL THE DATA/SAMPLES BE STORED?

Note that the SCEC recommends that all data be stored on campus - please justify any off-site storage.

The results will be stored as a google form.

7.2 WHO WILL HAVE ACCESS TO DATA/SAMPLES?

If people other than the main researchers have access, please name who they are and explain for what purpose.

I will be the only person to access the results.

7.3 HOW LONG IS THE DATA TO BE HELD/RETAINED FOR?

Note that with very few exceptions **personal data** may not be retained indefinitely. It is up to the unit or research team to establish an upper retention limit for each category of personal data under its control.

The data will be retained until May until I finish my project.

7.4 IF DATA/SAMPLES ARE TO BE DISPOSED OF, PLEASE EXPLAIN <u>HOW, WHEN</u> AND <u>BY WHOM</u> THIS WILL BE DONE?

Note that simply deleting files is not sufficiently secure. The additional steps to be taken to maintain data security should be given.

Personal data must be disposed of in a safe and secure manner at the end of its retention period. If the data is stored in a: a) paper based format then shredding or disposal via a secure bin is recommended; or b) if it is stored in an electronic based format then deletion of the record or full anonymization of the data is recommended. If data/samples are NOT being disposed of, please justify this decision.

I will dispose of questionnaire results at the end of my project grading. I will do this by deleting the google form.

8.	FUNDING OF THE RESEARCH
8.1	HOW IS THIS WORK BEING FUNDED, IF IT IS EXTERNALLY FUNDED?
	NOT FUNDED
8.2	PROJECT GRANT NUMBER (If relevant and/or known – otherwise mark as N/A)
8.3	DOES THE PROJECT REQUIRE APPROVAL BEFORE CONSIDERATION FOR FUNDING BY A GRANTING BODY? YES OF NO
8.4.1	HOW WILL PARTICIPANTS BE INFORMED OF THE SOURCE OF THE FUNDING? (e.g. included in the Plain Language Statement)
8.5	DO THE FUNDERS OF THIS PROJECT HAVE A PERSONAL, FINANCIAL OR COMMERCIAL INTEREST IN ITS OUTCOME THAT MIGHT COMPROMISE THE INDEPENDENCE AND INTEGRITY OF THE RESEARCH, OR BIAS THE CONDUCT OR REPORTING OF THE RESEARCH, OR UNDULY DELAY OR OTHERWISE AFFECT THEIR PUBLICATION? YES OF NO
(If YES,	please specify how this conflict of interest will be addressed.)

PLAIN LANGUAGE STATEMENT (Attach to this document. Approx. 400 words)

If any of these issues are marked NO, please justify their exclusion:

A Plain Language Statement (PLS) should be used in all cases. This is written information in plain language that you will be providing to participants, outlining 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. Please note that the language used must reflect the participant age group and corresponding comprehension level – if your participants have different comprehension levels (e.g. both adults and children) then separate forms should be prepared for each group. The PLS can be embedded in an email to which an online survey is attached, or handed/sent to individuals in advance of their consent being sought. See link to sample templates on the website:

https://www.dcu.ie/researchsupport/ethicsapproval.shtml

PLEASE CONFIRM WHETHER THE FOLLOWING ISSUES HAVE BEEN ADDRESSED IN YOUR PLAIN LANGUAGE STATEMENT/ INFORMATION SHEET FOR PARTICIPANTS:

	YES or NO
Introductory Statement (PI and researcher names, school, title of the research)	YES
What is this research about?	YES
Why is this research being conducted?	YES
What will happen if the person decides to participate in the research study?	YES
How will their privacy be protected?	YES
How will the data be used and subsequently disposed of?	YES
What are the legal limitations to data confidentiality?	YES
What are the benefits of taking part in the research study (if any)?	YES
What are the risks of taking part in the research study?	YES
Confirmation that participants can change their mind at any stage and withdraw from the study	YES
How will participants find out what happens with the project?	YES
Contact details for further information (including SCEC contact details)	YES
Details relating to GDPR Compliance if Personal Data is being sought	YES

10.	INFORMED CONSENT FORM (Attach to this document. Approx. 300 words)

In most cases where interviews or focus groups are taking place, an Informed Consent Form is required. This is an important document requiring participants to indicate their consent to participate in the study, and give their signature. If your participants are minors (under 18), it is best practice to provide them with an assent form, while their parents/guardians will be given the Informed Consent Form. In cases where an anonymous questionnaire is being used, it is enough to include a tick box in the questionnaire (underneath the information section for participant), where participants can indicate their consent.

See link to sample templates on the website: https://www.dcu.ie/researchsupport/ethicsapproval.shtml

NB - IF AN INFORMED CONSENT FORM IS NOT BEING USED, THE REASON FOR THIS MUST BE JUSTIFIED HERE.

Dublin City University Plain Language Statement

Title: MDsmrt

University Department: School Of Computing **Principal Investigator:** Prof. Andy Way, Niall Lyons

Principal Investigator Email: andy.way@adaptcentre.ie , niall.lyons4@mail.dcu.ie

Principal Investigator Phone Number: +353 1 700 5074, 0871312199

Other Investigators: N/A

This research project is to see if it is possible to securing store and analyse scan images on the Ethereum blockchain. Ethereum is a global, decentralized platform for money and new kinds of applications. On Ethereum, you can write code that controls money, and build applications accessible anywhere in the world.

If you decide to participate in this UI/UX questionnaire, you will provide feedback on how you felt the overall application looked and felt, its ease of use and if it could be viable in the real world.

There will be no potential risks from participating in this questionnaire.

The information that is gained from this survey will not be obtained by anyone, and will be used to enhance the application for user needs.

All data will be destroyed in May when the project is over.

If at any point you want to stop participating in the questionnaire you may leave the questionnaire by clicking the red X on the top right of your screen to exit the browser. All participation in the questionnaire is voluntary.

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

Dublin City University Informed Consent Form

Title: MDsmrt

University Department: School Of Computing **Principal Investigator:** Prof. Andy Way, Niall Lyons

Principal Investigator Email: andy.way@adaptcentre.ie , niall.lyons4@mail.dcu.ie

Principal Investigator Phone Number: +353 1 700 5074, 0871312199

Other Investigators: N/A

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If you decide to participate in this UI/UX questionnaire, you will provide feedback on how you felt the overall application looked and felt, its ease of use and if it could be viable in the real world.

It will take approximately 5 minutes to complete this questionnaire.

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)

I understand the information provided

I have had an opportunity to ask questions and discuss this study

I have received satisfactory answers to all my questions

I am aware that my interview will be audiotaped

Yes/No

Yes/No

I may withdraw from the questionnaire at any time.

No personal data will be collected.

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:	
Witness:	
Date:	

Dublin City University Questionnaire

Title: MDsmrt

University Department: School Of Computing **Principal Investigator:** Prof. Andy Way, Niall Lyons

Principal Investigator Email: andy.way@adaptcentre.ie , niall.lyons4@mail.dcu.ie

Principal Investigator Phone Number: +353 1 700 5074, 0871312199

Other Investigators: N/A

The questionnaire has four parts, broken down as so:

Part One:

- What age are you?

Part Two MDsmrt Patient User Testing:

- How hard was it to login to MDsmrt as a patient?
- After logging in, could you see your self sovereign identity?
- Could you see your scans?

Part Three MDsmrt Doctor User testing:

- How hard was it to login to MDsmrt as a patient?
- After logging in, could you see your self sovereign identity?
- Did you find it hard to upload an image?
- Did you find it hard to analyse an image?

Part Four Final Remarks:

- Would you use MDsmrt?

Link to form.