

Dublin City University School of Computing ETHICS COMMITTEE

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

		MASTI	ERS LEVELS	
Appli	ication			
Num	ber:			
	read the following informat uidelines will make your su	•	e completing your application for review.	n. Failure to adhere to
>	Download this form			
>	Completed applications m located in "docs/ethics.		your School of Computing	GitLab repo, and must be
>	Your supervisor will be no	tified automatically	and must approve your ap	proach initially.
>	include this form and also m	oust incorporate all s s e.g consent forms,	tronic file (PDF) only. The cupplementary documentation, plain English language state	especially that being given
A	All sections of the applic given.	ation form must b	e answered as instructed a	nd within the word limits
Applicati resubmis		all of these requir	ements will not be accepted	for review and will require
Applicati	ions must be completed on	this form; answers	in the form of attachments w	ill not be accepted, except

where indicated. No hard copy applications will be accepted. The project must not commence until written

approval has been received from the School of Computing Ethics Committee.

PROJECT TITLE	Q&A Extraction from Factual Text
PRINCIPAL INVESTIGATOR(S) The named Principal Investigator is the person with primary responsibility for the research project. In the case of Taught Masters projects and undergraduate projects the supervisor is the Principal Investigator.	Yvette Graham
START AND END DATE	Start: 02/11/2018 End: 19/05/2019
LEVEL OF RISK Please indicate whether this project requires more than a notification Justification for your choice is required under section 3.1	Notification

Please confirm that <u>all</u> 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 file which includes the following documentation:	INCLUDED (mark as YES)	NOT APPLICABLE (mark as N/A)
Bibliography		N/A
Recruitment advertisement		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

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

PRINCIPAL INVESTIGATOR(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
Yvette Graham	School of Computing	Yvette.Graham@dcu.ie

OTHER INVESTIGATORS (STUDENT(S):

NAME	SCHOOL/UNIT	EMAIL
Traian Svinti	School of Computing	traian.svinti2@mail.dcu.ie

1.2 WILL THE RESEARCH BE UNDERTAKEN ON-SITE AT A Dublin City University CAMPUS ?

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.)

Most of the research will be completed on campus, however I may need friends and family to test my system which will be completed at home (General User Testing)

1.3 IS THIS PROTOCOL BEING SUBMITTED TO ANOTHER ETHICS COMMITTEE, OR HAS IT BEEN PREVIOUSLY SUBMITTED TO AN ETHICS COMMITTEE?

YES	or	NO	
NO			

DECLARATION BY PRINCIPAL INVESTIGATOR(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	Signatur	e(s):
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Principal investigator(s):	yette Graham
Print Name(s) here:YVETTE GRAHAM	
Date: 29 April 2019	

2. PROJECT OUTLINE

2.1 LAY 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.

This project uses Natural Language Processing to extract questions from a piece of inputted factual text.

The user would need to add a piece of text and provide feedback on the overall quality of the web app, questions, fluency and difficulty.

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.

This project aims to assist teachers and students in creating and testing of a factual piece of text in a comprehension style of testing. The user will input a piece of factual text, from this text, questions will be outputted which can be downloaded for external use.

I believe this would be of benefit to multiple different types of users for comprehension testing, specifically, for younger children to help them gain the skills of finding information in text.

NOTE, young children will not be using this, but the actual teachers or persons who will be testing them.

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.

The user will be asked to find/create a piece of text and provide feedback on the questions outputted. No data is collected as users are not required to log in to use this system.

The text inputted is analyzed on the same server as the running framework and is not sent anywhere else. All inputs are encrypted.

This task should take no longer than 5 minutes per user to provide even the most detailed feedback.

The data is analyzed using natural language processing.

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.

Are adv	RTICIPANT VULNERABILITY some or all of participants vulnerable in any way? (e.g by virtue of the group they belong to, peoplerse emotional events, people with diminished cognitive ability, power relations between researched what this vulnerability (or vulnerabilities) is and justify why this research is being done with such people with such peo	rs and participants	one traum etc.)? If the
N/A			
	•		
If yo "Ke	ILD PARTICIPANTS (anyone under 18 years old) our participants include children, you must confirm that you are in compliance with the researce eping Children Safe - Policies and Procedures supporting Child Protection bs://www4.dcu.ie/sites/default/files/policy/157%20-%20child protection handbook rev1%282	at DCU" -	available
Ple	ase indicate your compliance with the following guidelines:	Mark here	
	confirm that we have read and agree to act in accordance with the DCU Child tection policy and procedures	N/A	
1	confirm that we have put in place safeguards for the children participating in the earch	N/A	
	confirm that we have supports in place for children who may disclose current or corical abuse (whether or not this is the focus of the research)	N/A	
Plea Hov hav	PLAIN HOW PARTICIPANTS ARE TO BE RECRUITED ase provide specific details as to how you will be recruiting participants. How will people be informed with will be approached and asked if they are willing to participate? If you are mailing or phonice obtained their names and contact details. If a recruitment advertisement is to be used, please lication.	ng people, please	explain ho

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?

N/A			

2.7 ARE OTHER APPROVALS REQUIRED TO GAIN ACCESS TO ANOTHER LOCATION, ORGANISATION ETC.?

YES	S 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.)

2.8 HAS A SIMILAR PROPOSAL BEEN PREVIOUSLY APPROVED BY THE DCU SCEC?

YES or NO NO

(If YES, please state both the REC Application Number and Project Title)

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

The level of risk for my system is extremely low. There will be no users under the age of 18. There will be no personal information taken and no inputted text is stored.

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)?	NO
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.

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

YES or NO

(If YES, provide details.)

3.5 ARE THERE ANY SPECIFIC RISKS TO RESEARCHERS?

Examples include use of dangerous materials,	askina	certain	types	of	auestions.	research	beina	undertaken	in	certain	locations.
researchers working alone in isolated areas, etc.	J		71		-,,						
VES or NO											

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.

The user will be told that they do not need to input personal information, even if they do, it is not stored.

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.

Weekly meetups with supervisor in which every aspect is discussed and advised.

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

(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

(If YES, please specify how this conflict of interest will be addressed.)

4. INVESTIGATORS' QUALIFICATIONS, EXPERIENCE AND SKILLS (Approx. 200 words)

List the academic qualifications and outline the experience and skills relevant to this project that the PI, other researchers and any supporting staff have in carrying out the research and in dealing with any emergencies, unexpected outcomes, or contingencies that may arise. State specifically who will be carrying out the research procedures

I, Traian Svinti, will be conducting all the user testing.

5.	CONFIDENTIALITY/ANONYMITY						
5.1	WILL THE IDENTITY OF THE PARTICIPANTS BE PROTECTED? YES OF NO YES						
	(If NO, please explain why.)						
IF YO	J ANSWERED YES TO 5.1, PLEASE ANSWER THE FOLLOWING QUESTIONS:						
5.2	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 anony identity. Participants involved in such projects need to be advised of this limitation in the Plain Langua you intend to fully anonymize the data, please provide details	/mity/confidentiality ge Statement/Infor	<mark>rof participant</mark> mation Sheet. If				
	No information is stored. The only input is the text, the feedback received is impthe specific person who participated.	portant, not					
5.3	LEGAL LIMITATIONS TO DATA CONFIDENTIALITY Participants need to be made aware that confidentiality of information provided cannot always be guaranteed by researchers and can on 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						
	N/A						
6.	PERSONAL DATA - COMPLIANCE WITH THE GENERAL DATA PROTECTION	REGULATION					
conjund researd	al data is data relating to a living individual (i.e. the 'Data Subject') who is, or can be, identified either from ction with other information that is in, or is likely to come into, the possession of the 'Data Controller' (i.e. I th teams etc.). Further information on personal data is available from the DCU Data Protection Unit (www.dcu.ie/ocoo/dp/guides.shtml	OCU and its constit					
6.1	IS PERSONAL DATA BEING PROCESSED AS PART OF THIS PROJECT? YES OF 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						

Please see the GDPR and the Research Ethics Process section of the <u>SCEC main webpage</u> for guidance

the project and have attached it to this application

We confirm that we have put in place a Personal Data Security Schedule (PDSS) for

6.2	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
6.3	WILL ANONYMISATION/PSEUDONYMISATION OF THE PERSONAL DATA BE UNDERTAKEN? YES OF NO
	(If NO, please explain why.) The testing user will input false credentials as this is irrelevant to the study

7. 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.

7.1 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.

Extracted questions and user profile information will be stored for correct function of the webapp. Once user testing evaluation is retrieved, all database information will be deleted.

7.2 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.

No one apart from myself, the test conductor.

7.3 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 deleted immediately after the survey results have been compiled.

7.4 IF DATA/SAMPLES ARE TO BE DISPOSED OF, PLEASE EXPLAIN <u>HOW, WHEN</u> AND <u>BY WHOM</u> 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.

A full system prune will be conducted which means that all database information is deleted.

8.	FUNDING OF THE RESEARCH
8.1	HOW IS THIS WORK BEING FUNDED, IF IT IS EXTERNALLY FUNDED?
	N/A
8.2	PROJECT GRANT NUMBER (If relevant and/or known – otherwise mark as N/A)
	N/A
8.3	DOES THE PROJECT REQUIRE APPROVAL BEFORE CONSIDERATION FOR FUNDING BY A GRANTING BODY? YES or NO NO
8.4.1	HOW WILL PARTICIPANTS BE INFORMED OF THE SOURCE OF THE FUNDING? (e.g. included in the Plain Language Statement)
	N/A
8.5	DO THE FUNDERS OF THIS PROJECT HAVE A PERSONAL, FINANCIAL OR COMMERCIAL INTEREST IN ITS OUTCOME THAT MIGHT COMPROMISE THE INDEPENDENCE AND INTEGRITY OF THE RESEARCH, OR BIAS THE CONDUCT OR REPORTING OF THE RESEARCH, OR UNDULY DELAY OR OTHERWISE AFFECT THEIR PUBLICATION? YES OF NO NO
	(If YES, please specify how this conflict of interest will be addressed.)

9. 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
ntroductory Statement (PI and researcher 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?	NO
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?	NO
Contact details for further information (including SCEC contact details)	YES
Details relating to GDPR Compliance if Personal Data is being sought	YES

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

No confidential data is being used.

Participants are not directly affected or involved in the post process of the feedback.

10. 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.

N/A Tick box being used in questionnaire

DUBLIN CITY UNIVERSITY

Plain Language Statement

1. Introduction to the Research Study

School: School of Computing

Title: Q&A Extraction from Factual Text

Principal Investigator: Yvette Graham

Contact Details: Yvette.Graham@dcu.ie

Other investigators: Traian Svinti

Contact Details: traian.svinti2@mail.dcu.ie

2. Details of what involvement in the Research Study will require

The purpose of this research study is to retrieve information from user testing for my final year project.

As part of this study, it is required to input some form of factual text, whether from a textbook, online sources or created on the spot. This can be any sort of sentences in a comprehension style of text that is factual and is not personal information in any sort of way. No other input to the web app is needed.

Once this is inputted, what we ask you to do is to simply analyze the questions and take some written notes about the quality of the questions provided by the system, such as their fluency, accuracy, complexity etc. This information will be required as input to the subsequent questionnaire. This should take no longer than 5 minutes in total.

This research is being conducted as a means of user testing to retrieve feedback from potential users.

Through your feedback, the quality of the system can be improved incrementally. All feedback will be kept anonymous.

The information input for question extraction is not saved but can be downloaded using the button at the bottom of the questions if one would so desire.

3. Potential risks to participants from involvement in the Research Study (if greater than the encountered in everyday life.

There is no risk in your involvement in this research, no personal information is taken and no input text is stored.

4. Benefits (direct or indirect) to participants from involvement in the Research Study

There is no benefit in participation.

5. Statement that involvement in the Research Study is voluntary

No one is forced to begin or complete this. If you have any concerns, feel free to stop using the system / inputting information to the questionnaire and reach out to the below contact.

6. GDPR Compliance

N/A. No personal information is used.

If you 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

CA400 Q&A Extraction from Factual Text Questionnaire

I have been given general information about this project and the types of questions I can expect to answer. I understand that the survey/questionnaire will be conducted anonymously and that it will take approximately 2 minutes of my time to complete. I understand that my participation in this project is completely voluntary and that I am free to decline to participate, without consequence, at any time prior to or at any point during the activity. I understand that any information entered into the question extractor system will not be personal and will be made up or sourced. I understand that the results of this activity will be used exclusively in the below-named student's Dublin City University's course assignment and none of the information I provide will be published, in any form, in any journals or conference proceedings. I also understand that there are no risks involved in participating in this activity, beyond those risks experienced in everyday life.

-	\square I have read the information above. By ticking the box and returning this form, I	l am
	consenting to participate in this survey/questionnaire project .	

1. Is the website intuitive? Does it provide ease of use and is it pleasing to the eye?



If no, please elaborate.

2. Are the questions outputted accurate to the inputted text?



If no, please elaborate.

3. Are the questions outputted fluent?



If no, how often was there a mistake in the questions?

4. Are the questions outputted advanced?



Please elaborate.

5. Did you notice anything strange while using the system?



If yes, please elaborate.

6. Do you have any suggestions?



Please elaborate.