



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	DCUBuddy - A virtual assistant for new students
PRINCIPAL INVESTIGATOR(S) <i>The Principal Investigator is the project supervisor and s/he has primary responsibility for the project.</i>	Dr. Brian Davis
START AND END DATE	13/9/21 - 4/3/22
STUDENT NAME(S), COURSE AND YEAR (E.G. EC4)	Mark Kevin Queypo, Conor Patrick Marsh - CASE3 - YEAR 3
LEVEL OF RISK <i>Please confirm that this project requires notification only</i>	Notification only: YES

1. ADMINISTRATIVE DETAILS

1.1 WILL THE PROJECT BE UNDERTAKEN ON-SITE AT DUBLIN CITY UNIVERSITY?

YES or NO

NO

If NO, state details of the off-campus location – provide details of the approval to gain access to that location in section 2.7.

It will be done online - using Zoom and Google Forms

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: _____

Brian Davis

Print Name(s) here: _____ Brian Davis _____

Date: _____ 25/2/22 _____

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

Mark Kevin Queypo

Conor Marsh

Student(s) signature(s): _____

Print Name(s) here: _____ Conor Marsh _____ Mark Kevin Queypo _____

Date: _____ 25/2/22 _____

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.

Chatbot - a computer program designed to simulate conversation with human users

The project presents a chatbot which answers text-based queries from the user. The chatbot provides useful campus-related information including information on assignments and timetables. Testing will allow the user to interact with the chatbot using a number of different queries. Following this they will be asked to fill in a Google Forms survey. The aim of the project is to satisfy the user's requirements accurately and provide useful assistance for campus navigation.

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.

Group 1 will consist of fellow college students from the same course (CASE3) as the project designers.

Group 2 will consist of family members of the project designers and this will be utilised if participant numbers are short from Group 1.

All participants will be 18 years or over and the intention is to have 5 participants.

The justification is that this number will be sufficient to identify any obvious bugs or problems in the program but will allow testing to be undertaken in a very short time span.

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).

Recruitment of students will be done through email and messaging apps like Whatsapp and discord. We know these students as we are in the same course. Obtainment of their contact information is available while searching their full name by internal DCU email. We are also able to contact them as they are members of a class messaging group.

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

We will not disclose any information about any of the students involved in our project such as their name and contact details. The survey data will be anonymised at source.

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

The participants will be informed through email and through messaging apps about these limitations.

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.

Recruitment of students will be done through email and messaging apps like Whatsapp and discord. We know these students as we are in the same course. Obtainment of their contact information is available while searching their full name by DCU mail apps. We are also able to contact them as they are members of a class messaging group.

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%20protection%20handbook%20rev1%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?

The findings will be solely used by the two designers of the project as part of the testing process and will not be provided to anyone else. Naturally the supervisor and examiners will have access.

- 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 testing involves an anonymous survey in which the topic itself is not likely to elicit significant difficulties for the participants.
The research carries no risks beyond those of everyday life (as experienced by the intended participant population).
The research involves analysis of data that is anonymized and will have had no identifying information of any given participant.

- 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 designers' undertaking of the project involves none of the risks stated above. There is no example of deception, illegal activities or lasting psychological effects on the participants in any way.

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

YES or NO

NO

If YES, provide details

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.

We are confident that the nature of our research provides no risk of any significant psychological effects on the participants.

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.

Regular meetings are held between the project designers/students and the project supervisor in which all undertakings since the previous meeting are made entirely clear. All future intentions are discussed and approved by the supervisor. Communications between designers and research participants along with data gleaned from the research itself will be made available to the supervisor at any time.

3.8

DO YOU PROPOSE TO OFFER PAYMENTS OR INCENTIVES TO PARTICIPANTS?

YES or NO
NO

If YES, please provide further details

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- 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

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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
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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 'Personal Data' (see definition above)

1	Will the proposed research include living human subjects? <i>Rationale – personal data applies only to living individuals.</i>	YES or NO	YES
2	Will the proposed research use any data that can be linked to an identified, or an identifiable, person? <i>Rationale – to be personal data it must be possible to associate it with an identified, or an identifiable, living person.</i>	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. <i>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'.</i>	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)		
	<i>Racial or Ethnic Origin</i>	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	<p>Will the proposed research involve the use of <u>personal data</u> relating to children or vulnerable individuals?</p> <p><i>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.</i></p>	YES or NO	NO
3	<p>Will the proposed research involve the use of data relating to an individual's criminal convictions and / or offences?</p>	YES or NO	NO

4	<p>Will the proposed research involve the large-scale processing of <u>personal data</u>?</p> <p><i>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.</i></p>	YES or NO	NO
5	<p>Will the proposed research involve any form of <u>automated processing</u> of personal data?</p> <p><i>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.</i></p>	YES or NO	NO
6	<p>Will the proposed research involve the sharing or transferring of any personal data to a 3rd party outside of DCU?</p> <p><i>For example, other research partners, providers of translation or transcription services, etc.</i></p> <p><i>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).</i></p>	YES or NO	NO
7	<p>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.)</p> <p><i>The EEA refers to the 'European Economic Area' (i.e. the EU plus Norway, Liechtenstein and Iceland).</i></p>	YES or NO	NO

8	<p>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?</p> <p><i>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.</i></p>	YES or NO	NO
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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)	<p>Does your project include the use of Personal Data of individuals which reveals any of the attributes or characteristics below?</p> <p>If 'Yes,' please indicate which will be used in your project (tick all that apply):</p>	YES or NO	NO
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	<i>racial or ethnic origin</i>	YES or NO
	<i>political opinions</i>	YES or NO
	<i>religious or philosophical beliefs</i>	YES or NO
	<i>trade union membership</i>	YES or NO
	<i>genetic data</i>	YES or NO
	<i>biometric data</i>	YES or NO
	<i>data concerning health</i>	YES or NO
	<i>data concerning a natural person's sex life or sexual orientation</i>	YES or 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? <i>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)</i>	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? <i>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</i>	YES or NO	NO
9	Does your project include any partners which are third parties outside of DCU? <i>e.g. Research partners, third party software providers or other providers such as translation or transcription services, etc.</i>	YES or NO	NO
10 (a)	Does your project involve the sharing or processing of Personal Data outside the EU or the EEA? <i>i.e. the EEA is the European Economic Area (the EU plus Norway, Liechtenstein and Iceland)</i>	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? <i>An example would be combining mobile phone location data along with any other dataset to identify individuals.</i>	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
YES

If YES, please explain below the methods by which you intend to anonymise/pseudonymise the personal data:

The research will be undertaken using an anonymous Google Forms survey.

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.

Any data stored will utilise the DCU Google Drive.

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 be limited to the two project designers.

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.

Data will be disposed upon completion of the project. i.e. Once the live project demo is complete.

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.

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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.

<p>How will the data/samples be disposed of?</p> <p>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.</p>	<p>Data will be permanently deleted from any location on the hard drives of the project designers, as well as any other storage location being used.</p>
<p>By whom will the data/samples be disposed?</p> <p>Please indicate the designated team member(s) with responsibility for deletion and/or destruction of the research project's personal data.</p>	<p>Conor Patrick Marsh and Mark Kevin Queypo (project designers).</p>



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

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

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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.

See attached in Appendix 2

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.

No assent form attached as no persons under 18 years of age will be involved in the project.

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]		NA
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)		NA
Evidence of external approvals related to the research [see sections 1.1 and 2.10]		NA
Questionnaire/Survey	YES	
Interview/Focus Group Questions		NA

Appendix 1

DUBLIN CITY UNIVERSITY

Plain Language Statement

Introduction to the Study

Study Title: DCUBuddy - A virtual assistant for new students
University Department: DCU Faculty of Engineering and Computing
Students: Conor Patrick Marsh, Mark Kevin Queypo
Supervisor: Dr. Brian Davis

The project presents a chatbot which answers text-based queries from the user. The chatbot provides useful campus-related information including information on assignments and timetables. Testing will allow the user to interact with the chatbot using a number of different queries. Following this they will be asked to fill in a Google Forms survey. The aim of the project is to satisfy the user's requirements accurately.

Data Protection/Privacy Notice (Personal Data – GDPR Compliance)

The Data Controller for this project is DCU. Data will be processed through the use of Google Forms.

The DCU Data Protection Officer is Mr. Martin Ward (data.protection@dcu.ie Ph: 7005118 / 7008257)

The data is being requested for the purpose of testing and evaluating the functionality of the DCU 3rd Year Undergraduate Project, "DCUBuddy - A virtual assistant for new students". It will be applied for the purpose of amending any code in the project which produces unsatisfactory results for the end user.

This data will be held as part of the testing process of the project. It is necessary to hold the data until completion of the project in order to make amendments to the structure of the project.

No personal data will be requested from participants.

There are no third parties involved in the project.

There are no parties external to DCU with whom the data will be shared.

The data will not be transferred to other countries.

The retention period is until the completion of the project.

Individuals who provide data as part of this research are within their right to lodge a complaint with the Irish Data Protection Commission.

No personal data is being recorded.

The participant has the right to withdraw consent of use of their data at any time of its retention by contacting and informing either member of the project design team.

This data will not be used for any future projects beyond the scope of the current project.

All information will be kept strictly confidential. The survey will be conducted online and all answers will be completely anonymous with no identifiable information requested. All data stored will be stored in a secure location and will be electronically destroyed after the deadline of the project which is on 4th March 2022.

The participant will be examined on video while they undertake certain tasks as part of the testing process of the project. The participant will then be asked to complete an anonymized online survey giving feedback on their experience. The whole process should take no longer than 2 hours.

There are no potential risks to the participants beyond that encountered in everyday life.

There is no direct benefit to the participants from involvement in the study.

Confidentiality of information 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.

We state that involvement in the study is voluntary and participants can withdraw from the study at any point should they feel upset or distressed. Once the participant has withdrawn, their participation in the project will end.

A total of 5 participants will be recruited for this study.

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

If participants seek further information on the project during or after the testing phase please contact either of the project designers:

Conor Patrick Marsh, conor.marsh2@mail.dcu.ie

Mark Kevin Queypo, mark.queypo2@mail.dcu.ie

Appendix 2

DUBLIN CITY UNIVERSITY

Informed Consent Form

Study Title

DCUBuddy - A virtual assistant for new students

University Department: DCU Faculty of Engineering and Computing

Clarification of the purpose of the study

I acknowledge that the identity of the data controller is DCU. I acknowledge that the purpose of the processing of this data is to test and review the functionality of certain elements within the 3rd Year Undergraduate Project, "DCUBuddy - A virtual assistant for new students".

Confirmation of particular requirements as highlighted in the Plain Language Statement

Participant – please complete the following (Circle Yes or No for each question)

<i>I have read the Plain Language Statement (or had it read to me)</i>	Yes/No
<i>I understand the information provided</i>	Yes/No
<i>I understand the information provided in relation to data protection</i>	Yes/No
<i>I have had an opportunity to ask questions and discuss this study</i>	Yes/No
<i>I have received satisfactory answers to all my questions</i>	Yes/No
<i>I am aware that my interview may be recorded</i>	Yes/No

Confirmation that involvement in the Study is voluntary

I fully understand that as a voluntary participant I can choose to withdraw completely from the Study at any time.

Confirmation of arrangements to be made to protect confidentiality of data

I understand that data will be kept confidential and not shared with any third-parties outside of the project design team. Data will be anonymized through the use of a Google Forms survey. The confidentiality of information is subject to legal limitations.

Confirmation of arrangements regarding retention/disposal of data

I understand that any data collected will be destroyed within one month of the project completion date of March 4th.

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: _____

Name in Block Capitals: _____

Witness: _____

Date: _____

Appendix 3

Anonymous Online Consent Form Template

Introduction to the Study

Study Title: DCUBuddy - A virtual assistant for new students
University Department: DCU Faculty of Engineering and Computing
Students: Conor Patrick Marsh, Mark Kevin Queypo
Supervisor: Dr. Brian Davis

The project presents a chatbot which answers text-based queries from the user. The chatbot provides useful campus-related information including information on assignments and timetables. Testing will allow the user to interact with the chatbot using a number of different queries. Following this they will be asked to fill in a Google Forms survey. The aim of the project is to satisfy the user's requirements accurately.

Survey Requirements

Link to consent form:

https://docs.google.com/forms/d/e/1FAIpQLSccUYDcNbD15tYmPvsCAHMoZpAGjYaKfWkFXv3_UujMNEsAqw/viewform?usp=sf_link

Link to survey:

https://docs.google.com/forms/d/e/1FAIpQLSeFpYbbYZyqJdh0rbvzvpAgICHb3Zu3ceDF7BPoPFqoL1ZiBw/viewform?usp=sf_link