Dublin Business School

Ethical Guidelines for Research with Human Participants

&

Procedures for Ethical Approval

September 2019

Version 1	**1/9/07**	
Version 2	**Amended to include reference to DBS staff**	**26/1/12**
Version 3	**Updated with new policies 1/9/19**	

Contents

Introduction

All research, whether undertaken by students or staff, should be conducted in an ethical manner. This requires researchers to reflect on the nature of any planned research and identify the key ethical issues involved. The aim of this document is to describe the procedures for ensuring that research conducted at Dublin Business School meets the required ethical standards. This document is written as a guide to students conducting research required by undergraduate and postgraduate courses, and as a guide to staff engaged in research to further their own professional development and/or to meet the requirements of the relevant professional accrediting bodies. These guidelines should also be read in conjunction with the appropriate subject-specific professional guidelines. All students must discuss the ethical issues inherent in any proposed research with their supervisor prior to submitting their proposal to the School Research Filter Committee. Staff research proposals should be directly submitted to the School Research Filter Committee. Applicants should note that they are solely responsible for ensuring that they adhere to the appropriate ethical and legal guidelines and that granting of ethical approval by any Human Research Ethics Committee does not absolve them from being cognisant and compliant with such guidelines.

Guiding Principles

Research with human participants is central to many fields of study and therefore many disciplines, as well as national and international bodies, have issued documents on the principles of ethical research. However a key document is the 'The Belmont Report' (1979), which was published by the National Commission for the Protection of Human Subjects of Biomedical and Behavioural Research and outlines key ethical principles for the protection of human research participants (see http://ohsr.od.nih.gov/guidelines/belmont.html). The Belmont Principles of *respect of persons, beneficence and justice* represent the three core principles that are used to judge the appropriateness of research with human participants.

1. Respect for Persons: This principle focuses on the need to treat individuals as autonomous agents thus respecting their rights, including their right to make judgements about participation in research. However this principle also directs researchers to protect those individuals with "diminished autonomy", whether permanently or temporarily incapacitated.

2. Beneficence: This principle focuses on the need to ensure the well-being of individuals in two ways, by not directly harming participants and, where there is a potential risk to participants, to minimise this risk and maximise the potential benefits of the study.

3. Justice: The final Belmont Principle focuses on the way in which researchers should balance the costs and benefits of research and participation in research. This principle relates to, among other things, the way in which participants are selected for research and the way the findings from research are used to benefit people.

In many ways these principles represent the starting point for any individual considering research with human participants. However, these are general principles and it is important to consider the way in which these principles have been applied or operationalised. One way in which these principles have been operationalised is in the Codes of Conduct of professional bodies such as the Psychological Society of Ireland (www.psihq.ie) and the Irish Association for Counselling and Psychotherapy (www.irish-counselling.ie/). While it should be noted that these codes are not specific to research, they consider many issues relevant to research and should be consulted where necessary. The Belmont Report itself identified issues in the application of the three principles described above, and highlighted three areas of consideration; *informed consent, risk/benefit assessment, and the selection of subjects of research.*

1. Informed Consent: This application requires that individuals who are invited to take part in research are allowed to decide whether or not to take part, in so far as they are considered able to do so. In this case special consideration has to be given to individuals who are not able to give consent due to factors such as age or intellectual capability.

In general circumstances, participants (or their guardians) are invited to consent having been given all the necessary information to make that decision. While it is sometimes necessary to withhold some information on the nature of the research prior to participation (generally called 'deception'), this is generally only acceptable when it is necessary to the validity of the research, when any associated risk is minimal, and when the participants will be fully debriefed afterwards.

An additional element of this issue is the responsibility to ensure that the information is presented in a way that is fully accessible to the participant, whatever their age or other

circumstances. Finally, researchers must consider the extent to which participants can voluntarily accept or decline to participate in the research. This refers to situations where the participant may be or feel under pressure to decide either way. This could occur in situations where inappropriate influence or inducement is used either intentionally or unintentionally.

2. Assessment of Risks and Benefits: The second issue for consideration when applying key ethical principles is the evaluation of the potential risks and benefits associated with the research to be conducted and participation in that research. This includes considering the potential benefit to understanding and practice from the findings, whether this justifies any potential risk to participants, and the procedures in place to minimise risk, and where necessary, the arrangements to provide appropriate support to participants.

3. Selection of Participants: The final issue highlighted by the Belmont report is the way in which human participants (referred to as subjects in the document) are selected to participate in the research. This is linked to the principle of justice and focuses on the use of fair practices in selecting individuals for invitation.

Keeping in mind the general nature of both the Belmont Principles and the guidelines for application considered in the Belmont Report, researchers are encouraged to examine the guidelines issues by the relevant professional body or other relevant institution for more detailed consideration of specific points of application. In addition, when designing a piece of research, researchers must consider both general ethical issues and those that are specific to the population and the methods being employed. This is particularly important if the research is being conducted with a specialist population or in an organisational setting. For example, for individuals considering research with persons with disabilities, the National Disability Authority (www.nda.ie) has published a document on ethical research on its website. Considering the demands of particular methodologies, qualitative research methods that involve audio and video recording will introduce challenges around protecting participants' privacy and anonymity, and in relation to the ethical management and use of data. Preparing to conduct a piece of research involves a detailed consideration of all of these issues.

Committee Structures

In order to support undergraduate and postgraduate students, as well as staff, in the ethical completion of research, Dublin Business School has formed a College Human Research Ethics

Committee, which is considered a subset of the College Research Committee, with a more specific and formal remit. This is made up of no less than five representatives drawn from the Schools/Departments where research with human participants is typically conducted, including representatives from the Research Committee. These representatives have experience across the fullest range of research methodologies and populations. These members will draw their authority, not solely from their scholarly experience, but also from the approval of their nomination to the College Human Research Ethics Committee by their Heads of School and the DBS Executive. In addition, a lay person, without academic experience, and an individual with legal expertise sit on the committee.

The College Human Research Ethics Committee monitors national and local legislation and practice to ensure that these are implemented in accordance with the needs of the College, its staff and students. In exceptional circumstances, the Chairperson may co-opt temporary members onto the College Human Research Ethics Committee to advise on certain applications.

In order to support the efficient review of material, a number of School Research Filter Committees have been established. These school-level committees comprise no fewer than five members reflecting the range of specialisms conducted within the School. Each respective School may subsequently further split into Department Research Filter Committees should research throughput necessitate as such. There would not appear to be any need to make any further distinction between a School Research Filter Committee and a Department Research Filter Committee other than this. These filter committees review and approve research proposals which are of a low ethical risk (see categories below), but not those of significant ethical risk.

Each Filter Committee submit a report to the Chair of the College Human Research Ethics Committee on applications considered and decisions made. In general, the College Human Research Ethics Committee effectively only approves and reviews research which may have an ethical risk, with a view to recommendations made by the relevant School Research Filter Committee. It is therefore the responsibility of the School Research Filter Committees to ensure that it passes to the College Human Research Ethics Committee all the proposed research of significant ethical risk which it has received and have not filtered out any proposed research which could fall into that category.

Ethics Application Process

The staff member or student, following consultation with his/her supervisor, should complete a Research Application Pack and submit this initially to the appropriate School Research Filter Committee (see Appendix for a more detailed Process Chart).

The Research Application Pack entails completing or preparing the following documents:

- Research Ethics Application Form.
- Research Proposal form
- Research Ethics Review Exemption Form (if included, provided ethical approval paperwork from other institution)
- Participant Information Sheet(s)
- Participant Consent Form(s)
- Garda vetting and Children's first e-learning course where relevant

The School Research Filter Committee determines the category into which the research falls. The categories are as follows:

- **Research category 00** – Research not involving human or animal participants or collection of data relating to humans or animals.
- **Research Category OX** – Research not involving human or animal participants but which may include collection of secondary data relating to humans or animals
- **Research category A** – Research involving human volunteers but not including; clinical trials of investigative medicinal products or other therapeutic interventions; studies using new methodologies; studies involving certain vulnerable populations (detailed below); studies requiring deception of the participant or any significant risk to anyone involved in the research.
- **Research category B -** Research involving human volunteers including; studies involving therapeutic interventions (but not including clinical trials of investigative medicinal products); studies using new research methodologies; studies involving vulnerable populations (detailed below); studies requiring deception of the participant or any significant risk to anyone involved in the research.
- **Research Category C –** Research involving human volunteers who are service users, patients, staff, records, etc., within the sphere of the HSE or similar setting (but not including clinical trials of investigative medicinal products).

- **Research Category D -** Clinical trials of investigative medicinal products involving patients or healthy volunteers.

For research in Category A, a favourable opinion from a School Research Filter Committee will be sufficient for the research to proceed while research in other categories will require consideration by the College Human Research Ethics Committee.

Decisions from Filter Committee:

Approved, to be stored at Programme / Research Centre / Academic Subject level

Approved pending minor / major changes by the applicant

Approval required by Research Ethics Committee, completed form to be forwarded to the Research Ethics Committee

Not approved, referred back to applicant for amendment

Vulnerable Groups as per ethics

This refers to any groups that require consideration of unique ethical challenges including:

- children
- the very elderly
- people with an intellectual or learning disability or other groups who might not understand the research and consent process or the implications for them of agreeing or declining to take part
- individuals or groups receiving help through the voluntary sector
- those in a subordinate position to the researchers such as employees or students (where the teacher or lecturer is conducting the research)
- Other groups might also be included in this category depending on the nature and context of the research.

Furthermore, in the case of a student with proposed research in category A, it is the duty of their supervisor to ensure that the participants of their project do not comprise a particular vulnerable group known to them individually (e.g. their employees).

Similarly, in the case of a staff member with proposed research in category A, it is the duty of the Filter Committee to ensure that the staff member's participants do not constitute a particular vulnerable group known to them.

Garda Vetting - working with children and other vulnerable groups

As a Higher Education Institution, DBS has an important role in providing third party institutions with high standards of care in order to promote their well-being and protect them from harm.

The College is registered for Garda Vetting under the National Vetting Bureau (Children and Vulnerable Persons) Acts 2012-2016. As such, all individuals who are employed and/or engaged by DBS or act on behalf of the College who have access to children and/or vulnerable adults in the course of their employment/engagement must undergo Garda Vetting. This is a mandatory requirement.

Therefore, anyone planning to conduct a research project on children or vulnerable groups are required to undergo Garda Vetting. This is mandatory only for these individuals. In order to process this, DBS appointed a staff member to conduct this.
Please note the Garda vetting process might take up to 6 weeks to complete.
Any research project applications that are conducted on children or vulnerable groups that do not have Garda Vetting will not be permitted.

Vulnerable adults

The National Vetting Bureau (Children and Vulnerable Persons) Act 2012 defines a "vulnerable person " means a person, other than a child, who—

- (*a*) is suffering from a disorder of the mind, whether as a result of mental illness or dementia,
- (*b*) has an intellectual disability,
- (*c*) is suffering from a physical impairment, whether as a result of injury, illness or age, or
- (*d*) has a physical disability,

- which is of such a nature or degree—
  - (i) as to restrict the capacity of the person to guard himself or herself against harm by another person, or
  - (ii) that results in the person requiring assistance with the activities of daily living including dressing, eating, walking, washing and bathing.

Research with Children

Please consult with the DBS Child Protection Policy and Garda Vetting policy when conducting research with under 18s. See also guidelines from the Department of Children and Youth Affairs Ethical Review and Children's Research in Ireland (2010) and in the associated guidance document Guidance for developing ethical research projects involving children (2012).

Students or staff working with children must complete Garda Vetting in advance of ethical approval and are advised to conduct the Children's First E-Learning course, an online course provided by Tusla. You will need to provide a copy of the certificate of completion for consideration for ethical approval
Information: https://www.tusla.ie/children-first/children-first-e-learning-programme/
Training link: https://childrenfirstuniversal.hseland.ie/

Position of Power

In the case of research where the researcher is in a position of power or authority in comparison to their participants, there is an issue of consent, voluntary participation and the right to withdraw. This can occur in the context of the staff-student setting, manager-employee, among others. Considering this, it will be required that such studies be reviewed by the College Ethics board. Efforts should be made to ensure the participant understands the voluntary nature of their participation, that participation is not compulsory and that they have the right to withdraw without penalty or grievance.

Conflict of interest

When applying for ethical approval, all conflicts of interest must be declared. These can occur when evaluating a researcher's own business, intervention or programme, to name a few. This can also be extended when evaluating such work by an employer, friends and family. To avoid bias and ensure objectivity, measures should be taken to demonstrate how the research will be conducted and full disclosure must be made with regard to the relationships that exist in the research setting.

Debriefing

Debriefing of participants should occur as soon as possible, that is, once participation is complete for each phase. In the case of longitudinal studies, with multiple stages of participation, the researcher

should debrief the participant where possible. Although it may be necessary to keep the participant naive to the later details of the study which are required to be retained for the integrity of the study, it is important to debrief the participant at each phase with the relevant information for that stage.

Identifiable data

As much as possible, data should be collected anonymously. However, in the case of studies where signed consent forms are required (qualitative studies, experiments etc.), where the participant is identifiable through the consent forms, every effort should be made to store the data de-identified. In the context of qualitative data, pseudonymisation is a useful approach or interviewee numbers.

Retention of data

The main researcher for a research project has the responsibility for the storage and retention of all the associated data and materials. As the data controller for the study the main researcher is responsible for the protection of the data under the Data Protection Act (2018). Particular care must be given in the context of identifiable data to ensure that the participant understands that it will be de-identified and understands the duration that the data will be retained for.

Under the data retention policy for DBS, records may be retained for up to five years, this also includes research data and materials. Retention periods may vary depending on the research area and nature of the data. However, the timeframe of which the data will be retained must be agreed at the start of the project and communicated to participants prior to participation.

All data should be retained and stored appropriately for five years unless otherwise indicated. However, when and where possible, hard copies should be destroyed in the appropriate manner. Once the period of retention has lapsed, the research data and materials should be destroyed or deleted in a confidential and secure manner.

Use of transcription services

When conducting qualitative research, it is not required to use a transcription service when transcribing interviews. However, if you choose to use such services, this must be indicated at the

time of seeking ethical approval, along with the chosen service. The chosen service must store the data in the EU to comply with the DBS Data Retention policy.
Furthermore, it must be indicated on the participant information sheet and consent form that the data will be shared with a third party for the purpose of transcription, however the identity of the participant will not be disclosed.

Use of translation services

When collecting interviews in languages other than English, a certified professional translation service must be used. Interviews cannot be translated by the researcher.
The use of translation services must be indicated at the time of seeking ethical approval, along with the chosen service. The chosen service must store the data in the EU to comply with the DBS Data Retention policy.
Furthermore, it must be indicated on the participant information sheet and consent form that the data will be shared with a third party for the purpose of translation, however the identity of the participant will not be disclosed.

External Applications

External applications should first contact the college Registrar for permission from the college to collect data or access data from the college. Following approval to do so, the researcher should apply for ethical approval to conduct the study in DBS. Where ethical approval has been attained at another institution, the researcher may apply for an exemption from full review as detailed in the next section. Please note ethical approval from the DBS College Ethics Committee does not guarantee participation on behalf of the staff or students.

Exemption from Full Review

In a limited number of situations, a researcher can apply to the relevant School Research Filter Committee for exemption from full review. These situations include but are not limited to; research that is conducted under the jurisdiction of another ethics committee; research conducted using data that already exists in established archives; research that is conducted using data that exists in the public domain. In these situations, the researcher must submit an Ethics Review Exemption Form to the School Research Filter Committee detailing the conditions under which the applicant feels an

exemption is relevant. The application must also include the ethical approval paperwork from the approved institution.

Ethics Application and Appeal Process

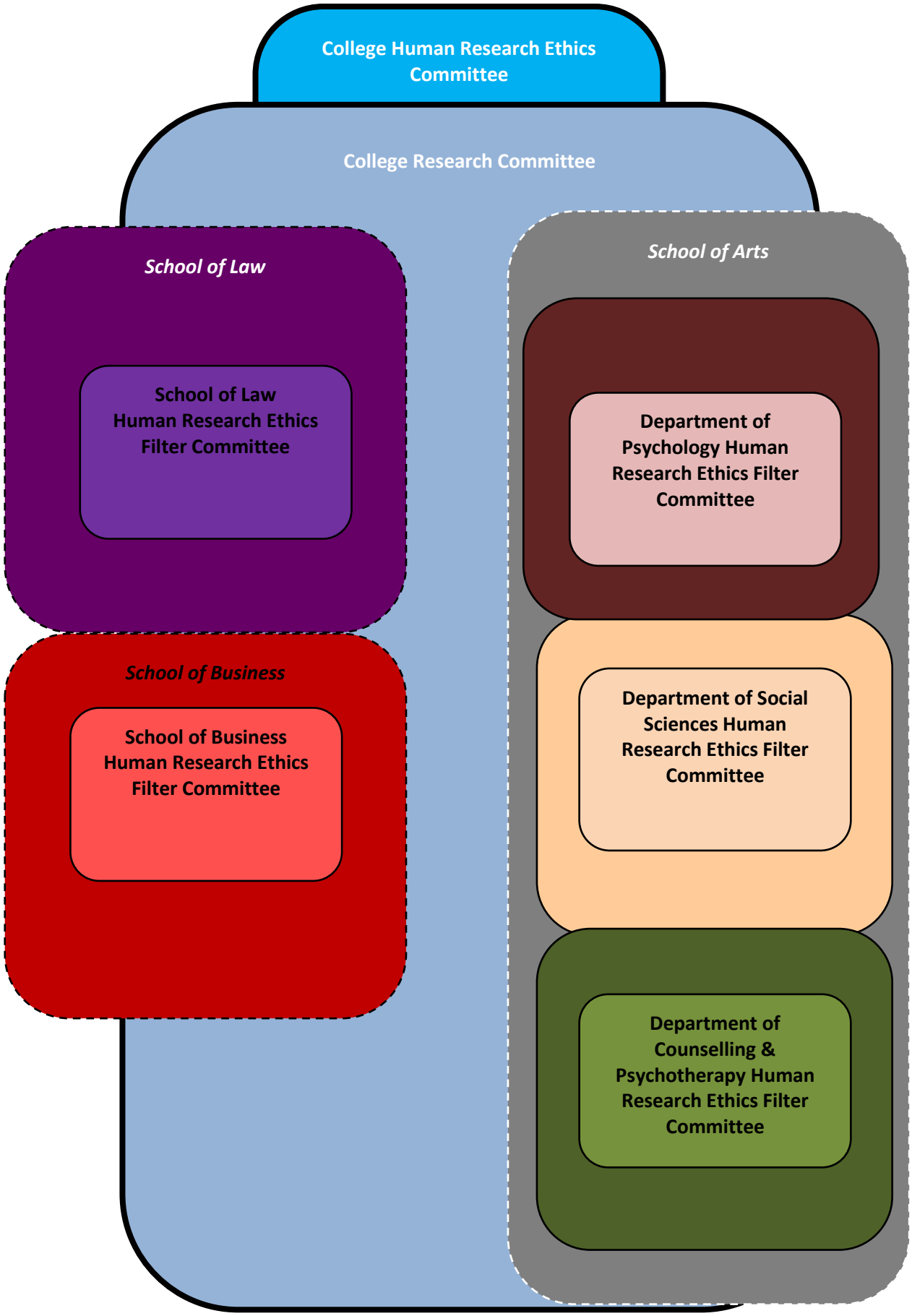
- After each meeting, the Chairperson of the College Human Research Ethics Committee will return a decision for each application based on the committee's decision.
- The College Human Research Ethics Committee may make the following decisions as regards the ethics of the project (see Process Chart in Appendices):-
    - Approved (no further correspondence necessary)
    - Conditional approval (minor revisions, to be accepted by the Chair)
    - Conditional approval (major revisions, to be approved by a quorum of the committee electronically)
    - Rejection/Invitation to resubmit to next sitting of committee

Appeals against a decision of the College Human Research Ethics Committee must be made in writing within ten working days to the Chair. The Chair will ask a quorum of the College Research Committee (none of whom will have reviewed the initial application) to review the appeal with any additional information the applicant wishes to submit. When this meeting convenes, overseen by the Chair of the College Research Committee, it shall comprise an extraordinary meeting of the College Human Research Ethics Committee and its decision will be final.

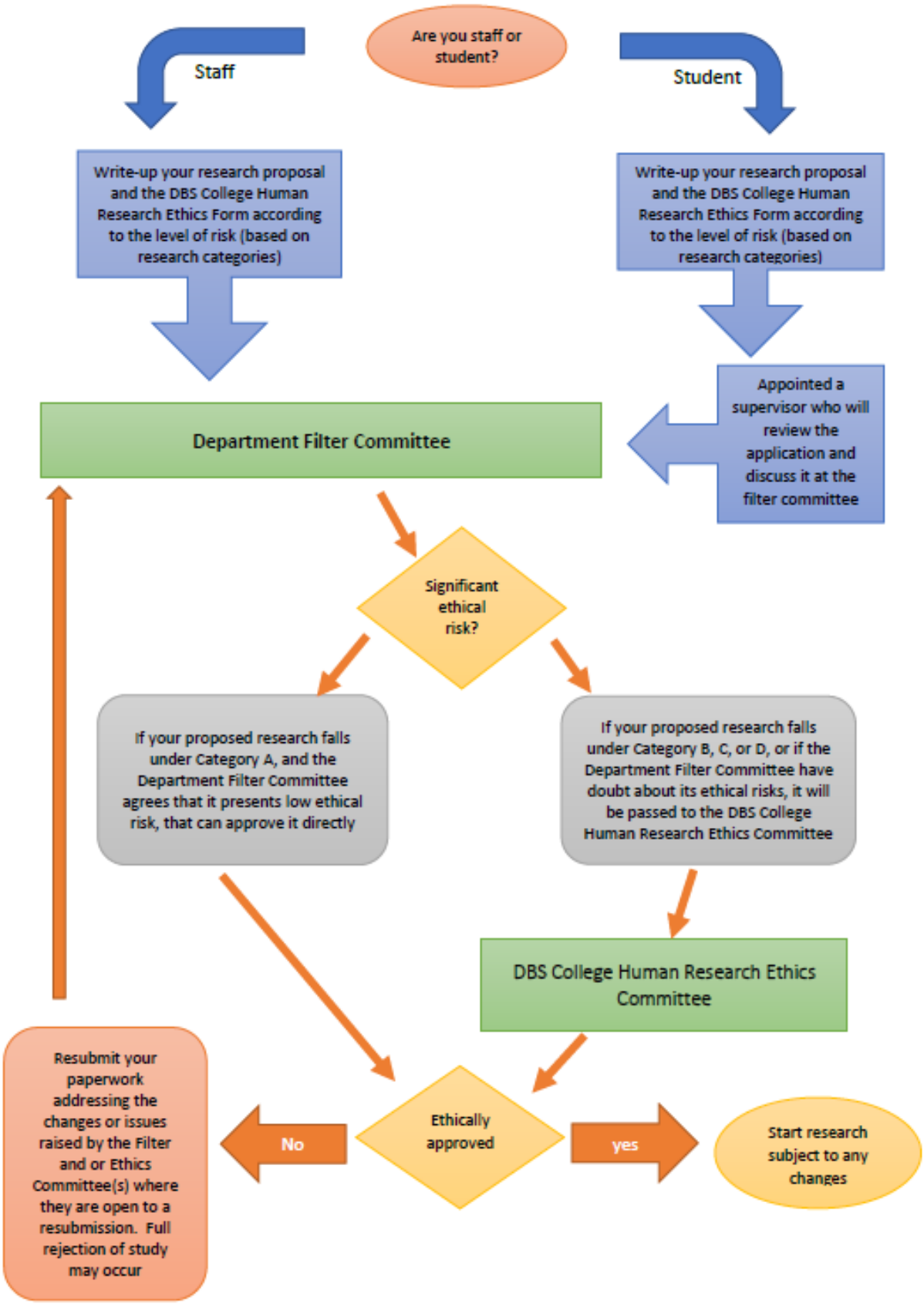
Appendices

- Structure of Ethics and Research Committee
- Process Chart for Ethical Approval
- Research Ethics Application Form
- Research Ethics Review Exemption Form
- Sample Participant Information Sheet(s) and Consent Form(s)
- Points to note for completion of the Research Ethics Application Form
- Filter Committee Form
- Ethics Committee From

Structure of Committees



Process Chart for Ethical Approval



Dublin Business School

Part A: Research Ethics Review Application Form

*Note to students and staff: Please complete this form electronically and include a signature

*Note this form must be accompanied with a detailed research proposal with the proposed questionnaires etc.

Title of Research

Applicant Details

- Name:
- Status: [ ] Undergraduate [ ] Postgraduate [ ] Staff
  [ ] External application
- If external application name of institution:
  - Has your research been ethically approved at your institution [ ] Yes [ ] No
  - If yes please include the ethical approval application form
- E-mail:

Research Supervisor (if appropriate)

- Name:
- Departmental address:
- Telephone: E-mail:

- **Supervisor's qualifications**

- **Supervisor's specialisations**

- **Supervisor's experience**

Ethical Guidelines

- **Have you read the DBS Ethical Guidelines for Research with Human Participants?**

[ ] Yes [ ] No

- **Please indicate any other ethical guidelines or codes of conduct you have consulted?**

All applicants MUST have read and understood the DBS guidelines before submitting an application.

- **What research category is your research study? (please circle)**

A B C D

<u>Research Proposal</u>

Briefly outline the following information (not more than 200 words in any section).

- **the proposed starting date and duration**

- **the research aims and objectives**

- **the scientific rationale**

- **the research design**

- **the methods of data collection**

- **the research sample**

- **the nature of any proposed pilot study**

- **the methods of data analysis**

Please note: A detailed research proposal must accompany this application.

Ethical Issues and Risk

- **Please identify any ethical issues which will arise and how you will address them.**

- **Please indicate any risk of harm or distress to participants.**

- **Please indicate how you will address this risk (e.g. debriefing procedures, etc).**

Please be explicit regarding any particular ethical issues and how these will be addressed.

Research Participants

- **Do the participants belong to any of the following vulnerable groups? Please tick all those involved.**

		TICK HERE
YES	Children	
	The very elderly	
	People with an intellectual or learning disability	
	Other groups who might not understand the research and consent process	
	Individuals or groups receiving help through the voluntary sector	
	Those in a subordinate position to the researchers such as employees	
	Other vulnerable groups	
NO	General population	

Please note if you are sampling children (under 18s) you need to have been Garda vetted by the college for your ethical approval application to be considered.

- **What research category are your participants? (please circle)**

  A B C D

- **Please specify the participant group**

- **How will the research participants in this study be selected, approached and recruited?**

- **What inclusion or exclusion criteria will be used?**

- **How will participants be informed of the nature of study and participation?**

- **What procedures will be used to document the participants' consent to participate?**

- **If vulnerable groups are participating, what special arrangements will be made to deal with issues of informed consent/assent?**

Please include copies of any information letters and consent forms with the application.

<u>Anonymity/Confidentiality/Data Protection</u>

- **Please indicate the form in which the data will be collected.**

  [ ] Identified [ ] Potentially Identifiable [ ] De-Identified

- **What arrangements are in place to ensure that the identity of participants is protected?**

- **Please indicate any recording devices being used to collect data (e.g. audio/video).**

- **Please describe the procedures by for securing specific permission for the use of these recording devices in advance.**

- **Please indicate the form in which the data will be stored.**

  [ ] Identified [ ] Potentially Identifiable [ ] De-Identified

- **Who will have responsibility for the data generated by the research?**

- **Please describe the procedures of the storage and destruction of data.**

Dissemination and Reporting

- **Please describe how the participants will be informed of dissemination and reporting (e.g. submission for examination, reporting, publications, presentations)?**

- **If any dissemination entails the use of audio, video and/or photographic records (including direct quotes), please describe how participants will be informed of this in advance.**

Declaration

We confirm that we have read the DBS Ethical Guidelines for Research with Human Participants, and agree to abide by them in conducting this research. We also confirm that the information provided on this form is correct and accurate.

Signature of Applicant _____ **Date / /**

Signature of Supervisor (where appropriate) _____ **Date / /**

Applications will not be considered for review until the application is signed by both the applicant and the academic supervisor.

Dublin Business School

Part A: Research Ethics Review Exemption Form

*Note to students and staff: Please complete this form electronically and include a signature

*Note this form must be accompanied with a detailed research proposal with the proposed questionnaires etc.

Title of Research

Applicant Details

- Name:
- Status: [ ] Undergraduate [ ] Postgraduate [ ] Staff
  [ ] External application
- If external application name of institution:
  - Has your research been ethically approved at your institution [ ] Yes [ ] No
  - If yes please include the ethical approval application form
- E-mail:

Research Supervisor (where appropriate)

- Name:
- Departmental address:
- Telephone: E-mail:

- **Supervisor's qualifications**

- **Supervisor's specialisations**

- **Supervisor's experience**

Ethical Guidelines

- **Have you read the DBS Ethical Guidelines for Research with Human Participants?**

  [ ] Yes [ ] No

- **Please indicate any other ethical guidelines or codes of conduct you have consulted?**

All applicants MUST have read and understood the DBS guidelines before submitting an application.

- **What research category is your research study? (please circle)**

  A B C D

<u>Research Proposal</u>

Briefly outline the following information (not more than 200 words in any section).

- **the proposed starting date and duration**

- **the research aims and objectives**

- **the scientific rationale**

- **the research design**

- **the methods of data collection**

- **the research sample**

- **the nature of any proposed pilot study**

- **the methods of data analysis**

Please note: A detailed research proposal must accompany this application.

Grounds for exemption

Exemptions are given if:

- **The research has already been approved by another institutional ethics board** (attach copy of approval letter with the exemption application).

OR

- **the research meets all of the following criteria**
    - The research does not involve any vulnerable groups.
    - The research does not involve any risk to participants, above the level experienced in everyday life.
    - The research does not involve any of the following:
        - Sensitive topics that may make participants feel uncomfortable
        - Psychological/mental stress/distress
        - Physical stress/distress or discomfort
        - Use of drugs or invasive procedures (e.g. blood sampling)
        - Deception of/or withholding information from participants
        - Access to data by individuals or organizations other than the researchers
        - Conflict of interest issues
        - Other ethical dilemmas

- **Please indicate the grounds on which you are applying for exemption from ethical review.**

*Please note: To avoid any unnecessary delay the applicant must make explicit the reason why the exemption is being requested***.**

Declaration

We confirm that we have read the DBS Ethical Guidelines for Research with Human Participants, and agree to abide by them in conducting this research. We also confirm that the information provided on this form is correct and accurate.

Signature of Applicant _____ **Date / /**

Signature of Supervisor (where appropriate) _____ **Date / /**

Declaration by Head of School

I have read the application form and agree that the study described is suitable for exemption from ethical review.

Signature of Head of School_____ **Date / /**

Applications will not be considered for exemption from review until the application is signed by the Applicant, the Supervisor and the Head of School.

Sample Coversheet for Anonymous Survey

Study title

My name is X and I am conducting research in the Department of Psychology that explores attitudes to ethnic minorities. This research is being conducted as part of my studies and will be submitted for examination.

You are invited to take part in this study and participation involves completing and returning the attached anonymous survey. While the survey asks some questions that might cause some minor negative feelings, it has been used widely in research. If any of the questions do raise difficult feelings for you, contact information for support services are included on the final page.

Participation is completely voluntary and so you are not obliged to take part.
Participation is anonymous and confidential. Thus responses can not be attributed to any one participant. For this reason, it will not be possible to withdraw from participation after the questionnaire has been collected.

The questionnaires will be securely stored and data from the questionnaires will be transferred from the paper record to electronic format and stored on a password protected computer.

It is important that you understand that by completing and submitting the questionnaire that you are consenting to participate in the study.

Should you require any further information about the research, please contact
Joe Bloggs, studentnumber@mydbs.ie . My
supervisor can be contacted at [insert details].

Thank you for taking the time to complete this survey.

Sample Information sheet and Consent form for Experiment involving Deception

Information Sheet for study on Face Distortion Judgements

You are invited to participate in a research study that will form the basis for an undergraduate thesis. Please read the following information before deciding whether or not to participate.

What are the objectives of the study? The nature of this study requires participants to be naive to the exact research question, as information about the research may influence your behaviour and responses. For this reason we can only inform you that we are conducting research on the processes underlying the perception of faces, including people's perceptions of their own face and other familiar faces. A complete debriefing will be offered after participation, where any questions will be answered.

Why have I been asked to participate? I would like to collect information from different people. The research requires pairs of participants to take part that meet the following criteria. Each pair should

- be very familiar with each other's face
- be of the same gender
- know each other for more than 6 months and see each other regularly (e.g. > 3 hours per week)
- be right handed

What does participation involve? Firstly, photographs of each participant and their friend need to be collected. These images of each participant and their friend will then be distorted in some way. Participants will then be invited back to view the distorted images and rate them for various qualities.

Right to withdraw Participants have the right to withdraw from the research at any time for whatever reason. Participants can also request at any time to have their image(s) or response data removed from record.

Are there any benefits from my participation? While there will be no direct benefit from participation studies like this can make an important contribution to our understanding of some of the processes underlying face perception. As such, the findings from this study may be presented at

national and international conferences and will be submitted for publication in peer-reviewed journals. Interim and final reports will be prepared. However no individual participant will be identified in any publication or presentation and the pictures used will not be presented. Individuals will not be offered any monetary or other rewards for their participation.

Are there any risks involved in participation? There are no risks associated with participation. Any inconvenience involved in taking part will be limited.

Confidentiality All individual information collected as part of the study, including any images of participants, will be used solely for experimental purposes. They will be stored safely and will not be publicly displayed or published without prior consent.

Note: As participants in this research are organised in pairs, the distorted images of each participants' face will be viewed by only the participant him/herself and their familiar friend (and the researcher). Thus it is important that both participants are comfortable with this.

Contact Details

If you have any further questions about the research you can contact:

Researcher: Insert details

Supervisor: Insert details

Consent Form (not for anonymous research, where the person is potentially identifiable)

A Study of Face Distortion Judgements

I have read and understood the attached Information Leaflet regarding this study. I have had the opportunity to ask questions and discuss the study with the researcher and I have received satisfactory answers to all my questions

I understand that I am free to withdraw from the study at any time without giving a reason and without this affecting my training

I agree to take part in the study

Participant's Signature: _____ Date: _____

Participant's Name in print: _____

Sample Information sheet and Consent form for Study with Under 18s

INFORMATION SHEET FOR PARENTS

Research Topic: Finding out about how children can tell us about their lives

Researcher: NAME, Student researcher, Contact
NAME, Supervisor, Contact

Background and Purpose: In my research I am interested in finding out about how children think about themselves and what they think is important in their lives. Usually psychologists do this by giving children a questionnaire, and children tick answers to questions which researchers have come up with. However I am interested in doing it differently. I'm looking for more creative and enjoyable ways for children to tell us about themselves. In particular I am interested in children's drawings. I am doing as part of my studies at DBS, and I am working with Dr XXXX, whose contact details are included above.

What happens if my child takes part? I will be visiting your child's school during class time, at a time arranged with the principal. I will ask all participating children in the class to do two drawings about favourite things in their lives. They will also fill in a questionnaire. It is a standard questionnaire designed for children, to explore how they think and feel about themselves. *If you decide your child will not take part* your child will be present in the classroom but will not do the drawings or fill in the questionnaires. They will be asked to read quietly while the others take part.

What will happen to the results of the study? The information from the children's drawings and questionnaire responses will tell us about things which are important to children and whether they are missing from questionnaires which researchers use. This will help us to find out how good drawings are as a way of telling us about children's lives. It will also allow researchers to make questionnaires better by making them more relevant to children. The study's results will be published in academic journals and presented at academic conferences. However at no point will any children be identifiable.

How will my child's information be protected? The children's answers will remain confidential. When doing drawings and questionnaires, each child will be given an ID number. This will be used for any information relating to the study. The information which links names and numbers will be

stored separately in a secure location in DBS until the research is completed. Once the study has been completed your child's name will be removed and all the data will be destroyed after 10 years.

Voluntary Participation: It is up to you and your child to decide whether your child is going to take part or not. Participation is completely voluntary. Your child is free to withdraw at any time. I will remind the children of this when I meet them.

Important: The consent form! *There is a consent form attached to this information sheet. Every child participating on the day must have a consent form which you have signed. Please note that research practice guidelines do not allow me to make any exceptions, and verbal permission cannot replace the signed consent form.* It is important to remember to return the signed form to school as without it your child will not be allowed to take part.

Further Information: This research is being conducted to assist researchers with finding out about children's views of themselves and their lives. We very much hope that you will agree to let your child take part in the research. If you require any assistance or have any questions about the research study, please feel free to contact me.

Thank you very much for supporting this research study. Please keep this information for your records.

PARENT'S CONSENT FORM

Title of Study: Finding out about how children can tell us about their lives.

Researcher: NAME, Student researcher, Contact

NAME, Supervisor, Contact

Parents Name: _____

Child's Name: _____

I confirm that I have read and understood the Information Leaflet for Parents for the above research study and have received an explanation of the nature, purpose and duration of the study. I understand what my child's involvement will be.

I have had time to consider whether I want my child to take part in this study. Any questions have been answered satisfactorily.

I have explained this study to my child and I am happy that he/she understands what is involved.

I understand that my child's participation is voluntary (that my child and I have a choice as to whether she/he participates) and that my child is free to withdraw at any time if she/he chooses to do so.

I also understand that my child may be asked to participate in a follow-up interview. I give my permission for this request to be made. I understand that taking part in the interview is also voluntary.

I understand that the information collected may be presented and/or published in academic journals and at conferences, but that no child will be identifiable from the information.

I agree for my child to take part in the above study.

_____ _____ _____

Name of Parent (in block letters) Date Signature

Dublin Business School

POINTS TO NOTE FOR COMPLETION RESEARCH ETHICS REVIEW APPLICATION FORM

*Note to students and staff: Please complete this form electronically and include a signature

*Note this form must be accompanied with a detailed research proposal with the proposed questionnaires etc.

Title of Research

Keep this short and to the point

Applicant Details

- Name:
- Status: [ ] Undergraduate [ ] Postgraduate [ ] Staff
  [ ] External application
- If external application name of institution:
  - Has your research been ethically approved at your institution [ ] Yes [ ] No
  - If yes please include the ethical approval application form
- E-mail:

Research Supervisor (where appropriate)

- Name:
- Departmental address:
- Telephone: E-mail:

- **Supervisor's qualifications**

- **Supervisor's specialisations**

- **Supervisor's experience**

Ethical Guidelines

- **Have you read the DBS Ethical Guidelines for Research with Human Participants?**

[ ] Yes [ ] No

- **Please indicate any other ethical guidelines or codes of conduct you have consulted?**

Only include additional references if you have consulted them. For example: ● www.psihq.ie/DOCUMENTS/Code%20of%20Professional%20Ethics.PDF ● www.bps.org.uk/the-society/ethics-rules-charter-code-of-conduct/code-of-conduct/code-of-conduct_home.cfm

All applicants MUST have read and understood the DBS guidelines before submitting an application.

- **What research category is your research study? (please circle)**

A B C D

Research Proposal

Briefly outline the following information (not more than 200 words in any section).

- **the proposed starting date and duration**

Remember the starting point should be a point after submission and response from ethics

- **the research aims and objectives**

● What is (are) the research question(s) your study will address? ● Need to state this/these clearly and concisely.

- **the scientific rationale**

● Stick to the word count, this is only a summary. ● The aim of this section is to show that this issue is grounded in the research literature. ● Be clear and concise. ● If you have a key article you can focus on this as additional literature will be included in the research proposal submitted with the application.

- **the research design**

● You must be able to specify the design and this should link clearly to the research questions. ● Firstly is it a qualitative, quantitative or mixed-method study?

- Secondly, if quantitative or mixed methods, what is the specific design?

- **the methods of data collection**

- What tools will you be using to collect the data (e.g. quantitative questionnaire or qualitative interview)?
- If using standardised questionnaires you need to include the name and citation (e.g. Smith, 2001) and a brief description. Copies should be included with the research proposal where possible.
- If using non-standardised or qualitative schedules again provide a brief description and sample questions. Again a more detailed description should be included in the proposal.

- **the research sample**

- Who is taking part and how many?
- Be as specific as possible but if you cannot give an exact number give an approximate value.
- If you are including specific subgroups (e.g. males and females) mention them and the number in each.
- If you are targeting particular groups give a rationale for why they are being included.

- **the nature of any proposed pilot study**

- Provide a reason if you do not plan to pilot your measures, e.g. you are using standardised tools that have been used previously with the target population.
- If you are piloting your measures give a brief description of how the pilot will be conducted.

- **the methods of data analysis**

- Give a general idea of the methods you plan to use (e.g. content analysis, descriptive analysis, group comparisons, correlations, etc.).
- It is important to know if you are able to conduct parametric statistics if you have more complex designs.

Please note: A detailed research proposal must accompany this application.

<u>Ethical Issues and Risk</u>

- **Please identify any ethical issues which will arise and how you will address them.**

- The project is NOT more likely to be accepted if you play down the ethical issues. The committee want to see that you are able to recognise ethical issues and to respond to them.

- Clearly specify each issue and the steps you will take to address it.
- Use bullet points rather than dense text
- Common issues include:

1. Ensuring informed consent
2. The study requires the use of deception
3. The study addresses a sensitive subject

- **Please indicate any risk of harm or distress to participants.**

- Don't assume there is no risk. It is more appropriate to say there is 'no known risk'.
- It is important to recognise POTENTIAL risks and not dismiss issues that YOU consider unlikely.
- If you factor in possible inconvenience to the participants in being invited to take part and taking part, it might be that there is 'minimal risk'.

- **Please indicate how you will address this risk (e.g. debriefing procedures, etc).**

- Think about how you will control any POTENTIAL negative effect.
- Is the risk involved one that the target group would normally experience (e.g. athletes being required to sprint, students being placed under exam-like conditions, etc.)
- If you are dealing with a sensitive subject, informing participants in advance that this is the case can make the risk acceptable.
- Providing information to participants afterwards can also be beneficial.
- Refer to how the issue has been addressed by previous research if it is relevant.
- In reporting the steps taken, be clear and concise and use bullet-points if necessary.

Please be explicit regarding any particular ethical issues and how these will be addressed.

Research Participants

- **Do the participants belong to any of the following vulnerable groups? Please tick all those involved.**

		TICK HERE
YES	Children	
	The very elderly	
	People with an intellectual or learning disability	
	Other groups who might not understand the research and consent process	

	Individuals or groups receiving help through the voluntary sector	
	Those in a subordinate position to the researchers such as employees	
	Other vulnerable groups	
NO	General population	

Please note if you are sampling children (under 18s) you need to have been Garda vetted by the college for your ethical approval application to be considered.

- **What research category are your participants? (please circle)**

  A B C D

- **Please specify the participant group**

- Specify the target sample including any key subgroups to be included.
- If you are including a comparison or control group you will need to explain the rationale for this

- **How will the research participants in this study be selected, approached and recruited?**

- The steps involved here need to be clear and comprehensive.
- If you are contacting people through an organisation (e.g. a school), the first step is to get the organisation's permission.
- Also, it is important to remember that the organisation cannot give you contact details for people they work with. They will have to pass the information on to potential participants for you.
- Who will be deciding which potential participants will be invited? This needs to be specified.
- Will people be invited verbally or in writing?
- Think about whether the potential participants are in a position to say no if invited (e.g. what if a member of your family is their employer or teacher?)

- **What inclusion or exclusion criteria will be used?**

- Need to specify any particular criteria that will determine whether potential participants are included in the study or not (e.g. must be right-handed, must be a student in 5th class in a particular school).
- As in previous sections, be specific but also clear and concise.
- Will participants know why they are being included or excluded from the study?

- **How will participants be informed of the nature of study and participation?**

- Are you using an information sheet or information attached to the questionnaire?

- Will you be giving (additional) information verbally as in the case of a study where participants are invited in a lecture or class setting?
- If there is deception involved in your study will you explain everything in the debriefing at the end?

- **What procedures will be used to document the participants' consent to participate?**

- Participants must be informed that they are being invited to take part in research.
- If your study involves deception you could inform people of this and explain that full details of the study will be provided after data has been collected.
- Are you securing formal signed consent?
- If yes, you need to be sure that this is always kept separate from the data, even if the information is being posted back to you.
- Written consent is important when vulnerable groups are involved, and is recommended when the study uses a one-on-one experimental or a qualitative method where data are recorded electronically.
- If you are not securing signed consent, is there a clear statement of consent on the cover of your questionnaire etc.?

- **If vulnerable groups are participating, what special arrangements will be made to deal with issues of informed consent/assent?**

- You should secure written consent from a parent if children/young people under the age of 18 are taking part.
- This has to be done in advance of collecting the data.
- You need to show that the information sheets etc. are presented in a clear and accessible way. This is particularly important if your research is with a group where the level of cognitive ability or literacy is an issue, or a group where the level of English proficiency is an issue.

Please include copies of any information letters and consent forms with the application.

Students working with children must complete Garda Vetting and Children's first e-learning course

<u>Anonymity/Confidentiality/Data Protection</u>

- **Please indicate the form in which the data will be collected.**

[ ] Identified [ ] Potentially Identifiable [ ] De-Identified

- Think carefully here. If there is any chance that a participant could be identified (e.g. if someone recognised their voice in a taped interview, of if you have an ID key that links names and ID numbers) then the data is potentially identifiable at the point of collection.

- **What arrangements are in place to ensure that the identity of participants is protected?**

- Again think carefully about the steps involved.
- If participants are returning consent forms with their names on them and data by post, this should be done separately in case data are lost etc.
- If participants are handing data and consent forms directly to you then this information must be separated as soon as possible.

- **Please indicate any recording devices being used to collect data (e.g. audio/video).**

- **Please describe the procedures by for securing specific permission for the use of these recording devices in advance.**

- If you plan to tape interviews etc. this must be specifically mentioned in the information sheet and consent form.
- If you plan to use quotes etc., this should also be specified.

- **Please indicate the form in which the data will be stored.**

[ ] Identified [ ] Potentially Identifiable [ ] De-Identified

- **Who will have responsibility for the data generated by the research?**

- If you are using an ID key then the data are identifiable as long as the key exists, and as long as this is possible participants can withdraw their data from the study. They must be aware of this.
- If the data are anonymous at all times, they must be aware that they cannot withdraw their data once they are submitted

- **Please describe the procedures of the storage and destruction of data.**

- All data must be stored securely when not in use.
- You will need to keep your data until after the examination process. It is generally recommended that data be kept for a year after this in case of appeals.
- Data must be destroyed carefully (e.g. shredding or incineration).

- Participants must be informed how data will be stored and destroyed as part of the study information.

Dissemination and Reporting

- **Please describe how the participants will be informed of dissemination and reporting (e.g. submission for examination, reporting, publications, presentations)?**

- This information should be included on the information sheet or questionnaire cover sheet.
- If there is any chance you might present at the student congress or elsewhere it is best to mention it at the start.

- **If any dissemination entails the use of audio, video and/or photographic records (including direct quotes), please describe how participants will be informed of this in advance.**

- This should be clearly stated in the information sheet and the consent form.

Declaration

We confirm that we have read the DBS Ethical Guidelines for Research with Human Participants, and agree to abide by them in conducting this research. We also confirm that the information provided on this form is correct and accurate.

Signature of Applicant _____ **Date** / /

Signature of Supervisor (where appropriate) _____ **Date** / /

Applications will not be considered for review until the application is signed by both the applicant and the academic supervisor.

PART B: DBS Research Ethics Filter Committee Review Form

To be completed at Filter Committee meeting

For completion by Head of Programme / Chair of Research Filter Committee

Please Note: This form is used to assess (Part A) the application.

Application type	[ ] Undergraduate [ ] Postgraduate [ ] Staff [ ] External application
Applicant name	
Supervisor name (if relevant)	
Project Title	
Category of Research (circle)	A / B / C / D
* Capacity in which authorising proposal	Head of Programme [ ] Chair of Research Filter Committee [ ]
Name of authorising person (as above)	

Please indicate whether the applicant has provided satisfactory information regarding the following:

	Yes / No / Not Applicable / Comments
Background/Justification for Study; Aims and Objectives	
Ethical Justification (if required)	
Methods of Data Collection	
Recruitment of Participants	
Vulnerable groups (under 18, elderly, etc.)	
Potential Risks and their Mitigation	
Potential Benefits of the Study	
Data Security and Storage	
Pilot Study	

Invitation / Information to Participants and Gatekeepers / Consent Forms	
Research Tools (e.g. questionnaires, interview schedule, experimental protocol etc.)	
Inclusion of proof of Garda Vetting and Tusla course (if required)	
Copy of draft application to an external body (e.g. IRAS application to HSE, Prison Service)	
Letter of access to sample	

Decision: (PLEASE DELETE AS APPROPRIATE)

a. Approved, to be stored at Programme / Research Centre / Academic Subject level

b. Approved pending minor / major changes by the applicant

c. Approval required by Research Ethics Committee, completed form to be forwarded to the Research Ethics Committee

d. Not approved, referred back to applicant for amendment

Recommendations:

Additional notes:

Signature: ……. Date: ……

PART C: DBS Research Ethics Committee Review Form

To be completed at Ethics Committee meeting

For completion by Chair of Research Ethics Committee

Please Note: This form is used to assess (Part A) the application in combination with Part B where relevant

Application type	[ ] Undergraduate [ ] Postgraduate [ ] Staff [ ] External application
Applicant name	
Supervisor name (if relevant)	
Project Title	
Category of Research (circle)	A / B / C / D
* Capacity in which authorising proposal	Head of Programme [ ] Chair of Research Filter Committee [ ]
Name of authorising person (as above)	

Please indicate whether the applicant has provided satisfactory information regarding the following:

	Yes / No / Not Applicable / Comments
Background/Justification for Study; Aims and Objectives	
Ethical Justification (if required)	
Methods of Data Collection	
Recruitment of Participants	
Vulnerable groups (under 18, elderly, etc.)	
Potential Risks and their Mitigation	
Potential Benefits of the Study	
Data Security and Storage	

Pilot Study	
Invitation / Information to Participants and Gatekeepers / Consent Forms	
Research Tools (e.g. questionnaires, interview schedule, experimental protocol etc.)	
Inclusion of proof of Garda Vetting and Tusla course (if required)	
Copy of draft application to an external body (e.g. IRAS application to HSE, Prison Service)	
Letter of access to sample	

Decision: (PLEASE DELETE AS APPROPRIATE)

A. Approved (no further correspondence necessary)
B. Conditional approval (minor revisions, to be accepted by the Chair)
C. Conditional approval (major revisions, to be approved by a quorum of the committee electronically)
D. Rejection/Invitation to resubmit to next sitting of committee

Recommendations:

Additional notes:

Signature: ……. Date: ……