DE LA SALLE UNIVERSITY

Checklist A
Research Ethics Checklist for Investigations involving Human Participants

This checklist must be completed AFTER the* De La Salle University Code of Research Ethics and Guide to Responsible Conduct of Research *has been read and BEFORE gathering data. The University Code of Research Ethics is available at http://www.dlsu.edu.ph/offices/urco/forms/URCO-Code-of-Research-Ethics_August2011.pdf

NOTE: This checklist is completed after the research proponent fills out the General Checklist Form.

Only answer this Checklist if you answered YES on question 1 of the General Checklist.

Researcher Details	
Lead Researcher's Signature	
Lead Researcher's Name (Please Print)	Kristine Ma. Dominique F. KALAW
Email Address(es)	kristine_ma_kalaw@dlsu.edu.ph
Department/College	College of Computer Studies Software Technology Department
Proposed Title of the Research	Recognizing Reader's Affect Using EEG Data
Term(s) and academic year in which research project is to be undertaken	AY2015-2016, T2-T3; AY2016-2017, T1-T3
Other faculty members involved in project and their department affiliation(s)	Ethel Chua Joy ONG Thesis Adviser AdRIC Director

Provide a brief description of the data collection procedure to be undertaken in the research:

The participants will wear an EEG headset while they read a short story that is divided into segments. Before proceeding to the next segment, they will have to annotate the emotions they felt for the segment. An interview is also conducted after the reading session.

The following should be attached to the checklist:

- A copy of the informed consent form to be used in the study.
- A copy of the instrument/tool that will be administered to the participants.
- If applicable, a copy of the letter seeking permission to collect data from participants who are under the supervision of an agency, institution, department, or office.
- If applicable, a copy of the parental consent form for participants below 18 years old.

The following items refer to important ethical considerations in the conduct of research with human participants. Provide a check for the appropriate answer to each question.

Source of data

Please check all that apply:

	1. New data will be collected from human participants If you checked this item, how will the new data be gathered? Please check all that apply. **After answering this question, please proceed to page 3**	
	✔	**Experimental Procedures/Intervention/ Treatments**
		Focus Group
	✔	**Personal Interviews**
	✔	**Self-administered Questionnaire**
		Researcher-administered Questionnaire
		Internet survey
	✔	**Observation**
		Telephone survey
	✔	**Others, please specify:** Video recording, audio recording
	2. Pre-existing data from human participants, i.e., from a dataset **If you checked this item, please proceed to page 7**	

If both options are checked (both new data and pre-existing data), **answer all of the questions in this document.**

Only answer if new data will be collected (item 1 above)	
Sampling Details	
Number of Participants/Subjects	at least 30 participants
Location where the participants will be recruited/ where subjects will be obtained?	De La Salle University
How long will the data collection take place?	Jan 2017 - Feb 2017
Who will perform the data collection?	Kristine Ma. Dominique F. KALAW
Location(s) where data collection will take place	De La Salle University
What procedures will be employed to ensure voluntary consent from participants?	Meals will be provided.
Data Retention	
How long will data with participant identifiers be kept after the publication of the first paper from the project?	Participants are given the option to include or have their name be anonymous as indicated in the attached informed consent form.
How long will anonymized data be kept after the publication of the first paper from the project?	Participants are given the option to have their data only be used for this specific research or also be used for future studies as indicated in the attached informed consent form.
Procedure for Informed Consent	
How will informed consent be recorded? (check all that applies) Reminder: please attach informed consent that will be used in the study	[✓] Written Consent [ ] Audio-recorded Consent [ ] Online/Email recorded Consent [ ] Others, please specify:

If you will not obtain a recorded informed consent, answer the questions that follow:

Why does the waiver of informed consent not pose a threat to the welfare and rights of the participants?

Why is recording an informed consent not practical for the proposed study?

	Yes	No	Not Applicable
1. Will the research involve students who will be receiving course credits for their participation? **If YES, please attach a copy of the consent form and a summary of the debriefing process that will help participants understand how their participation in the research has provided a relevant learning experience to the crediting course.**	☐	☑	☐
2. Does the study involve participants below 18 years old or those who are unable to give their informed consent? **If YES, please attach a copy of the parental consent form.**	☐	☑	☐
3. Is there a possibility that the research can induce physical and/or psychological harm to the participants? Will they experience pain or some discomfort as a result from their participation in the research? **If YES, please attach an acceptable argument that outlines the benefits of doing the research and how they outweigh the cost of harming the participants.**	☐	☑	☐
4. Will the participants be deliberately falsely informed or made unaware that they are being observed? Will they be misled in a way that they will possibly object to or show unease when told of the real purpose of the study? **If YES, please attach an acceptable argument that outlines the benefits of doing the research and how they outweigh the cost of harming the participants.**	☐	☑	☐
5. Will the research involve the discussion of, or questions on, sensitive topics (e.g. sexual activity, substance abuse, or mental health)? **If YES, please make sure that the informed consent form explicitly states that sensitive questions will be posed and that you will safeguard the anonymity of the participants and ensure confidentiality. Please attach a copy of your informed consent form and your instrument.**	☐	☑	☐

	Yes	No	Not Applicable
6. Will the research involve the administration of drugs, or other substances to the participants? **If YES, please attach an acceptable argument that outlines the benefits of doing the research and how they outweigh the cost of harming the participants.** **Please also attach a description of the procedure that will ensure that the participants will be brought back to their physical and psychological states prior to their participation in the research.**	☐	☑	☐
7. Will biological samples (e.g. blood, saliva, urine) be obtained from the participants? **If YES, will this involve invasive procedures? Please attach a description of these procedures.**	☐	☑	☐
8. Will genetic materials be obtained from the biological samples? **If YES, please attach a description of the procedures that will ensure confidentiality. Please attach the informed consent form.**	☐	☑	☐
9. Will financial inducements (other than reasonable expenses, like transportation or meal allowances) be offered to the participants for their participation in their research? **If YES, the researcher(s) should be mindful of how the inducements can influence the participants' responses or behaviors during the research. Indicate the financial inducements offered to the participants:** _____	☐	☑	☐
10. Is there a possibility for groups or communities to be harmed by the dissemination of the research findings? **If YES, please attach a description of procedures to ensure the anonymity and confidentiality of the research findings.**	☐	☑	☐

Answering <u>YES</u> to most of the above items will signal an ethical issue that needs to be addressed. Some actions that will allow adherence to research ethical principles are provided with each item. The researcher is advised to refer to the University's Guide to the Responsible Conduct of Research for the appropriate procedures to ensure adherence to ethical principles in the conduct of research.

Declaration

I certify that I have read and understood the De La Salle University Code for the Responsible Conduct of Research and will abide by the ethical principles in this document. I will submit a final report of the proposed study to the DLSU-Research Ethics Office. I will not commence with data collection until I receive an ethics review approval from the College Research Ethics Committee.

Kristine Ma. Dominique F. KALAW **Name and Signature of Principal Investigator**	**Date**

FOR GRADUATE and UNDERGRADUATE DLSU STUDENTS ONLY

I confirm that the student(s) is/are capable of undertaking this research in a safe and ethical manner.

Ethel Chua Joy ONG		
Adviser's Name	Signature	Date

FOR PROPONENTS WHO WILL GATHER NEW DATA ONLY, PLEASE STOP ANSWERING.

Use of Pre-existing Data collected from Human Participants		
Indicate the dataset from which the data for the study will be sourced		
Is the data publicly available, i.e., the access to which does not necessitate an approval process?	☐	Yes Please indicate where the dataset is available:
	☐	No Please indicate/attach the approval authority for access:
Was the original dataset originally collected for the present study's purpose?	☐	Yes **Please attach the Consent Form used in the original study.**
	☐	No **Please attach the Information Collection Statement (i.e., the statement given to informants providing them with the rationale for the collection of specific information).**
Does the original data set contain sensitive data, that is information that an individual would not likely want to be disclosed publicly, e.g., data on sexual activities, substance use?	☐	Yes **Please describe the type of sensitive data to be used in the present research:**
	☐	No
Does the original dataset have personal identifiers?	☐	No *(This means that neither the researcher nor the participant provided any personal identifiers)*
	☐	Yes, specifically: ☐ Direct *(i.e., the participant provided personal details like name and address)* ☐ Indirect (*i.e., the participant was given a respondent code to make the participant identifiable)*
Will new data be collected and analyzed along with data from the existing dataset?	☐	Yes **Please answer questions on page 3-5.**
	☐	No

Declaration

I certify that I have read and understood the De La Salle University Code for the Responsible Conduct of Research and will abide by the ethical principles in this document. I will submit a final report of the proposed study to the DLSU-Research Ethics Office. I will not commence with data collection until I receive an ethics review approval from the College Research Ethics Committee.

_____ **Name and Signature of Principal Investigator**	_____ **Date**

FOR GRADUATE and UNDERGRADUATE DLSU STUDENTS ONLY		
I confirm that the student(s) is/are capable of undertaking this research in a safe and ethical manner.		
_____ Adviser's Name	_____ Signature	_____ Date