



De La Salle University

Research Ethics Review Committee

Research Ethics Office, 3F Henry Sy Sr. Hall
De La Salle University Manila
2401 Taft Avenue, Manila 1004, Philippines
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SOP No.: 2

Form No.: 2(J)

Version No.: 1

Version Date: March 2017

DE LA SALLE UNIVERSITY

Checklist F¹

Research Ethics Checklist for Investigators conducting Action Research

*This checklist must be completed **AFTER** the De La Salle University Code of Research Ethics and Guide to Responsible Conduct of Research has been read and **BEFORE** gathering data. The University Code of Research Ethics is available at http://www.dlsu.edu.ph/offices/urco/forms/URCO-Code-of-Research-Ethics_August2011.pdf*

NOTE: This checklist is completed after the research proponent fills out the General Checklist Form and Checklist A.

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

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

	Yes	No	Not Applicable
<p>1. Will you have minors as participants in your study? Minors are individuals under the age of 18 years old.</p> <p>If YES...Obtain parental/guardian consent and participant assent to participate in your study. Attach the parental consent and assent forms to your proposal. The consent forms should indicate the measures you will undertake to ensure confidentiality and protect the participants.</p>			
<p>2. Will you be conducting a growth plan for an existing organization? A growth plan is a strategy paper for existing businesses (e.g. family businesses or own businesses existing for at least 3 years and are owned or managed by MS in Entrepreneurship students)</p>			

¹ This checklist serves as a guide to make the researcher aware of the ethical issues that may have to be addressed in planning a study.



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



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<p>For participants in corporate settings where actual participation is part of his/her mandatory work activities, they need to be informed of their freedom to “opt out” of being cited as a respondent/informant of the action research.</p> <p>Participants will also be informed of their right to corroborate data and the researcher’s interpretation. Participants should be informed that they may ask data analysis to be revisited if there was any misinterpretation in the process of analysis or when the report can potentially place them in a negative light.</p>			
<p>5. Will the research be requiring the participants to be involved in an activity not part of their regular, daily setting, e.g. the classroom, the workplace?</p> <p>If YES... Emphasize to the student participant that his/her freedom not to participate in the research will not earn any sanction. An alternative activity should be offered to the student participant in lieu of research participation.</p> <p>The student participants need to be informed of their freedom to “opt out” at any time they wish.</p> <p>For participants in corporate settings where actual participation is part of his/her mandatory work activities, they need to be informed of their freedom to “opt out” of being cited as a respondent/informant of the action research.</p>			
<p>6. Does the research involve the collection of data beyond the normal activities engaged by participants?</p> <p>If YES...obtain prior consent from participant and/or the parent/guardian for these research activities.</p>			
<p>7. Does your procedure involve possible data gathering that will take place outside of the action research setting/environment?</p>			



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



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	Yes	No	Not Applicable
If YES... Present the alternative activities/intervention in the proposal. Provide a straightforward and transparent agreement between the researcher and the research participants regarding the terms of engagement in the research process.			
12. Is there a probability that a participant will drop out from the study?			
If YES... Present a course of action in the methodology section of your research proposal.			
13. Is there a possibility that your action plan/intervention will inflict unintended harm to your participants?			
If YES... what measures do you have to detect and address these unanticipated adverse consequences? Discuss how you intend to address this concern in your research proposal.			
14. Is a commercial product an end goal of your research?			
<p>If yes, do you want to apply for a patent for this product?</p> <p>Please check:</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>			

Declaration

I certify that I have read and understood the De La Salle University Code for the Responsible Conduct of Research and will abide by the ethical principles in this document.

<p>_____</p> <p>Name and Signature of Principal Investigator</p>	<p>_____</p> <p>Date</p>
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FOR GRADUATE and UNDERGRADUATE DLSU STUDENTS ONLY

I confirm that the student(s) is/are capable of undertaking this research in a safe and ethical manner.

Adviser's Name

Signature

Date