Dublin City University
School of Computing

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

Please read the following information carefully before completing and submitting your application.

- **Applications must be submitted via the project dashboard**
- **Student applicants must include their supervisor as the Principal Investigator (PI).** The form should be checked, approved and signed in digital form by the supervisor in advance of submission.
- **The application should consist of one electronic file only, in PDF format,** with an electronic signature from the PI (the project supervisor) and yourselves, the students. The completed application must incorporate all supplementary documentation, especially those being given to the proposed participants.
- **All sections of the application form must be answered as instructed and within the word limits given.**

Applications must be completed on the form; answers in the form of attachments will not be accepted, except where indicated. No hardcopy applications will be accepted. **The project must not commence until approval has been received from the School Research Ethics Committee.**

PROJECT TITLE	SUM-UP
PRINCIPAL INVESTIGATOR(S) *The Principal Investigator is the project supervisor and s/he has primary responsibility for the project.*	Gareth Jones
START AND END DATE	10/10/2022 - 25/04/2022
STUDENT NAME(S), COURSE AND YEAR (E.G. EC4)	Muhammad Zubair Asif & Alif Hossain, Computer Applications & Software Engineering (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:

1. *Any amendments to the original approved proposal must receive prior School Ethics Committee approval.*

2. *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:*_____

Date: _____

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

*Student(s) signature(s):*_____*Muhamamd Zubair Asif*_____ *Alif Hossain*_____

*Print Name(s) here:*____*Muhammad Zubair Asif*_____*Alif Hossain*_____

Date: __*31/01/2023*___

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.

This project's main aim is to create a web application that allows the user to achieve summarised content. The summarisation will be carried out in an extractive summarization procedure rather than an abstractive. Each output summary will be a product of the user's query.

There will be usability testing involved in order to validate the correct operation of the application. The intention is to gather a small number of participants 3-10 and allow them to experiment with the application after successful installation and setup.

The results will be assessed in two forms; firstly the participants will be analysed as they are in mid-usage, and secondly, a quick form of feedback will be required with a short interview post-usage. The aim is to gather feedback from the users such as about the comprehensibility of the summaries, the coherence of the summary and how it reflects to the source, how fluent is the output and is the summary factually consistent.

The goal is to allow the user to make full use of the app with a good understanding of how each function works, therefore, there will be a 30-minute max testing phase.

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. Indicate if minors (Under 18) are involved *Provide the number, age range and source of participants. Please provide a justification of your proposed sample size.*

The participant group will consist of 3-10 members from Dublin City University. There is no set restriction on the type of member, as this can be a student of the school of computing, engineering or any other field where our application has relevance. The user's age group will vary from 18-26.

2.3 PARTICIPANT RECRUITMENT

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 mailing or phoning people, please explain how you have obtained their names and contact details. If a recruitment advertisement (e.g. through social media, if so include the text at the end of the form) is to be used, please ensure you attach a copy to this application (Approx. 100 words).

A request will be sent out in the various academic online group forums and chats, one predominant method will be through Discord. There is a CASE discord server that has many students and alumni which would be ideal for gathering volunteers as most are in a similar space and understand the environment. Once there is an indication of interest, further detail will be sent to the participants including all relevant consent documents and a description and procedure of the testing phase.

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

Are some or all 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 students and participants etc.)?

YES or NO
NO

If Yes, please state and describe what this vulnerability (or vulnerabilities) is and justify why this research is being done with such participants

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?

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

There will be no need for the students to use any personal information as they will be provided details of a tester account if needed. The testing will take place in complete anonymity. After successful collection of results, the data will be kept confidential and handled with great respect and care.

2.7 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 project proposal and academic discipline, you may need to state additional specific limitations.*

State how and where participants will be informed of these limitations

Prior to the participant's commencement of the testing phase we will request that they sign a consent form and read and agree to the plan language statement. Furthermore, participants will be reassured that their information (most likely not needed) will be kept discrete.

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.

Participants will be recruited using online social applications. One such application that we will try to use is Discord as it contains a relevant server that is solely designed for CASE students and alumni to discuss, debate and provide advice to each other. A request will be placed through one of the relevant channels that the SUM-UP team requires participants. If there is interest in the topic they will be provided with the description of the tasks and all relevant documentation in order to keep them well informed.

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?

Results will be shared with the supervisor, investigator & examiners. However, the identity of the participants or any personal information will not be included in the results. The demonstration, EXPO, presentation and final report will contain the results.

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.

3. RISK AND RISK MANAGEMENT

3.1 EXPLAIN AND JUSTIFY THE STATED LEVEL OF RISK TO PARTICIPANTS

You must provide a justification that the stated level of risk and its corresponding level of review is notification only and not Full Committee or Expedited, as indicated on the cover page of your application. No project is completely without risk. Note that the level of risk may be influenced by the vulnerability of the research group, the methods employed and the nature of the project 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

The risk level is very low to non-existent. As mentioned prior participants will not be providing any personal information, only the data gathered will contain their opinions on the application and any sort of feedback they have. They will be asked a set of questions regarding their overall experience with the application. This whole process will only be documented through text, no audio or video will be recorded.

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.

The testing will occur on campus. Our objective is to book a space where the participant can comfortably operate the application without any distractions. This will also further provide the participant with an extra level of privacy. The max time limit allowed for the participant is 30 minutes this is to allow for any issues with overuse or long. If the participants require a short break they may do so. There is a 10-minute minimum usage restriction for the test as it is believed that below this time amount won't provide the tester with adequate time to fully experience the application. However, once this period is over the test is free to end the session if they feel that they have a good grasp of the mechanics and are in a suitable position to provide valid feedback.

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

YES or NO
…

If YES, provide details

Yes, this application is highly beneficial as it increases productivity and efficiency whilst simultaneously reducing time expensed.

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.

We agree to regularly meet with our supervisor to monitor the project and enable them to help deal with unexpected outcomes, and this will provide support for participants and monitor the project

YES or NO
YES

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.

Support will be provided if the participant requires it.

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.

The project supervisor will be kept informed of how the testing is going with updates on the results received. This will aid in the correct guidance and development in accordance with the school requirements. Furthermore, the supervisor will aid in the understanding and further analysis of the retrieved results.

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**

Definition of Personal Data

Personal data is any information about a living person, where that person is either identified or could be identified, from the data itself or when it is combined with other data. Typical examples of personal data in a research context are:

a) paper based records e.g. consent forms, research participant files, patient records, interview notes etc.

b) electronic records e.g. database of participant details, online survey returns, photos, audio & visual recordings, IP addresses, diagnostic / clinical imaging etc.

c) other e.g. genetic data, biometric data, clinical or medical samples etc.

Note: If personal data is to be obtained and / or processed in the course of the proposed research then there are certain legal obligations and principles to be followed. These are set out in the EU 2016 General Data Protection Regulation (GDPR) and associated Irish Law.

Any data that is fully and completely anonymous is not considered to be 'personal data'. However, any data that is merely pseudo-anonymised is deemed to be 'personal data'.

Further information on data protection issues is available from the University's Data Protection Unit (DPU). You should also consider consulting with your Unit's GDPR Advocate for help and advice on filling out this section of the form.

4.1 ASSESSING DATA PROTECTION RISKS & REQUIREMENTS

(A) Your knowledge of Data Protection		
Have you taken and completed the online data protection training course ('Data Protection Course') that is available to all staff and students through the DCU Loop System?	**YES or NO**	**NO**

If you answered 'No' to the previous question then the DPU strongly recommends that all applicants complete the course on Loop before completing section # 4 of the REC Application Form.

If you experience difficulties in accessing the Loop course at the link above, please contact the Teaching Enhancement Unit for assistance.

(B) Initial Assessment of whether any of the data to be used in the proposed research is '<u>Personal Data</u>' (see definition above)			
1	**Will the proposed research include living human subjects?** ***Rationale – personal data applies only to living individuals.***	**YES or NO**	**YES**
2	**Will the proposed research use any data that can be linked to an identified, or an identifiable, person?** ***Rationale – to be personal data it must be possible to associate it with an identified, or an identifiable, living person.***	**YES or NO**	**NO**
3	**Will the proposed research use any data identifiers that can be linked to a living person? Examples are a participant's name, code or ID number, their address, their IP address etc.** ***Rationale: fully anonymised data is not deemed to be 'personal data' but data that has been deemed to be merely pseudo-anonymised is deemed to be 'personal data'.***	**YES or NO**	**NO**

If you answered 'Yes' to any of the questions 1 to 3 in sub-section (B), then continue to sub-section (C) and answer questions 1-8. If you answered 'No' to all of the questions 1 to 3 in sub-section (B), then proceed directly to section # 5 of this Application Form.

(C) Assessing the degree of risk inherent in the personal data			
1	**Will the proposed research involve the use of <u>personal data</u> on individuals that reveals any of the following attributes or characteristics about them?** **(State 'Yes' or 'No' as appropriate to all of the following)**		
	Racial or Ethnic Origin	**YES or NO**	**NO**
	Political Opinions	**YES or NO**	**NO**
	Religious or Philosophical Beliefs	**YES or NO**	**NO**

	Trade Union Membership	**YES or NO**	**NO**
	Genetic Data	**YES or NO**	**NO**
	Biometric Data	**YES or NO**	**NO**
	Data Concerning Health	**YES or NO**	**NO**
	Data concerning a Person's Sex Life or Sexual Orientation	**YES or NO**	**NO**
2	**Will the proposed research involve the use of <u>personal data</u> relating to children or vulnerable individuals?** ***A child, for data protection purposes, 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 to oppose, the processing of his or her data for any reason, including disability.***	**YES or NO**	**NO**
3	**Will the proposed research involve the use of data relating to an individual's criminal convictions and / or offences?**	**YES or NO**	**NO**
4	**Will the proposed research involve the large-scale processing of <u>personal data</u>?** ***This may include: a wide range or large volume of personal data; processing which takes place over a large geographical area; processing where a large number of people are affected (e.g. over 100 individuals); or where the processing is extensive or it has potential long-lasting effects on individuals.***	**YES or NO**	**NO**

5	**Will the proposed research involve any form of <u>automated processing</u> of personal data?** ***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**	**NO**
6	**Will the proposed research involve the sharing or transferring of any personal data to a 3rd party outside of DCU?** ***For example, other research partners, providers of translation or transcription services, etc.*** ***For clarity, this question is not intended to refer to any standard software services already provided by DCU, for example the university's email system or its cloud-based storage provider (Google Drive).***	**YES or NO**	**NO**
7	**Will the proposed research require the sharing or processing of personal data outside the EU or the EEA? (e.g. the US, the UK, Canada, Australia, China etc.)** ***The EEA refers to the 'European Economic Area' (i.e. the EU plus Norway, Liechtenstein and Iceland).***	**YES or NO**	**NO**
8	**Will the proposed research involve the matching or combining of separate datasets of information on individuals in a way that would exceed their reasonable expectations of privacy?** ***This is especially important where two or more previously anonymous datasets are combined in such a way so as to allow for the identification of individuals. An example would be combining mobile phone location data along with any other dataset to identify individuals.***	**YES or NO**	**NO**

Important Point: Next Step

If you answered 'Yes' to one or more of the questions 1 to 8 in sub-section (C) You should consult with your Supervisor / Principal Investigator to who will assess whether there are any further data protection issues to be addressed or additional procedures to be followed.

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.

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**	**NO**
	political opinions	**YES or NO**	**NO**
	religious or philosophical beliefs	**YES or NO**	**NO**
	trade union membership	**YES or NO**	**NO**
	genetic data	**YES or NO**	**NO**
	biometric data	**YES or NO**	**NO**
	data concerning health	**YES or NO**	**NO**
	data concerning a natural person's sex life or sexual orientation	**YES or NO**	**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**	**NO**

6	Does your project include the use of Personal Data of individuals relating to their criminal convictions and/or offences?	**YES or NO**	**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**	**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**	**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**	**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**	**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**	**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
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.

DCU Google Drive will be used to store the data.

5.2 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.

Access will only be granted to the developers of the application or the supervisor if needed.

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

*Note that, with very few exceptions, **Personal Data** may not be retained indefinitely. It is up to the project team to establish an upper retention limit for each category of Personal Data used within the project and to ensure it is applied at the expiry of that limit. The School of Computing Research Ethics Committee recommends that Personal Data is retained until after the Progression and Awards Board for the current academic year.*

Once the project has been completed, post demonstrations and presentations. 07/06/2023

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

Where it is intended that the personal data used in the project will be used at a later date for the purposes of publication please explain how consent to do so will be obtained.

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?

*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) in an electronic-based format, then deletion of the record or the full anonymization of the data is recommended. If data/samples are **not** being disposed of, please justify that intention.*

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.	Most of our data retrieval will be in digital format. In order to dispose of the data, it will be deleted from Google Drive.

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.	Muhammad Zubair Asif will dispose of the data post-project completion.

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

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:
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**
	YES

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

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

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. In cases where an anonymous questionnaire is being used, it is not enough to include a tick box in the questionnaire. Participants should indicate their consent to each aspect of the research in a staged manner by checking mandatory checkboxes.
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.

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

PLAIN LANGUAGE STATEMENT

Project Title:
SUM-UP (Audio Summarization)

Researchers:
Alif Hossain - alif.hossain5@mail.dcu.ie
Muhammad Zubair Asif - muhamamd.asif2@mail.dcu.ie

Supervisor:
Gareth Jones - gareth.jones@dcu.ie

Purpose of the Research:
We developed a web application that allows users to listen to the recorded audio of summary material. The user may select their preferred media and tailor the type of summary they receive. The summarizing will be done using an extractive summarization procedure. The user's query will be the source of each output summary. The purpose of this research is to gain user feedback about the usage of this software, and to assess whether it can help users.

Statement as to whether or not the research data is to be destroyed after a minimum period
All data obtained from the participants will be destroyed and put in a paper shredder right after the project is over. (16th March 2023)

Details of what participant involvement in the Research Study will require
Participants will be required to use the product and provide their feedback via an online survey.

Potential risks to participants from involvement in the Research Study (if greater than that encountered in everyday life)
The risks are extremely minimal or almost non-existent. We will be conducting this testing in a safe environment and following covid 19 protocols. The participants will be in a comfortable area and will be provided with any help or assistance if need be.

Any benefits (direct or indirect) to participants from involvement in the Research Study
They can be more aware of the effects of mental and eye strain and what tools are out there for them to use.

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

Before the participants do the survey and the testing, they will be told beforehand that it is anonymous, and all data will be confidential and kept discreet.

A statement that involvement in the Research Study is voluntary
All participants that participate in the testing and feedback (online survey) are doing so voluntarily and have full right to change their mind at any time. All participants are conducting this testing and feedback on their own choice.

Any other relevant information – e.g.

- The data collected will be used to determine whether the product does what it is intended for and also if any changes or improvements are needed.
- The participants will have full right to leave at any time they want.
- At the end of the feedback the participants will be told what is intended using their feedback and how any feedback collected will be disposed of correctly.
- The participants will be given contact details if they do not want their feedback to be used or want it to be erased/disposed of.
- Details relating to GDPR Compliance where Personal Data is being sought: not so necessary as we are only looking for feedback (their thoughts) and no personal data will be collected.
- It is important to note confidentiality of information provided cannot always be
- guaranteed by researchers and can only be protected within the limitations of the law.

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

INFORMED CONSENT FORM

Project Title:
SUM-UP (Audio Summarization)

Researchers:
Alif Hossain - alif.hossain5@mail.dcu.ie
Muhammad Zubair Asif - muhamamd.asif2@mail.dcu.ie

Supervisor:
Gareth Jones - gareth.jones@dcu.ie

Purpose of the research:
The purpose of this research is to gain product feedback from users and to find the participants' thoughts(likes/dislikes) and also any changes they would like to see. We will use this data to further improve our product and correct mistakes.

Confirmation of particular requirements as highlighted in the Plain Language Statement

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*

Confirmation that involvement in the Research Study is voluntary
I understand that my participation is voluntary, and I may withdraw at any time.

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

I understand that all data(feedback) that I provide will be kept confidential and will only be used to enhance/improve this product.

Confirmation of arrangements regarding the retention/disposal of data

I understand that my data will be disposed of upon the completion of this project.

Confirmations relating to any other relevant information as indicated in the PLS

I understand all other relevant information as indicated in the Plain Language Statement.

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: _____Muhammad Zubair Asif___Alif Hossain_

Name in Block Capitals: _____**Muhammad Zubair Asif**_____**Alif Hossain**___

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)

I have read the Plain Language Statement (or had it read to me) *
- (●) Yes
- ( ) No

I understand the information provided *
- ( ) Yes
- ( ) No

I have had an opportunity to ask questions and discuss this study *
- ( ) Yes
- ( ) No

I understand the information provided in relation to data protection *
- ( ) Yes
- ( ) No

I have received satisfactory answers to all my questions *
- ( ) Yes
- ( ) No

I understand I may withdraw from the Research Study at any point *
- ( ) Yes
- ( ) No

I have read and understand the arrangements to be made to protect confidentiality of data, including that confidentiality of information provided is subject to legal limitations *
- ( ) Yes
- ( ) No

I have read and understand confirmations relating to any other relevant information as indicated in the PLS *
- ( ) Yes
- ( ) No

I consent to participate in this research study *
- ( ) Yes
- ( ) No