okanagan college

For Administration Use Only

Protocol #

To be discussed on:

FORM 1 – Faculty/Staff

RESEARCH ETHICS BOARD

APPLICATION FOR ETHICAL REVIEW

OF RESEARCH INVOLVING HUMAN SUBJECTS AND THEIR PARTICIPATION IN QUESTIONNAIRES, INTERVIEWS, OBSERVATIONS, TESTING, VIDEO & AUDIO TAPES, ETC.

*****PLEASE NOTE: INCOMPLETE APPLICATIONS WILL BE REJECTED AT REVIEW*****

This Application Form is intended as an adjunct to (NOT a replacement of) the complete study research proposal. Please submit the completed application form (with original signatures) along with the full research proposal and all other required documents to the Research Ethics Board (REB) office at reb@okanagan.bc.ca.

Failure to include all required signatures and forms could result in an application processing delay of up to two months.

Researchers must complete all forms as required and ensure that all information has been provided. Incomplete submissions will not be reviewed by the REB. Please refer to the appropriate Guidelines for information on completing this form.

ALL INFORMATION REQUESTED IN THIS FORM MUST FIT IN THE SPACES PROVIDED

DATE OF SUBMISSION:

1. Principal Investigator (or Graduate Student Supervisor)	2. OC Department/Faculty or OC Sponsor
3. Phone Number	4. Fax Number
5. E-mail address	6. Campus address
7. Co-Investigator(s)	8. Student(s)
9. Granting Agency/Source of funding: ☐ Funded ☐ Applied for ☐ Unfunded Date application is due:	
10. Title of Project	
11. Project Time Period (mm/yy – mm/yy)	

12. Title/Position of researchers involved (check all that are relevant to THIS project)

- ☐ Faculty Member
- ☐ Student
- ☐ Other (specify)

SIGNATURES

Note: All student projects require the signatures of the supervisor, administrative/department head **and** faculty dean.

13. Principal Investigator (or Graduate Student Supervisor) *I agree to abide by the Tri-Council Policy for Ethical Conduct for Research Involving Human Subjects.* Date	14. Co-investigator(s) Date
15. Student Date	16. OC Administrative Head or Faculty Dean (as appropriate) Date Printed name

Note: Signatures verify that this project has been reviewed by the parties, has been deemed to be methodologically sound and complies with the professional ethical standards and guidelines of the area of research. Signatures of applicants certify (a) that the information contained in this application is accurate; (b) that the conduct of the proposed research will not commence until ethical approval/ clearance has been granted, and (c) that each signing party agrees to abide by the Tri-Council Policy for Ethical Conduct of Research Involving Human Subjects. Conduct of research using human subjects that has not received ethics approval/clearance is a breach of OC's policy in integrity in scholarly activity. Signatures of the Administrative Head or Faculty Dean (as appropriate) confirm that the Principal Investigator has the qualifications, experience and facilities to carry out this research project.

17. HAS THIS OR A SIMILAR APPLICATION BEEN SUBMITTED TO ANY OTHER RESEARCH ETHICS BOARD? YES ☐ NO ☐
IF YES, ATTACH A COPY OF THE PROPOSAL AND APPROVAL IF AVAILABLE.
NAME OF INSTITUTION:
DATE OF APPROVAL:

18. If this research is for graduate studies, please provide the following information:
- Degree sought
- Area/Department
- University

19. Identify any other institution, agency or community group involved in your research. Include name of Contact Person.

SUBMISSION CHECK LIST

20. List all documents submitted with the Application for Ethical Review. Assign a version date to attached documents.

2 copies of the complete research proposal

Original copy + 1 copy of the following documents	✓ **If applicable**	Version Date
Application form (Form 1)	Yes	Do not alter the version date on this form.
Advertisement to recruit subjects	☐ Yes	
Letter of initial contact	☐ Yes	
Subject consent form (and control consent, if different)	☐ Yes	
Parent / Guardian consent form	☐ Yes	

Remote contact form (Form 3)	☐	Yes	Do not alter the version date on this form.
Deception form and written or verbal debriefing (Form 4)	☐	Yes	Do not alter the version date on this form.
Questionnaires, tests, interview scripts, etc.	☐	Yes	
Cover letter for the questionnaire	☐	Yes	
Other required/supporting documents/approvals	☐	Yes	Version date not required

DESCRIPTION OF PROPOSED RESEARCH

21. Project Summary:

In the space, summarize the purpose, goals and objectives of the project in a concise and comprehensible manner with minimum use of technical language. Include: background, purpose, hypothesis/goals, and justification (scientific/scholarly validity, appropriateness of utilizing human participants).

Describe your methodology and procedures, including any specific tests, interviews, questionnaires, or experimental procedures. If the study involves an experimental approach to curriculum or treatment, specify how the procedures differ from normal practice.

22. Where will the research be carried out?

DESCRIPTION OF POPULATION

23. How many subjects, including controls, will be enrolled in the entire project? Of these, how many will be in the control group(s)?

24. Who is being recruited and what are the criteria for their selection? What effort has been made to recruit an inclusive sample? If controls are involved, and if their selection and/or recruitment differ from test subjects, provide details.

25. How, where and when will subjects be recruited? Who will be contacting potential study subjects?
If initial contact is by letter or if a recruitment notice/advertisement is to be posted, attach a copy.
If an interview is conducted by telephone or internet, complete the *Remote Contact Form* (Form 3).

26. What subjects will be excluded from participation?

27. Will study subjects be compensated? If so, provide details of amounts, reasons for, and payment schedules.

28. Are any study subjects considered members of a (potentially) vulnerable group? ☐ Yes ☐ No
If yes, please describe.

Does your study have the potential for identifying distressed or disturbed individuals?
☐ Yes ☐ No

If your study has the potential to upset subjects, or identify distressed or disturbed individuals, you must make arrangements to mitigate such effects (e.g. provide information about counselling services). Describe the arrangements you have made.

29. Will any study subjects have problems giving informed consent on their own behalf? Consider physical or mental condition, age, language, or other barriers. What procedures are in place to ensure that consent is properly given?

30. If any subjects are not competent to give informed consent, who will consent on their behalf? What measures will be taken to inform and obtain the consent of the subject inasmuch as that is possible?

31. Estimate of risk:
What level of risk to study subjects would you assign to this research project? Minimal risk is defined as those risks encountered in normal, everyday life.

Physical risk	☐ minimal risk	☐ more than minimal risk
Psychological/Emotional risk	☐ minimal risk	☐ more than minimal risk
Social risk	☐ minimal risk	☐ more than minimal risk
Employment risk	☐ minimal risk	☐ more than minimal risk

If you answered 'more than minimal risk' to any of the above, please describe the manipulations and/or potential risks as well as the safeguards or procedures you have in place. Please provide justification for any potential risks involved and explain why alternative approaches (including revising the types of data collected or the method by which data are collected) involving less risk cannot be used.

If your study has the potential to upset subjects, or identify distressed or disturbed individuals, you must make arrangements to mitigate such effects (e.g. provide information about OC counselling services). Describe the arrangements you have made.

32. What discomfort or incapacity or perceived degree of coercion are the subjects likely to endure as a result of the research process?

33. Describe any potential benefits to subjects from their participation in this study.

34. How much time will subjects be required to spend participating in this project? (minutes/hours over how many weeks/months)

35. How much time will a member of the control group (if any) have to spend participating in this project?

DATA

36. Who will have access to the data?

37. How do you plan to handle the requirement of confidentiality and/or anonymity?

38. If a subject withdraws consent part way through the study, what will happen to his/her data?
    - ☐ It will not be used in the analyses.
    - ☐ It is logistically impossible to remove individual participant data.
    - ☐ It will be used in the analyses if the participant agrees to this (how will agreement be obtained?)

39. What are the specific details for storage and disposal of records/data or audio/video tapes? Provide information on location, security and access. Indicate storage time (approximate times/dates). Please note: storage for five years after collection is the expected normal time frame.

40. Will any data which identify individuals be available to persons or agencies outside the research group? ☐ YES ☐ NO
    If yes, please explain.

41. Plans for publication. Explain any restrictions on publication (for example, as requested by a sponsor).

42. Future use of data. Indicate if there are any plans to use the data collected in this study for other purposes in the future.

43. Are subjects to be debriefed at the end of the research project? If so, explain how this will be done. If not, explain why not. What are the plans for informing subjects of the results of the study?

INFORMED CONSENT

44. Are any of the following involved in this study? **Check all that apply.**

- ☐ Action Research
- ☐ Data Linkage
- ☐ Deception (Form 4)
- ☐ Ethnography
- ☐ Focus Groups (submit a sample of questions)
- ☐ Interviews (submit a sample of questions)
- ☐ Observation (naturalistic/experimental/participant)
- ☐ Questionnaires (submit a copy)
- ☐ Telephone/internet remote contact (Form 3)
- ☐ Secondary Use of Data
- ☐ Review/use of confidential records
- ☐ Video/Audio-taping
- ☐ Other (specify)

45. Who will consent? (check) **Attach copies of any consent forms. See Form 2 for examples.**

- ☐ Subject
- ☐ Parent/Guardian
- ☐ Agency Official(s)

In the case of projects carried out at other institutions, the Committee requires written proof that agency consent has been received. Please specify below:

- ☐ Research carried out in a hospital -- approval of hospital research or ethics committee.
- ☐ Research carried out in a school -- approval of School Board and/or Principal. (Exact requirements depend on individual school boards: check with them.)
- ☐ Research carried out in a provincial agency (Name of contact person and title).
- ☐ Other. Specify:

Describe the consent process. A description of the verbal explanation or a copy of the information material that will be given to subjects before they are asked to consent to participation should be attached. (If not applicable, state why).

How long will subjects have to decide on whether or not to participate?

If participants will not be fully informed of everything that will be required of them prior to the start of the research session, explain why.

To be sensitive to unique situations, including cultural differences, a written consent form may not be appropriate. If there is no consent form, an explanation and details about your alternative procedures to ensure that consent is obtained and recorded is required.

How and when are the subjects informed of the right to withdraw? What procedures will be followed for subjects who wish (or who exhibit signs that they wish) to withdraw at any point during the study?

CONSENT CHECK LIST

46. **Written subject consent (Form 2) is required in all cases other than questionnaires which are completed by the subject. (See item #47 for questionnaire consent requirements.) Please check each item in the following list to ensure that the written consent form attached contains all necessary items. If your research involves contact by telephone, you need not fill out this section. Written correspondence should be on OC letterhead.**

	Yes	No	N/A
a) Consent form has been proof-read for grammatical and typographical errors	☐	☐	☐
b) Title of project	☐	☐	☐
c) Identification of investigators (including a contact telephone number and e-mail address)	☐	☐	☐
d) An explanation of who is funding or sponsoring the study (if applicable).	☐	☐	☐
e) If the project is research for a graduate thesis, a statement indicating this.	☐	☐	☐
f) Second-person pronouns (you/your child), when referring to subjects. Be consistent throughout.	☐	☐	☐
g) A clear explanation of why the subject has been invited to participate in the study.	☐	☐	☐
h) A statement that participation is voluntary.	☐	☐	☐
i) Brief but complete description in lay language of the purpose of the project and of all procedures to be carried out in which the subjects are involved.	☐	☐	☐
j) Statement of the total amount of time that will be required of a subject.	☐	☐	☐
k) Details of monetary or other compensation, if any, to be offered to subjects.	☐	☐	☐

l)	Description of the likelihood of any discomforts and/or inconveniences associated with the participation and factors which might lead to refusal to participate.	☐	☐	☐
m)	A statement of all known short and long-term risks, (for example: psychological, cultural, privacy, confidentiality), and a description of the procedures in place to minimize risks. If the project has the potential to cause distress, include information on counseling services.	☐	☐	☐
n)	A statement regarding potential benefits of participating, if any.	☐	☐	☐
o)	Assurance that identity of the subject will be kept confidential and description of how this will be accomplished.	☐	☐	☐
p)	Assurance that the information collected (identifiable data) will be kept confidential, an explanation of how this will be done, and a statement of who will have access to the data.	☐	☐	☐
q)	An offer to answer any inquiries concerning the procedures, to ensure that they are fully understood by the subject.	☐	☐	☐
r)	A statement as to what the information will be used for (presentation, publication etc.)	☐	☐	☐
s)	A statement as to how the subject can receive a copy or executive summary of completed project and, where appropriate, receive updated information during the course of the research.	☐	☐	☐
t)	An offer to provide debriefing, if appropriate.	☐	☐	☐
u)	An unambiguous statement of the subject's right to refuse to participate or withdraw at any time and a statement that withdrawal or refusal to participate will not jeopardize further treatment, medical care or influence class standing as applicable. **NOTE:** This statement must also appear on letters of initial contact.	☐	☐	☐
v)	A statement that if the subject has any concerns about his/her treatment or rights as a research subject, he/she may contact the Chair of the Okanagan College Research Ethics Board at 250-762-5445 (local 4736). Okanagan College and Research Ethics Board need to be spelled out in all documents. If it is referred to several times, it should be stated as Okanagan College (OC) and Research Ethics Board (REB).	☐	☐	☐
w)	A statement acknowledging receipt of a signed copy of the consent form.	☐	☐	☐
x)	The signature and printed name of the subject CONSENTING to participate in the research project, investigation, or study, and the date of the signature.	☐	☐	☐
y)	Parental consent forms must contain a statement of choice providing an option for refusal to participate. (e.g. "I consent/I do not consent to my child's participation in this study." (Form 2)	☐	☐	☐
z)	Page numbers (“page 1 of 3,” “page 2 of 3,” etc.) and a version date at the bottom of each page	☐	☐	☐

QUESTIONNAIRE/SURVEY CHECK LIST

47. **Questionnaires should contain an introductory paragraph or cover letter which includes the following information. Please check each item in the following list before submission of this form to insure that the introduction contains all necessary items. The questionnaire or cover letter should be on OC letterhead.**

		Yes	No	N/A
a)	Questionnaire and cover letter have been proof-read for grammatical and typographical errors	☐	☐	☐
b)	Title of project	☐	☐	☐
c)	Identification of investigators (including a contact telephone number and e-mail address)	☐	☐	☐
d)	An explanation of who is funding or sponsoring the study (if applicable).	☐	☐	☐
e)	If the project is research for a graduate thesis, a statement indicating this.	☐	☐	☐
f)	Second-person pronouns (you/your child), when referring to subjects. Be consistent throughout.	☐	☐	☐
g)	A clear explanation of why the subject has been invited to participate in the study.	☐	☐	☐
h)	A statement that participation is voluntary.	☑	☐	☐
i)	Brief summary in lay language of the purpose of the project, including potential presentation and publication, if applicable.	☐	☐	☐
j)	The amount of time required of the subject must be stated.	☐	☐	☐
k)	Details of payment for expenses and/or any other remuneration to be offered to the subjects (if any).	☐	☐	☐
l)	The potential risks and benefits to be derived from participating in the project.	☐	☐	☐
m)	An offer to answer any inquiries concerning the project, to ensure that it is understood by the subject.	☐	☐	☐
n)	Assurance that identity of the subject will be kept confidential and description of how this will be accomplished.	☐	☐	☐
o)	Assurance that the information collected (identifiable data) will be kept confidential, an explanation of how this will be done, and a statement of who will have access to the data.	☐	☐	☐
p)	A clear statement of the subject's right to refuse to participate or withdraw at any time without jeopardizing further treatment, medical care or class standing as applicable. **NOTE:** This statement must also appear on explanatory letters involving questionnaires.	☐	☐	☐
q)	A statement that if the subject has any concerns about his/her treatment or rights as a research subject, he/she may contact the Chair of the Okanagan College Research Ethics Board at 250-762-5445 (local 4736). Okanagan College and Research Ethics Board need to be spelled out in all documents. If it is referred to several times, it should be stated as Okanagan College (OC) and Research Ethics Board (REB).	☐	☐	☐
r)	The statement that if the questionnaire is completed it will be assumed that consent has been given.	☐	☐	☐
s)	For surveys circulated by mail, submit a copy of the explanatory letter as well as a copy of the questionnaire.	☐	☐	☐
t)	Page numbers ("page 1 of 3," "page 2 of 3," etc.) and a version date in a footnote at the bottom of each page	☐	☐	☐

POTENTIAL CONFLICT OF INTEREST

48. Describe any personal benefits that the investigators and/or their partners/immediate family members will receive, connected to this research study. Include details of all fees and/or honoraria directly related to this study, such as those for subject recruitment, advice on study design, presentation of results, or conference expenses.

ADDITIONAL INFORMATION

49. Use this space to provide information which you feel will be helpful to the ethics committee OR to continue any item for which sufficient space was not available.

Please remember to submit the accompanying research proposal