

**Research Ethics Board**

**Application** **for Ethical Review Form**

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|  **GRAY SECTIONS OF FORM ARE FOR REB OFFICE USE ONLY** |
| REB Number: **Click here to enter text.** | Date Received: **Click here to enter text.** |

Please submit this form and all required appendices to reb@capilanou.ca. Please refer to the [***Guide to Completing the Application for Ethical Review Form***](https://www.capilanou.ca/media/mycapuca/employee/forms-guides-and-manuals/creative-activities-research-amp-scholarship/resources-for-faculty-/CapU-REB-Guide-to-Completing-The-REB-Application-Form-Oct-2021.pdf) for information on how to complete this application form. Guides and example consent forms can also be accessed on the [CapU REB website](http://www.capilanou.ca/about-capu/get-to-know-us/research/research-ethics-board/forms-guides--examples).

Student applications must be submitted by the Supervising Faculty. By submitting an application on behalf of a student, the Supervising Faculty attests that they have read and endorse the application, and is responsible for ensuring that the research is conducted in accordance with the approved ethical protocol. Once approved, this document is the ethical protocol with which the research must comply.

Note that all Research Personnel identified in this application must complete the Tri-Council Panel on Research Ethics’ [Course on Research Ethics](https://tcps2core.ca/welcome) (CORE). Please submit CORE Certificates of Completion as appendices to this form.

## Please indicate if this is a:

[ ]  New application

[ ]  Revised and resubmitted application

[ ]  Application amendment (if so, please also submit an Application for Amendment Form)

# 1. ADMINISTRATIVE INFORMATION

## 1.1 Title of Research Project

Click here to enter text.

## 1.2 Is this research being completed in partial fulfillment of the requirements of a course, diploma, or degree? If so, indicate the course, program, and degree if applicable.

[ ]  Course: Click here to enter text.

[ ]  Diploma: Click here to enter text.

[ ]  Degree: Click here to enter text.

## 1.3 Is the research subject to the jurisdiction of another Ethical Review Process, such as an institution or organization such as a school or First Nation/s? If yes, please indicate whether approval from the other review process has been sought, approved, or to what stage the review process has progressed.

Click here to enter text.

## 1.4 Is the research funded or otherwise supported by a financial award or in-kind contribution other than personal contributions of the Principle Investigator(s)? If so, please describe the contribution, including the monetary or in-kind value of the contribution, and how the funding will be spent.

Click here to enter text.

## 1.5 Project team. Please list all project personnel who will interact with participants or have access to data derived from participants.

|  |  |  |
| --- | --- | --- |
| **NAME** | **PROGRAM/DEPT.** | **EMAIL** |
| **Principal Investigator/s**  |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |
| **Supervising Faculty** |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |
| **Co-investigator/s** |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |
| **Other team member/s**  |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |

## 1.6 Describe the role of each team member in the research. Include all personnel listed in 1.5, above.

Click here to enter text.

## 1.7 What steps has the Principal Investigator/s taken to prepare for this research? Describe relevant context, experience, and any preliminary research and/or community engagement completed to prepare for this project.

Click here to enter text.

# 2. PROJECT DESCRIPTION

## 2.1 Using plain language, provide a brief summary of the project, including the research *purpose*, research *question(s)*, *methods*, and participant *population*. Please limit this section to 500 words.

Click here to enter text.

## 2.2 The following questions are intended to generally describe participants involved in the research and whether secondary use of data is proposed. Check all that apply. Will the research:

[ ]  a) Involve child or youth participants below the age of majority (19 years old 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 question that may reveal potentially illegal activities?

[ ]  e) Involve a researcher who has or had a professional and/or personal relationship with one or more of the research participants?

[ ]  f) Involve Indigenous communities or organizations, seek information on Indigenous culture; heritage, artifacts, traditional knowledge, or use Indigeneity as a variable in analysis?

[ ]  g) Involve student participants under age of majority while they 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?

# 3. PURPOSE, RESEARCH QUESTION/S, AND KNOWLEDGE TRANSFER

## 3.1 What is the purpose of the research? Describe *why* the research is being done. What is the value/importance of the study? How would the research contribute to the advancement of knowledge?

Click here to enter text.

## 3.2 What are the research goals and question/s? Describe what the research is intended to accomplish and the research question/s the research is intended to answer. If the project involves multiple goals and questions, please describe all.

Click here to enter text.

## **3.3 How will the research findings be presented and distributed?** E.g., undergraduate thesis, conferences, journal article, etc.

Click here to enter text.

# 4. STUDY POPULATION AND RECRUITMENT

## **4.1 Describe the study population/s**. Identify any inclusion or exclusion criteria. If the study involves multiple groups, describe each group.

Click here to enter text.

## **4.2 How many people are expected to participate in the study?** If you plan to sample more than one distinct participant group, estimate for each group. If the research involves multiple techniques involving different populations, please estimate for each technique/population (e.g. a survey of 40 participants, a focus group of 10 participants, and interviews with 5 participants).

Click here to enter text.

## **4.3 Will you employ a control group?**  If so, please describe the control group, including how many participants would be involved in the control group.

Click here to enter text.

## **4.4 Describe the participant recruitment procedure. Include a description of who will initiate contact with prospective participants, where, and how.** If recruitment would employ email, please explain how you have or will acquire email addresses of prospective participants.

Click here to enter text.

# 5. STUDY DESIGN AND METHODS

## 5.1 Describe in detail exactly what prospective participants and research participants will be asked to do. Please describe all stages of research involving participants, such as recruitment, data collection, analysis, follow-up with participants, and knowledge transfer. Number the steps in order.

Click here to enter text.

## **5.2 Describe the research method(s) you will use to collect and interpret data, including all data collection strategies, techniques, and instruments proposed** (e.g.,interviews, surveys, focus groups, observation, questionnaire, creative works, etc.). Number the steps in order.

Click here to enter text.

## 5.3 Indicate the research instruments proposed.

[ ]  Questionnaire, such as in-person interrupt survey with paper questionnaire (please include the questionnaire with consent instrument as an appendix top your application)

[ ]  Online survey (include the Uniform Address Locator (URL) of the survey in question 9.3)

[ ]  Interviews (submit interview guide and/or questions as appendix)

[ ]  Data collection with groups, such as focus group, ‘world café’ (submit guide or script as appendix)

[ ]  Observation (participant or naturalistic observation)

[ ]  Deception or withholding of information from participants (submit debriefing instrument as appendix)

[ ]  Other – please describe:

Click here to enter text.

**Please submit the research instrument/s as an appendix to this application.**

## **5.4 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, daily journal of researcher, etc..

Click here to enter text.

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

Click here to enter text.

## **5.6 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 and why collection of such demographic data is necessary to address your research purpose and questions.

Click here to enter text.

## **5.7 Where will research activities involving participants take place?** Indicate whether this space will be private or public. If employing online tools, indicate the anticipated location where participants would access the online tools.

## 5.8 Indicate the amount of time required of participants to participate in the research. If the study involves multiple stages and/or techniques, please estimate the time required for each.

Click here to enter text.

## 5.9 When do you plan to begin collecting primary data using techniques involving human participants? (Indicate “upon REB approval” for immediate start after REB approval is granted).

Click here to enter text.

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

Click here to enter text.

## 5.11 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 warranted, and how you will debrief participants.

Click here to enter text.

# 6. BENEFITS, RISK, AND RISK MITIGATION

## **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 question 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.

Click here to enter text.

## **6.2 Will participants receive financial or other inducement for their participation?** If so, discuss the monetary value of the incentive/inducement, and how and when it would be provided to participants.

Click here to enter text.

## 6.3 Does the study involve physical invasion of the body, physical distress, or risk of physical distress? If so, please explain why these risks might be warranted, and indicate how these risks would be minimized and managed.

Click here to enter text.

## **6.4 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 and managed.

Click here to enter text.

## 6.5 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.? If so, please explain the nature of the relationship.

Click here to enter text.

## **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.**

Click here to enter text.

## **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 the undue influence, why it might be warranted, and strategies you propose to minimize and manage it.

Click here to enter text.

## **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.

Click here to enter text.

## 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 these risks might be warranted, and how these risks would be minimize and managed.

Click here to enter text.

6.10 Does the research involve risk of harm to a community or an identifiable social group? If so, describe the risk, community/social group, why risks might be warranted, and how such risks would be minimized and managed.

Click here to enter text.

**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.

Click here to enter text.

# 7. CONSENT/ASSENT PROCESS

Example Consent Forms can be found on the [REB web site](https://www.capilanou.ca/about-capu/get-to-know-us/research/research-ethics-board/forms-guides--examples/).

7.1 From whom will you be seeking consent? (e.g., participants themselves, authorized third parties such parents and/or guardians.

Click here to enter text.

## 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 Indigenous Community/s? If so, explain how you have or will engage with such organizations and governance structures.

Click here to enter text.

## 7.3 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.

Click here to enter text.

## **7.4** 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.

Click here to enter text.

## **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.

Click here to enter text.

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

Click here to enter text.

## 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?** Please be specific concerning the point in time after which withdrawal would not be possible.

Click here to enter text.

## 7.8 Will participants be provided an opportunity to review and make changes to the information they provide? If yes, explain the process of participant checking. If not, explain why not.

Click here to enter text.

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

Click here to enter text.

# 8. PRIVACY, ANONYMITY, AND ONGOING DATA MANAGEMENT

## 8.1 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).

Click here to enter text.

## **8.2 Will information provided by participants be anonymous, anonymized, coded, or contain indirectly or directly identifiable information?** If employing multiple research techniques with different levels of anonymity, 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 through their names, social insurance number, or other direct identifiers.

NOTE: “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.

## **8.3 If you checked multiple checkboxes in question 8.2, please explain which level of anonymity would apply to which research technique** (e.g., “the online survey would be anonymous; the interviews would be coded.”)

Click here to enter text.

## **8.4 Do you plan to directly quote participants in the projects of the research?**  If so, how will you attribute quotations? (e.g., will you use real names of participants, pseudonyms, or alphanumeric codes). If employing multiple techniques, please explain how quotes would be attributed for each technique.

Click here to enter text.

**8.5) To what extent would the identity of participants be directly or indirectly identifiable in the products of the research?** Describe the information that would be disclosed that might result in participants being indirectly identifiable (e.g., geographic location, vacation, employer, etc.).

Click here to enter text.

## 8.6 Describe where and how research data, including consent forms (if applicable), will be stored and secured, and who will have access to the data. Describe the hardware devices that will be used for the storage of data, and how these devises will be secured (e.g. smartphones, laptops, shared computers, “cloud” storage, USB drives, etc.).

Click here to enter text.

## **8.7 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.

Click here to enter text.

# 9. THIRD PARTY SERVICES PROVIDERS

**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.**

Click here to enter text.

**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.**

Click here to enter text.

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

Click here to enter text.

# 10 SECONDARY USE

Complete this section 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](https://ethics.gc.ca/eng/tcps2-eptc2_2018_chapter5-chapitre5.html#5a) for information on secondary use).

## 10.1 For what purpose was the data originally collected?

Click here to enter text.

**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.**

Click here to enter text.

**10.3 Describe the population of people from whom the data was collected.**

Click here to enter text.

**10.4 When was the data collected?**

Click here to enter text.

**10.5 Did the people who provided the ‘secondary use data’ consent to the data being used for research purposes?**

[ ]  Yes.

[ ]  No.

**10.2 If the answer to question #10.5 is ‘yes’, please describe the mechanism by which consent was informed and documented.**

Click here to enter text.

**10.2 If the answer to question #10.5 is ‘no’, please indicate whether you propose to seek consent to use the data for research purposes, and, if so, how. If you propose not to seek consent, please explain why not.**

Click here to enter text.

# 11. CONFLICT OF INTEREST DECLARATION

## Use checkboxes to indicate if any of the following apply to any of the project personnel listed in section 1.5.

[ ]  Hold patent rights or intellectual property rights linked in any way to this study or its sponsor.

[ ]  Receive personal benefits in connection with this study (e.g., paid by funder for consulting).

[ ]  Have a non-financial relationship with the sponsor such as unpaid consultant, advisor, board member or other non-financial interest.

[ ]  Have direct financial involvement with the sponsor such as ownership of stock, stock options, or membership on a Board.

**If applicable, please explain how the conflict will be avoided or managed:**

Click here to enter text.

# 12. ATTACHMENTS

Check items attached to this application.

[ ]  Copies of TCPS CORE certificate of completion for all research personnel.

[ ]  Recruitment instrument (e.g. verbal script, poster, post to social media, email, etc.).

[ ]  Consent mechanism (e.g. consent form, consent section of questionnaire, consent section of on-line survey).

[ ]  Research instrument (e.g. questionnaire, PDF of on-line survey, interview questions, focus group prompts, etc.).

[ ]  Debriefing form

[ ]  Other – please list other documents submitted with this application:

Click here to enter text.

Note that almost all types of research involving human participants require a recruitment instrument, consent instrument and research instrument.

# SUBMISSION

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 Supervising Faculty*. By submitting an application on behalf of a student, the Supervising Faculty attests that they have read and endorse the application, and is responsible for ensuring that the research is conducted in accordance with the ethical protocol approved by the REB.

If any significant aspect of the research changes, the Principal Investigator must apply to the REB to amend the protocol. Significant changes include, but are not limited to:

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

**Please carefully review your application prior to submission. The following are examples of issues that often delay REB approval:**

* Missing appendices, such as recruitment instruments (emails, flyers, scripts), interview questions, and consent forms;
* Inconsistency among the application form and appendices (e.g., the application acknowledges risks, but the consent form does not);
* Failure to acknowledge and manage risks;
* Missing information on how and when (up until what point in times) participants can withdraw; and
* Inconsistent or inaccurate use of key terms, such as “confidential”, “anonymous”, “anonymized”, and “coded”.

Please refer to the Guide to Completing the Application for Ethical Review Form for information on how to complete this application form. Example consent forms can also be accessed [on the REB website](https://www.capilanou.ca/about-capu/get-to-know-us/research/research-ethics-board/forms-guides--examples/).