Dublin City University
School of Computing
ETHICS COMMITTEE (SEC)

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

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

1. **Download this form, complete the appropriate fields, attach additional pages (e.g. plain language statement) as appropriate and save as a PDF file**
2. **Completed applications must be uploaded to your School of Computing GitLab repo, and must be located in "`docs/ethics.pdf`".**
3. **Your SUPERVISOR will then be notified automatically and must approve your approach initially.**
4. **Your 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.
5. **All sections of the application form must be answered as instructed and within the word limits given.**
6. **Your ethics approval submission will be circulated to the School's Research Ethics Committee and you will be notified if/when it is approved**
7. **All projects must have either a derogation from an ethics approval requirement (as determined by your supervisor) OR must have an approved ethics submission (this form), before work with human subjects commences.**

Applications which do not adhere to 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 must not commence work with human subjects until written approval has been received from the School of Computing Ethics Committee (SEC).**

PROJECT TITLE	CA326 - av8

PROJECT SUPERVISOR(S)	Darragh O'Brien
START AND END DATE	01/02/2020-29/03/2020

Please ensure that all supplementary information is included in your application (in one 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 file which includes the following documentation:	**INCLUDED (mark as YES)**	**NOT APPLICABLE (mark as N/A)**
Bibliography		**N/A**
Recruitment advertisement (How are you getting volunteers?)		**N/A**
Plain language statement/Information statement	**YES**	
Informed consent form	**YES**	
Personal Data Security Schedule https://www.dcu.ie/sites/default/files/info/3._blank_data_security_schedule.xls		**N/A**
Evidence of external approvals related to the research		**N/A**
Questionnaire/Survey	**YES**	
Interview/Focus Group Questions		**N/A**
Debriefing material		**N/A**
Other (e.g. local government approval)		**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 (select one): Undergraduate Project – Final Year	
Undergraduate Project – non-final Year	YES
Taught Masters (Practicum)	

(projects at other levels, e.g. PhD or research Masters, should be approved by the University's REC if necessary)

1.1 INVESTIGATOR CONTACT DETAILS

SUPERVISOR(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*
Darragh O'Brien	Computing	darragh.obrien@dcu.ie

STUDENT(S):

NAME	*SCHOOL/UNIT*	*EMAIL*
Karl Finnerty	Computing	karl.finnerty5@mail.dcu.ie
Niall Stapleton	Computing	niall.stapleton4@mail.dcu.ie

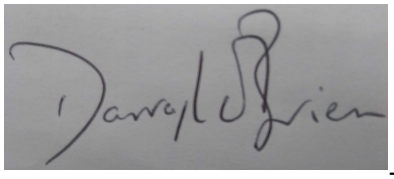
DECLARATION BY SUPERVISOR(S)

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):

Supervisor(s): 

*Print Name(s) here:*_____*Darragh O'Brien*_____

Date: _*06/02/2020*_____

2. PROJECT OUTLINE

2.1 SIMPLE 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.

We are designing a mobile app for tracking planes. This will be similar to the likes of Flightradar and will show a map with the locations and details of planes around the area that the user is viewing.
Participants will be required to download and evaluate the app. They will then be required to fill out an anonymous survey on their experience of the app.

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 primary aim of the survey is to provide us with valuable feedback on what users like and don't like in the app. The app will be designed based on user interface principles and be influenced by the design of existing apps. The survey will allow us to ensure that the design of our interface is well received by our user base. We will be able to take user feedback into account and make changes to the app where possible. This will result in the final app being developed with user feedback taken into account. This will provide a better overall experience for the user.

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.

We will provide the participants with a Google Forms survey. They will answer the questions relating to the user testing. With less technical users, it will require us being present during the user evaluation. In this case will ask them to fill out a document which we will then transcribe to Google Forms. However, most participants will likely complete the survey without us being with them at the time.

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: 10-20
Age range: > 18
Source: Students of DCU

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 and justify why this research is being done with such participants.

Not applicable, there should be no reason that users should be vulnerable.

2.4(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 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)	

2.5 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 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.

We will ask other students and acquaintances either verbally or by text message.

2.6 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 be mostly examined by ourselves. The results will also be provided to our project supervisor and the module co-ordinator. The results will not be released publically.

2.7 ARE OTHER APPROVALS REQUIRED TO GAIN ACCESS TO ANOTHER LOCATION, ORGANISATION ETC.? (e.g. a School or company)

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 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

There is no risk to participants. Participants will not be required to provide any personal information or anything that may identify them. The feedback submitted via the form will be anonymous. The information will be used purely for the purpose of improving the app.

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)?	**YES**
• 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.

We could not identify any potential risks to participants. We will not be collecting any personal data so there is no risk of a privacy breach to any participants.

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

YES or NO
NO

(If YES, provide details.)

3.5 ARE THERE ANY SPECIFIC RISKS TO RESEARCHERS?

Examples include use of dangerous materials, asking certain types of questions, research 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.)

3.6 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 cannot envisage any adverse effects to participants from this study.

3.7 HOW WILL THE CONDUCT OF THE PROJECT BE MONITORED?

Please explain how the supervisor 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

We will be in close contact with our supervisor and provide him with information in advance on how our research is progressing.

3.8 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.

N/A

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

YES or NO
NO

(If YES, please provide further details.)

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. CONFIDENTIALITY/ANONYMITY

4.1 WILL THE IDENTITY OF THE PARTICIPANTS BE PROTECTED?

YES or NO
YES

(If NO, please explain why.)

IF YOU ANSWERED YES TO 4.1, PLEASE ANSWER THE FOLLOWING QUESTIONS:

4.2 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 survey will be anonymous. With an expected participant group of 10 to 20 people, there should be no way a participant could be identified based on the survey questions. This is unless they choose to identify themselves for some reason.

4.3 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

We will provide and informed consent form and plain language statement to the participants

5. PERSONAL DATA - COMPLIANCE WITH THE GENERAL DATA PROTECTION REGULATION

Personal data is data relating to a living individual (i.e. the 'Data Subject') who is, or can be, identified either from the data itself or from the data in conjunction with other information that is in, or is likely to come into, the possession of the 'Data Controller' (i.e. DCU and its constituent units e.g. research teams etc.). ***Further information on personal data is available from the DCU Data Protection Unit at https://www.dcu.ie/ocoo/dp/guides.shtml***

5.1 IS PERSONAL DATA BEING PROCESSED AS PART OF THIS PROJECT?

YES or NO
No

If YES, Please indicate your compliance with the following guidelines:	**Mark here**
We confirm that we have read and agree to act in accordance with DCU Data Protection Unit guidance and procedures regarding personal data	
We confirm that we have put in place a Personal Data Security Schedule (PDSS) for the project and have attached it to this application	

Please see the GDPR and the Research Ethics Process section of the SCEC main webpage for guidance

IF YOU ANSWERED YES TO 5.1, PLEASE ANSWER THE FOLLOWING QUESTIONS:

5.2 WHAT KIND OF PERSONAL DATA IS BEING PROCESSED?

Note special categories of personal data include health data, genetic data and/or data relating to ethnicity/race of participants, their sex lives and/or sexual orientation

5.3 WILL ANONYMISATION/PSEUDONYMISATION OF THE PERSONAL DATA BE UNDERTAKEN?

YES or NO
…

(If NO, please explain why.)

6. 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.

6.1 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.

All data will be stored on a secure Google server. Any physical forms will be shredded once the data has been transcribed from them.

6.2 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.

The main researchers, Karl Finnerty & Niall Stapleton

6.3 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 29/03/2020.

6.4 IF DATA/SAMPLES ARE TO BE DISPOSED OF, 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) 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.

Google Forms will be deleted by the main researchers.

7. PLAIN LANGUAGE STATEMENT *(Attach to this document. Approx. 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:

	YES or NO
Introductory Statement (Supervisor and student 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	**NO**

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

Personal data is not being sought.

8. 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.

Plain Language Statement

The title of this project is CA326 – *av8* (flight tracking app for android). The university involved in this is Dublin City University (DCU). The principal investigators are Karl Finnerty (karl.finnerty5@mail.dcu.ie) and Niall Stapleton (niall.stapleton4@mail.dcu.ie). We are conducting this research in order to obtain user feedback on our third year project, which is a flight tracking Android app.

If the person chooses to take part in our research, the participant will have to download our Android app. They will then take part in a user evaluation of our app. This will involve the participants using the app and examining its various functions. Following this, we will ask them to fill out a short questionnaire about the app, what they liked and what they feel could be improved. This will help us to ensure that there are no bugs present as the participants will have a greater range of devices than we have access to ourselves.

The survey will be fully anonymous. The survey will not collect any personal details of the participants. We intend for the data to be destroyed at the end of this study which will have concluded by 31 March 2020. The app uses the user's current location to show the aircraft near them. However, (as with all Android apps) the user must explicitly grant location permissions. It is not mandatory for participants to allow the app to access their current location and it will still function normally. If the user does permit location access, we do not have access to this information other than the country the user is in. The app requires camera permissions to use the AR (augmented reality) function. Again, this is not mandatory. We will not collect any camera information other than crash reports.

There are no predictable risks to participants in this research. There are also no real benefits expected apart from the participants wishing to use the app themselves.

We are only asking for people's involvement if they wish to participate. It is a completely voluntary study and if an individual feels they want to withdraw at any point then they may do so without question.

Feedback that we receive will be incorporated into our final app version. Should it be feasible to publicly release the app, these changes will be visible. We will not contact participants with updates on the project.

You can contact the principal investigators, at the emails written above. If you wish to contact the REC (Research Ethics Committee) you can email them at rec@dcu.ie.

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

Informed Consent Form

The title of this project is CA326 – *av8* (flight tracking app for android). The university involved is Dublin City University (DCU). The principal investigators are Karl Finnerty (karl.finnerty5@mail.dcu.ie) and Niall Stapleton (niall.stapleton4@mail.dcu.ie).

We will not be collecting any personal data throughout the duration of this research. We will only be gathering personal *opinions* from our participants. Their identity will be anonymous and remain as such.

Participation in this study will involve downloading our Android app, using the app and its various features for around five to ten minutes. Following this an anonymous survey will be completed where participants will be asked to provide feedback on the app.

As per the Plain Language Statement, involvement in this study is completely optional and participants may withdraw at any time without being subject to condemnation of any kind.

Once more, we will not take any record of names or personal information of the participant. The app itself asks for location and camera permissions but access must be explicitly granted and it is not mandatory to take part in the survey. We have no access to this information other than the country that the user is in.

Data will only be retained for the duration of the study, which will cease by 29 March 2020 at the latest. After that point, all data will be wiped from our Google Drives and any other files/directories that may have been introduced.

We have no plans to use the data we gather for further studies.

Signature:

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 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 opinions/thoughts will be noted. Yes/No

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: _____

Link to draft survey:

https://docs.google.com/forms/d/e/1FAIpQLSfYQctzy39CYRvSut8qw8DA3A5D6Ha0mSm_AS1HpB595LvXZw/viewform