

**Research Ethics Board**

**Application for Ethical Review**

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| Protocol ID: | Gray areas of form are for internal REB use only. | Date Received: |

Please refer to the Guide to the Application for Ethical Review Form for detailed information on how to complete this application form. Students conducting research involving human participants are required to complete the latest version of the Tri-Council’s on-line Course on Research Ethics (CORE): <http://www.pre.ethics.gc.ca/eng/education/tutorial-didacticiel/>.

# 1. ADMINISTRATIVE INFORMATION

## 1.1 Title of Research Project

## 1.2 Personnel

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| --- | --- | --- | --- | --- | --- | --- | --- |
| Principal Investigator/s | | | | | | | |
| **Last Name** | **First Name** | **Dept/Degree** | **Institution** | | **Position** | **E-mail** | |
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| **Student Supervisor/s** | | | | | | | |
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|  |  |  |  | |  |  | |
| **Co-investigator/s** | | | | | | | |
| **Last Name** | **First Name** | **Faculty/Dept** | **Institution** | **Position \*** | | | **E-mail** |
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|  |  |  |  |  | | |  |
| Other team member/s (Anyone else who will have access to the data, including those who transcribe and analyze data, etc.) | | | | | | | |
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Additional rows in the table can be added as needed (place cursor in table – right-click – insert – row)

## **1.3 Is this research funded?** If ‘Yes’, indicate source(s) and expected duration of the funding (specific agency, institution, corporation, etc.).

## 1.4 Is the research subject to the jurisdiction of another ethical review process? If so, please identify the review process and indicate whether Ethics Approval has been sought and/or approved (e.g. school board, other university, First Nations).

# 2. PROJECT DESCRIPTION

## 2.1 Provide a brief summary of the project, including the research purpose, methods, and participant population (maximum 200 words).

## 2.2 The following questions are intended to generally describe participants involved in the research. Will the research:

1. Involve child/youth participants below the age of majority (19 years old in BC)?
2. Involve persons who lack or have diminished capacity to consent?
3. Involve persons who are institutionalized?
4. Involve asking participants about behavior that may be considered criminal activity in the jurisdiction in which the research is being completed?
5. Involve a researcher who is also in a professional and/or personal relationship with one or more of the research participants?
6. Involve Aboriginal or Indigenous communities, or focus on Aboriginal or Indigenous people?

# 3. PURPOSE, GOALS, AND KNOWLEDGE TRANSFER

## 3.1 What is the purpose of the research? (Describe why the research is being done. How does the research contribute to the advancement of knowledge?)

## 3.2 What are the research goals and questions? (Describe *what* the research is intended to accomplish, and the research questions the research is intended to answer).

## **3.3 How will the research findings be presented and distributed?**

# 4. STUDY DESIGN AND METHODS

## 4.1 Describe, listing all major steps and procedures, how the research will be conducted. Number the steps in chronological order. Please do not “cut and paste” information not relevant to research involving human participants.

## **4.2 Describe the data collection strategies, techniques, and instruments to be used.** E.g., interviews, surveys, focus groups, observation, questionnaire, creative works, etc.. (see section 12 for attachment instructions)

## **4.3 How will data be recorded?** E.g. Audio recording, video recording, interview notes taken by researcher, questionnaire answers written by participant, online survey, clinical charts, journal of researcher, etc..

## **4.4 Describe the nature of the data to be collected** (e.g. personal opinions of participants concerning subject of inquiry).

## **4.5 Where will research activities involving participants take place?** Also indicate whether this space will be private or public.

## 4.6 Indicate the amount of time required of participants to participate in the research.

## 4.7 When do you plan to begin collecting primary data using techniques involving human participants (estimate date)?

## 4.8 Will you use data collected from people which was collected for purposes other than the research (e.g. school records, clinical records). If so, is this data publically available? Does the data contain personally identifiable information?

## 4.9 If applicable, describe the transcription process, including who will be involved in the transcription process

## 4.10 Does the study involve partial disclosure or deception? If so, describe the nature of the deception, why it is necessary, and how you will debrief participants.

# 5. STUDY POPULATION/S

## **5.1 Describe the study population**. E.g. age range, vocation, community of practice, ethnicity, and any inclusionary or exclusionary criteria, etc.. If you are sampling more than one population, please describe each population.

## **5.2 How many participants are expected to be involved in the research?** If you plan to sample more than one population, estimate for each population.

# 6. PARTICIPANT RECRUITMENT

## 6.1 Describe the participant recruitment procedure. Include a description of who will initiate contact with potential participants, where, and how.

# 7. RISKS

## **7.1 Will participants receive financial or other inducement for their participation?** If so, discuss the inducement and how and when it would be provided to participants.

## 7.2 Does the study involve physical invasion of the body, physical distress, or risk of physical distress? If so, please explain and indicate how these will be minimized.

## **7.3 Does the study involve participants who may be in potentially vulnerable circumstances, or who may be placed in a vulnerable circumstance because of the research?** If ‘Yes’, explain why, and how such vulnerability would be minimized.

## 7.4 Is there a professional and/or personal relationship of any kind between any of the research personnel and any of the participants, such as a relationship between a teacher and student, employer and employee, care provider and care receiver, colleague and colleague, etc.?

## **7.5 Is there a conflict of interest (real, potential, or perceived) for any research personnel with respect to their relationship with potential research participants?** If ‘Yes’, discuss the nature of the conflict(s) of interest and how it will be minimized or managed.

## **7.6 Would participants be subject to coercion or undue influence to participate?** If so, discuss the nature of the coercion or undue influence, and strategies you propose to minimize or manage it.

## 7.7 Does the study involve risk of mental distress, privacy, loss of status, loss of reputation, loss professional/employment opportunities? If so, describe the risk/s and strategies you propose to minimize these risks.

7.8 Does the research involve risk of harm to a community, an institution, or a social group? If so, describe the potential risk, the community, the institution, or the social group.

# 8. CONSENT/ASSENT PROCESS

Example Consent Forms can be found on the REB web site: <http://www.viu.ca/REB/forms.asp>

## **8.1 From whom will you be seeking consent?** (e.g. participants themselves, authorized third parties such parents and/or guardians, institutions/employers with which participants are associated).

## 8.2 Will you be *engaging* with organizations or institutions with which participants are associated, such as a schools, businesses, or First Nations? If so, please explain how you will engage with such organizations or institutions.

## 8.3 How will you ensure participants (and/or authorized third parties) are fully informed of the research prior to providing consent/assent? If different techniques and/or populations require different approaches to ensuring consent is fully informed, please distinguish approaches and indicate how consent will be informed for each population and/or research technique.

## **8.4** How will consent (and assent, if appropriate) be documented**?** If not using a consent form, explain why. If different techniques and/or populations require different approaches to the documentation of consent, please distinguish these different approaches and indicate how consent will be documented for each population and/or research technique.

## **8.5 If consent will be sought from third parties (e.g. guardian of child/children), will you also seek and document assent from the participants themselves?** If yes, explain how informed assent will be ensured. If not, explain why assent will not be sought.

## 8.6 Will participants, and/or authorized third parties, be provided a copy of a Consent/Assent Form to keep? If not, explain why.

## 8.7 How will you ensure informed consent/assent is ongoing, and up until what point in the research will **participants be able to withdraw from the study?**

# 9. PARTICIPANT CHECKING AND INFORMATION SHARING

## 9.1 If conducting interview-based research and interviews will be transcribed, will participants be provided an opportunity to review and make changes to the transcript of their interview? If so, explain the process of participant checking.

**9.2 Will the results of the study be made available to participants? If so, explain how. If not, explain why.**

# 10. PRIVACY AND CONFIDENTIALITY

## 10.1 Will information collected from participants, or parts of the information, be treated as confidential? If applicable, describe the information that would be kept confidential (e.g. personal identity of participants).

## **10.2 Will information provided by participants be anonymous, anonymized, coded, or contain indirectly or directly identifiable information?** (Refer to the table below for definition of terms)

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| --- |
| **LEVELS OF ANONYMITY** |
| **Directly Identifiable Information** – The information identifies a specific individual through direct identifiers such their name or an easily identified employment position within a company. |
| **Indirectly Identifiable Information** – The information can reasonably be expected to identify an individual through a combination of indirect identifiers (e.g., place of employment, unique personal characteristic). |
| **Coded Information –** Direct identifiers are removed from the information and replaced with an alphanumeric code or pseudonym. Depending on access to the code, it may be possible to re-identify specific participants (e.g., the principal investigator retains a list that links the participants’ codes with their actual name so data can be re-linked if necessary). Note that coding of information is no guarantee of anonymity where indirectly identifiable information is note also removed from products of the research. |
| **Anonymized Information** – The information is irrevocably stripped of direct identifiers, a code is not kept to allow future re-linkage, and risk of re-identification of individuals from remaining indirect identifiers is low or very low. |
| **Anonymous information** – The information never had identifiers associated with it (e.g., anonymous surveys) and risk of identification from indirectly identifiable information is low or very low. |

## **10.3 Do you plan to directly quote participants?** If so, how will you distinguish quotations belonging to different participants? (e.g. using the real names of participants, pseudonyms, or alphanumeric codes).

## 10.5 Describe where and how research data, including consent forms (if applicable), will be stored and secured, and who will have access to the data.

## **10.6 Will research data be destroyed after completion of the study and, if so, how and when will the data be destroyed**? Please specify the media involved (e.g. paper or electronic data) and what will be done with each, including consent forms if applicable.

# 11. THIRD PARTY SERVICES PROVIDERS

**11.1 If applicable, indicate which internet-based services will be used to collect, store, and/or analyze your data, and where their servers are located.**

**11.2 If using on on-line survey instrument, provide the URL (website link) to the survey.**

# 12. SUBMISSION, AUTHORIZATION, AND COMMITMENT

Please submit the application as **no more than three email attachments**, and include:

* 1. This application form;
  2. Appendices – clearly label each appendix at the top of its first page. (e.g., Appendix A – Consent Form); and
  3. If applicable, a TCPS2 tutorial certificate of completion for each student identified as research personnel.

**A maximum of three attachments** are to be e-mailed to [reb@viu.ca](mailto:reb@viu.ca). All appendices are to be combined and submitted as one email attachment. Please indicate which of the following documents and forms are being submitted with the application:

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes | No | N/A |
| Research instruments such as questionnaires, interview/focus group questions |  |  |  |
| Recruitment instruments, such as posters, flyers, scripts, letters |  |  |  |
| Consent forms (and assent forms, where applicable) |  |  |  |

Please list any other documents that are attached as appendices (e.g., Appendix F - Local Counselling Resources).

**Submission of this document to the REB constitutes a commitment of the Principal Investigator to adhere to the ethical protocol described herein. Once approved, this document is the ethical protocol with which the research must comply.**

**Student applications must be submitted by the Student Supervisor. By submitting an application on behalf of a student, the student supervisor attests that they have read and endorse the application, and are responsible for ensuring that the research is conducted in accordance with this ethical protocol.**

Significant changes to the research must be approved by the REB.

Significant changes include, but are not limited to:

* Change of project personnel;
* Change in study population;
* Change in study methods;
* Change in documented consent procedure; and
* Change in data management procedures.

Please refer to the Guide to Completing the Application for Ethical Review Form for information on how to complete this application form. Further information can be found in the [Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS 2014).](http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/)