Appendix M. Research Ethics Form

De La Salle University	**Research Ethics Review Committee** Research Ethics Office, 3F Henry Sy Sr. Hall De La Salle University Manila 2401 Taft Avenue, Manila 1004, Philippines REO@dlsu.edu.ph (632) 524-4611 loc. 513	SOP No.: 2 Form No.: 2(D) Version No.: 2 Version Date: May 2017

DE LA SALLE UNIVERSITY
General Research Ethics Checklist

This checklist is to ensure that the research conducted by the faculty members and students of De La Salle University is carried out according to the guiding principles outlined in the Code of Research Ethics of the University. The investigator is advised to refer to the De La Salle University Code of Research Ethics and Guide to Responsible Conduct of Research before completing this checklist. Statements pertinent to ethical issues in research should be addressed below. The checklist will help the researcher/s and advisers/readers/evaluators determine whether procedures should be undertaken during the course of the research to maintain ethical standards. The University's Guide to the Responsible Conduct of Research provides details on these appropriate procedures.

Faculty/ASF Researcher Details	
Principal Investigator	Ms. Mary Jane B. Arcilla
Department	Information Technology
Proposed Title of the Research	KERNEL: A Project Management System for Taters Enterprises, Inc. (TEI)
Term(s) and academic year in which research is to be conducted	3 Terms; AY 2017-2018, AY 2018-2019
Other researchers involved in project including their positions (e.g., student, faculty)	Gonzaga, Adrienne Claire A. (Student) Inomata, Nami C. (Student) Isidoro, Keziah Jan Mariella D. (Student) Socco, Juan Marko C. (Student)

Student Researcher Details **(for students who are co-proponents)**	
Course Title	Bachelor of Science in Information Systems
Department	Information Technology
Thesis Adviser	Ms. Mary Jane B. Arcilla
Email Address	jane.arcilla@delasalle.ph

This checklist must be completed AFTER the* De La Salle University Code of Ethics *has been read and BEFORE gathering data.

Questions	Yes	No
1. Does your research involve human participants (this includes new data gathered or using pre-existing data)? If your answer is **yes**, please answer **Checklist A (Human Participants).** **Please specify if the kind of research you will be conducting falls under any of the following Human Participants sub-categories:**	✔	
1.A. Will you be conducting Action Research in an existing business, company, or school? If your answer is **yes**, please answer **Checklist F (Action Research).**	✔	
1.B. Does your research involve online communities (this includes culling data from social media platforms, online forums and blogs)? If your answer is **yes**, please answer **Checklist G (Internet Research).**		✔
1.C. Does your research involve human participants who are situated in a community and may necessitate permission to acquire access to them? If your answer is **yes**, please answer **Checklist H (Community Research).**		✔
2. Will your research make use of documents which are not in the public domain and, thus, require permission for use from the custodian of such documents? **If YES, please provide certification that permission from the custodian of the data was sought and granted.**	✔	
3. Will your research make use of secondary data (e.g., surveys, inventories, plans, official documents, etc.) from an institution, organization, or agency, which are not in the public domain and, thus, require permission for use from the custodian of such documents? **If YES, please provide certification that permission to use the data was sought from the institution, organization, or agency and approval was granted.**	✔	
4. Does your research involve animals (non-human subjects)? If your answer is **yes**, please answer **Checklist B (Animal Subjects).**		✔

5. Does your research involve Wildlife? If your answer is **yes**, please answer **Checklist C (Wildlife)**.		✔
6. Does your research involve microorganisms that are infectious, disease causing or harmful to health? If your answer is **yes**, please answer **Checklist D (Infectious Agents).**		✔
7. Does your research involve toxic/chemicals/ substances/materials? If your answer is **yes**, please answer **Checklist E (Toxic Agents).**		✔

Research with Ethical Issues to address:

If you have a YES answer to any of the above categories, you will be required to complete a detailed checklist for that particular category. A YES answer does not mean the disapproval of your research proposal. By providing you with a more detailed checklist, we ensure that the ethical concerns are identified so these can be addressed in adherence to the University Code of Ethics.

Declaration of Conflict of Interest

[✔] 1. I do not have a conflict of interest in any form (personal, financial, proprietary, or professional) with the sponsor/grant-giving organization, the study, the co-investigators/personnel, or the site.

[ ] 2. I do have a conflict of interest, specifically:

[ ] A. I have a personal/family or professional interest in the results of the study (family members who are co-proponents or personnel in the study, membership in relevant professional associations/organizations).

Please describe the personal/family or professional interest:

_____

_____

_____

[ ] B. I have propriety interest vested in this proposal (with the intent to apply for a patent, trademark, copyright, or license)

Please describe propriety interest:

_____

_____

_____

[ ] C. I have significant financial interest vested in this proposal (remuneration that exceeds P250,000.00 each year or equity interest in the form of stock, stock options or other ownership interests).

Please describe financial interest:

_____

_____

_____

Researchers are requested to provide a copy of their Curriculum Vitae, or any document that provides information on the researchers' history of research activities or professional experience (including past publications, presentations, other project involvements, volunteer work, etc.).

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. To the best of my knowledge that my research proposal does not involve any of the above-mentioned categories. 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 University Research Ethics Review Committee.

Mary Jane B. Arcilla **Name and Signature of Principal Investigator**	November 22, 2018 **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.

Mary Jane B. Arcilla		November 22, 2018
Adviser's Name	Signature	Date

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)	Ms. Mary Jane B. Arcilla
Email Address(es)	jane.arcilla@delasalle.ph
Department/College	Information Technology / College of Computer Studies
Proposed Title of the Research	KERNEL: A Project Management System for Taters Enterprises, Inc. (TEI)
Term(s) and academic year in which research project is to be undertaken	3 Terms; AY 2017-2018, AY 2018-2019
Other faculty members involved in project and their department affiliation(s)	Not Applicable

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

The researchers primary mode of data collection is via face-to-face interviews that would be held in the head office of the organization. The interviews would be audio recorded with consent from the interviewees accompanied with a certificate of interview. In some cases, Email will also be used in gathering information as the last resort.

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:** Email Interview

	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	15
Location where the participants will be recruited/ where subjects will be obtained?	Taters Enterprises, Inc. (TEI) Head Office, Makati City
How long will the data collection take place?	Roughly 8 months
Who will perform the data collection?	Capstone Group/Researchers (Gonzaga, Inomata, Isidoro, Socco)
Location(s) where data collection will take place	Taters Enterprises, Inc. (TEI) Head Office, Makati City
What procedures will be employed to ensure voluntary consent from participants?	Each interviewee will be chosen by the researchers' contact person and will secure a documented formal consent.
Data Retention	
How long will data with participant identifiers be kept after the publication of the first paper from the project?	Not Applicable
How long will anonymized data be kept after the publication of the first paper from the project?	Not Applicable
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.**	☐	☑	☐
11. Will the results of this study have a commercial value? If yes, do you intend to apply for a patent for the output of this research? Please check: ☐ Yes ☐ No	☐	☑	☐

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 University Research Ethics Review Committee.

Mary Jane B. Arcilla **Name and Signature of Principal Investigator**	November 22, 2018 **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.		
Mary Jane B. Arcilla		November 22, 2018
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	The data will come from past records and files regarding the project, and past experience of the participants.	
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: Non-Disclosure Agreement
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 University Research Ethics Review Committee.

Mary Jane B. Arcilla **Name and Signature of Principal Investigator**	November 22, 2018 **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.

Mary Jane B. Arcilla		November 22, 2018
Adviser's Name	Signature	Date

DE LA SALLE UNIVERSITY

Checklist F
Research Ethics Checklist for Investigators conducting Action Research

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 and Checklist A.

Only answer this Checklist if you will be conducting ACTION RESEARCH.

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

	Yes	No	Not Applicable
1. Will you have minors as participants in your study? Minors are individuals under the age of 18 years old. **If YES…Obtain parental/guardian consent and participant assent to participate in your study. Attach the parental consent and assent forms to your proposal. The consent forms should indicate the measures you will undertake to ensure confidentiality and protect the participants.**	☐	☑	☐
2. Will you be conducting a growth plan for an existing organization? A growth plan is a strategy paper for existing businesses (e.g. family businesses or own businesses existing for at least 3 years and are owned or managed by MS in Entrepreneurship students) **If YES…Obtain informed consent from the owners and board of directors of the host firms. In addition, provide a waiver indicating that the recommended strategies for**	☐	☑	☐

	Yes	No	Not Applicable
implementation do not necessarily reflect the University's stand and are only attributed to the proponent's opinions at the time of the conduct of research and the period covered for the implementation of these strategies.			
3. Will your research involve the participation of vulnerable stakeholders? Vulnerable stakeholders are persons whose situation or characteristics may make them unable to provide free and informed consent to participate in the research. This group includes children, institutionalized, persons, students, those who have cognitive impairments, customers, employees in subordinate positions, suppliers, students, etc. **If YES…Indicate in your proposal how appropriate and just compensation (proportionate to the contribution in the research, research budget, and local conditions) will be provided to these vulnerable and marginalized participants. Describe the informed consent process to be undertaken with these participants. This includes, but is not limited to, written informed consent, verbal informed consent, plain language statements, and translated consent forms.**	☐	☑	☐
4. Is the research involving what the participant would ordinarily be required to do in his/her given setting, e.g., the classroom, the workplace? **If YES… Emphasize to the student participant that his/her freedom not to participate in the research will not earn any sanction. An alternative activity should be offered to the participant in lieu of the research so as not to disadvantage the students who opt not to participate in the classroom-based research. The student participants need to be informed of their freedom to "opt out" at any time they wish.** **For participants in corporate settings where actual participation is part of his/her mandatory work activities, they need to be informed of their freedom to "opt out" of**	☑	☐	☐

	Yes	No	Not Applicable
being cited as a respondent/informant of the action research. **Participants will also be informed of their right to corroborate data and the researcher's interpretation. Participants should be informed that they may ask data analysis to be revisited if there was any misinterpretation in the process of analysis or when the report can potentially place them in a negative light.**			
5. Will the research be requiring the participants to be involved in an activity not part of their regular, daily setting, e.g. the classroom, the workplace? **If YES… Emphasize to the student participant that his/her freedom not to participate in the research will not earn any sanction. An alternative activity should be offered to the student participant in lieu of research participation.** **The student participants need to be informed of their freedom to "opt out" at any time they wish.** **For participants in corporate settings where actual participation is part of his/her mandatory work activities, they need to be informed of their freedom to "opt out" of being cited as a respondent/informant of the action research.**	☐	☑	☐
6. Does the research involve the collection of data beyond the normal activities engaged by participants? **If YES…obtain prior consent from participant and/or the parent/guardian for these research activities.**	☐	☑	☐
7. Does your procedure involve possible data gathering that will take place outside of the action research setting/environment? **If YES… Explicitly state in your procedure the manner in which data will be collected outside of the action research**	☐	☑	☐

	Yes	No	Not Applicable
setting.			
8. Will your research engage your participants in roles as active informants, co-researchers or researchers? **If YES… Specify in your research proposal the level of participation, especially as regards to the focus of decision making, the content, nature, frequency, duration, benefits and potential impact of your co-researchers' or informants' participation.**	☐	☑	☐
9. Is your role and status in the institution (e.g. teacher in the classroom, administrator of the school, business owner, or manager of the corporate firm) going to affect the conduct of the research? **If YES… Indicate how you will address potential biases.**	☐	☑	☐
10. Is the agreement regarding ownership of data among involved parties in the research ambiguous? **If YES…include in the methodology section of your research proposal and the informed consent form a clear statement of the purposes, procedures, risks, and benefits of the research project, as well as the obligations and commitments of both the participants and the researchers.** **If NO…stipulate in the methodology section and informed consent form how data will be shared.**	☐	☑	☐
11. Is there a probability that a participant will not consent to the conduct of your action research? **If YES… Present the alternative activities/intervention in the proposal. Provide a straightforward and transparent agreement between the researcher and the research**	☐	☑	☐

	Yes	No	Not Applicable
participants regarding the terms of engagement in the research process.			
12. Is there a probability that a participant will drop out from the study? **If YES… Present a course of action in the methodology section of your research proposal.**	☐	☑	☐
13. Is there a possibility that your action plan/intervention will inflict unintended harm to your participants? **If YES… what measures do you have to detect and address these unanticipated adverse consequences? Discuss how you intend to address this concern in your research proposal.**	☐	☑	☐
14. Is a commercial product an end goal of your research? If yes, do you want to apply for a patent for this product? Please check: _____ Yes _____ 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 University Research Ethics Review Committee.

Mary Jane B. Arcilla **Name and Signature of Principal Investigator**	November 22, 2018 **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.

Mary Jane B. Arcilla		November 22, 2018
Adviser's Name	Signature	Date