

**Mount Allison University Ethics Board Applications
Form 1: Ethics Review of Research Involving Humans**

A GUIDE FOR SOCIAL SCIENCE STUDENTS

All research involving human subjects requires approval by the Research Ethics Board. Research involving human subjects includes;

- ❖ Research on human remains or parts such as cadavers, tissues, biological fluids, embryos, or fetuses,
- ❖ Interviews in person or by telephone, video, electronic means or surveys in which one acquires identifiable personal information,
- ❖ Research involving the use of interviews conducted by another person if he or she is “approached directly” for the use of these interviews or records,
- ❖ Research employing data that was collected from individuals in association with another research project, and
- ❖ Research involving participant observation unless observations are being conducted at events such as “political rallies, demonstrations, or public meetings, since it can be expected that the participants are seeking public visibility.”
(adapted from <http://www.mta.ca/Research/com/>)

A. GENERAL INFORMATION

1. Name of principal investigator:

If this is your research project, then you are the principal investigator. For instance, if you are a student doing research for your honours thesis, you are the principal investigator.

2. Name of research project (title should be identical to that of any corresponding grant):

Provide the full title of the research project. If you have already received or applied for a grant for this project, the title on your REB application should be the same as the title on the grant application.

3. Nature of the research (check one)

(a) Faculty or librarian research

Ongoing research activity

Check here if you are a faculty member or a librarian applying to do research for an ongoing project.

Single study (one time only)

Check here if you are a faculty member or a librarian applying to do research for a one-time study with an approximate start date and end date.

(b) Graduate student independent research

Masters thesis

Check here if you are a master's student applying to do research for your master's thesis.

Research paper/class project/independent project/directed study

Check here if you are a masters or PhD student applying to do independent or course-related research.

(c) Undergraduate student independent research

Honours research project

Check here if you are an undergraduate student applying to do research for your honours thesis.

Directed studies/independent research project

Check here if you are an undergraduate student applying to do research for an independent or course-related project that is not your thesis. Students doing research for courses are strongly advised to seek ethics approval at the departmental level. However, if there is any chance that this research might become data for your thesis in the future, it is recommended that you seek REB approval for the project. The departmental review application form is similar to this form for REB applications, however it contains an ethics checklist to ensure that the study poses no more than minimal harm to research participants. If it is determined at the departmental level that the study could pose more than minimal harm, it will be sent for full ethics review by the REB. The form for departmental ethics review can be obtained on-line at: <http://www.mta.ca/Research/com/#forms>. It should be handed in to your faculty supervisor.

(d) Miscellaneous

Other (please specify)

Check here if you are applying to do research involving human subjects but you are not a student or a faculty member. For example, in the case of an administrative unit or committee wishing to conduct a survey or study, check here.

4. Investigators:

For Faculty Projects:

Names of all faculty investigators **Dept.** **Phone:** **e-mail:**

If you are a faculty member applying to do research, complete this section. Enter the names of all faculty members who are going to be conducting research for this project. Enter the department in which the faculty member teaches and a phone number and e-mail address where they can be reached. If this is a student project associated with a faculty project, do not complete this section.

For student or thesis projects:

Names of all student investigators **Dept.** **Phone:** **e-mail:**

If this is a student project, regardless of whether the research is linked to a faculty project, complete this section. Enter the names of all students who are going to be involved in research for this project. Enter the department of the student's major and a phone number and e-mail address where they can be reached. If you are a student and are the principle investigator, enter your name here.

Names of all faculty supervisors **Dept.** **Phone:** **e-mail:**
Enter the names of all faculty who have agreed to supervise the project here. Students are required to have a faculty supervisor for any research project requiring REB approval. Students may also have more than one faculty supervisor. Enter the department in which the supervisor teaches and a phone number and e-mail address where they may be reached.

5. Funding Status:

Is this project currently funded?

State whether or not this research has been approved for funding from a funding agency. (This does not include being funded by the researcher him or herself.) In many cases, student researchers will not obtain funding for their research.

If yes, by what agency?

Enter the exact name of the funding agency that is funding this project. For instance, if your project is being funded by a summer research grant, enter the exact name of the grant you have been given (for example, *Class of 1946 Summer Research Award*, not just *Mount Allison University*).

If no, is funding being sought? What funding agency?

Stipulate whether you have applied for funding or intend to apply for funding and specify the exact name of the funding agency.

6. Has this or similar application been submitted to any other Research Ethics Board?

If yes, provide the name of the institution, date, and decision. Attach a copy of the protocol and approval if available.

This question refers to whether YOU have submitted a similar application to another REB. You do not need to know whether an application for a project similar to yours has been submitted to this or any other REB. If YOU have submitted a similar REB application to another institution, attach a copy of the decision of that REB as well as documentation of the standards of the REB at that institution.

7. Expected Start date: (Year & Month)

Enter the date that you anticipate beginning to conduct research with human subjects for this project. This date must be after REB approval. Allow two weeks for projects that have been granted expedited review and check schedule of REB meetings available at (<http://www.mta.ca/Research/com/#meetings>) to see how long regular review will take. Applications must be submitted five days before the scheduled meeting of the REB unless the project has been granted expedited review. Expedited review can be granted to

projects that obviously pose no more than minimal risk of harm or projects which have already been approved by the REB in which the researcher is seeking to modify an aspect of the project. REB responses are usually presented the week following a meeting of the board.

Expected project completion: (Year & Month)

Enter the date that you anticipate completing research on human subjects for this project. You may wish to extend this date slightly beyond what you anticipate in case your research is delayed for some reason (for example, a key informant may not be available to be interviewed at the time you expect).

AGREEMENT

I/we have read the Mount Allison REB Instructions for Completing Applications for ethics Review of Research Involving Humans, the Senate Policy on Ethical Conduct for Research Involving Humans, and the Tri-Council Policy Statement on the Conduct of Research Involving Humans and agree to comply with the policies and procedures outlined therein. In the case of student research, as Faculty Supervisor, my signature indicates that I have read and approved the application and proposal, deem the project valid and worthwhile, and agree to provide continuing and thorough supervision of the student(s). I/we have read and will make every effort to meet the requirements of the Tri-Council Policy Statement on Ethical Conduct for Research Involving Humans.

Mount Allison requires that all researchers applying for ethics approval read the above mentioned policies. The TCPS is quite lengthy and contains information on clinical trials and the use of human body parts and embryos which is not usually relevant to social science researchers. However, all relevant sections of the document should be read.

The Mount Allison REB Instructions for Completing Applications for Ethics Review of Research Involving Humans are available online at: <http://www.mta.ca/Research/com/#instructions>

The Senate Policy on Ethical Conduct for Research Involving Humans is available online at: <http://www.mta.ca/Research/com/>

The Tri-Council Policy Statement on the Conduct of Research Involving Humans is available online at:

<http://www.pre.ethics.gc.ca/english/policystatement/policystatement.cfm>

Or by clicking on the link at: <http://www.mta.ca/Research/com/#instructions>

For faculty research projects:

Signature(s) of all faculty investigator(s): **Date:**

For research conducted by faculty members, obtain the signatures of all faculty members who will be conducting research and record the date that the signature was granted.

For student or thesis research projects:

Signature(s) of student investigator(s):

Date:

For research conducted by students, obtain the signatures of all students who will be involved in conducting research and record the date that the signature was granted.

Signature(s) of faculty supervisor(s):

Date:

Research conducted by students must be supervised by one or more faculty members. Obtain the signatures of all faculty members who have agreed to supervise the student research and record the date that the signature was granted.

An electronic copy and a signed paper copy of these signatures should be submitted to the REB. The signed paper copy can be delivered to the Research Office at Centennial Hall.

B. SUMMARY OF PROPOSED RESEARCH

1. Purpose and Rationale for Proposed Research

Briefly describe in approximately one page and in non-technical language your proposed research project. Brevity is appreciated in this section, so you may describe your project in less than a page. However, make sure that you thoroughly communicate the objectives and methodologies of the research. You must describe your research in non-technical language (i.e. without the use of disciplinary jargon that can only be understood by people who have been educated in a particular discipline), as the REB is made up of individuals from various disciplinary backgrounds and it is important for all of them to be able to clearly comprehend what is being proposed in your research project in order to make an informed decision about whether or not to approve it. **Please identify the purpose (objectives), including any hypotheses/research questions to be investigated, and all types of procedures and measures to be employed (please specify the name(s) completely and reference the measures where appropriate).** Describe why you are conducting this research, what the research entails, and how you plan to do it. When describing methodologies, you may use technical language so that someone in your discipline can clearly understand what methods are going to be used (for example, semi-structured interviews, unstructured interviews, participant observation, surveys, etc.), but you should also briefly describe each methodology so that someone not acquainted with your discipline can understand what you are going to do.

For example:

- Participant Observation involves taking part in and examining activities as they are occurring in a field setting, noting such things as how many people are present, what is happening, how it is happening, and attempting to determine why the situation is unfolding in a particular way and why people are doing what they are doing (adapted from Schensul et. al, 1999).
- Semi-structured interviews involve asking questions that are prepared in advance, yet the interviewer allows participants to direct the interview by elaborating on areas of interest within the scope of the questions. The interviewer may also add

supplemental questions that come to mind throughout the course of the interview (adapted from Schensul et. al, 1999).

- In unstructured (or open-ended) interviews, interviewees are encouraged to speak about a topic or a theme at length and are given minimal prompts by the researcher. Interviewees may take as much or as little time to answer broad questions or to explore topics proposed by the researcher. Interviewees are able to steer the interview toward related topics that they see as being relevant to the central theme (adapted from Schensul et. al, 1999).
- Surveys can yield quantitative and comparative ethnographic data by administering identical questions to a sample of a population. Surveys can be undertaken in an interview setting or can be answered by participants in writing (adapted from Schensul et. al, 1999).
- Photo/Video elicitation techniques can capture elements of a situation that researchers may not notice or focus on when recording written observations. Researchers must seek special consent to take photographs, video, or audio recordings of participants. Consent must be obtained for all contexts in which the video or photograph will be utilized such as publications or presentations.

Attach a copy of all materials to be used in this study. Materials you may use in your study include surveys or questionnaires to be completed by research participants, lists of interview questions, etc. Even if you plan to do unstructured interviews, your research will have a particular objective and you will thus be addressing specific topics in your interviews. As such, include a broad list of questions that you may ask interviewees. Though the specific questions in the interviews may differ, attaching a list of potential questions will give the REB a sense of what themes your interviews will be pursuing and what your general method and line of questioning will be.

When attaching a copy of these materials, make sure that the entire REB application form as well as these materials are presented in a SINGLE COMPUTER FILE, preferably a PDF file. For a free PDF maker, see <http://www.cutepdf.com/index.htm>

2. Participants involved in the Study

(a) Indicate who will be recruited as potential participants in this study.

Undergraduate students

Senior citizens

Graduate students

Adolescents

Faculty or staff

Children

Adults (excluding students)

Other (specify) “Other” includes...

It is important to specify what “type” of people you plan to recruit as potential participants because special ethical considerations must be taken into account when researching certain populations. For instance, though it is acceptable for children to participate in research, child participants pose additional ethical questions because they

are minors and therefore cannot legally grant consent. As such, legal consent must be granted by a parent or guardian of the child in addition to the informal consent of the child him or herself.

(b) Please specify the expected number of participants, any group of ethnic affiliation, gender, age range, and any other special characteristics.

Indicate how many participants you plan to include in your research. Keep in mind that each hour of interview time corresponds to three or more hours of transcribing as well as several more hours of reviewing data. For honours projects, it is recommended that student researchers have between five and ten participants. However, if you know that you are going to interview five people, it is wise to seek REB approval to include slightly more participants since you may be introduced to other valuable informants throughout the course of your research.

Indicate whether your participants are from a particular population that possesses special characteristics. Participants from specific ethnic, gender, age, or other groups may pose additional ethical considerations. For example, the TCPS recognizes that Aboriginal communities “have a unique interest in ensuring accurate and informed research concerning their heritage, customs and community” (TCPS, Section 6 A). If your research involves First Nations participants, be sure to examine Section 6 of the TCPS, “Research Involving Aboriginal Peoples”

It is important to protect the rights of vulnerable populations. In spite of the risks that vulnerable populations could be taken advantage of, however, they should also not be excluded from research and the potential benefits that it could bring because of additional ethical considerations associated with their participation (TCPS Section 5 A). For instance, women of child-bearing age have often been omitted from research activities because of worries about harming reproductive processes (TCPS Art. 5.1 B). These omissions are significant because they “retard the advance of knowledge, deny potential benefits to women and...[raise] serious concerns regarding the generalizability and reliability of some research data” (TCPS Art. 5.1 B). Article 5.1 of the Tri-Council Policy Statement puts forth that “Where research is designed to survey a number of living research subjects because of their involvement in generic activities...that are not specific to particular identifiable groups, researchers shall not exclude prospective or actual research subjects on the basis of such attributes as culture, religion, race, mental or physical disability, sexual orientation, ethnicity, sex or age, unless there is a valid reason for doing so.” This, however, does not prohibit the study of groups of individuals who share attributes such as socio-economic situation, gender, or race if the purpose of the study depends on an examination of this particular group or any one of these characteristics (TCPS, Art. 5.1 a).

3. Recruitment Process and Study Location

(a) Describe how and by whom the potential participants will be recruited. Attach a copy of any materials to be used for recruitment (e.g., poster(s), flyers, advertisement(s), letter(s), telephone script).

Explain how you will attract participants to your study, whether someone other than yourself will attract participants, and include copies of all materials that you will use to draw participants. It is important to include ALL modes of recruitment you think you MAY use during your research. Students have found that posters alone are rarely enough to recruit participants, and have had to send in additional applications to the REB to modify their recruitment methods (using *Form 2: Request for Approval of Modifications to Previously Approved Project*). As this slows the progress of research, it is a good idea to include several valid recruitment strategies in case one is ineffective.

(b) Identify where the study will take place?

Location On campus

Location Off campus

Please specify:

Specify where you will be conducting your research. If you are doing research for your honours thesis, you do not have to conduct this research in Sackville if your supervisors agree to correspond with you throughout the duration of the research by phone, e-mail, or another means. Some supervisors, however, may request that research be conducted in Sackville. Be aware that research conducted in another country or in another institution may require additional ethics or other approval from that country or institution.

4. Compensation of Participants

(a) If you are compensating participants please provide details.

Specify whether you intend on giving research participants any monetary or other rewards for their involvement in your project. Compensating participants is common in some fields but not in others. In anthropology, participants are not often offered direct compensation for participation, however, when it is appropriate and depending on the situation, anthropologists often offer token compensation in the form of helping participants to accomplish a task, buying them food, bringing them material items, etc.

If compensation will be offered as part of your research, this poses special ethical considerations in that monetary payments or other compensations may encourage participants to become involved with or to continue to participate in a research project “against their better judgment” (PowerPoint, Sect. 3 page 5). Compensation should therefore not be so large that there is a risk that people will participate only to be receive compensation

5. Feedback to Participants

(a) Where feasible, a letter of appreciation should be provided to participants. Briefly describe the plans for providing feedback to study participants. (Include both the plans for providing feedback on the purpose of the study and for outcomes of the study. Please note that feedback on outcomes may be made available on study completion.) Attach a copy of the feedback letter(s) to be used.

Describe how you will alert participants to the results of your research and provide a copy of this information. In most cases, a letter of appreciation thanking participants for their valuable contribution to your research should be delivered to them at the end of the

study. Researchers should also make participants aware of publications, etc. related to the research findings.

C. POTENTIAL BENEFITS FROM THE STUDY

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

One of the key ethical principles upheld by the Tri-Council Policy Statement is the need to balance harms and benefits with respect to research participants. Specifically, it states that “the foreseeable harms should not outweigh anticipated benefits” (TCPS, i.4 C). It is further insisted that “human research is intended to produce benefits for subjects themselves, for individuals or society as a whole, or for the advancement of knowledge” (TCPS, i.4 C). Describe how your research confers benefits to individual participants. A direct benefit can range from giving participants the opportunity to share their experience to the satisfaction of being recognized as an expert on a given topic. Benefits to individuals should not be so great that they are coercive or that people participate merely to obtain these benefits. For instance, offering fifty dollars to participants in an economically disadvantaged community may attract people to the study who would not participate if this benefit was not being offered.

In some communities, it has been argued that direct benefits to the community should be a pre-requisite for research in that community (PowerPoints sect. 3 page 3). This is most often considered in terms of First Nations or other Aboriginal populations.

2. Identify and describe any known or anticipated benefits to the scientific community/society from this study.

Outline benefits to the scientific community or to specific groups or society at large that will result from your study. These benefits can include the general advancement of knowledge, dispelling myths about a particular population, the potential to develop social programs or propose policy changes based on the results of your study, testing another researcher’s theory, seeing if research results can be reproduced, contributing information about a particular community or context, or contributing raw data to a field of study, etc.

D. POTENTIAL RISKS FROM THE STUDY

1. For each procedure used in this study, describe any known or anticipated risks/stressors to the participants. Consider physiological, psychological, emotional, social, or other risks/stressors. In particular, consider any factor that may pose potential harm to at-risk groups such as pregnant women.

Describe the risks that could be associated with the particular methodologies that will be employed in your research (for example, participant observation, interviewing). The Tri-Council Policy Statement stipulates that “Research subjects must not be subjected to unnecessary risks of harm, and their participation in research must be essential to achieving scientifically and societally important aims” (TCPS, i.4 C). Though it is important to anticipate all harms that could potentially affect research subjects, researchers must also acknowledge that participants are competent individuals. As such,

asking someone about their weight, which may cause some psychological stress, may be a valid risk in light of the benefits of the study. However, harms such as these are only acceptable if they are directly related to the objective or the purpose of the study. All harms, however minor, should be eliminated from the study if they do not directly relate to the purpose of the research.

Potential harms include social harm such as potential stigmatization, risks to insurability or employability of a participant, financial harm, political harm, or intrusion on a participant's privacy (PowerPoint sect 6, page 3). If research could potentially harm a community as a whole, members of the community should be consulted before beginning the research project and their approval should be sought (PowerPoint sect 6, page 3).

In addition, if one has an established relationship with a potential participant, he or she may automatically assume that the risks of harm associated with the study are minimal (PowerPoints sect. 6, page 4). In these cases, researchers should be especially careful to describe all potential risks to participants.

2. Describe the procedures or safeguards in place to protect the physical and psychological health of the participants in light of the risks/stressors identified in D1.

Identify how you intend to minimize the unavoidable risks that your study poses. This would include reviewing your research design to increase anonymity, eliminating requests for information that is not necessary to answer your research question, and providing a clear and open admission of risks so that participants can make an informed choice.

E. INFORMED CONSENT PROCESS

The process of informed consent is a significant aspect of all research involving human subjects. The TCPS states that "Free and informed consent must be voluntarily given, without manipulation, undue influence or coercion" (Art. 2.2). As such, free and informed consent is compromised when participants are not really "free." For instance, family members, colleagues or friends of a researcher may experience undue pressure to participate in a project against their wishes. Relationships of dependency (such as doctor-patient or student-teacher relationships) may also exert pressure on individuals to participate in research against their desires. If a researcher is in a position where they are performing a dual-role (for instance, as a researcher and as a therapist, a teacher, a student, a friend, or an employer), participants must be informed of this dual role and researchers must explicitly distinguish their separate roles from one another at the outset of and throughout the course of research (TCPS Art. 2.4 e.). Article 4.1 of the Tri-Council Policy Statement stipulates that "Researchers and REB members shall disclose actual, perceived or potential conflicts of interest to the REB." As such, you should make the REB aware of any potential conflicts of interest inherent in your research. Potential conflicts of interest should also be disclosed to participants before they give consent (TCPS, Art. 4.1). Doing research in a community of which you are a part is acceptable and can be very valuable. However, you must inform the REB of all measures that you will take to diminish your conflict of interest and to ensure that the consent of your participants is actually "free." Researchers have a responsibility to the research

community to be open about conflicts of interest in their studies in order to maintain the “confidence and trust” of the population toward research in general (TCPS, section 4).

Free and informed consent does not need to be obtained by private organizations or governments, though individuals within organizations and governments must give researchers free and informed consent and must be told of the views of their organizations and any potential consequences of their involvement in the project (TCPS).

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

Information letter with written consent form; attach a copy.

Information/cover letter; attach a copy.

Describe how you intend to seek the informed consent of participants and attach a copy of the consent form or information letter describing the research project. *Informed* consent implies that information about the research project is delivered in lay language that can be easily understood by all potential participants (PowerPoints Sect. 4 page 2). Describing your project using disciplinary jargon or complicated language may make participants unsure of what they are consenting to and they may consent anyway instead of admitting that they don’t understand the consent form.

Letters of information and consent forms may be presented to participants jointly in one document, or they may be presented in two documents. Letters of information and written consent forms should be approximately one page in length. They should thoroughly describe the research project and what participation in the project entails, yet researchers should attempt to be brief in their descriptions.

In preparing an information letter and written consent form, it is important to consider what a reasonable person would wish to know about the project in order to make an informed decision about whether or not to participate. This might include...

The nature of their participation

The risks and potential benefits of the study

Assurance that they are free to refuse to participate or to stop participating at any time during the study

How their privacy is going to be protected (PowerPoint sect. 4, page 2).

2. If written consent is not obtained, please explain why. Also, please explain how you are going to ensure participants understand that their participation is voluntary.

In some instances, formal processes of informed consent may be legitimately altered or waived (PowerPoint sect 3, page 5). For instance, among some populations, it is culturally inappropriate to obtain written consent. Individuals in these groups may refuse to sign consent forms, preferring to negotiate consent in another way. TCPS Article 2.1 b. states “Where written consent is culturally unacceptable, or where there are good reasons for not recording consent in writing, the procedures used to seek free and informed consent shall be documented.” In these cases, actions which clearly demonstrate consent must be recorded (for instance, on a tape recorder or in a field journal). In other cases, it may increase risks to the subject for them to sign a consent

form. In these cases, it is important to record actions that clearly and unambiguously indicate consent (PowerPoints sect. 4, page 3). In most instances when written consent is not obtained, researchers nonetheless leave a written document with the participant describing the research project, the conditions of their participation, and what the person consented to (TCPS Art. 2.1 b.).

The REB may alter or waive the requirement to obtain informed consent if the following conditions are met: (TCPS Art. 2.1 c.)

1. The research involves no more than minimal risk to the subjects;
2. The waiver or alteration is unlikely to adversely affect the rights and welfare of the subjects;
3. The research could not practicably be carried out without the waiver or alteration;
4. Whenever possible and appropriate, the subjects will be provided with additional pertinent information after participation; and
5. The waived or altered consent does not involve a therapeutic intervention.

3. If the target population cannot give free and informed consent, please describe the group (e.g. minors). Attach a copy of the Information Letter and Permission Form to be used to obtain permission from those with legal authority to give it. Provide a justification and describe the process to be used to obtain permission of parent or guardian.

Describe how you intend to obtain free and informed consent from individuals who are not legally competent to give it (such as minors or some individuals with severe medical conditions). According to the TCPS, “Competence refers to the ability of prospective subjects to give informed consent in accord with their own fundamental values” (TCPS 2.4 (e)). In most cases, this will involve obtaining consent for a person’s participation from a third party (such as a parent or caregiver) who is legally able to give it. When possible, consent should also be sought from the participant him or herself. If your study does not involve participants who cannot give free and informed consent, do not complete this section.

In addition, research should only be undertaken among individuals who are not legally competent if:

1. The research question can only be addressed using individuals within the identified group(s); and
2. Free and informed consent will be sought from their authorized representative(s); and
3. The research does not expose them to more than minimal risk without the potential for direct benefits for them (TCPS Art. 2.5).

F. ANONYMITY OF PARTICIPANTS AND CONFIDENTIALITY OF DATA

1. Describe the procedures to be used to ensure anonymity of participants and confidentiality of data both during the research and in the release of the findings.

Explain how you will ensure that your research data remains confidential and anonymous. The privacy and anonymity of participants in research must be assured

throughout the research process as well as when the results of the research are released as in a publication, paper, or presentation. Though some people may request that their real names be presented in your research findings, this is advised against since it is virtually impossible for researchers to foresee all potential implications of their study and participation could negatively impact participants in ways that may not be initially obvious. To this end, the TCPS states that confidentiality must be maintained because “information that may on its own be seen as innocuous by the subject may take on a completely different meaning if linked to other data” (Art. 3.2).

Strategies for ensuring that confidentiality is maintained include assigning pseudonyms or other codes to disguise the identity of participants. In small communities, in which people can be easily identified by information other than their names, identifying information should also be disguised in cases where it is not essential to the objective of the research (TCPS Art. 3.2). (If conducting research in the Mount Allison community, for instance, researchers should be prudent in assuring confidentiality by eliminating all identifying information that is not essential to the research such as age, course of study, residence, etc.). In order to assure confidentiality of data throughout the research process, ethnographers can refer to their participants by pseudonyms in their field notes.

Participants also have a right to know who is going to have access to any identifying information, including the government, funding agencies, or anyone other than the researcher him or herself (TCPS, Art. 3.2). In the case of student research projects, participants should be informed if faculty supervisors will be given access to any identifying information. However, it is not necessary that student researchers share the identities of their participants with their supervisors.

2. Describe the procedures for secure storage of written records, video/audio tapes, questionnaires and recordings.

Explain how you intend to keep your notes physically secure. Confidentiality of data may be compromised if you leave research lying around your workplace or home. As such, all notes, CDs, files, and laptops that are not password protected must be kept in areas where unauthorized others do not have access to them (Tri-Council PowerPoints). Assuring secure storage can be as simple as storing the data in a locked filing cabinet or may entail more elaborate measures.

3. Describe how long the data will be retained and their final disposal. Senate policy requires that primary data “should be preserved as long as there is any reasonable need to refer to them” (Policy Statement on Integrity in Research and Scholarship and Procedures for Reporting and Investigating Scholarly Misconduct). By convention, data is normally retained for at least a 5-year period.

Explain what you plan to do with the data that you have collected once your research project is complete. State where and for how long you intend to store your data.

4. If there are conditions under which anonymity of participants or confidentiality of data cannot be guaranteed, please provide details.

Describe any instances in which you cannot guarantee that data will be kept confidential. This may include, for instance, responsibilities to report acts of abuse to authorities.

G. DECEPTION

1. If this study involves the use of deception:

(a) Describe the deception(s) to be used in this study AND provide a justification for its use.

Describe any uses of deception in your study. In some projects, full disclosure of the purpose of the research would lead participants to alter their responses and thus invalidate the research (TCPS). Deception can include both failure to fully disclose the purpose of a study or leading participants to believe that a study is being conducted for a purpose other than that for which it is actually being undertaken. Deception must be limited as much as possible and used only in instances when it is integral to the purpose of the study. If your study does not involve the use of deception, do not complete this section.

(b) Outline the process to be used to debrief participants. (Attach a copy of the written debriefing sheet.)

Explain how you intend to reveal the actual purpose of the research to participants if this is not fully described at the time of consent. A debriefing sheet should be provided to participants explaining the use of deception and stating the real purpose of the research. Attach a copy here. Debriefing strategies depend on the sensitivity of the research. If the research focused on sensitive issues, participants should be given detailed explanations regarding why deception was essential to the study and what the significance of the research they participated in was.

End (please save this file on your computer and send as an attachment to an email to the chair of REB.)

Your application, including documents such as recruitment flyers, advertisements, letters of appreciation, consent forms, debriefing letters, etc. must be sent to the REB as a **SINGLE FILE, preferably in PDF form**. To turn your file into a PDF, see <http://www.cutepdf.com/index.htm>

This document was prepared in 2007 by Katharine Zywert as part of a project initiated by Patricia Kelly Spurles, Department of Anthropology, Mount Allison University.