CBU Research Ethics Board: Application Form

For up to date instructions please visit the [CBU REB website for REB submission guidelines](https://www.cbu.ca/research/research-ethics-animal-care/research-ethics-protocol-submissions/).

For questions about the REB process, please contact Jared Walters, Research Administration Officer, Facilitation and Outreach at [ethics@cbu.ca](mailto:ethics@cbu.ca) or (902) 563 – 3196.

## INSTRUCTIONS ON SUBMITTING AN REB PROTOCOL APPLICATION

1. Complete the research ethics application below. Read the form carefully.
2. Include all relevant forms such as interview guides, informed consent forms, recruitment material, etc.
3. Submit this form and all relevant attachments by emailing ethics@cbu.ca.

## For Student Applications

* Student researchers are required to complete the [TCPS 2 Tutorial](http://tcps2core.ca/welcome) and submit proof of completion as part of their application.
* Students are required to have their application reviewed and approved by their supervisor. The supervisor and student’s signature must be submitted as part of the application.
* [Information on the above documents can be found here.](https://www.cbu.ca/research/research-ethics-animal-care/research-ethics-protocol-submissions/)

## REB Review Process

* You should receive a confirmation email within one week of submission.

If you have any **concerns** about the REB process you can contact one of the Board Co-Chairs, Tracey Harris ([Tracey\_Harris@cbu.ca](mailto:Tracey_Harris@cbu.ca) or Bishakha Mazumdar ([Bishakha\_Mazumdar@cbu.ca](mailto:Bishakha_Mazumdar@cbu.ca)).

* Contact Jared Walters, CBU REB Administrator, at [ethics@cbu.ca](mailto:ethics@cbu.ca) if you have **any general questions** about the ethics process at CBU.
* The CBU REB aims to have applications processed and approved in 4 weeks. However, during peak times or holidays, there may be longer wait times.
* Applications that are incomplete will take longer to process.

## Annual Reports, Renewals and Amendments

REB approvals are granted for a period of one (1) year. Principal researchers of ongoing projects are required to submit an annual report for review. Any change to an approved protocol must be reviewed and approved through the amendment process prior to its implementation. Contact [ethics@cbu.ca](mailto:ethics@cbu.ca) if you would like to make an amendment.

* All research requires a brief report upon completion of the research. Suitable report forms [are found on our website.](https://www.cbu.ca/research/research-ethics-animal-care/research-ethics-protocol-submissions/)
* Brief Annual Reports are required for extended studies. Suitable report forms are available on our website.
* [Renewal forms for existing protocols can be found here.](https://www.cbu.ca/wp-content/uploads/2019/08/Renewal-Request.pdf)

Please indicate that you have read the instructions above and understand that **any research involving human participants requires approval from the CBU REB prior to the start of the research project**.

|  |  |
| --- | --- |
| I have read the instructions above and understand that any research involving human participants requires approval from the CBU REB **prior** to the start of the research project. | [ ] Yes [ ] No |

# SECTION 1. ADMINISTRATIVE INFORMATION

|  |  |
| --- | --- |
| Indicate the type of project being submitted. | [ ] New [ ] Resubmission [ ] Major Amendment  New: Project has not been submitted to the REB previously.  Resubmitting: Project was previously submitted to the REB but not approved.  Major Amendment:The project is connected to an existing REB protocol that has been approved. |
| Project Title |  |
| Existing Protocol Number  (for Resubmissions or Major Amendments) |  |

## 1.1 Research Team Information

|  |  |
| --- | --- |
| Principal Investigator’s Name |  |
| Department |  |
| Email |  |
| Phone |  |
| Project Start Date |  |
| Project End Date |  |
| Co-Investigators names, affiliations and contact information | Name, Affiliation, Contact Information |

## 1.2 Student Submissions

* Please note student applications will **not be processed** unless the student’s supervisor has reviewed and approved the application.
* Students **must** have supervisors sign the [Supervisor Signature for Student Ethics Application](https://www.cbu.ca/wp-content/uploads/2019/08/Supervisor-Signature-for-Student-Ethics-Application_October-2018.docx)page and attach this completed form when submitting this application.
* Students are required to have completed the TCPS2 Tutorial before submitting their application to the REB. Visit [http://tcps2core.ca/welcome](http://tcps2core.ca/welcome%20)
* **Save the Completion Certificate and attach it to your application when submitting your form.**
* **If your supervisor is not primarily associated with Cape Breton University, please list their primary institutional affiliation.**

|  |  |
| --- | --- |
| Program |  |
| This project is for: | [ ] Course [ ] Thesis [ ] Other |
| Name of Supervisor |  |
| Supervisor’s Affiliation  (Department, University) |  |
| Supervisor’s Email |  |
| Supervisor’s Phone |  |

## 1.3 Resubmissions

|  |  |
| --- | --- |
| Briefly discuss the changes made/response to REB feedback for your **resubmission.** |  |

## 1.4 Major Amendments

|  |  |
| --- | --- |
| Describe in detail how your amendment differs from the existing approved protocol including: information on new participants, new methodologies, new interactions with participants (eg. new interview questions, survey information, focus groups etc.) |  |

## 1.5 Funding

In some cases, funders will need to see proof of ethics clearance prior to funds being released. If this is your situation, remember to forward your approval letter to [janet\_macpherson@cbu.ca](mailto:janet_macpherson@cbu.ca) for release of funds.

|  |  |
| --- | --- |
| Describe the amount and source of any funding you have **received** for this project. |  |
| Describe the amount and source of any funding **you are/will be applying** for this project. |  |

# SECTION 2. DESCRIPTION OF RESEARCH PROJECT

The intent of this section is to provide REB reviewers with enough information to understand and evaluate the project's risks and benefits to participants and others, regardless of discipline. These risks can be trivial or profound, physical or psychological, individual or social. To note:

* It is not guaranteed that REB reviewers will have the same discipline specific knowledge as you. As such, avoid using jargon and take the time to explain central concepts with a general audience in mind.
* Applications that do not include enough information will be returned to the researcher.
* Please note the word count numbers are for guidance only. Applicants may find that more or less information is required.

## 2.1 Research Summary

|  |  |
| --- | --- |
| Summary of Research  *Suggested word count: 200 - 250* | Provide a summary of the proposed research, indicating clearly the role of the research participants and any procedures to which the participants will be subjected. **Attach copies of any questionnaires, interview guides or other instruments with your application.**  This section should include: The scope of your research, your research question, research methodology, how participants will be engaged with for this research and how research participants will assist in answering research questions relevant to this study. |

## 2.2 Location and Jurisdiction

**Are you planning on conducting research with human subjects elsewhere in Canada or outside of Canada?**

If yes, please provide the follow information:

|  |  |
| --- | --- |
| Provide proof of, or a detailed plan to obtain ethics review by an REB or other appropriately constituted review body with jurisdiction at the research site elsewhere in Canada, or outside Canada, if any. If there is no formal review body, please indicate.  *Suggested word count: 100 - 150* |  |
| Provide a detailed plan to seek permission to proceed with the research at that site and with the target participants/community.  *Suggested word count: 100 - 150* |  |
| Describe the strategies you are taking to familiarize yourself with the relevant norms and cultural practices, and to minimize risks to individuals and communities participating in, or potentially affected by, the research.  *Suggested word count: 100 - 150* |  |

## 2.3 Benefits and Purpose

|  |  |
| --- | --- |
| What is the benefit of this research? What new knowledge is anticipated as an outcome of this study? Why are participants integral to this study?  *Suggested word count: 100 - 150* |  |

## 2.4 Research in Aboriginal Contexts

Please indicate if this research will work in Aboriginal Contexts [ ] Yes [ ] No

[Chapter 9 of the Tri-Council Policy Statement](http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/chapter9-chapitre9/) deals with Research in Aboriginal Contexts. All researchers working with aboriginal communities or participants in Canada or internationally need to be familiar with this chapter. In addition, researchers working in Nova Scotia with the Mi’kmaq community should consult the Mi’kmaq Ethics Watch (MEW) procedures. [If you believe your project may require MEW approval please consult their website for appropriate contacts.](https://www.cbu.ca/indigenous-affairs/unamaki-college/mikmaq-ethics-watch/) It is a PI's responsibility to understand what jurisdictions their research may fall under and to seek **appropriate ethical clearance.**

|  |  |
| --- | --- |
| Please provide evidence of a research agreement or community consultation. You may submit this information here or include an attachment.  *Suggested word count: 100 – 150* |  |

## 2.5 Research in Health Fields and Schools

Please indicate if this research will work in Health Fields and/or Schools [ ] Yes [ ] No

* Researchers completing work in the health field may also need approval from the Nova Scotia Health Authority.
* Researchers completing work in the school board may also need permission/approval from the CBVRSB or equivalent.

*It is a PI's responsibility to understand what jurisdictions their research may fall under and to seek appropriate ethical clearance.*

|  |  |
| --- | --- |
| Please provide evidence of a research agreement or community consultation. You may submit this information here or include an attachment.  *Suggested word count: 100 - 150* |  |

# SECTION 3. INFORMATION ON RESEARCH PARTICIPANTS

## 3.1 Participants and Recruitment

|  |  |
| --- | --- |
| Who are the research participants in your project? If you are drawing from more than one participant population, please indicate (eg. interviewing teachers and students)  *Suggested word count: 75* |  |
| How many research participants do you anticipate?  *Suggested word count: 75* |  |
| Will participants be recruited and if so, from what population? Please attach any recruitment information to this application such as email scripts, posters or invitations. *Suggested word count: 100* |  |
| Will any aspect of your research include in-person research? If so, please outline what steps will be taken to follow Public Health Directives. |  |

## 3.2 Deception

|  |  |
| --- | --- |
| Does this research involve deception or partial deception? | [ ] Yes [ ] No |
| Provide an explanation of how/if you plan to debrief deceived participants (Article 3.7A and B from the TCPS2).  *Suggested word count: 100* |  |
| Describe the expected benefit resulting from this deception, justifying waiving of the normal requirements for full disclosure.  *Suggested word count: 100* |  |

## 3.3 Inducements

Inducements could include anything from providing bus fare to participants, to offering pizza at a focus group, or beyond.

|  |  |
| --- | --- |
| Will any inducements be offered to encourage participation? | [ ] Yes [ ] No |
| Please describe the inducements and how they will be handled  *Suggested word count: 100* |  |

## 3.4 Informed Consent

Please see the CBU Informed Consent template, [available on our website](https://www.cbu.ca/research/research-ethics-animal-care/research-ethics-protocol-submissions/).

|  |  |
| --- | --- |
| Will informed consent be sought from all participants? | [ ] Yes [ ] No |
| Will you be seeking oral or written consent? | [ ] Oral [ ] Written |
| How will investigators explain potential risks and benefits of this research for participants as well as the aims of this research? Attach a copy of any documents used for this purpose such as an informed consent form or a script of how you will ask for oral consent. *Suggested word count: 100* |  |

## 3.5 Competency of Research Participants

The TCPS2 does not state an age of consent for research; it is up to the researcher to consider age of majority. Researchers should consider where the research is taking place, the nature of the research, the capacity of their participants, and the question of assent/dissent when designing the consent process for their projects. For more information please refer to Chapter 3 of the TCPS 2.

|  |  |
| --- | --- |
| Please indicate the age/competency of research participants. | [ ] Children  [ ] Youth (16 – 18 aka “mature minors”  [ ] Participants (children/youth/adults) who may lack decision-  making capacity  [ ] Adults |
| Please describe how you plan to handle parental/guardian consent, and/or assent/dissent of children, youth, or adults who may lack decision-making capacity.  *Suggested word count: 100* |  |

## 3.6 Duty to Disclose

Researchers are reminded that both the Tri-Council and the government of Nova Scotia (or whatever province or territory you are working in) have specific rules relating to the duty to disclose suspected or alleged abuse or neglect of a child or adult in need of protection.  CBU's Informed Consent Template contains language on the Duty or Disclose.

The CBU REB application form requires the Duty to Disclose (Section 3.6) be completed even if the researcher feels disclosure of harm or abuse is unlikely to take place during their project. The CBU REB provides the following sample language for this section**. Researchers should alter this section to reflect their research and location.** Researchers are responsible for including equivalent language relevant to the jurisdiction (province, country etc.) in which the research is being conducted. For more information, [please review our resource](https://www.cbu.ca/wp-content/uploads/2020/09/007-Duty-to-Disclose_Final.pdf).

Sample A:

*This study is not specifically sampling participants in vulnerable situations. However, in the unlikely event that a child or vulnerable adult was suspected of being abused or neglected through the course of this research, the research team would contact adult protection and/or child protection as appropriate. For adult protection services, we would contact (1-800-225-7225). To report suspected child abuse we would contact*[*the closest Department of Community Services*](https://novascotia.ca/coms/families/abuse/index.html)*in our area (Sydney district: 902-563-3300).*

|  |  |
| --- | --- |
| Please outline what steps you will take if disclosure of abuse or neglect takes place during the course of your research project.  N/A is only an acceptable answer if you are conducting research where you will not know the names of the participants involved (e.g. an anonymous survey). If you will be anonymizing survey data from known participants, you should provide the information requested above. |  |

## 3.7 Follow Up

|  |  |
| --- | --- |
| Will you follow up with your participants regarding the results of this research? | [ ] Yes [ ] No |
| If yes, describe the measures which you propose for providing feedback to research participants concerning the outcome of the research.  *Suggested word count: 75* |  |

# SECTION 4: RISKS

## 4.1 Statement on Risk

Please review the statement on minimal risk from the [TCPS2](http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/):

“For the purposes of this Policy, ‘minimal risk’ research is defined as research in which the probability and magnitude of possible harms implied by participation in the research is no greater than those encountered by participants in those aspects of their everyday life that relate to the research.

In this assessment of the acceptable threshold of minimal risk, REBs have special ethical obligations to individuals or groups whose situation or circumstances make them vulnerable in the context of a specific research project, and to those who live with relatively high levels of risk on a daily basis. Their inclusion in research should not exacerbate their vulnerability”

Although COVID restrictions have ended, CBU researchers are encouraged to consider incorporating health and safety measures into their interactions with research participants, especially in situations involving young children and other potentially vulnerable individuals or groups. Off-campus research (local, domestic, and international) must adhere to public health requirements in effect at the venue/country where research is being conducted.

Risk can apply to both participants and non-participants.

|  |  |
| --- | --- |
| Based on the definition provided, I believe this project: | [ ] Meets the criteria for minimal risk research  [ ] May be or is above the threshold for minimal risk  *If a proposed research project is deemed above minimal risk, or if the reviewing member of the REB believes that a proposed project may be above minimal risk, the application must go to the full REB for review.* |

## 4.2 Description of Risk: Minimal Risk

All research has potential risks even projects that can be described as having minimal risk. Note that risks can apply to both participants and non-participants (researcher, community members). For more information around risk please view 2.2b in the TCPS2 “Concepts of Risks and Potential Benefits”

**Please note “N/A” is not an acceptable answer for this section.**

|  |  |
| --- | --- |
| Identify potential harms to participants that may occur during this research project.  *Suggested word count: 150* |  |
| Please describe any provisions you will put in place to minimize risk, to ensure the safety/well-being of participants, and to handle any harm that participants may experience.  Identify some potential harms that may occur during the research project.  *Suggested word count: 100* |  |

## 4.3 Description of Risk: Above Minimal Risk

Fill out this section if you have indicated that the proposed project is above minimal risk. Note that risks can apply to both participants and non-participants (researcher, community members). For more information around risk please view 2.2b in the TCPS2 “Concepts of Risks and Potential Benefits”

|  |  |
| --- | --- |
| Explain how the research benefits justify these risks, and how you plan to mitigate risks to participants. Identify potential harms that participants may encounter during the research project.  *Suggested word count: 200* |  |
| If your research **involves more than minimal risk**, describe the measures to you propose for facilitating continuing review of this research, during the entire course of the project.  Identify some potential harms that may occur during the research project.  *Suggested word count: 200* |  |

# SECTION 5. PRIVACY

|  |  |
| --- | --- |
| Will complete **anonymity** of participants and data be maintained? If, ‘no’, please explain.  *Suggested word count: 150* | [ ] Yes [ ] No |
| Will complete **confidentiality** of participants be maintained?  If, ‘no’, please explain.  *Suggested word count: 150* | [ ] Yes [ ] No |
| Describe how issues of privacy (e.g. identifiability, anonymity, and/or confidentiality) will be handled at all stages of the research.  *Suggested word count: 150* |  |
| How long will data be stored? |  |
| Where will data be stored? If data is collected through online survey platforms (e.g. Survey Monkey, Mtark, Qualtrics etc.), specify the country where the data is stored. |  |
| Where possible, describe plan/process of destroying the data.  *Suggested word count: 100* |  |

# SECTION 6: FINAL INFORMATION

## 6.1 Submission Checklist

* Informed Consent form(s)
* Questionnaires, Interview guides, recruitment tools (emails, posters, etc.)
* **Students:** Supervisor signature for student ethics application (signed by your professor, scanned, and ready to upload)
* **Students:** TCPS2 Tutorial Certificates (upload the certificate of each group member)

## 6.2 Researcher Confirmation

[ ] I understand that research involving humans cannot begin prior to receiving official ethics approval from the CBU REB.

[ ] I confirm that this application is complete and contains accurate information.

[ ] I confirm that I have reviewed the REB Submission Checklist and have included all required documents for my application.