**REB Form for Application Development**

**This form is intended for application development purposes only. Please do not submit this form to the REB. For information on how to apply for ethical review, please see the** [**VIU Research Ethics Board website**](https://research.viu.ca/research-ethics-board)**.**

**\*** Asterisk indicates a mandatory question

**1. Administrative Information**

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| **QUESTIONS** | **INFORMATION BOX** | **ANSWERS** |
| 1.1) \* Is this research being completed in partial fulfillment of the requirements of a course or degree?

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|[ ]  Yes |
| [ ]  | No  |
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 | This question is to be answered 'yes' if a student will be earning credit as a result of their involvement in the research, even if the student’s supervising faculty is the Principal Investigator. |  |
| 1.2 If you answered ‘yes’ to question 1.1, indicate the course and degree to which this research will be applied. | This question is intended to identify which the course and degree to which the research will be applied. If this research involves multiple students, please list all applicable courses and degrees.   |  |
| 1.3) \* If you answered 'yes' to question 1.1, please confirm that the faculty supervisor has been added to the project team (see Project Team Info tab).

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|[ ]  Yes |
| [ ]  | Not Applicable |

 | For student research, a faculty supervisor must be identified prior to REB review.  |  |
| 1.4) \* If you answered 'yes' to question 1.1, please confirm that a signed copy of the “REB Confirmation of Faculty Supervisor Approval Form” has been attached to this application (see Attachments tab).

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|[ ]  Yes |
| [ ]  | Not Applicable |
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 | For student research, a signed copy of the REB Confirmation of Faculty Supervisor Approval Form must be submitted to the REB prior to REB review. The Form can be accessed from the REB website:<http://research.viu.ca/research-ethics-board/forms-guides-and-examples>  |  |
| 1.5) \* Is the research subject to the jurisdiction of another Ethical Review Process?

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|[ ]  Yes |
| [ ]  | Not Applicable |

 | Research can be subject to the jurisdiction of multiple ethical review process. For example:\* Research involving personnel from more than one university is often subject to review by the REBs of multiple universities; \* Research taking place on elementary or secondary school property is often subject to ethical review of School Districts;\* Research conducted in hospitals or medical clinics is often subject to review of regional health authorities; and\* Research conducted on First Nations, Inuit or Métis lands, or involving Indigenous people or communities, may be subject to First Nations, Inuit or Métis review processes. |  |
| 1.6) If you answered 'yes' to question 1.5, please indicate whether the application has been approved or to what stage the review process has progressed. |  |  |
| 1.7) Is the research funded or otherwise supported by a financial award or in-kind contribution other than personal contributions of the Principal Investigator(s)? If so, please describe the contribution, including the monetary or in-kind value of the contribution, and how funding will be spent. | If the research is funded by an external or internal award, please also complete the ‘Related Awards' section in the ‘Project Info’ tab. |  |

**2. Project Description**

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| QUESTIONS | INFORMATION BOX |  |
| 2.1) \* Using lay language, provide a brief summary of theproject, including the research purpose, methods, and participant population. Please limit this section to 250 words. | This section is to provide a ***concise*** summary of the research, particularly aspects involving human participants. The summary should describe why the research is being conducted, how the research will be conducted, and who would be involved (i.e. **purpose, method, and study population**). Each of these aspects will also to be discussed in more detail later in the application. **Please limit this section to 250 words.** |  |
| 2.2) \* Will your research project (check all that apply):

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|[ ]  a) Involve child or youth participants below the age of majority (19 in BC)? |
| [ ]  | b) Involve persons who have impaired or diminished capacity to consent to participate in research? |
|[ ]  c) Involve persons who are incarcerated or involuntarily committed to an institution? |
| [ ]  | d) Involve asking participants questions that may reveal potentially illegal activities? |
|[ ]  e) Involve a researcher who is in or has a prior professional and/or personal relationship with one or more research participants? If ‘yes’, please answer questions 6.5 and 6.7 (see, also, note on “secondary use”, below). |
| [ ]  | f) Involve Indigenous communities or organizations, or focus on Indigenous people, language, cultural heritage, artifacts, or traditional knowledge? |
|[ ]  g) Involve student participants while on school property or under the care of school personnel? |
| [ ]  | h) Involve the use of information that was originally collected for a purpose other than the research for which you are applying for ethical review. If ‘yes’, please complete the Secondary Use tab on this application form.   |
|[ ]  i) Not Applicable |

  | a) Capacity to consent to participate in research is based on cognitive ability, not age ([TCPS Article 3.9](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter3-chapitre3.html#9)). Depending on risks and complexity of a study, the REB typically requires parental/guardian consent for participation of children under 15 years of age, as well as assent of children ([TCPS Article 3.10](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter3-chapitre3.html#10)). School Districts in BC typically require parental/guardian consent for participation of all children involved in research while in school care. b) ‘Impaired or diminished capacity’ refers to persons with impaired or diminished capacity for self-determination. If you checked ‘yes’, see [TCPS Article 3.8 and 3.9](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter3-chapitre3.html#c), and answer questions 7.1 and 7.3 accordingly. f) If you checked ‘yes’ to question 2.3.f, please see [TCPS Chapter 9](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter9-chapitre9.html) and answer question 7.2 accordingly. Note that this box should be checked if the researcher anticipates using indigeneity as a variable in their analysis (see, e.g., TCPS Article 9.1).  h) “Secondary use” refers to the use in research of information originally collected for a purpose other than the current research purpose, such as the use of student assignments originally collected for teaching and assessment purposes ([see TCPS Articles 5.5A and 5.5B](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter5-chapitre5.html#d)).  |  |
| 2.3) \* Describe the role of each team member in the research. | Describe the role of each of the personnel listed in the project team tab, how they will contribute to the research, and, if applicable, how they will interact with research participants.  |  |
| 2.4) \* What steps has/have the Investigator/s taken to prepare for this research? | Describe the steps you have taken to familiarize yourself with the research topic and methods. For example, describe relevant experience, coursework, and any preliminary research and/or community engagement you have completed to prepare for the project.  |  |

**3. Purpose, Goals, And Knowledge Transfer**

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| **QUESTIONS** | **INFORMATION BOX** |  |
| 3.1) \* What is the purpose of the research? | Describe why the research is worth doing. What knowledge will be produced? How will the research contribute to the advancement of knowledge? Please limit this section to 250 words. |  |
| 3.2) \* What are the research goals and questions? | Describe what the research is intended to accomplish. State the research question(s) the project is intended to answer. If the project involves multiple goals, please describe each. If the data generated by this project is to be used as part of a larger research project, please describe. Please limit this section to 250 words. |  |
| 3.3) \* How will the research findings be presented and distributed? | Please include all methods/ways the results of the research may be published or otherwise shared, such as scientific journal/s, conference paper, conference or other presentation, website, eportfolio, etc.). List all that may apply. If this research is being completed in partial fulfillment of a graduate degree, indicate whether you will produce a masters thesis or a masters major project. If the results of the research will not be published – e.g. “an internal report” – please indicate to whom the report will be provided and how it is intended to be used. **Note that all known potential uses of research data collected from participants must be disclosed to participants in the consent process (e.g. consent form).**  |  |

**4. Study Design and Methods**

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| **QUESTIONS** | **INFORMATION BOX** |  |
| 4.1) \* Describe in detail exactly what prospective participants and research participants will be asked to do. Number steps in order. | Describe research activities from the participants’ perspective, including any disruption of regular activities, as well as time taken for recruitment, consent, debriefing, and review of data. Indicate whether and how participants might opt out of some aspects of the research while participating in others (e.g., to fill out a survey but decline to participate in a follow-up interview). If multiple activities are being conducted with different groups, explain what each group would be asked to do. **Please limit your answer to 500 words.**  |  |
| 4.2) \* Describe the research method(s) you will use to collect and interpret/analyze data, including all data collection strategies, techniques, and instruments to be used. Number steps in order. | Describe all proposed techniques and instruments, such as interviews, survey, focus groups, observation, questionnaire, and data processing techniques leading to production of results. **Please attach copies of all research instruments** (e.g., interview questions, focus group script/guide, questionnaire, etc.).  |  |
| 4.3) \* How will data be recorded? | Describe how data will be recorded, such as by audio recording, video recording, interview notes taken by the researcher, questionnaire answers written by participant, clinical charts, research journal of researcher, etc. |  |
| 4.4) \* Describe the nature of the data to be collected. | Please describe the nature of the information expected to be collected from participants (e.g. personal opinions/perceptions of participants concerning the subject of inquiry). |  |
| 4.5) Are you proposing to collect demographic data, such as participant’s age, gender, income, ethnicity, etc.? If so, describe the nature of the demographic data that would be collected, why collection of demographic data is necessary to address your research questions(s), and how, if at all, demographic data would be disclosed in the products of the research. | Please be aware that the collection of the demographic data often raises risk for participants, such as a risk to privacy and indirect identification. |  |
| 4.6) \* Where will research activities involving participants take place? If using online methods, indicate from where you anticipate researchers and participants would access the online tools.  | Describe the specific locale(s) where research activities involving participants will take place. Indicate the city or town, and precisely where activities involving participants will take place, whether in private space(s) or public spaces, such as public libraries, streets, parks, etc. Be as specific as possible. |  |
| 4.7) **\*** Indicate the amount of time required of participants to participate in the research. | Please provide a realistic estimate of the time required of participants to participate in the study. Note that data routinely collected for purposes other than research (e.g. student assignments, patient charts, etc.) would not require additional time from participants in order for them to participate in the research, although their consent to the use of the data may still be required for use of the data collected for other purposes (e.g., secondary use for research purposes). If the study involves multiple stages and/or techniques, please estimate the time required for each stage/technique. Please include in your estimate the time required for participants to read consent information and, if applicable, time required for participants to review transcripts. |  |
| 4.8) **\*** When do you plan to begin collecting primary data using techniques involving human participants? | Please indicate the date at which you plan to begin collecting primary data using techniques involving human participants.  |  |
| 4.9) If you propose to use data originally collected for a purpose other than the research for which you are applying, please see the Secondary Use tab on this application form.  | This question refers to the secondary use of information that was originally collected for a purpose other than the current research. While data collected for purposes other than the research may be used for research in some situations, unless the data are publicly available or contain no personally identifiable information, use of such data generally requires the consent of those who provided the data where practicable (see, e.g., [TCPS Articles 5.5A and 5.5B](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter5-chapitre5.html#5a)). |  |
| 4.10)  If applicable, describe the transcription process, including who will be involved in transcription. | Describe the transcription processes, such as how and when audio, video, or paper forms would be converted to electronic text. If appropriate, indicate the type of transcription to be used, such as full- or partial-transcription, verbatim transcription, 'intelligent verbatim', etc. Please also indicate who will complete the transcription. Note that if someone other than a study team member will complete the transcription, the REB requires such third-parties to enter into a confidentiality agreement, a copy of which needs to be included with the application for ethical review. If using an online transcription service, please address section 9 and communicate associated risks in the consent form. |  |
| 4.11)  Does the study involve partial disclosure, withholding of information from participants, or deception? If so, discuss why withholding of information or partial disclosure to participants may be necessary, and how you will debrief participants. | Some research questions can only be properly answered using a research design that involves partial disclosure or deception. Partial disclosure in research refers to when the nature and intent of the research is only partially disclosed to participants during the consent procedure. Deception in research refers to when participants are given misinformation about the true nature and intent of the research during the consent procedure. If applicable, use this section of the form to discuss why deception is necessary and describe the information that will be withheld from, or misrepresented to, participants during the consent process. Partial disclosure or deception should only be used when necessary, and where potential benefits of the research outweigh potential harms associated with partial disclosure or deception (see, e.g., [TCPS section 3B](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter3-chapitre3.html#b)). If the study involves partial disclosure or deception, a debriefing form is required, a copy of which should be submitted with the application ethical review. |  |

**5. Study Population and Recruitment**

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| **QUESTIONS** | **INFORMATION BOX** |  |
| 5.1) \* Describe the study population(s). Identify any inclusion or exclusion criteria. If the study involves multiple groups, describe each group. | Please describe the study population, including details such as age range and vocation. Please also describe any relevant demographic distinction that would be used in analysis, such as sex and/or gender. If you plan to sample more than one distinct population, please describe each population, including an estimation of each population size. |  |
| 5.2) \* How many participants are expected to be involved in the research? If more than one distinct participant group is anticipated, please indicate how many participants are expected from each group. | Provide a realistic estimate of the total number of study participants that you expect will be involved in the research. If applicable, indicate the number of participants in each study population, and the number of participants expected to engage with each research method (e.g. a survey of 50 people, interviews with 20 people, and a focus groups involving ten people). |  |
| 5.3) \* Describe the participant recruitment procedure. Include a description of who will initiate contact with potential participants, where, and how. If applicable, please explain how you have or will acquire contact information of prospective participants (e.g., phone number, email, etc.).  | Describe how you plan to recruit participants to your study. Describe the recruitment techniques you will use to make potential participants aware of the research and what would be involved. Generally, participants should be made aware of the purpose of the study, the kind of information sought, what participants would be asked to do, the amount of time required to participate, and what would be done with the information collected. Recruitment instruments may include, for example, emails, social media posts, flyers, posters, or verbal scripts detailing how the project will be described to prospective participants verbally. **Please submit all recruitment documents as attachments.** |  |
| 5.4)  Will recruitment occur during ongoing or regular activities, such as in a classroom or during a recreational program? If so, describe how disruption to the regular activity will be minimized, and how people would be supported to continue in the activity without feeling pressured to join the research project. |  |  |

**6. Benefits, Risk, and Risk Mitigation**

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| **QUESTIONS** | **INFORMATION BOX** |  |
| 6.1) \* Will participants directly benefit from participating in the research? If so, please describe the nature of the benefit/s. Note that the intent of this section is to describe the direct benefit/s to participants, and not to describe indirect benefits such as the development of knowledge that benefits a broader population. | Note that incentives and inducements are to be described in elsewhere in this form, as are potential benefits to society as a whole. Answer this question only if participants themselves will directly benefit from participating in the research. For example, research may be designed collaboratively with participants with the intent of identifying and furthering participants’ goals (often called “participatory action research”). In these kinds of situations, participants may directly benefit from research that supports achieving these goals. |  |
| 6.2) \* Will participants receive financial or other inducement for their participation? If so, discuss the incentive/inducement, and how and when it would be provided to participants. | The TCPS defines incentives as “anything offered to participants, monetary or otherwise, for participation in research … Because incentives are used to encourage participation in a research project, they are an important consideration in assessing voluntariness" (TCPS Article 3.1). If applicable, **describe and justify the use of incentives, and include a description of the value of the incentive to participants** (e.g. monetary value relative to economic standard of living). |  |
| 6.3) \* 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 and managed. | Answer this question if the research involves having participants engage in physical activity they would not otherwise be doing, or if the research involves measuring aspects of participants’ physicality (e.g. heart rate, BMI, etc.). |  |
| 6.4) \* Does the study involve participants who may be in potentially vulnerable circumstances, or who may be placed in vulnerable circumstances because of the research? If so, please describe.  | The TCPS (Glossary) defines vulnerability as a “diminished ability to fully safeguard one’s own interests in the context of a specific research project.” Researchers should seek to understand how vulnerability may arise as a result for participants as a result of their involvement in the research. As stated in the TCPS (Article 4.7), “…individuals should not automatically be considered vulnerable simply because of assumptions made about the vulnerability of the groups to which they belong. Their particular circumstances shall be considered in the context of the proposed research project.” |  |
| 6.5) \* Is there a professional and/or personal relationship of any kind between any member 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.? If so, please describe the nature of the relationship/s. | Describe any pre-existing relationship between the project personnel and participants. For instance, if the researcher is a teacher conducting research involving their own students, describe the class or course (e.g. grade, subject), and whether and for how long the relationship would continue, or potentially could continue, after the research has been completed (e.g. perhaps the teacher/research teaches multiple grades, or coaches sports teams, and thus the relationship may continue after the research is completed). |  |
| 6.6) \* From the perspective of participants, could there be a real, potential, or perceived conflict of interest for any research team personnel with respect to their relationship with research participants? If ‘Yes’, discuss the nature of the conflict(s) of interest and how it would be minimized and managed. | Researchers hold trust relationships with participants, research sponsors, institutions, their professional bodies and society. These trust relationships can be put at risk by conflicts of interest that may compromise independence, objectivity, or ethical duties of loyalty. Conflicts of interest may arise from interpersonal relationships – e.g. caregiver-care receiver, teacher-student, employer-employee), economic interests, academic interests, or any other incentives that may compromise integrity or respect for the core principles of the TCPS. In some contexts, researchers may manage a conflict of interest by disclosing it to participants, or by removing themselves or a particular study population from the research. The intent of the section is for the applicant to indicate whether a conflict of interest exists and, if so, describe how the conflict would be minimized and managed. |  |
| 6.7) \* From the perspective of participants, is there a risk that participants might be subject to undue influence to participate in the research? If so, discuss potential sources of undue influence, why it might be warranted, and strategies you propose to minimize and manage it. | The principle of Respect for Persons poses a duty on researchers to respect the autonomy of individuals to choose whether to participate in research. Undue influence is “the impact of an unequal power relationship on the voluntariness of consent. This may occur when prospective participants are recruited by individuals in a position of authority (e.g. doctor/patient, teacher/student, employer/employee)” (TCPS glossary). Researchers who have pre-existing relationships with research participants often occupy dual role positions that may create conflicts, undue influence, and power imbalances that may affect the autonomy of participants to freely consent to participate. It is preferable for researchers to avoid putting themselves in positions in which they may be perceived as exerting undue influence on participants. Where avoidance is not practicable, researchers who occupy such dual role positions – e.g. researcher-therapist, researcher-teacher, researcher-advisor, researcher-employer, etc. – must employ strategies to minimize undue influence. |  |
| 6.8) Would the research take place during regular activities such as in a classroom or during a recreational activity, in which some participants in the regular activity might not be research participants? If so, describe how disruption of regular activities will be minimized both for participants and non-participants. |  |  |
| 6.9) **\*** Does the study involve risk of mental/emotional distress, loss of privacy, loss of status, loss of reputation, or loss of professional/employment opportunities? If so, describe the risk/s, why risks might be warranted, and strategies you propose to minimize and manage these risks. | This section is intended to discuss how the research may negatively affect participants. For example, some research may:\* Prompt (trigger) participants to remember traumatizing events, and thus may impact their emotional wellbeing; \* Encourage participants to share personally sensitive information about themselves, which may cause participants to worry that the information may be disclosed in the products of the research; or \* Invite participants to provide information that may reflect poorly on people with significant influence on their professional/employment opportunities, such as on their current or potential future employer.Risk of harm does not necessarily preclude research, provided that there are compelling reasons that warrant the risks involved. Even when warranted, risks need to be acknowledged and communicated to participants, and strategies that minimize risk must be employed wherever possible. |  |
| 6.10) \* Does the research involve potential risk of harm to a community or identifiable social group? If so, describe the potential risks to the community/social group and the strategies you propose to minimize such risks. | Research may involve risk of harm to a community and/or a defined social group. In some situations, researchers are required to engage with a community’s governance structures, such as when engaging with an identifiable Indigenous community. This is particularly the case where research is intended to articulate the views or position of a community concerning particular issues (see, e.g., [TCPS Chapter 9](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter9-chapitre9.html)). |  |
| 6.11) Is the research likely to reveal information that the researcher has a duty to report in accordance with law and/or profession codes of conduct? If yes, describe the nature of such information and your plan for managing such information should it be discovered.  | Note that participants must be informed of any limits to confidentiality as part the consent process, such as the circumstances in which the researcher may have a duty to report information to authorities. |  |

**7. Consent/Assent Process**

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| **QUESTIONS** | **INFORMATION BOX** |  |
| 7.1) \* From whom will you be seeking consent? (e.g., participants themselves or authorized third parties such parents and/or guardians. | While an authorized third party may grant consent for an individual under their guardianship to participate in research, where practicable and appropriate the researcher is also required to obtain and document participants’ assent to participate in research (see, e.g., [TCPS Section 3C](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter3-chapitre3.html#c)). In such cases, it may be appropriate for researchers to administer the authorized third-party consent process and the assent process separately, particularly where disclosure of a participant's decision to assent or decline to participate may involve risk of harm. |  |
| 7.2) \* Have you engaged with, or will you be engaging with, communities and/or governance structures with which participants are associated, such as a School District or First Nations? If so, explain how you have or will engage with such organizations and governance structures. | Researchers may be required to engage with the community governance structure/s with which participants are associated (see, e.g., [TCPS Article 9.2](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter9-chapitre9.html#2)). If you do not intend to engage or seek permission from a relevant entity, please explain why (see, e.g., [TCPS Article 9.10](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter9-chapitre9.html#10)).  |  |
| 7.3) \* How will you ensure participants and/or authorized third parties are fully informed of the research prior to providing consent/assent? | Explain how you will communicate the details of the research to participants. For example, interview-based research typically employs a written consent form. Online surveys typically employ a “consent section” at the beginning of the survey. For consent to be informed, prospective participants must be provided adequate time and opportunity to understand the information provided, pose any questions they may have, and consider whether they will participate. The REB encourages researchers to provide a copy of the consent form prior to potential participants arriving to a location for an interview or focus group (see [TCPS Article 3.2](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter3-chapitre3.html#2) on the information to be communicated in order for consent to be fully informed). **Please attach the consent instrument/s to your application.**   |  |
| 7.4) \* How will consent/assent be documented? | Consent must be documented ([TCPS Article 3.12](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter3-chapitre3.html#2)). Methods for documenting consent will depend of the design of the research. In some contexts it may be appropriate to seek the informed consent of participants for particular aspects of the research, such as for the audio or video recording of interviews, taking pictures, or for the use of quotations in the products of the research. Verbal consent may be appropriate in some situations, such as where culture or custom make a written consent inappropriate. If you are planning to obtain verbal consent, please describe how you will record who has provided consent, when, and where. If you are proposing to use more than one research instrument – e.g. interviews and a focus groups – you will likely need to employ different consent processes for each. |  |
| 7.5) \* If consent will be sought from third parties (e.g. guardian of child/children), will you also seek and document assent of participants themselves? If yes, explain how informed assent will be ensured. If not, explain why assent will not be sought. | The principles discussed in relation to questions 7.3 and 7.4, above, should be applied to ensure the informed and documented assent of participants who do not have the cognitive capacity to consent for themselves. In some cases, such as those involving young children, the approach should be age-appropriate, and adjusted to suit the cognitive capacity of participants (e.g., an assent form may be less formal and written at a grade 4 level). |  |
| 7.6) \* Will participants and/or authorized third parties be provided a copy of a Consent/Assent Form to keep? If not, explain why not, and how you will ensure participants are provided a copy of the consent information. | Information concerning the research should be made readily accessible to participants even after they have provided consent. This can be accomplished by providing a copy of a consent form to participants, or, for example, by providing the information on a publicly accessible website. Please be aware that some online surveys do not allow participants to return to the survey once it has been completed. In such instances, the researcher will need to employ a method for ensuring that participants have access to a copy of the consent information after an online survey has been submitted. |  |
| 7.7) \* 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? | Ongoing consent refers to participants’ right to be provided an opportunity to withdraw throughout the course of the research where practicable, for any reason, and to be informed of changes to the research as they arise (see [TCPS Articles 3.1 and 3.3](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter3-chapitre3.html#1)). In some cases, however, the physical practicalities of the research may prevent withdrawal of participants’ data. For instance, once submitted, withdrawal from an anonymous online survey would not be possible. The suitability of a proposed approach to ensure consent is ongoing is relative to the risk of harm involved. If there is a practicable limit to withdrawal, the consent instrument needs to **explain to participants the point in time after which withdrawal would not be possible**. |  |
| 7.8) \* Will participants be provided an opportunity to review and make changes to the information they provide? If so, explain the process of participant checking. If not, explain why not. | How, when, and to what extent participants should be able to review and withdraw information they provide should be proportional to the risks and vulnerability involved. In some cases, however, the physical practicalities of the project may prevent withdrawal of a participant’s data. The REB employs a proportional approach to the assessment of such issues. The higher the risk to participants, the greater the extent to which participants should be provided an opportunity to withdraw data from a study. |  |
| 7.9) \* Will the results of the study be made available to participants? If so, explain how. If not, explain why not. | The REB encourages researchers to provide the results of their study to participants. For example, study results can be supplied to participants as printed documents, emails, or posted on a website. If participants are anonymous or anonymized, however, the method by which results are provided must maintain anonymity (e.g., website). |  |

**8. Confidentiality, Anonymity, and Ongoing Data Management**

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| **QUESTIONS** | **INFORMATION BOX** |  |
| 8.1) \* Will information collected from participants, or parts of the information, be treated as confidential? If so, describe the information that would be kept confidential (e.g. personal identity of participants). | **Note that ‘confidential’ means that the information will not be disclosed in the products of the research.** Please identify the types of information you will collect from participants that you will not disclose in the products of the research (e.g. the personally identifiable information, such as name). If your consent mechanism allows for participants to choose whether to be identified in the products of the research, please describe (e.g., consent form includes a checkbox for participants to explicitly consent to be identified). Please also consider how the identification of one participant may change the level of risk for other participants |  |
| 8.2) \* Will information provided by participants be anonymous, anonymized, coded, or contain indirectly or directly identifiable information? Check all that apply. Anonymous Information: the information never had identifiers associated with it (e.g., anonymous surveys) and risk of identification of individuals is very low.Anonymized Information: Directly identifiable information is collected and then irrevocably removed from data (so there is no way re-identify data).Coded Information: Participant names are replaced with a number or pseudonym. A coding 'key' is kept that allows for re-identification of data.Indirectly Identifying Information: Participants can reasonably be expected to be identified in the products of the research by association.Directly Identifying Information: Participants would be directly identifiable by their names or other direct identifiers. | Please use the checkboxes below to indicate how and the extent to which personally identifiable information would be collected and managed. Research employing multiple techniques will likely involve multiple levels of anonymity. “Anonymous Information” refers only to techniques in which the personal identity of participant is not known to the researcher, such as with an anonymous survey.“Anonymized Information” refers to techniques in which the personal identity of participants is initially associated with the data they provide but the data is later permanently de-identified. Once anonymized, it is not possible to determine the identity of participants who provided the data except potentially through indirect identification. “Coded Information” refers to techniques in which the personal identity of participants is associated with the data but their personal identity is not disclosed in the products of the research.  |  |
| 8.3)  If you checked multiple checkboxes in question 8.2, please explain which level of anonymity would apply to which research technique. | For example, if the research involves an anonymous online survey and interviews in which participants would choose whether to be identified, an appropriate answer would be as follows: “The online survey would be anonymous. The interviews would be either coded or directly identifiable, in accordance with the preference of each participant.”  |  |
| 8.4) \* Do you plan to use direct quotations from participants in the products of the research?YesNo | The REB encourages researchers to provide an opportunity for participants to explicitly consent to be quoted in the products of the research, such as by using a checkbox on the consent form. |  |
| 8.5) If you answered ‘yes’ to question 8.4, please indicate how quotations will be attributed in the products of the research. Check all that apply.  Quotations will be attributed using the actual names of participants. Quotations will be attributed using a pseudonym or code. Quotations will attributed using a pseudonym or code AND indirect identifiers, such as (see information box, above).  |  |  |
| 8.6) \* To what extent would the identity of participants be identifiable or indirectly identifiable in the products of the research? Please explain for each research technique proposed.  | Please explain whether and how participants might be directly or indirectly identifiable in the products of the research for each research technique proposed.For example, if the research involves an anonymous online survey and interviews in which participants would choose whether to be identified, an appropriate answer may be as follows: “Online survey participants would be neither directly nor indirectly identifiable.” Interview participants would be either coded or directly identifiable, in accordance with the preference of each participant. Participants who choose not to be directly identified may be indirectly identifiable.  |  |
| 8.7) \* Describe where and how research data, including consent forms (if applicable), will be stored and secured, and who will have access to the data. | Please describe how data collected from participants will be stored and secured throughout all stages of the research. If the study involves different multiple study populations and/or techniques, and these require different approaches to data management and protection, please describe each approach. Please account for all of the different types of data collected or generated by the study. |  |
| 8.8)  Will anyone other than the Principals Investigator(s) have access to the study data after completion of the study (e.g., will data such as recordings and transcripts be accessible to a community and/or organization)? If so, describe how, where, and by whom the data will be managed and shared, and with whom. |  |  |
| 8.9) \* Will research data be destroyed after completion of the study and, if so, how and when will the data be destroyed? | According to TCPS (Section 5.3), "...appropriate data retention periods vary depending on research discipline, research purpose and the kind of data involved... Similarly, some funding bodies, such as the Social Sciences and Humanities Research Council and the Canadian Institutes of Health Research, have specific policies on data archiving and sharing." Please specify the media involved (e.g. paper or electronic data) and what will be done with each, including consent forms if applicable. |  |

**9. Services Providers**

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| **QUESTIONS** | **INFORMATION BOX** |  |
| 9.1)  If applicable, indicate which internet-based services will be used to collect, store, and/or analyze your data, and where their servers are located. | Researchers are responsible for identifying and disclosing to participants all potential data security issues associated with the study, including those associated with the use of internet-based services. Because internet services that are based in foreign countries are subject to foreign legislation, choice of internet-based services may be a factor in assessing the risks involved. If applicable, please indicate the internet service you will use, and where its internet servers are located. Internet-based services may include, for example, automated transcription services, on-line survey platforms, video conferencing, cloud-based storage, etc.  |  |
| 9.2)  If applicable, indicate how you will ensure that participants are made aware of any privacy and/or confidentiality issues related to use of internet-based services located outside Canada (such service providers are subject to foreign legislation). | As part of the consent process, researchers are required to inform participants of how research data will be managed, and this includes informing participants of data security and privacy issues associated with the use of third-party service providers. If you are using an internet-based service for the collection of data, you are required to be familiar with the privacy policies of the service provider, and at least must supply a URL link to these policies to study participants as part of the consent process. In the case of on-line survey, for example, one way to communicate the necessary information would be to include it at the beginning of the on-line survey. For example, consent information may include a statement to the effect that: "[Company name] is being used to collect your survey responses. Survey data will be stored on [company name] servers located in [country/s where located], and thus is subject to [company name] data privacy policies and foreign legislation. For information on [company name] privacy policy, see [URL link to company’s privacy policy]. Please note that because [company name] stores data on servers located outside of Canada, data you provide will not be protected by Canadian privacy legislation, may be accessed by foreign government/s in accordance with its/their laws.”  |  |
| 9.3)  If using an on-line survey instrument, provide the URL (website link) to the survey. | If using an online survey platform, please provide a URL to the fully develop research instrument (e.g. online-survey).  Tips for developing an on-line survey:    \* Include a consent question at the beginning of the survey - a question that asks participants whether they have read and understood the consent information, and whether they agree to participate under those terms;\* Generally, participants should have the option of declining to answer any specific questions (e.g. no mandatory questions); \* Be aware that collection of IP addresses undermines anonymity. If the survey is advertised as "anonymous", no IP address should be collected. Similarly, the use of "tokens" negates anonymity; and\* Be aware that some service providers retain data even after the researcher "deletes" the data. Read the data retention and privacy policies of the service provider you are using, and ensure that the information you communicate to participants is accurate.  |  |

**10. Secondary Use**

Complete this tab only if you propose to use data that was originally collected for a purpose other than the research for which you are applying for ethical review (see TCPS Articles 5.5A and 5.5B for information on secondary use).

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| --- | --- | --- |
| 10.1) For what purpose was the data originally collected? | Describe the purpose for which the data was originally collected, such as program evaluation, teaching and learning, or other activity not related to the research for which you are applying for ethical review.  |  |
| 10.2) Describe the data for which you are applying to use in accordance with TCPS Articles 5.5A and/or 5.5B on secondary use.  | Please describe the data that was originally collected for a purpose other than the research for which you are applying for ethical review, such as comments submitted anonymously by an employee during a program review, former student assignments, etc. (see, e.g., TCPS Articles 5.5A and 5.5B).  |  |
| 10.3) Describe the population of people from whom the data was collected. | Describe the population from whom the data was originally collected (e.g., patients enrolled in a program supervised by the researcher; students who attended a class taught by the researcher, etc.).  |  |
| 10.4) When was the data collected?   | Describe the time period in which data was collected.  |  |
| 10.5) Did the people who provided the ‘secondary use data’ consent to the data being used for research purposes? YesNo | Indicate whether the people who provided the data provided their informed consent to use the data for research purposes.  |  |
| 10.6) If the answer to question #10.5 is ‘yes’, please describe the mechanism by which consent was informed and documented.  | If a consent form was used, **please attach a copy of the consent form that was used.**  |  |
| 10.7) If the answer to question #10.5 is ‘no’, please indicate whether you propose to seek consent to use the ‘secondary use data’ for research purposes, and, if so, how. If you propose not to seek consent, please explain why not.  | If you are proposing to use a consent form, **please attach a copy of the consent form.** |  |