Application for Ethics Review of Faculty, Staff and Student Research Involving Human Participants

Each person who intends to carry out research involving human participants or any person intending to pursue research involving the Tyndale community must complete the following application. The application is to be filled out electronically. Where possible, the required explanations should be typed in the spaces provided on the form. Where space is insufficient, the applicant may provide a reference to an attached document to accompany this form. All sections of this application MUST be completed before it will be considered for REB review. If not applicable, please indicate "N/A."

Before undertaking any research with human subjects, the researcher must be thoroughly familiar with the principles of research ethics in the Tri-Council Policy Statement 2 on the Conduct of Research Involving Humans (http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/) and in the Tyndale University College & Seminary Research Ethics Policy (http://www.tyndale.ca/REB).

No research involving human subjects shall commence prior to receiving approval from the Research Ethics Board. This form is used for a wide range of types of research. If you have any questions about the applicability to your own research, please consult with the Tyndale REB (reb@tyndale.ca).

Please email a completed REB application to reb@tyndale.ca.

A. Study Personnel

Principal Investigator or Student Investigator	Dept	Employee or Student #	Phone	E-mail address

I have read the Tyndale University College & Seminary Research Ethics Policy and the Tri-Council Policy 2 pertaining to research involving human participants and agree to comply with the policies and procedures outlined therein. I will report any adverse outcomes to the Research Ethics Board. Additions to or changes in research procedures after the project has been approved will be submitted to the Research Ethics Board for review. I will submit an application for renewal of approval or annual report for any project continuing more than one year. I will submit a final report to the Research Ethics Board once the research has been completed. (NOTE: Digital signatures are acceptable for digital submissions.)

Signature: _____ Date: _____

B. Protocol Information

1. Title of Project

2. Level of Project (check all that apply)

- ☐ Faculty Research
  - ☐ Ongoing track of research
  - ☐ Independent Study
- ☐ Graduate Course (specify course)
  - ☐ Masters Thesis
  - ☐ DMin Project
  - ☐ Course Assignment
- ☐ Undergraduate Course (specify course)
  - ☐ Senior Seminar
  - ☐ Undergraduate Project
  - ☐ Course Assignment
- ☐ Administration (specify department)
- ☐ Other (please specify)

3. Are any collaborating investigators or agencies involved?

Yes ☐ **No** ☐

If **Yes**, please provide the name(s) of all investigators and their respective institutions below.

4. Funding Status

Is this project currently funded or is funding being sought?

No ☐ If **No**, proceed to question #4.	**Yes** ☐ If **Yes,** please complete the next section.

Funding Sponsor:

Title of Grant:

Period of Funding:

Have you submitted a copy of the application for funding to the REB? **Yes** ☐ **No** ☐

If the study is funded, will the Principal Investigator require the approval of the sponsor(s) before publication of the findings? **Yes** ☐ **No** ☐
If yes, please explain.

Does the Principal Investigator(s) or Co-Investigator(s) have a financial or personal relationship with member(s) of the funding agency? **If yes, please explain.** **Yes** ☐ **No** ☐

Please attach a copy of the contract/application.

5. Has this application been submitted to another institution's Research Ethics Board?

Yes ☐ **No** ☐

If **Yes**, provide the name(s) of all investigators, their respective institution(s), the date of ethics review and the decision. **Attach a copy of the ethics clearance certificate, if applicable.**

6. Anticipated dates of contact with study subjects

First Contact (Month/Day/Year)

Last Contact (Month/Day/Year)

☐ Not applicable (Please explain)

7. Anticipated Completion Date (Month/Day/Year)

Researchers conducting research over several years must complete an annual report. All researchers must complete a final report. Research is subject to monitoring as required by the Tri-Council Policy Statement on Ethics for Research Involving Humans (2014).

C. Summary of Proposed Research

1. What research designs will be used in the study?

Check all that apply

- ☐ experimental and quasi-experimental
- ☐ correlational
- ☐ emergent
- ☐ ethnographic
- ☐ narrative
- ☐ mixed method
- ☐ action research/community-based
- ☐ phenomenological
- ☐ historical
- ☐ grounded theory
- ☐ case study
- ☐ oral history
- ☐ other (specify)

2. Purpose and Rationale of Proposed Research

*In lay language, briefly (100-250 words) describe the purpose (objectives) and rationale of the proposed research and include any hypothesis(es) or research questions to be investigated. Please **do not include** a copy of your research proposal.*

3. Data Collection/Experimental Procedures

a. Which procedures will be used?

Check all that apply. Provide a copy of all materials to be used in each procedure.

- ☐ Survey(s) or questionnaire(s)
  ☐ mail-back | ☐ in person | ☐ computer-mediated
- ☐ Experimental task(s)
  ☐ computer-mediated | ☐ individual | ☐ group interaction
- ☐ Interview(s)
  ☐ telephone or computer-mediated | ☐ in person
- ☐ Focus group(s)
- ☐ Role playing
- ☐ Journals/logging/diaries
- ☐ Ethnographic, naturalistic, or unobtrusive observation
- ☐ Participant observation
- ☐ Recording of participants
  ☐ audio | ☐ video
- ☐ Arts-based activities
- ☐ Non-invasive physiological measurement (e.g., heart rate, blood pressure, electromyography, etc.)
- ☐ Document analysis
- ☐ Analysis of secondary data set (no direct involvement with human subjects)
- ☐ Other (specify)

b. Does the project involve the use of research instruments produced by people other than the researcher?

List all instruments to be used and explain for each how the author's intellectual property rights are being respected. (How are the proper acknowledgements and/or payments being made? How are the appropriate permissions being obtained?)

c. Provide a brief, sequential description of the procedures to be used in this study.

4. Participants Involved in the Study

a. Estimate how many participants are expected to be involved in this study?

b. Who will be recruited as potential participants in this study?

Tyndale Participants

- ☐ University College students
- ☐ Seminary students
- ☐ Faculty and/or staff

Non-Tyndale Participants

- ☐ Children (12 years and under)
- ☐ Teenagers (13 - 18 years)
- ☐ Adults (19 - 64 years)
- ☐ Seniors (65 years or older)

c. Describe the prospective participants and explain why this type of participant is being recruited.

Include the participants' group affiliation, gender, age range and any other special characteristics that are the basis for inclusion or exclusion of potential subjects.

d. Are most participants likely to belong to one sex, ethnic group, or gender identity which is not that of the researcher(s)?

If so, explain why this is necessary, the rationale behind this choice, and how you will ensure that your research does not perpetuate unfair stereotypes or biases.

e. Are participants likely to include members of vulnerable groups or populations?

Check all that apply.

- ☐ Children
- ☐ Pregnant women
- ☐ Persons in Institutional Settings
- ☐ First Nations, Inuit and Métis Persons
- ☐ Members of visible ethnic minorities
- ☐ Persons with cognitive impairments
- ☐ Persons with physical impairments
- ☐ Other (specify)

If so, what measures will be taken to safeguard the welfare and rights of these vulnerable participants?

f. Describe any personal or financial relationships with any potential participants and outline the measures you will take to mitigate any conflicts of interest.

5. Recruitment Process and Research Location

a. From what source(s) will the potential participants be recruited?

- ☐ Tyndale University College & Seminary classes
- ☐ Other Tyndale sources (specify)
- ☐ Church/para-church organizations
- ☐ Local School Boards
- ☐ Geographic locations (specify)
- ☐ Businesses, industries
- ☐ Health care settings, nursing homes, etc.
- ☐ Other (specify)

b. Describe how and by whom the potential participants will be recruited.

Attach a copy of any materials to be used for recruitment at the end of your proposal (e.g., posters, flyers, advertisements, letters, telephone and other verbal scripts). If you will be using a developmental design indicate how these materials will be developed.

c. Where will the data collection/experimental activities take place?

- ☐ On campus (specify locations)
- ☐ Off campus (specify locations)

d. What steps will you take to ensure that participants are not coerced to join the study?

6. Compensation of Participants

Will participants receive compensation (financial or otherwise) for participation? Yes ☐ No ☐

If **Yes**, provide details. *(Any compensation must comply with Tyndale's policy on compensation of research participants. Refer to "Research Incentives" document on www.tyndale.ca/reb*

7. Debriefing of Participants

Debriefing is only ethically necessary in cases where the study procedures involve deception or where the nature of the study changes significantly during the research. Where feasible, it is always advisable to provide a letter of appreciation to students at the close of the study, including if possible an executive summary of the study outcomes. This kind of letter is not, however, a formal debriefing.
Is debriefing necessary for this study? Yes ☐ No ☐

If so, briefly describe how feedback will be provided. **If you have a working draft of the type of feedback letter you intend to use, please attach a copy. A copy of the actual feedback letter must accompany the *"Final Report for Research Involving Human Participants."***

What is the anticipated date, or range of dates, when participants will receive this debriefing from you?

D. Potential Benefits from the Study

a. Identify and describe any known or anticipated direct benefits to the participants from their involvement in the project.

b. Identify and describe any known or anticipated benefits from this study to the participants' community or a group they represent.

c. Identify and describe any known or anticipated benefits from this study to the research community or society in general.

E. Potential Risks from the Study

1. Risk Factor Checklist

The purpose of this checklist is to facilitate the review process by identifying factors in this study that commonly raise ethical issues. Please check all that apply.

- ☐ **Participants will include vulnerable individuals (see question C.4.e) who may be**
  - ☐ economically disadvantaged by the costs associated with participating in the study (e.g., travel, childcare);
  - ☐ penalized by an employer who becomes aware of their involvement;
  - ☐ made identifiable by their involvement as members of a vulnerable population;
  - ☐ induced to play only stereotypical roles;
  - ☐ harmed in some other way related to their individual vulnerability.
- ☐ **Participants will represent a vulnerable population (see question C.4.e) which, because of the study, may be**
  - ☐ subjected to potentially negative or embarrassing attention;
  - ☐ interpreted and represented entirely by those outside their group;
  - ☐ harmed in some other way related to the group's vulnerability.
- ☐ **Participants may be affected negatively by study procedures which can reasonably be expected to**
  - ☐ subject them to physical discomfort, pain, aversive stimuli, or the threat of any of these;
  - ☐ induce them to feel embarrassment, humiliation, lowered self-esteem, guilt, conflict, anger, stress, discouragement, or other unpleasant emotions;
  - ☐ Place them in situations of interpersonal conflict;
  - ☐ induce them to act against their wishes;
  - ☐ induce them to disclose intimate or otherwise sensitive information;
  - ☐ inducing them to engage in strenuous or unaccustomed physical activity;
  - ☐ deprive of benefits (such as treatment or education) to which they would normally have access;
  - ☐ withhold benefits (such as treatment or education) from participants in a control group;
  - ☐ harm them mentally, physically, or spiritually in some other way.
- ☐ **Participants may be unduly influenced to participate, or to continuing their participation, because**
  - ☐ their participation brings a significant benefit (e.g., financial compensation, access to knowledge or treatment);
  - ☐ an employer or other authority figure is encouraging their participation and will know whether they join/remain in the study;
  - ☐ they are unable to provide full consent (e.g., children, cognitively impaired persons) and there is reason to believe their representative may not consider their wishes sufficiently;
  - ☐ institutional/formal power relationships connect the researcher with participants (i.e., student/teacher, employer/employee, counsellor/client, youth pastor/youth group member);
  - ☐ the study involves secondary use of existing data (e.g., documents, records, pathological specimens, or diagnostic specimens) and the individuals concerned did not give consent for this reuse;
  - ☐ some other factor will likely inhibit their full autonomy in giving their consent.
- ☐ **Participants will be deceived in the course of the study procedures.**
- ☐ **Participants will be in a private room together with a researcher.**

2. Discuss any known or anticipated risks/stressors to the participants in this study.

Stressors or risks include but are not limited to sources of physiological, psychological, emotional, social, and economic discomfort and/or harm. In the space below, include:

(a) a description of each risk/stressor,
(b) a justification of the risk/stressor's necessity in this study, and
(c) an explanation of how you will mitigate each of the potential risks/stressors.

Discuss each of the factors you identified on the risk factor checklist above.

3. Does this study involve only minimal risk to the participants?

Yes ☐ **No** ☐

If **Yes**, explain why the risk is no more than minimal. (See TCPS 2 for a detailed description of what constitutes 'minimal risk' and 'more than minimal risk'.)

4. Will this study involve the use of deception?

Yes ☐ **No** ☐

If **Yes,** describe how subjects will be deceived. Justify the deception. Attach a copy of the written debriefing sheet and the materials used to obtain consent following debriefing.

F. Informed Consent Process

1. What process will be used to inform the potential subjects about the study details and to obtain their consent for participation?

Check all that apply, and attach a copy of any forms, statements, or verbal scripts to be used in obtaining consent. If verbal consent is to be used, an explanation of the rationale for choosing this method must be attached. You must also include the verbal scripts to be used in presenting information and/or obtaining consent.

- ☐ Information letter with written consent form;
- ☐ Information letter with verbal consent;
- ☐ Information provided verbally; consent provided verbally;
- ☐ Information/cover letter stating that completion of task (e.g., internet survey) indicates consent;
- ☐ Consent not solicited (e.g., observations in public spaces, or archived non-identifiable data)
- ☐ Other (specify)

For transcribers and others who will have access to raw data
I have attached a copy of:

- ☐ the *Non-disclosure and Data Management Agreements*;

For minors or individuals who are not able to provide informed consent
I have attached a copy of:

- ☐ the information letter and permission form to be used to obtain permission from substitute decision-makers;
- ☐ the information letter or verbal script to be used to provide information to potential participants.

While such persons cannot give full consent, researchers should involve these participants as much as possible in the consent process and respect what autonomy they are able to exercise. Describe the nature of the participants' limited ability to consent and how the ability they do have will be respected.

2. Information/Consent Letter Checklist

The following items should be included in your information/consent letter. (Sample letters may be found on the REB website, http://tyndale.ca/reb.) Please check all items included in your information/consent letter.

	A statement indicating that the study has been reviewed and received ethics approval through the REB.
	The title of the project and date.
	Name of Principal Investigator, status and/or role, phone numbers, faculty supervisor's name (if applicable), department, email address and phone number. (Use Tyndale or other University phone numbers only.)
	A statement that the study involves research and that the individual is being invited to participate in the project.
	An explanation of the purposes of the research in language that is absent of technical terms and jargon, and understandable to a person with a grade 8/9 education.
	The expected duration of the participant's involvement.
	A description of the proposed procedure, described as it will be experienced by the research participant.
	A description of any reasonably foreseeable risks or discomforts to the participant.
	A description of any benefits to the participant or to others that may reasonably be expected from the research.
	A statement describing the extent, if any, to which confidentiality of records identifying the participant will be maintained.
	An explanation of whom to contact for answers to pertinent questions about the research participant's rights. Include contact information for the Research Ethics Board (reb@tyndale.ca).
	A statement that participation is voluntary; that refusal to participate will involve no penalty or loss of benefits to which the participant is otherwise entitled; and that the participant may discontinue participation at any time without penalty or loss of benefits.
	The name of any companies or granting agencies that may be sponsoring the research. Indicate whether this is a single-site project or multi-centre project.
	Details of any plan to recontact participants for follow-up sessions or subsequent related studies. Include a description of the ways in which the results will be published, and how the participants will be informed of the results of the research and of their publication.
	The research consent form should describe any apparent, actual or potential conflict of interest on the part of the researchers, their institutions or sponsors.
	There should be a statement to the effect that the prospective research participant: (1) has read and understood the relevant information; (2) understands that he or she may ask questions in the future; (3) indicates free consent to research participation by signing the research consent form.
	The research consent form should not include any reference to a waiver by the participant of any of the participant's legal rights. The participant should not be asked to release the researcher, the sponsor, or the institution where the research is being conducted, from liability or negligence.
	In rare cases it may not be possible to ensure confidentiality because of mandatory reporting laws (e.g., suspected child abuse; reportable communicable diseases; some community-based research). When this is the case, the prospective research subject
	Provide an optional opportunity for subjects to allow their data to be used in secondary use of data studies.

3. How much time will be given to participants to review the information before being asked to give consent?

4. Will consent be ongoing?

Yes ☐ **No** ☐

G. Anonymity of Participants, Confidentiality of Data and Secondary Use of Data

1. Are there unavoidable constraints that prevent a guarantee of full anonymity and confidentiality for participants?

Normally it should not be possible for anyone other than the researcher(s) to associate specific information in the research data with the names or other identifying information of specific participants. Research data should normally be anonymized before being included in published results, and the identities of participants should not be included. Is there something about this research that prevents these normal practices?

Yes ☐ **No** ☐

If **Yes**, explain how anonymity and/or confidentiality will be compromised and why this is both necessary and justified for the study.

Even if full anonymity and confidentiality cannot be guaranteed, please answer the following questions to demonstrate how you are maintaining as much anonymity and confidentiality as possible.

2. **How will you ensure (as much as possible) that participants' collected research data cannot be connected with their names or other identifying information in your records?**

3. **How will you ensure (as much as possible) that collected data cannot be accessed by anyone except study personnel?**

Include here the procedures for securing written records, questionnaires, video/audio tapes and electronic data, etc.

4. **How will you ensure (as much as possible) that research data cannot be associated with the identity of specific participants in the final publication of the findings?**

5. Indicate how long the data will be securely stored and the method to be used for final disposal of the data.

☐ Paper Records
- ☐ Confidential shredding after _____ years
- ☐ Data will be retained indefinitely in a secure location

☐ Audio/Video Recordings
- ☐ Secure erasing/deleting of audio/video recordings after _____ years
- ☐ Data will be retained indefinitely in a secure location

☐ Additional Electronic Data
- ☐ Secure destruction of electronic data after _____ years
- ☐ Data will be retained indefinitely in a secure location

☐ Other (Provide details on type, retention period and final disposition, if applicable)

6. Secondary Use of Data

a. Is it your intention to allow the study data to be reanalyzed by colleagues, students or other researchers?

Yes ☐ No ☐

If **Yes**, how will you allow your subjects the opportunity to choose whether their data may be distributed to others?

b . Is it your intention to re-analyze the data for purposes other than those described in this application?

Yes ☐ No ☐

If **Yes**, how will you contact subjects to obtain their re-consent?

H. Documents that Must Accompany the Application

☐ **Yes**	Verbal script or letter providing information to potential participants about the study (c.f. *Section F: Informed Consent Process)*.	
☐ **Yes**	Verbal script or document for obtaining informed consent (c.f. *Section F: Informed Consent Process).*	
☐ **Yes**	A list and brief description of the proposed data-gathering instruments, including published/known reliability and validity values.	
☐ **Yes**	Materials to be used for recruitment (e.g., posters, flyers, advertisements, letters, telephone and other verbal scripts).	
☐ **Yes**	Other (e.g., draft of feedback letter)	
☐ **Yes**	☐ **N/A**	Completed and signed peer review form from a researcher competent to comment on the scientific merit of the proposed research
☐ **Yes**	☐ **N/A**	Letter of approval for research from cooperating organizations or institutions
☐ **Yes**	☐ **N/A**	Parental or legal guardian consent form (for minors and adults who are not capable of giving informed consent).
☐ **Yes**	☐ **N/A**	Non-disclosure form.
☐ **Yes**	☐ **N/A**	Data management agreement.
☐ **Yes**	☐ **N/A**	Study-specific medical screening form (to be included if physiological assessments are made and associated risks are minimal or greater).
☐ **Yes**	☐ **N/A**	Copies of data-gathering instruments developed specifically for use in this study.
☐ **Yes**	☐ **N/A**	If you refer to a previously approved protocol, please attach a copy of the original application and approval letter. It is the researcher's responsibility to provide this information