

# Mount Allison University

## Research Ethics Board

### Policy and Procedures Manual

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Prepared by the Office of Research Services

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## 1. Mandate

Canada's three major granting agencies - the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council (NSERC), and the Social Sciences and Humanities Research Council (SSHRC) – have developed a Tri-Council Policy Statement (TCPS) entitled Ethical Conduct for Research Involving Humans. The TCPS describes standards and procedures for governing research involving human participants (including the establishment of a Research Ethics Board) at Canadian institutions, such as Mount Allison University, which receive funding from CIHR, NSERC, and SSHRC. Guiding ethical principles include respect for human dignity, respect for free and informed consent voluntarily given, respect for vulnerable persons, respect for privacy and confidentiality, respect for justice and inclusiveness, balancing harms and benefits, minimizing harm, and maximizing benefits.

## 2. Authority

Mount Allison University endorses the ethical principles cited in the (TCPS).<sup>1</sup> The Mount Allison University REB has jurisdiction over all research involving human participants. The REB has the authority to approve, reject, propose modifications to, or terminate any proposed or ongoing research involving human participants which is conducted within, or by members of, Mount Allison University, using the considerations set forth in the TCPS as the minimum standard.

In accordance with Chapter 1, Section C of the TCPS, the REB adopts a proportionate approach based on the general principle that the more invasive the research, the greater should be the care in assessing the research. The concept of proportionate review gives practical expression to the general principle that, especially in the context of limited resources, the more potentially invasive or harmful is the proposed and ongoing research, the greater should be the care in its review.

A proportionate approach also implies different levels of REB review for different research proposals. The different levels are: full REB review, delegated REB review, and departmental level review of undergraduate projects carried out within formal course requirements.

## 3. Membership

THE REB shall be comprised of seven (7) members:

- 2 members from each faculty (Arts and Humanities, Social Sciences, Sciences)<sup>2</sup>
- 1 from the community who has no affiliation with the institution

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<sup>1</sup> The most recent version of the TCPS shall serve as the guidance for the Mount Allison University REB. At the time of this present Policies and Procedures manual, the most current version is the 1998 version (with amendments). However, we also draw on Draft 2<sup>nd</sup> Edition, December 2009, for additional guidance.

<sup>2</sup> Since the Psychology Department (faculty and students) has the highest volume of submissions to the REB, the REB shall endeavour to have two faculty members from that department on the committee, in order to ensure that there is sufficient disciplinary knowledge available to the committee and sub-committee.

In keeping with the spirit of the TCPS, every effort will be made to ensure sufficient breadth of scholarly and disciplinary knowledge across the membership. In addition, it will be ideal to have at least one member whose background and training is the area of ethics, and at least one member whose background and training is in the area of law and legal issues<sup>3</sup>. It is recognized that in a small institution such as Mount Allison University this expertise may not be readily available to the committee. However, the committee is within its right to seek external advice and guidance from persons with these skills and attributes on an as needed basis.

The role of the community member is to provide the perspective of research subjects, especially with respect to accountability issues to the community and to research subjects.

Each member of the REB shall be appointed to three-year terms, and the terms shall be staggered so that no more than three individuals finish their terms in any given year. Appointments take effective July 1, except in cases when individuals must be replaced during the year.

If an individual faculty member is granted a leave from the university (for whatever reason, including sabbaticals, sick leave, or parental leave), their term of appointment immediately ends and a new person is appointed and begins their three-year term retroactive to the previous July 1,

For appointments to the REB, the procedure is as follows:

- In March of each year the REB committee members will discuss upcoming vacancies and make recommendations, in writing, to the Provost and Vice-President, Academic and Research.
- In April of each year, the Provost and Vice-President, Academic and Research, shall seek further input and recommendations from the Research and Creative Activities Committee.
- The Provost and Vice-President, Academic and Research, shall contact prospective members and invite them to accept a position on the REB effective July 1.
- The Provost and Vice-President, Academic and Research, shall then provide these names to the Chair of the Committee on Committees, who will bring them forward for Senate approval at the May meeting.
- The appointment letter shall include a statement about the need for and importance or, confidentiality concerning all deliberations of the REB.
- Individual committee members should not serve consecutive three-year terms.

For appointment of the Chair of the REB, the procedure is as follows:

- The appointment is made for one year, effective July 1.
- The appointment is made by the Provost and Vice-President, Academic and Research.
- The Chair shall be someone who has served a minimum of one year on the committee, at the time of taking up their appointment. The Chair may be someone who previously served on the REB and is now taking a new three-year appointment.
- In March of each year the current Chair shall inform the Provost and Vice-President, Academic and Research of his or her interest in continuing as Chair for the upcoming year (if the Chair is not in his or her third year of appointment).

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<sup>3</sup> As per TCPS guidelines (Article 6.4), the university's legal counsel or risk manager should not be part of the REB, due to potential conflicts of interest. Furthermore, to ensure the independence of REB decision making, senior administrators of the University shall not serve on the REB.

- In cases where the current Chair is interested in continuing as Chair, the Provost and Vice-President, Academic and Research, at his or her discretion, may seek expressions of interest from existing REB members to determine their potential interest in assuming the position of Chair.
- In the event that the current Chair is not returning to the position, the Provost and Vice-President, Academic and Research, with the support of the current Chair and the Director of the Office of Research Services, as well as consultation with the Research and Creative Activities Committee, shall identify a suitable candidate from among the returning members of the committee.
- The Provost and Vice-President, Academic and Research, shall inform the REB of the name of the individual who has accepted, not later than April 30.
- If the Chair-designate is not currently a member of the REB, the above procedures for appointing members to the REB shall be followed.

At the July meeting each year, the REB shall appoint a Vice-Chair from among its members. The Vice-Chair will fulfill all duties of the Chair when the Chair is unable to do so, and shall chair portions of meetings when the Chair is in a conflict of interest.

The Office of Research Services provides direct support to the REB. The Director plays an active role in receiving and pre-screening applications, and sits as an ex-officio member of the REB and its sub-committees. Support staff provides administrative support to the REB, including minute taking at all meetings, preparing correspondence on behalf of the Chair to applicants, and maintaining files for each application.

## 4. Confidentiality

There are two levels of confidentiality: the conduct of REB members; the conduct of researchers.

### **Confidentiality for REB Members**

There is an ethical duty of confidentiality expected of REB members to safeguard the information provided to them for review, and to not disclose any information to others. This also includes the requirement of REB members to permanently delete from their electronic files any copies of REB protocols and supporting materials after their review, and to shred any paper copies of same.

### **Confidentiality for Researchers**

For the purposes of the review of research ethics protocols, the TCPS (Chapter 5) defines and limits confidentiality to the following:

“The ethical duty of confidentiality refers to the obligation of an individual or organization to safeguard information entrusted to it by another. The ethical duty of confidentiality includes obligations to protect information from unauthorized access, use, disclosure, modification, loss or theft. Fulfilling the ethical duty of confidentiality is essential to the trust relationship between researcher and research participant, and to the integrity of the research enterprise.”

A related issue is Conflict of Interest. For individual researchers submitting protocols for review, there is an ethical requirement to identify any conflicts of interests they may have in terms of their relationships with funders, partners, or research subjects. Each year, at the initial meeting of the REB in July, REB members will sign a Confidentiality Agreement, committing them safeguarding the information provided to them, to destroying paper copies and deleting electronic copies of REB information, and to not disclosing information discussed in meetings or via email.

### **Conflict of Interest**

If the REB is reviewing research in which a member of the REB has a personal interest in the research under review (e.g., as a researcher or as an entrepreneur), conflict of interest principles require that the member not be present when the REB is discussing or making its decisions. In cases of disagreement over conflicts of interest, both the REB member in alleged conflict and the researcher may present evidence and offer a rebuttal concerning the nature of the conflict of interest. The other members of the REB should make a final decision regarding how to proceed.

Guidance on these matters is provided in Chapter 7 of the TCPS. Furthermore, the Mount Allison University Policy on Conflicts of Interest in Research <http://www.mta.ca/administration/vp/policies/5201.htm> and Policy Statement on Integrity in Research, Scholarly and Creative Activity <http://www.mta.ca/administration/vp/policies/5202.htm> may also provide guidance.

## **5. Delegated Authority**

The full committee of the REB has the sole authority to approve or reject applications for research involving human subjects. The REB also has the sole authority to propose modifications to and to terminate any research involving human participants. However, the REB delegates its authority to two additional bodies for the purpose of facilitating timely and effective review of applications: REB sub-committees; and individual academic departments for Departmental Level Review.

REB Sub-committees:

- Shall be comprised of the Chair plus three members of the REB. Typically two standing sub-committees are formed.
- Shall have a quorum of the Chair plus two members, or three members with the Chair delegated to one of the members.
- Shall meet not more than once in the time period between full REB committee meetings.
- Shall provide full review of applications.
- Shall review only those applications involving minimal risk. Any application with more than minimal risk must be reviewed by the full committee.
- Decisions of the sub-committee must be ratified by the full committee at its next meeting.
- Minutes of meetings shall be kept. Minutes of sub-committee meetings must be approved by the full committee at its next meeting.
- At the discretion of the Chair, sub-committees may conduct their business by electronic communication. See section 6.

#### Departmental Level Reviews:

- Shall be permitted for course-based research, including those activities conducted by an entire class and those conducted by only some individuals within a larger class.
- Shall be carried out by the Department Head or his or her delegate.
- Shall be carried out using appropriate forms provided by the REB.
- Further details are provided in Section 8.

Expedited reviews are defined as those where a review is undertaken and a decision is rendered outside of the normal scheduled meeting times of the REB full or sub-committee meetings. To the extent that is possible, the REB shall avoid conducting expedited reviews since it has committed to meeting on a twice-monthly basis. Only in exceptional circumstances, and at the sole discretion of the Chair, shall the REB entertain requests from applicants (faculty, students, external researchers) to conduct an expedited review. The onus is on the applicant(s) to be aware of the meeting dates and the submission requirements of the REB.

Exceptional circumstances are limited to the following: the timeliness of the review and decision with respect to the planned or unplanned timing of interview, focus group, or data collection activity.

However, the REB emphasises that the onus is on the applicant to sufficiently plan ahead to avoid missing the meeting dates of the REB as it relates to the planned or unplanned data collection timing.

Any expedited reviews and decisions shall be duly recorded in the minutes of the next full REB meeting.

An annual meeting schedule will be prepared by the Office of Research Services. For convenience purposes, the schedule will typically be developed for three distinct periods: September to December; January to June; and July and August.

The full REB shall meet once per month. In each of the months except July and August, each of the two subcommittees shall meet on an alternating basis, approximately two weeks prior to the monthly meeting of the full REB.

## **6. Meeting Procedures**

### **6.1 Meeting Schedule**

An annual meeting schedule will be prepared by the Office of Research Services. For convenience purposes, the schedule will typically be developed for three distinct periods: September to December; January to June; and July and August.

The full REB shall meet once per month. In each of the months except July and August, the two subcommittees shall meet on an alternating basis, approximately two weeks prior to the monthly meeting of the full REB.

At the discretion of the Chair, the REB may conduct full or sub-committee meetings by electronic mail, or may conduct an expedited review of one or more protocols by electronic mail. Only those protocols where there is minimal risk may be reviewed in this manner. In cases where expedited reviews have been completed in this manner, the approval must be ratified at the next full meeting of the REB, and the minutes of said meeting shall reflect that the protocol was approved in this manner, and shall identify the participants who completed the expedited review.

## 6.2 Quorum

The REB requires a quorum of at least five of its members at full meetings concerned with the approval of protocols.

The REB requires a quorum of the Chair plus two members, or three members with the Chair duties delegated to a member, for sub-committee meetings. All approvals of sub-committees must be ratified at the next full meeting of the REB.

## 6.3 Agendas

The meetings of the full REB committee shall have the following agenda:

1. Approval of agenda
2. Minutes of previous full REB meeting
3. Minutes of previous sub-committee meeting(s)
4. Matters arising from the minutes
5. Ratification of sub-committee reviews
6. Review of protocols
7. Correspondence
8. Other business
9. Adjournment

The meetings of the REB sub-committee shall have the following agenda:

1. Approval of agenda
2. Review of protocols
3. Other business
4. Adjournment

## 6.4 Minutes

Minutes of all REB meetings shall be prepared and maintained by the REB. The minutes of all meetings shall include, at a minimum:

- The start and end time of each meeting.
- Identification of the presence of any guests.
- Approval of minutes from previous meeting(s).
- Summary of any matters arising.

- Ratification of any decisions of sub-committees or expedited reviews.
- A record of a member who excuses him or herself from the meeting due to a conflict of interest.
- For each protocol:
  - A statement of the level of risk (minimal or more than minimal).
  - A record of specific discussion of ethical issues arising.
  - A record of specific recommendations for modifications prior to approval.
  - A record of whether a member of the REB is in dissent of the decision and the reason for each dissent.
  - Other information appropriate to the review.

## 6.5 REB Decision Making

The REB will meet face-to-face to review proposed research involving human subjects. REB review will be based upon fully detailed research proposals or, where applicable, progress reports. The REB will function impartially, provide a fair hearing to those involved, and provide reasoned and appropriately documented opinions and decisions. The REB will accommodate reasonable requests from researchers to participate in discussions about their proposals, but not be present when the REB is making its decision. When the REB is considering a negative decision, it will provide the researcher with all the reasons for doing so and give the researcher an opportunity to reply before making a final decision.

The REB will arrive at one of four possible decisions for each protocol:

- Approved as submitted.
- Approved subject to minor revisions.
- Approved subject to substantial revisions.
- Not approved.

For each protocol, the REB shall decide whether the proposed research involved minimal risk or more than minimal risk, and the minutes shall reflect same.

The REB shall identify, where appropriate, any requirement for other forms of approval (such as criminal record checks, approvals from other agencies, etc) and shall notify the research in the decision letter.

The REB shall identify, where appropriate, if the research involves vulnerable populations (e.g., elderly, children, etc), and shall provide advice in feedback concerning obtaining consent from, and conducting research with, vulnerable populations.

Researchers have the right to request, and the REB has an obligation to provide, reconsideration of decisions affecting a research project.

In cases when researchers and the REB cannot reach agreement through discussion and reconsideration, the researcher has the right to seek review of an REB decision by an appeal board. See Section 10 for further details.

## 6.6 Participation of Guests

From time to time it may be appropriate for guests to observe the meetings of the REB, primarily for learning purposes but also possibly as part of formal or informal reviews or evaluations of the work of the REB (such as occasional visits planned by the National Council on Ethics in Human Research).

One group of potential guests would be administrators, monitors, members of other REBs, etc., where the purpose would be to assess REB activities or to engage in mutual sharing and development. The second group would be researchers / students, who primarily would be asking to attend to learn more about the REB decision-making processes and activities.

These participants would also be asked to sign a Confidentiality/Non Disclosure agreement prior to attendance. In such cases, the REB shall permit participation subject to the following:

- Guests may be permitted at full committee meetings only.
- Not more than four guests shall be permitted at any individual meeting, except in exceptional circumstances.
- Written requests from interested participants must be received by the Chair at least two seven days prior to the next full committee meeting date, clearly explaining the purpose of the request to participate in the REB meeting.
- The Chair may make a decision at his or her sole discretion. The Chair may choose to seek input from committee members, and/or seek input from the Office of Research Services or others, prior to making a decision.
- REB members should be made aware, prior to meetings, when guests will be in attendance.
- Participants must sign a Confidentiality and Non-Disclosure Agreement (NDA) prior to the start of the meeting (see Appendix for a sample copy).
- Researchers whose protocols are to be reviewed in a meeting where guests will be present must give prior permission to the Chair that their protocols could be reviewed in the presence of guests.
- Participants shall be provided with copies of appropriate materials (minutes, protocols, other materials as appropriate) once the Confidentiality and NDA has been signed. These materials will be returned to the Chair at the conclusion of the meeting.
- The Chair, and the REB as a whole, may exercise its authority to ask individuals to leave for certain discussions if they felt there was sufficient reason to do so (high risk; significantly vulnerable population; controversial issue; etc).
- Participants who violate the conditions of the Confidentiality and NDA may be subject to sanction by the University under other policies, such as, but not limited to, the policy on Integrity in Research, Scholarly and Creative Activity.

## 6.7 Participation of Researchers

From time to time it may be appropriate for researchers who have submitted protocols for review to participate in the meeting of the REB in which the protocol will be reviewed. The purpose of such participation is to allow for a two-way conversation, primarily at invitation of REB, but also on request of the researcher, on issues of major concern or potential rejection of the application. The purpose may also be for the researcher to meet with the REB in advance of making application, seeking advice and

guidance from the members. The REB shall permit such participation under the following circumstances and conditions:

- At full committee meetings only.
- Written requests from researchers must be received by the Chair at least two weeks prior to the next full committee meeting date, clearly explaining the purpose of the request to participate in the REB meeting.
- The Chair may make a decision at his or her sole discretion. The Chair may choose to seek input from committee members, and/or seek input from the Office of Research Services or others, prior to making a decision.
- REB members should be made aware, prior to meetings, when researchers will be in attendance.
- The Chair of the REB may invite a researcher to meet with the REB as a result of initial screening by Office of Research Services staff which identifies a potentially challenging issue(s) requiring dialogue with the researcher; as a result of initial review prior to the meeting by the Chair or other members which identifies a potentially challenging issue(s) requiring dialogue with the researcher; or as a result of discussion at the full committee meeting whereby the committee agrees that it is necessary to meet with the researcher to discuss the application.
- Participants must sign a Confidentiality and Non-Disclosure Agreement (NDA) prior to the start of the meeting (see Appendix for a sample copy).
- The researcher shall only be permitted to be present while the committee discusses his or her application.
- Researchers who violate the conditions of the Confidentiality and NDA may be subject to sanction by the University under other policies, such as, but not limited to, the policy on Integrity in Research, Scholarly and Creative Activity.

## 7. Procedures for Receipt, Review, Notification, and Record-Keeping

There are three different possible submissions to the REB:

- Form 1 – For new research projects
- Form 2 – To request a modification to a previously approved protocol
- Form 3 – Annual or end of project report

Form 1 and Form 2 submissions must be received by 9:00 a.m. three working days immediately prior to the meeting date in order to be reviewed at that meeting. Protocols will not usually be reviewed other than at scheduled meeting times.

### 7.1 Receipt of Form 1

#### Stage 1: Document receipt and coding

1. File is received at [reb@mta.ca](mailto:reb@mta.ca) by REB chair, and by the Director of the Office of Research Services. The Director provides an initial review to ensure the submission is complete. No review of ethical issues is provided (see Stage 2).
2. File is numbered sequentially from previous Form 1 received by REB.

3. New File is created in REB folder numbered accordingly 20XX-0XX.
4. All original documents are saved in this file under the heading: 20XX-0XX  
"Researcher\_Surname" "Document\_Title"
5. If the document was sent as a complete PDF, the document should be saved as 20XX-0XX  
"Researcher\_Surname" Form 1
6. If the document was sent in numerous parts, a collated PDF of all documents forwarded should be saved as 20XX-0XX "Research\_Surname" Form 1 in the file
7. The Access database should be updated to include all relevant information that can be gleaned from the form as submitted (Project Number, Date of Receipt, Application Type, Applicant name, etc.)
8. A signed paper copy of this form will be forwarded to the Office of Research Services. This signed paper copy is placed in a paper file in a locked filing cabinet under the same file number as above.

## **Stage 2: Assessment of document and review**

1. The submission is reviewed by the Director of the Office of Research Services for completeness prior to being sent to the full committee. This process will include ensuring that all sections of the form are complete, that a consent form is included, that any questionnaires or interview questions to be used have been included and any ethics approvals from other institutions have also been included.
2. Three working days prior to the meeting, the received forms will be forwarded as email attachments, along with any additional supporting documentation to the REB for review.
3. In cases where a request for an expedited review is made, the Chair shall decide whether such a request shall be granted. This means that the document will be sent for review without a face-to-face meeting, and the review will take place by email. If the researcher has not requested expedited review but the project commencement date is imminent and there is no immediately available meeting, the researcher should be presented with the option of receiving expedited review in discussion with the Chair. If expedited review is to follow, the PDF of the full proposal will be forwarded to the Chair and to the committee for review. In both cases, the Chair will set a deadline for comments, monitor responses and will forward a decision letter to the applicant once all comments are received.

## **Review Status and Decision**

1. Approved Without Modification

This status means that the proposal is approved as written and no part of the application need be resubmitted.

2. Approved With Minor modification

This status means that the committee has a minor concern with some element of the proposal. The research can proceed once the clarification or correction has been received and approved by the Chair.

### 3. Approved With Major modifications

This status means that the committee feels it has enough information to approve the proposal but still requires more than one or two minor changes to the protocol before the research can proceed. The research can proceed once the changes and clarifications have been received and approved by the Chair (or the committee, if so desired by the Chair).

### 4. Not Approved

Occasionally the committee will elect not to approve a proposal and will require a resubmission or either all or a substantial portion of the proposal. In this case, the proposal will need to be resubmitted as a new protocol. It will be given a new file number as per the above.

The type of initial review received by an application will need to be noted in the database under the column "Type of Decision"

## **Record Keeping after Decision**

1. An electronic and paper copy of the decision letter should be kept in the e-file and paper file respectively. If the applicant is a student, a copy of the decision letter is also sent to the student's supervisor.
2. If a minor modification is required and is sent by e-mail, it should be printed and put in the paper file and an electronic copy of the e-mail should be saved. The Chair's acknowledgement and approval of this modification should also be printed and kept.
3. If a new proposal is required, it too should be electronically and paper filed as should the new letter from the chair, in a separate and new file.

## **7.2 Receipt of Form 2**

A Form 2 is a request to modify a project that has already received REB approval. Modifications may include a change of location, a change in population, a change in the timing of the research, change of questions to be used, etc. A Form 2 is only used when there has not been a substantive change in the nature of the research project.

### **Stage 1: Document Receipt and Coding**

1. The received electronic form should be coded under the original file as 20XX-0XX "Researcher\_Surname" Form 2. As with the Form 1, if the document is received as a single PDF it can be saved as that. If the document is received as multiple files, it should be collated as a PDF and saved as a single file. Component files should also be saved.
2. Information regarding the form two should be entered into the database in the original (20XX-0XX) record under the headings "Subsequent Form 2 received" "Nature of Change" "Date Form 2 submitted" "Form 2 Approved" "Signed"

### **Stage 2: Assessment of document and review**

1. The document should be assessed to ensure that it is complete. For example, if changes are to be made to a set of interview questions, the new questions should be included.
2. When a Form 2 is distributed to the committee for review, a copy of the original Form 1 as well as any relevant information (e.g., Form 3) shall also be included, for reference purposes.
3. The process and timing for distribution and review of Form 2 reviews is the same as for Form 1 reviews.

### **Review Status**

The same review statuses and processes apply with Form 2 as with Form 1. Any of the four possible decisions (approved, approved with minor modifications, approved with major modifications, not approved) and subsequent follow-ups are the same as for Form 1.

### **Record Keeping After Decision**

The same process applies in the case of the Form 2. All documentation should be included in the original file with the original Form 1 application.

## **7.3 Receipt of Form 3**

1. An end of project report (or an annual report plus an end of project report) is submitted by the researcher to the Office of Research Services. Some researchers send their reports without prompting; however, on the anniversary date of the decision letter, the Office of Research Services shall contact the researcher (or in the case of a student-led research project, the faculty supervisor) to request submission of a Form 3 in cases where none has been received.
2. When the report is received, the Office of Research Services should note whether the project is ongoing or whether the project is completed. In the case of ongoing project, the file remains active and another annual report or end of project report will be requested of the researcher. In the case of the research being completed, the file is closed. Any changes to the funding status of the project should also be noted at this time.
3. The Access database is updated with the information concerning receipt of the report(s).
4. The Director of the Office of Research Services reviews each report and identifies any issues or concerns noted, and reports them to the next full meeting of the REB.

### **Full and Complete Files for Each Protocol**

A completed file for protocols approved without modification includes:

- Original signed full application, including attachments
- Decision letter from the REB chair

- Annual report from the applicant (Form 3)
- Final report from the applicant (Form 3) if the project is more than one year

A completed file for protocols approved with modifications includes:

- Original signed full application, including attachments
- Initial decision letter from the REB chair
- Response by applicant, including modifications (only the modifications need to be submitted)
- Response to the modifications or clarifications, by the REB Chair
- Annual report from the applicant (Form 3)
- Final report from the applicant (Form 3) if the project is more than one year

A completed file for protocols with a subsequent request for modifications to original protocol approval (Form 2 application):

- Original signed full Form 2 application, including attachments, and placed in the same file as the original Form 1
- Decision letter from the REB chair
- Annual report from the applicant (Form 3)
- Final report from the applicant (Form 3) if the project is more than one year
- Note: if the approval for a Form 2 application has been granted after full completion of an initial Form 1 application including submission of Form 3 annual report, then a separate Form 3 annual report is required for the work approved in the Form 2 application

A completed file for protocols not approved includes:

- Original signed full application, including attachments
- Decision letter from the REB chair

## 8. Department Level Review for Course-related Research

Ethics review of research that is carried out by undergraduate students as part of their course work is delegated to the department concerned provided the research does not pose more than minimal risk to participants. This applies to research conducted by all class members in a specific course, and to research conducted by one or more class members as part of their individual projects within a course. The onus is on the instructor to be aware of the need to have departmental level review in these cases, and to ensure that their students are aware as well.

Departmental level reviews are normally conducted by the Department Head, or his or her delegate as appropriate. This may include the appointment of a different delegate for different course related projects. The individual responsible for conducting the reviews shall make every effort to prepare themselves using support materials provided by the REB. In addition, the REB provides a **Departmental Review Form** (to be completed by course instructor), as well as a **Departmental Annual Report on Ethics Reviews of Course-related Research**. This is to be completed by Department Head or designate at the end of the academic year and submitted to the Office of Research Services, along with all original materials submitted for review and the approval notices.

In the following cases, however, course-based research should be sent to the REB for review, using Form 1:

1. Research posing greater than minimal risk.
2. Undergraduate Thesis Projects.
3. Research where data will potentially be submitted for publication or presentation outside of a classroom setting.

### **Conflict of Interest**

There may be many potential forms of conflict of interest concerning department level reviews.

In cases where the Department Head or designate is also the instructor who requires department level review, that individual must take one of two actions: designate an alternate department member (who is sufficiently prepared and capable) to conduct the review; or, send the department level review materials to the Chair of the REB for his or her review. The Chair may decide to provide the review him or herself, or to involve others from the committee.

In cases where the Department Head or designate identifies a potential conflict of interest between the instructor and the research to be undertaken with the context of the course, he or she shall notify the Chair of the REB and seek advice and guidance on how to proceed with the review.

### **Correspondence to Department Heads**

The following correspondence should be sent to all Department Heads in mid-August each year.

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To all Department Heads:

As we head into another busy year of research by faculty and students, I write to provide you with the following information relevant to research ethics in course-related research.

#### **1. Departmental Level Review for Course Related Research**

It is the policy of the university to delegate authority to individual departments to carry out ethics review for course-related research projects. Details below.

<http://www.mta.ca/reb/departmentlevel.html>

#### **Detailed Information about Department Level Review for Course-related Research**

Ethics review of research that is carried out by undergraduate students as part of their course work is delegated to the department concerned provided the research does not pose more than minimal risk to participants. The Tri-Council Policy Statement (TCPS) defines minimal risk “research in which the probability and magnitude of possible harms implied by participation in the research to be no greater than those encountered by the participant in those aspects of his or her everyday life that relate to the research.” This form should be filled out by the course instructor and forwarded to the Department

Head or delegate.

In the following cases, however, a Form 1 should be completed and sent to the REB for review:

1. Research posing greater than minimal risk
2. Undergraduate Thesis Projects
3. Research where data will potentially be submitted for publication or presentation outside of a classroom setting.

**If you have any questions about whether these conditions apply to a particular project, contact the Chair of the REB** ([reb@mta.ca](mailto:reb@mta.ca), name, phone)

## **2. The Departmental Reviewer**

Please inform the Office of Research Services via "research@mta.ca" who has been designated as the person to review course-related research projects - typically it is expected that the department head will take on this responsibility but it may be delegated to another member of the department.

## **3. Support for the Departmental Reviewer**

The person designated to conduct departmental reviews should have some basic training and knowledge about research ethics. You or your designate are encouraged to make use of the following resources:

- An on-line tutorial - at your own pace. It is very useful. <http://pre.ethics.gc.ca/english/tutorial/>
- The draft TCPS 2.0 document is at <http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/draft-preliminaire/> - it also has a concordance file showing what has changed and what is new.

If you or your designate have sat on the REB in the past, it is important to review the new TCPS 2.0 because even though it is a draft, it is now the standard being applied across Canada and will be formally adopted soon.

## **4. End of Year Requirements**

In May of each year each department that has carried out at least one departmental level review is required to submit to the Office of Research Services a form summarizing this/these reviews, and the original materials which were reviewed. The form can be found at: <http://www.mta.ca/reb/> (scroll down to REB Forms and Application Instructions).

## **5. Research Ethics Outreach**

The Office of Research Services staff, as well as members of the Research Ethics Board, are available to provide training, workshops, information sessions, and presentations, to students (typically a 50-minute presentation built into a course on research methods or something similar, aimed at 3rd and 4th year students) and to faculty (which could include a presentation to your department or a brief discussion during one of your departmental meetings). If you are interested please contact Director of the Office of

## 9. Research Requiring Ethics Review

All research involving living human participants and research involving human biological materials as well as human embryos, fetuses, reproductive materials and stem cells must be reviewed (see TCPS Article 2.1).

The TCPS defines “research” as “any undertaking intended to extend knowledge through a disciplinary inquiry or systematic investigation.” In accordance with the TCPS, the following types of research require ethics review and approval from the REB before the research is started<sup>4</sup>:

1. Research by Mount Allison University faculty members, both full-time and part-time;
2. Thesis and directed studies research conducted by Mount Allison University graduate and undergraduate students;
3. Research conducted by Mount Allison university students or staff that makes use of university resources or facilities, either on-site or off-site;
4. Research that has already been approved, but subsequently requires significant changes in the original protocol or in collecting, storing, analyzing, or reporting data; or research in which ethical issues have arisen;
5. Research conducted at Mount Allison University by non-Mount Allison University researchers (e.g., faculty, staff, or students from other institutions, or community groups, organizations or businesses) acting as principal investigators, regardless if the research has been approved at another institution;
6. Research that involves interviewing a human participant to secure identifiable personal information, whether by face-to-face, telephone, videotaping or other electronic encounters, or individualized questionnaires;
7. Research involving third-party interviews if the third party is approached directly for interviews or for access to private papers;
8. Research involving naturalistic observation of humans, except as stipulated in Section XXX;
9. Research that involves the secondary use of data that was originally collected from human participants for another purpose, except as stipulated in Section XXX.

The above-mentioned types of research require ethics review regardless of whether the:

1. Research is funded or not;
2. Funding is internal or external;
3. Participants are from inside or outside the university;
4. Participants are paid or unpaid;
5. Research is conducted inside or outside the university;
6. Research is conducted inside or outside of Canada;

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<sup>4</sup> Chapter 10 of the TCPS provides guidance about the review of qualitative research and recognizes that initial discourse with potential research subjects to define the parameters of the research and the nature of their involvement may be necessary and required, and does not require REB approval. REB approval would be required prior to commencement of the research itself.

7. Research is conducted by staff or students;
8. Research is conducted in person or remotely (e.g., by mail, electronic mail, fax, or telephone);
9. Information is collected directly from participants or from existing records not in the public domain;
10. Research is to be published or not;
11. Focus of the research is the participant or a broader issue;
12. Research is observational, experimental, correlational, or descriptive;
13. Project has been approved elsewhere or not;
14. Research is a pilot study or a fully developed project;
15. Research is to acquire basic facts or applied knowledge; and
16. Research is primarily for teaching or training purposes or whether the primary purpose is the acquisition of knowledge.

## 9.1 Research NOT Requiring Ethics Review

The following types of research DO NOT require ethics approval:

1. Research that relies exclusively on publicly available information, when it is legally accessible and appropriately protected by law or where the information is publicly accessible and there is no reasonable expectation of privacy (TCPS Article 2.2).
2. Research that involves naturalistic observation of people in public places (and there is no intervention staged by the researchers or direct interaction with people; does not include collecting personal information that will be disseminated with visual materials; and where there is no reasonable expectation of privacy among those being observed) (TCPS Article 2.3).
3. Research that involves the secondary use of anonymous information (pooled data) which cannot be traced to the original research participants (TCPS Article 2.4).
4. Quality assurance and quality improvement studies, program evaluation, and performance reviews or testing within normal educational requirements (TCPS Article 2.5).
5. Creative practices in and of themselves (TCPS Article 2.6).

## 9.2 Institutional Research

As noted in Section 8.1 from time to time there be a variety of “institutional” research, quality assurance / improvement studies, and related studies conducted at Mount Allison University which do not require REB review. These studies may be conducted by Mount Allison University faculty, staff, or students, or they may be conducted by those external to the university. The onus is on researchers to determine if their research is of a quality assurance or related nature, and to seek guidance from the REB in cases where there is any doubt. To the extent that is possible, the REB should be made aware of these studies prior to their commencement so that the REB may be in a position to verify that a review is indeed not required, and that it may be able to respond to any queries from research subjects.

### 9.3 Review of Research Involving More than One Institution

The Mount Allison University REB has the authority to review all research protocols if the research is conducted by Mount Allison University researchers when they are part of a larger research team involving those from other institutions. The REB accepts submissions by the team using forms and attachments from the REBs of other recognized institutions. Mount Allison University researchers may submit their protocols to the REB before, concurrently with, or after submission to or approval from other REBs. Approval from another institution's REB does not automatically mean that the REB will provide approval. If and when other institutions' REBs provide approval, the REB requires copies of approval letters or certificates for record-keeping purposes.

### 9.4 Tri-Council Policy Statement Definition of Minimal Risk

The TCPS (Chapter 2, Section B) defines minimal risk as follows: "research in which the probability and magnitude of possible harms implied by participation in the research to be no greater than those encountered by the participant in those aspects of his or her everyday life that relate to the research." All research involving more than minimal risk must be reviewed by full committee of the REB.

The minutes of REB shall state, for each protocol, if the proposed research is minimal risk or not.

### 9.5 Scholarly Review as Part of Ethics Review

In accordance with Article 2.7 of the Tri-Council Policy Statement: the REB shall review the ethical implications of the methods and design of the research. The REB shall consider:

1. Relevant disciplinary scholarly standards;
2. The fact that traditions for scholarly review vary among disciplines (including the stage at which scholarly review occurs):
  - a. The extent of scholarly review that is required for biomedical research that does not involve more than minimal risk will vary according to the research being carried out;
  - b. Research in the humanities and the social sciences which poses, at most, minimal risk shall not normally be required by the REB to be peer reviewed.

Researchers have a role to play in demonstrating to the REB whether, when, and how appropriate scholarly review has been or will be undertaken for their research. When scholarly review is required, the REB should consider what type of review has been applied (e.g., by a funder or sponsor, or for student research by the supervisor. If scholarly review has not yet been undertaken but is required, the REB may choose to seek independent peer review, or the REB itself may take responsibility for the peer review if it has the necessary scholarly expertise.

### 9.6 Annual Review of Ongoing Research

Review and approval of research involving human subjects is ongoing.

In cases where researchers encounter ethical challenges in the conduct of their research, they are required to contact the Chair of the REB to discuss the issues. Depending on the nature of the issues, there may be an opportunity for the full REB to provide advice and guidance to the researcher.

Researchers are required to submit an end of project report (using Form 3) to the REB.

For projects which extend beyond one full year from the date of approval from the REB, researchers are required to submit an annual report (using Form 3) to the REB. Depending on the information provided, the REB may choose to have the researcher provide additional information or seek further approval from the REB to continue his/her work.

## **10. Appeals**

The TCPS (Chapter 6, Section C) requires that appeals of REB decisions be heard by an appeal board that meets the requirements of the Policy. The TCPS allows appeals to be heard by an REB from another institution provided the other institution is itself fully compliant with the TCPS and provided a formal written agreement between the institutions is in place (Article 6.18). Mount Allison University and the University of Prince Edward Island have agreed by Letter of Agreement that the REB of each institution will serve as an appeal board for the other. A copy of the Letter of Agreement is found in the Appendix.

## **11. Policy Concerning Participant Pool in Psychology**

The REB delegates to the Department of Psychology all responsibility for the appropriate management of the participant pool in its department for the purpose of facilitating instructor, course-based, independent study, and honours thesis research within that department.

The REB requires that the Department Head, or his or her designate, duly inform the REB of any changes to the management of the participant pool, including, but not restricted to, issues related to the course credits and the choice of software management tools. It is expected that the department will seek advice and guidance from the REB on any issues.

At the present time, the Department of Psychology provides for students to earn up to 4% of their final grade in introductory psychology through participation in available studies. There is an alternative for students who choose not to participate in such studies. The Department uses SONA, a web-based experiment scheduling and management tool. The policies for use of this software are consistent with consistent with the rules and laws surrounding privacy and confidentiality.

## 12. Policy Concerning Recruitment of Students by Instructors for their Own Research Activities

In some instances instructors may wish to conduct research projects using students from one or more of their classes as participants. While this is possible, it requires careful management and full disclosure by the instructor. The major concern is that students do not feel unduly coerced into participating in the activity for fear of retribution or other measures within the context of their course activities.

The REB, in its review of a protocol involving class students as research subjects, will expect the applicant to clearly address the following issues:

- Full disclosure to the students about the purpose of the activity
- Guarantee of anonymity for students
- Options for students who choose not to participate
- The use of a student or other individual who can distribute and/or collect paper, electronic, or other research materials so that the instructor does not see or know who is or is not participating
- Appropriate consent forms or processes, if required
- Appropriate debriefing materials, if required

## 13. Policy Concerning Review of Oral History Research Projects

The REB recognizes the unique methodologies applied in oral history projects, and has adopted a specific consent form model to guide researchers in this field (see Appendix). Below is a sample introductory script that could be applied in inviting participants into an oral history research project. These tools reflect the fact that oral history research is highly qualitative and that it may be difficult to assess the number of meetings or interviews with an individual, and to outline the specific or even general questions that may be asked in the context of recording a person's life history or recollection of a specific experience.

Further reading on this subject can be found at:

### References

Canadian Oral History Association <http://www.canoha.ca/>.

The Centre for Oral History and Digital Story Telling, Concordia University, Montreal.  
<http://storytelling.concordia.ca/oralhistory/resources/>.

Thomas L. Charlton, Lois E. Myers, Rebecca Sharpless, eds. Handbook of Oral History (Altamira, 2006).

Canadian Historical Association - Advocacy, Comments on the Draft of Tri-Council Policy Statement: Ethical Research Involving Humans (2009) [http://www.cha-shc.ca/en/Advocacy\\_51/items/14.html](http://www.cha-shc.ca/en/Advocacy_51/items/14.html)

Nancy Janovicek, "Oral History and Ethical Practice: Towards Effective Policies and Procedures", Journal of Academic Ethics 4(2006), 157-74.

International Oral History Association <http://iohanet.org/>.

Oral History Association (USA) <http://www.oralhistory.org/>.

Oral History Society (UK) <http://www.oralhistory.org.uk/>.

Donald A. Ritchie, *Doing Oral History: A Practical Guide* (Oxford and New York: Oxford University Press, 2003).

Barbara W. Sommer and Mary Kay Quinlan. *Oral History Manual* (Altamira, 2002).

Valerie Raleigh Yow. *Recording Oral History: A Guide for the Humanities and Social Sciences* (Rowman and Littlefield, 2005).

The sample invitation script is as follows:

Title of Study:

Researcher:

Faculty Supervisor: (if a student research project)

Department:

Mount Allison University

I am a faculty member/Honours student/student in the Department of XXX [and XXX program at Mount Allison University]. [For student research: As part of my course work/thesis, I am conducting research under the supervision of Dr. \_\_\_\_\_]. I would like to invite you to participate in my study through ## to ## meetings for the purpose of gathering your recollections concerning or reflections on my research topic. A list of suggested questions and themes will be provided, but the study would also benefit from other memories or kinds of reflections that you may wish to add to it.

The purpose of this study is to...

The study will focus on: [geographic or chronological focus etc.]

Your participation would be extremely beneficial because...

Your participation is completely voluntary. You may withdraw from this study at any time and without any penalty to the student as s/he will still receive credit for her/his participation in this part of the course.

All information obtained in this study will be kept strictly confidential and anonymous unless permission is given by the interviewee to the interviewer for a specific context.

The results of this study will be presented collectively and no individual participants will be identified without their permissions.

## 14. Policy Concerning On-Line Surveys

Conducting on-line surveys is becoming more commonplace in research. This section provides guidance to the REB and to researchers on this matter.

The REB is aware of the use of free on-line survey software for research purposes. However, the REB wishes to advise the Mount Allison University research community that there are some security issues concerning the use of these, especially those which are housed on servers outside of Canada, such as Survey Monkey. Participants in any research project using this or a similar survey tool should be clearly informed that by clicking on the survey link that they will be entering a survey where the information they provide will be housed on servers outside of Canada and therefore subject to laws of that country (e.g. Patriot Act). There is a Canadian equivalent of Survey Monkey. They do claim that their servers are housed in Canada – <http://fluidsurveys.com/>. (NOTE: this does not mean that the REB necessarily endorses its use).

Researchers may wish to include the following text (or something similar) in consent forms, invitations to participate, or in the opening page of the on-line survey:

"Please note that the online survey is hosted by "Survey Monkey" which is a web survey company located in the USA. All responses to the survey will be stored and accessed in the USA. This company is subject to U.S. laws, in particular, to the U.S. Patriot Act that allows authorities access to the records of internet service providers. If you choose to participate in the survey you understand that your responses to the questions will be stored and accessed in the USA. The security and privacy policy for Survey Monkey can be viewed at <http://www.surveymonkey.com/> "

## 15. Liaison with Financial Services and Release of Funds

For research projects involving human subjects and which are funded by one of the Tri-Council Agencies (SSHRC, NSERC, CIHR), Mount Allison University internal funds (MYB Fund, President's Research and Creative Activities Fund), or a source of other external research funds which requires proof of approval from the REB, funds will not be released by Financial Services until a copy of the REB approval letter is provided to that office. The Office of Research Services is responsible for providing the approval letter.

## 16. Training and Development of Members

The members of the REB shall endeavour to undertake training and development for the purpose of improving their individual and collective skills and abilities in the review of submitted protocols. At a minimum, the following shall serve as the basis for training and development:

1. For newly appointed members, the following should be completed prior to their participation in the first meeting in July:
  - a. Participate in an initial orientation "meeting" with the Director, Office of Research Services, (an outline of the orientation topics is found in the Appendix).

- b. Take the on-line tutorial offered by the Interagency Panel on Research Ethics <http://pre.ethics.gc.ca/english/tutorial/> .
  - c. Read the minutes of the two most recent meetings of the REB (one full and one sub-committee meeting).
  - d. Read this Policy and Procedures Manual.
  - e. Begin the process of becoming familiar with the most recent version of the TCPS.
2. On an annual basis, for the full REB membership:
    - a. At both the July and August meetings, members are asked to articulate any specific knowledge or training needs they feel they may benefit from.
    - b. The Chair and the Director of the Office of Research Services, shall develop a plan of activities based on needs and opportunities
    - c. The Chair, and possibly other members or Director of the Office of Research Services, shall attend the annual Canadian Association of Research Ethics Boards (CAREB) conference, subject to budget and timing

## 17. Education and Awareness of Faculty, Staff, and Students

The Provost and Vice-President, Academic and Research, shall deliver to all faculty, via email notice, information concerning the need to submit protocols for all research involving human subjects. This email shall be distributed in August and April each year. The Office of Research Services shall prepare the email memo and forward to the provost. The information shall read as follows (or as amended):

---

To all faculty:

As we enter another academic term I am writing to remind you of the role of the Research Ethics Board in the review of research involving human subjects. If any of your research, or the research conducted by your honours students, involves human subjects, you must submit an application to the Research Ethics Board for approval prior to the start of the research. This is a necessary requirement of our Memorandum of Understanding with the Tri-Council Agencies. All research involving human subjects requires ethics review, regardless of whether or not it is funded research. You can find all of the necessary information, including meeting dates, submission processes, and forms, at [www.mta.ca/reb](http://www.mta.ca/reb).

In addition, if students in your classes are conducting research involving human subjects, there is a requirement to have an ethics review of the class or individual projects. These reviews are conducted within your department. Please consult with your Department Head prior to having your students initiate their research.

I wish you every success with your teaching and research this year.

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The Office of Research Services will provide course-based presentations on research ethics for interested faculty members.

The Office of Research Services shall coordinate a minimum of two information sessions per year for faculty, concerning research ethics issues and processes. It is expected that at a minimum, the Chair of the REB shall attend and participate in these sessions. Members of the REB are encouraged to participate in these sessions.

## **18. Records Retention**

The Records Retention Policy of the REB is as follows:

1. Protocols and Departmental Level Review Protocols:
  - a. Active files and those up to five years are stored in a secure location in the Office of Research Services.
  - b. After five years the files are sent to the Mount Allison University Archives. The files should contain only the official record of each protocol, and should not include hand written notes or correspondence among REB members concerning the individual protocols.
2. Minutes and Correspondence and Administrative items:
  - a. Active minutes and related items, and those up to two years, are stored in a secure location in the Office of Research Services.
  - b. After two years the files are sent to the Mount Allison University Archives. The files should contain only the official minutes, the official correspondence, and any related items, of the REB, and should not include hand written notes or correspondence among REB members.

### **Restrictions on Access to Records held by the Office of Research Services and the University Archives**

Researchers wishing access to the application case files must apply for permission in writing to the Research Ethics Board. If granted, the Board will contact either the Office of Research Services or the University Archives (depending upon where the file in question is stored) in writing, stating the name of the researcher who is to be allowed access, and indicating which file(s) may be accessed. Alternatively, with a majority approval of the Research Ethics Board members, the Chair may prepare a redacted copy of the requested records if it is felt by the Board that redaction is necessary to preserve the confidentiality of applications to REB.

For each application case file, this restriction will continue in effect until the terms provided in the Copyright Act have expired (currently 50 years after the death of the author of the document). Once this milestone has been reached, there will be free access to the application case files through the University Archives.

Once transferred to the University Archives, the minutes of meetings are open for public viewing.

## **The REB Archive Boxes**

The files and other material should be packed in Bankers'-type boxes. They should not be jam-packed, so they are not too heavy and so that it is easy to take files out without ripping them. The protocols should be sorted by year (July to June), and stored in separate boxes from the minutes and related items.

"Research Ethics Board" shall be written on the outside of the boxes. For those boxes that contain restricted material, "RESTRICTED" shall be written on the outside of the box. All writing on the outside should be in pencil only – no markers or ink. There should be a file list for each box, placed on the top of the box before it is closed. For the file list, just list whatever is written on the file tab. If the material is not in a file but is, for instance, a bound item, then the title will be fine.

## **19. Report to Senate**

An annual report to Senate summarizes the activities of the REB for the period of May 1 to April 30 each year, shall be prepared and submitted. The report shall be prepared by STAFF and CHAIR together. It shall include the following:

1. Membership
2. Summary of Activities
  - a. Applications by Department
  - b. Applications by Approval Status
  - c. Application by Funding Source
3. Administrative Activities
4. Education and Training
5. Other Items
6. Membership for Next Academic Year

## Appendices

### Forms

- Form 1: Application for Ethics Review of Research Involving Humans
- Form 2: Request for Approval of Modifications to a Previously Approved Project
- Form 3: Annual Progress Report (or End of Project Report)

### Sample Consent Forms

- Sample Consent Form: General
- Sample Consent Form: Interviews
- Sample Consent Form: Focus Groups
- Sample Consent Form: Mail Out Surveys
- Sample Consent Form: Parent or Guardian
- Sample Consent Form: Oral History Research

### Standard Wording of Decision Letters

- Approved as submitted
- Approved subject to minor or major modifications
- Not approved

### Departmental Reviews

- Departmental Review Form (to be completed by course instructor)
- Departmental Annual Report on Ethics Reviews of Course-related Research (to be completed by Department Head or designate)

### Confidentiality

- Confidentiality and Non-Disclosure Agreement – REB Chair
- Confidentiality and Non-Disclosure Agreement – Members
- Confidentiality and Non-Disclosure Agreement –Observers Attending REB Meetings
- Confidentiality and Non-Disclosure Agreement –Translators or Others for Research

### Appeals

- Letter of Agreement between University of Prince Edward Island and Mount Allison University Concerning REB Appeals

### Orientation

- Orientation Agenda for Newly Appointed REB Members

REB File Number	
Date Received by REB	

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

Please complete this form using Microsoft Word, save a copy for your files and send a copy as an e-mail attachment to [reb@mta.ca](mailto:reb@mta.ca). A single signed hard copy should be sent to the Office of Research Services.

**Section A: General Information**

**1. Investigators**

<b>Name(s) of Faculty / Staff Responsible for this Research Project</b>	<b>Department</b>	<b>Phone</b>	<b>E-mail</b>
<b>Name(s) of Student Researchers (student thesis projects, independent research projects, only)</b>			

**Note: Faculty supervisors are responsible for the ethics of any student-led projects or research staff-led projects, including the submission of annual and/or end of project reports to the REB.**

**Research Assistants**

<b>Names of Research Assistants Who May or Will Have Contact With Research Participants</b> (List all names of student, paid, professional, or other research assistants other than those listed above. These individuals DO NOT need to sign this application)

**Note: The REB requires these names in case there is an inquiry from a research participant about the project and about their contact with someone specific on the research team. If you intend to have research assistants involved in the project but do not have their names at the time of application, please forward them to the REB when you know who they are.**

**2. If applicable, for student-led research projects, has the faculty supervisor reviewed this application prior to submission?**

YES  NO

**3. Name of the Research Project (title should be identical to any corresponding grant)**

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#### 4. Timeline

Anticipated Start Date of the Project	
Anticipated Date of Completion	

#### 5. Nature of the Research

a) Faculty or Librarian Research Project	<input type="checkbox"/>
b) Graduate Student Independent Research	
1. Master's Thesis	<input type="checkbox"/>
2. Other Independent Research Project	<input type="checkbox"/>
c) Undergraduate Student Independent Research	
1. Honours Research Project	<input type="checkbox"/>
2. Other Independent Research Project	<input type="checkbox"/>
d) Staff Research Project	<input type="checkbox"/>
e) Other (please explain)	<input type="checkbox"/>

#### 6. Funding Status

Is this project currently funded?	<input type="checkbox"/> YES <input type="checkbox"/> NO		
If "Yes" by what funding agency?	<input type="checkbox"/> SSHRC	<input type="checkbox"/> NSERC	<input type="checkbox"/> CIHR
	<input type="checkbox"/> NBIF	<input type="checkbox"/> Canadian Council on Learning	<input type="checkbox"/> Prov Gov't (specify)
	<input type="checkbox"/> Internal	<input type="checkbox"/> Other:	
If "No" is funding being sought?	<input type="checkbox"/> YES <input type="checkbox"/> NO		
From what funding agency?	<input type="checkbox"/> SSHRC	<input type="checkbox"/> NSERC	<input type="checkbox"/> CIHR
	<input type="checkbox"/> NBIF	<input type="checkbox"/> Canadian Council on Learning	<input type="checkbox"/> Prov Gov't (Specify)
	<input type="checkbox"/> Internal	<input type="checkbox"/> Other:	

#### 7. Other REB Approvals

*If your research is being conducted at another university, involves researchers from other universities as part of a team, or involves research subjects who may be under the authority of another institution (such as a school or hospital) you may be required to obtain REB approval from them.*

Has this or a similar application been submitted to any other Research Ethics Boards? (If Yes, please attach a copy of the protocol submitted and a copy of the approval decision when you receive it.)	<input type="checkbox"/> Submitted and approved <input type="checkbox"/> Submitted and pending approval <input type="checkbox"/> To be submitted <input type="checkbox"/> Not applicable
A copy of the protocol is attached.	<input type="checkbox"/> Yes <input type="checkbox"/> No

A copy of the approval is attached.	<input type="checkbox"/> Yes <input type="checkbox"/> No
List the name(s) of the institution(s) to which the protocol(s) has (have) been submitted.	

**Section B: Summary of Proposed Research**

**1. Summary of Proposed Research**

<p>Briefly (in the space provided below) describe in non-technical language your proposed research project. Please identify:</p> <ul style="list-style-type: none"> <li>A. The purpose (objectives) of the study.</li> <li>B. Any hypothesis or research questions to be investigated.</li> <li>C. The procedures and measures (e.g., surveys, interviews, focus groups, tests, experiments, etc.) be employed (please specify the name(s) completely and reference the measures where appropriate).</li> <li>D. Specify the number and type of participants you expect to involve in your study.</li> <li>E. Plans for disseminating the results of the study (e.g., publication in scholarly journals, presentations at conferences, thesis production, class presentations, community presentations, reports to funders, etc.).</li> </ul> <p align="center"><b>Note: Please append a copy of all materials to be used in this study (including measures, surveys, interview or focus group questions, etc.) to this file.</b></p>
<ul style="list-style-type: none"> <li>A. Purpose / Objectives</li>   <li>B. Hypothesis / Research Questions</li>   <li>C. Methodology / Procedures</li>   <li>D. Number and Type of Participants</li>   <li>E. Dissemination Plans</li> </ul>

## 2. Participants involved in the Study

a) Please indicate who will be recruited as potential participants in this study:

Children	<input type="checkbox"/>	# _____
Adolescents	<input type="checkbox"/>	# _____
University Students	<input type="checkbox"/>	# _____
Adults	<input type="checkbox"/>	# _____
Senior Citizens	<input type="checkbox"/>	# _____

b) If the potential participant is under guardianship, explain how you will obtain permission for participation from the guardian. Please attach any relevant documentation.

c) When recruiting participants will you be seeking specific demographic characteristics (e.g. gender, age, ethnicity, group or cultural affiliation?)  YES  NO

d) If YES, please explain.

## 3. Recruitment Process and Study Location

a) Please describe how and by whom potential participants will be recruited. Attach a copy of any materials to be used for recruitment (e.g. posters, flyers, advertisement(s), letter(s), telephone scripts).

b) Please identify where the study will take place (e.g. on-campus, community centres in the following towns, participants' homes, schools, etc.).

--

**Section C: Potential Risks and Benefits from the Study**

The Tri-Council Policy Statement (TCPS) requires that the risks and benefits of a study be balanced. For example, the risk of adverse reaction in clinical trial must be balanced by the potential therapeutic benefit of the potential drug. Naturally within a minimal risk study, the benefits of participating in the study may be correspondingly minimal.

The TCPS defines “minimal risk” as follows: **“if potential subjects can reasonably be expected to regard the probability and magnitude of possible harms implied by participation in the research to be no greater than those encountered by the subject in those aspects of his or her everyday life that relate to the research then the risk can be regarded as within the range of minimal risk”.**

**1. Potential Risks**

Are there any procedures used in this study that expose participants to risks higher than what they would normally experience in their every day lives?	<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, please explain what safeguards will be in place to protect the physical and emotional well-being of participants.	
If YES, please describe how your discipline and/or society at large will benefit from the results of your study.	

Is there a possibility / likelihood that the participants could feel coerced into participating in this study because of the researchers' professional role? (e.g., participants know the researchers; participants are students and the researcher is their instructor; researcher or project partner is a health care provider and the participants are patients; the employer is partner in the project or is to be an active recruiter of participants)	<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, please explain how you will address this in your procedures.	

<p>Is there a possibility / likelihood that the participants' well-being will be threatened if s/he is known to have participated in the study? (e.g., are you recruiting people who are stigmatized or discriminated against)</p>	<p><input type="checkbox"/> YES <input type="checkbox"/> NO</p>
<p>If YES, please explain how you will address this in your procedures.</p>	

<p>Is there a possibility / likelihood that the participants' well-being will be affected by experiencing the procedures / materials / tests in your research? (e.g., upsetting or traumatizing questions; exceptional physical exertion or strenuous activity; exposure to potentially harmful materials or situations; etc.)</p>	<p><input type="checkbox"/> YES <input type="checkbox"/> NO</p>
<p>If YES, please explain how you will address this in your procedures.</p>	

<p>Could the people you are recruiting to participate in your research be considered "vulnerable"? (i.e., unable to fully comprehend the implications of agreeing to participate; have special needs; live in special circumstances; these may include but not be limited to children, people living in poverty, people who are mentally challenged; people with physical limitations; people with low levels of literacy; people living in institutions; people who are physically ill)</p>	<p><input type="checkbox"/> YES <input type="checkbox"/> NO</p>
<p>If YES, please explain how you will address the needs and concerns of these people in the recruitment process and in their participation.</p>	

**2. Potential Benefits**

<p>Will study participants receive financial compensation for their participation in the study?</p>	<p><input type="checkbox"/> YES <input type="checkbox"/> NO</p>
<p>If YES, please explain:</p>	

Will study participants receive course-credit for their participation in the study?	<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, please give the value of the course credit and describe alternative ways to obtain course credits.	
Will study participants receive any other direct benefits from their involvement in the study (e.g. receipt of services such as professional advice, tutoring, etc.)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, please describe.	

**Section D: Informed Consent Process**

**1. Informed Consent**

a) Written Informed Consent

Will you be obtaining informed consent in writing from study participants?	<input type="checkbox"/> YES <input type="checkbox"/> NO
----------------------------------------------------------------------------	----------------------------------------------------------

**Please provide copies of your informed consent form(s) and any additional information that will be provided to participants during the informed consent process. The TCPS recommends that participants receive a copy (paper copy or electronic copy, as appropriate) of any informed consent documents, including those which do not require their written consent. This may include providing a copy of the signed consent form, or it may include a written statement of what was conveyed in the process of obtaining consent, including contact information for the researcher(s) and the REB on the page.**

b) Non-written Informed Consent

The Tri-Council Policy Statement expresses a preference for written informed consent but recognizes that this may not be ideal for every research study. If you are not using informed consent, please explain the following:

a) Why is written consent not being used?
b) How will informed consent be obtained and recorded?

c) How will you ensure that participants understand that their participation is voluntary?

**Please provide a copy of the script that you will use to obtain non-written informed consent.**  
**Section E: Confidentiality of Data**

Normally procedures are put in place to ensure confidentiality of data both during the research and upon the release of the findings. Which of the following procedures will you be using to ensure confidentiality?

Separating consent forms from surveys and storing separately.	<input type="checkbox"/> YES <input type="checkbox"/> NO
Storing data in a locked office on campus (or another secure location).	<input type="checkbox"/> YES <input type="checkbox"/> NO
Eliminating identifying details from research findings (according to the wishes of participants).	<input type="checkbox"/> YES <input type="checkbox"/> NO
Other:	<input type="checkbox"/> YES <input type="checkbox"/> NO
Other:	<input type="checkbox"/> YES <input type="checkbox"/> NO

**Section F: Deception**

1. The use of deception in the research study:

Does this study involve the use of deception?	<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES please describe the deception:	
If YES please explain how participants will be debriefed following the study (attach any debriefing forms to be used).	

**Section G: Feedback**

Briefly describe plans for providing feedback about measures, outcomes and results of the research to study participants. Attach a copy of the feedback letter(s) to be used.

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**Section H: Agreement**

I/we have read the Mount Allison REB Instructions for Completing Applications for Ethics Review of Research Involving Humans, the Senate Policy on Ethics Conduct for Research Involving Humans, and the Tri-Council Policy Statement on Ethical Conduct in Research Involving Human Subjects (TCPS). I/we agree to comply with the policies and procedures outlines 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 TCPS.

Signature(s) of Faculty / Staff Responsible for this project.	Date:
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Signature(s) of Student Researcher(s)	Date:
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**Section I: Checklist**

<input type="checkbox"/>	Complete Form 1
	Attachments (if applicable)
<input type="checkbox"/>	1. Informed Consent Form or Script
<input type="checkbox"/>	2. Testing Materials
<input type="checkbox"/>	3. Interview Questions
<input type="checkbox"/>	4. Recruitment Materials
<input type="checkbox"/>	5. Debriefing Letter (if deception is to be used)
<input type="checkbox"/>	6. Feedback Letter
<input type="checkbox"/>	7. Copy of Protocol and Approval Letter if another REB has reviewed the project
<input type="checkbox"/>	Signatures of all student, staff and faculty researchers and supervisors involved in the project.

**Please save a copy of this form electronically. Forward an electronic copy to [reb@mta.ca](mailto:reb@mta.ca). Forward a single signed hard copy of the proposal to the Office of Research Services.**

REB File Number of Current Project	
Date Form 2 Received by REB	

Mount Allison University Research Ethics Board  
**Form 2: Request for Approval of Modifications to a Previously Approved Project**

Please complete this form using Microsoft Word, save a copy for your files and send a copy as an e-mail attachment to [reb@mta.ca](mailto:reb@mta.ca). A single signed hard copy should be sent to the Office of Research Services.

**Section A: General Information**

**1. Investigators**

Name(s) of Faculty / Staff Responsible for this Research Project	Department	Phone	E-mail
Name(s) of Student Researchers (student thesis projects, independent research projects, only)			

**Note: Faculty supervisors are responsible for the ethics of any student-led projects, including the submission of annual and/or end of project reports to the REB.**

**2. Has the faculty supervisor reviewed this application prior to submission?**  YES  NO

**3. Research Project**

Name of Research Project:	
REB File Number:	

**4. Participants in the Project**

Please indicate how many of participants have participated in the project thus far.

Children	<input type="checkbox"/>	#_____
Adolescents	<input type="checkbox"/>	#_____
University Students	<input type="checkbox"/>	#_____
Adults	<input type="checkbox"/>	#_____
Senior Citizens	<input type="checkbox"/>	#_____

**Section B: Requested Modifications**

Please provide a brief description of, and explanation for, any modifications requested to your previously approved application. (attach an additional sheet, if needed). <b>Note: Please attach a copy of any new recruitment documents, interview questions, measures, informed consent forms, etc.</b>

**Section C: Ethical Issues**

Do any of the changes being requested have any ethical issues or considerations which differ from those stated in the original approved Form 1 application?	<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, please explain in the space below.	

**Section D: Agreement**

I/we have read the Mount Allison REB Instructions for Completing Applications for Ethics Review of Research Involving Humans, the Senate Policy on Ethics Conduct for Research Involving Humans, and the Tri-Council Policy Statement on Ethical Conduct in Research Involving Human Subjects (TCPS). I/we agree to comply with the policies and procedures outlines 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 TCPS.

Signature(s) of Faculty / Staff Responsible for this project.	Date:
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Signature(s) of Student Researcher(s)	Date:
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**Section D: Checklist**

<input type="checkbox"/>	Complete Form 2
	Attachments (if applicable)
<input type="checkbox"/>	1. Informed Consent Form or Script (if modified)
<input type="checkbox"/>	2. Testing Materials (if modified)
<input type="checkbox"/>	3. Interview Questions (if modified)
<input type="checkbox"/>	4. Recruitment Materials (if modified)
<input type="checkbox"/>	5. Debriefing Letter (if deception is to be used) (if modified)
<input type="checkbox"/>	6. Feedback Letter (if modified)
<input type="checkbox"/>	7. Copy of Protocol and Approval Letter if another REB has reviewed the project
<input type="checkbox"/>	Signatures of all student, staff and faculty researchers and supervisors involved in the project.

**Please save a copy of this form electronically. Forward an electronic copy to [reb@mta.ca](mailto:reb@mta.ca). Forward a single signed hard copy of the proposal to the Office of Research Services.**

REB File Number	
Date Form 3 Received by REB	

Mount Allison University Research Ethics Board  
**Form 3: Annual Report / End of Project Report on Research Projects Involving Human Subjects**

Select one:

<input type="checkbox"/> End of Project Report <input type="checkbox"/> Annual Report for Ongoing Project	<b>Note:</b> If this is an Annual Report for ongoing research, you must also submit an End of Project report, using this form, when your research is completed.
--------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------

Please save an electronic copy of this form and return it to [reb@mta.ca](mailto:reb@mta.ca). Please forward a signed hard copy of this report to the Office of Research Services.

Name(s) of Faculty / Staff Responsible for this Research Project	
Name(s) of Student Researchers involved in this project (student thesis projects, independent research projects, only)	
Name of Research Project	
REB Number of Approved Project	
<b>Project Information</b>	
When did this study begin?	
When was the study completed?	
For ongoing studies, what is the anticipated date of completion?	
For ongoing studies, what is the funding status of the study?	
<input type="checkbox"/> Funded <input type="checkbox"/> Funding Sought <input type="checkbox"/> Unfunded	Agency: Agency: Agency:
	Funding Period: Funding Period: Funding Period:
<b>Participant Information</b>	
Please provide the following details on the number and type of participants in the project. Include any relevant description of subgroups or different types of participation (for example, 15 university students completed testing; 8 interviews with stakeholders were completed; etc.)	
a) Number of Participants that have completed the study:	
b) Number of Participants currently enrolled in the study (if applicable):	
c) Number of additional Participants still required for the study (if applicable):	
d) Number of Participants that have voluntarily withdrawn from the study:	

Ethical Issues	
Please provide details concerning ethical issues you encountered and how you dealt with them. This may include, but not limited to: recruitment; obtaining consent; completion of activity(ies) or tasks; negative impacts or effects on the participants; etc.	
AGREEMENT:	
I/we have read the Mount Allison University 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 Human Subjects (TCPS). I/we 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 certify that the procedures meet the requirements of the Tri-Council Policy on Ethics for Research Involving Human Subjects.	
Signature(s) of all faculty or staff responsible for / involved in this project	Date
Signature(s) of all student researchers involved in this project (student thesis projects, independent research projects, only)	Date

Note: If it is not possible for students to sign this form, it may be submitted by the faculty member(s) without the student's signature, so long as the faculty member(s) has (have) signed.

As per the continuing review requirements of the Tri-Council Policy Statement (TCPS) on Ethical Conduct in Research Involving Human Subjects, we require an annual report highlighting any ethical issues or concerns you may have encountered during your research project. This report will be appended to your original application. Information provided in this report will help the Research Ethics Board in continually improving its processes.

# Sample Consent Form: General

*[Title of Study]*  
*[Name of Researcher(s)]*  
*[Name of Department]*  
Mount Allison University

I am *[a faculty member/honours student/directed studies student/etc.]* in the Department of *[Sociology/Psychology/Biology/etc.]* at Mount Allison University. *[For student research, insert: "As part of my masters/honours thesis/directed studies project/etc., I am conducting research under the supervision of Dr.\_\_\_\_\_, and..."]* I am inviting you to participate in my study. The purpose of the study is to examine *[insert a concise one or two sentence overview of your study]*.

This study involves *[insert a paragraph of the process of your study. Include: what the participants can expect during the study; the approximate time to complete the study, etc.]*.

*[Insert any benefits or potential risks of participating in this study]*. **Your participation is completely voluntary. You may withdraw from this study at any time without penalty.**

*All information obtained in this study will be kept strictly **confidential and anonymous**. [Explain how you will achieve confidentiality and anonymity].* The results of this study will be presented as a group and no individual participants will be identified without their permission.

**By signing this consent form, you are indicating that you fully understand the above information and agree to participate in this study.**

**Participant's signature** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Researcher's signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

If you have any questions about this study, please contact *[for student research, the student's name, phone number, and e-mail address, and the faculty supervisor's name, phone number, and e-mail address]*.

This research has been reviewed and approved by the Mount Allison University Research Ethics Board. If you have any questions or concerns about this study, you may contact Dr. Nauman Farooqi, Chair of the Mount Allison University Research Ethics Board, by phone (364-2281) or by e-mail at reb@mta.ca.

# Sample Consent Form: Interviews

[Title of Study]  
 [Name of **All** Researcher(s)]  
 [Name of Department]  
 Mount Allison University

I am [a faculty member/honours student/directed studies student/etc.] in the Department of [Sociology/Psychology/Biology/etc.] at Mount Allison University. [For **student research**, insert: "As part of my masters/honours thesis/directed studies project/etc., I am conducting research under the supervision of Dr. \_\_\_\_\_, and..."] I am inviting you to participate in my study. The purpose of the study is to examine [insert a concise one or two sentence overview of your study].

This study involves [insert a paragraph explaining the process or methods of your study. Include: what the participants can expect during the study; the approximate time to complete the study, etc.].

[Insert any benefits or potential risks of participating in this study]. **Your participation is completely voluntary. You may withdraw from this study at any time without penalty.**

All information obtained in this study will be kept strictly **confidential**. [Explain how you will achieve confidentiality and anonymity]. The results of this study will be presented as a group and no individual participants will be identified without their permission.

I also understand that my words may be quoted directly. With regards to being quoted, please check yes or no for each of the following statements:

<input type="checkbox"/> Yes	<input type="checkbox"/> No	I wish to review the notes collected during my interview.
<b>Researchers may publish documents that contain quotations by me under the following conditions:</b>		
<input type="checkbox"/> Yes	<input type="checkbox"/> No	I agree to be quoted directly (my name is used).
<input type="checkbox"/> Yes	<input type="checkbox"/> No	I agree to be quoted directly if my name is not published (I remain anonymous).
<input type="checkbox"/> Yes	<input type="checkbox"/> No	I agree to be quoted directly if a made-up name (pseudonym) is used.

By signing this consent form, you are indicating that you fully understand the above information and agree to participate in this study.

**Participant's signature** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Researcher's signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

If you have any questions about this study, please contact [for **student research**, the student's name, phone number, and e-mail address, and the faculty supervisor's name, phone number, and e-mail address]. This research has been reviewed and approved by the Mount Allison University Research Ethics Board. If you have any questions or concerns about this study, you may contact Dr. Nauman Farooqi, Chair of the Mount Allison University Research Ethics Board, by phone (364-2281) or by e-mail at [reb@mta.ca](mailto:reb@mta.ca).

# Sample Consent Form: Focus Groups

[Title of Study]  
 [Name of **All** Researcher(s)]  
 [Name of Department]  
 Mount Allison University

I am [a faculty member/honours student/directed studies student/etc.] in the Department of [Sociology/Psychology/Biology/etc.] at Mount Allison University. [For **student research**, insert: "As part of my masters/honours thesis/directed studies project/etc., I am conducting research under the supervision of Dr.\_\_\_\_\_, and..."] I am inviting you to participate in my study. The purpose of the study is to examine [insert a concise one or two sentence overview of your study.]

This study involves [insert a paragraph explaining the process or methods of your study. Include: what the participants can expect during the study; the approximate time to complete the study, etc.].

[Insert any benefits or potential risks of participating in this study]. **Your participation is completely voluntary. You may withdraw from this study at any time without penalty.**

All information obtained in this study will be kept strictly **confidential** by the researcher. All participants will be asked not to disclose anything said within the context of the discussion. By agreeing to participate, you agree to not disclose to others outside this event anything said within the context of the discussion. All identifying information will be removed from the collected materials, and all materials will [explain how records will be stored securely].

I also understand that my words may be quoted directly. With regards to being quoted, please check yes or no for each of the following statements:

Researchers may publish documents that contain quotations by me under the following conditions:		
<input type="checkbox"/>	Yes	I agree to be quoted directly (my name is used).
<input type="checkbox"/>	No	I agree to be quoted directly if my name is not published (I remain anonymous).
<input type="checkbox"/>	No	I agree to be quoted directly if a made-up name (pseudonym) is used.

By signing this consent form, you are indicating that you fully understand the above information and agree to participate in this study.

**Participant's signature** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Researcher's signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

If you have any questions about this study, please contact [for student research, the student's name, phone number, and e-mail address, and the faculty supervisor's name, phone number, and e-mail address]. This research has been reviewed and approved by the Mount Allison University Research Ethics Board. If you have any questions or concerns about this study, you may contact Dr. Nauman Farooqi, Chair of the Mount Allison University Research Ethics Board, by phone (364-2281) or by e-mail at [reb@mta.ca](mailto:reb@mta.ca).

# Sample Consent Form: Mail Out Surveys

*[Title of Study]*  
*[Name of Researcher(s)]*  
*[Name of Department]*  
Mount Allison University

I am *[a faculty member/honours student/directed studies student/etc.]* in the Department of *[Sociology/Psychology/Biology/etc.]* at Mount Allison University. *[For student research, insert: "As part of my masters/honours thesis/directed studies project/etc., I am conducting research under the supervision of Dr.\_\_\_\_\_, and..."]* I am inviting you to participate in my study. The purpose of the study is to examine *[insert a concise one or two sentence overview of your study]*.

This study involves *[insert a paragraph of the process of your study. Include: what the participants can expect during the study; the approximate time to complete the study, etc.]*.

*[Insert any benefits or potential risks of participating in this study]*. **Your participation is completely voluntary. You may withdraw from this study at any time without penalty.**

*All information obtained in this study will be kept strictly **confidential and anonymous**. [Explain how you will achieve confidentiality and anonymity]*. The results of this study will be presented as a group and no individual participants will be identified without their permission.

If you agree to participate, please fill out this survey and return it in the envelope provided.

If you have any questions about this study, please contact *[for student research, the student's name, phone number, and e-mail address, and the faculty supervisor's name, phone number, and e-mail address]*.

This research has been reviewed and approved by the Mount Allison University Research Ethics Board. If you have any questions or concerns about this study, you may contact Dr. Nauman Farooqi, Chair of the Mount Allison University Research Ethics Board, by phone (364-2280) or by e-mail at reb@mta.ca.

# Sample Consent Form: Parent / Guardian

[Title of Study]  
[Name of **All** Researcher(s)]  
[Name of Department]  
Mount Allison University

I am [a faculty member/honours student/directed studies student/etc.] in the Department of [Sociology/Psychology/Biology/etc.] at Mount Allison University. [For **student research**, insert: "As part of my masters/honours thesis/directed studies project/etc., I am conducting research under the supervision of Dr.\_\_\_\_\_, and..."] I am inviting you to participate in my study. The purpose of the study is to examine [insert a concise one or two sentence overview of your study].

This study involves [insert a paragraph explaining the process or methods of your study. Include: what the child or student will be expected to do; the approximate time to complete the study; etc.].

[Insert any benefits or potential risks of participating in this study]. **The participation of your child / student is completely voluntary. S/he may withdraw from this study at any time. S/he may choose not to participate.**

All information obtained in this study will be kept strictly **confidential and anonymous**. [Explain how you will achieve confidentiality and anonymity]. The results of this study will be presented as a group and no individual participants will be identified without their permission.

**By signing this consent form, you are indicating that you fully understand the above information and agree to allow your child / student to participate in this study.**

Child / Student's name \_\_\_\_\_

Parent / Guardian's signature \_\_\_\_\_

Date: \_\_\_\_\_

Researcher's signature: \_\_\_\_\_

Date: \_\_\_\_\_

If you have any questions about this study, please contact [for **student research**, the student's name, phone number, and e-mail address, and the faculty supervisor's name, phone number, and e-mail address].

This research has been reviewed and approved by the Mount Allison University Research Ethics Board. If you have any questions or concerns about this study, you may contact Dr. Nauman Farooqi, Chair of the Mount Allison University Research Ethics Board, by phone (364-2281) or by e-mail at [reb@mta.ca](mailto:reb@mta.ca).

# Sample Consent Form: Oral History Interviews

*[Title of Study]*  
*[Name of **All** Researcher(s)]*  
*[Name of Department]*  
 Mount Allison University

I am *[a faculty member/honours student/directed studies student/etc.]* in the Department of *[Sociology/Psychology/Biology/etc and XXX program]* at Mount Allison University. *[For **student research**: As part of my course work/thesis, I am conducting research under the supervision of Dr. \_\_\_\_\_].* I am inviting you to participate in my study. The purpose of the study is to examine *[insert a concise one or two sentence overview of your study].*

This study involves *[insert a paragraph description of the purpose of the project].*

All information obtained in this study will be kept strictly confidential and anonymous unless permission is given by the interviewee to the interviewer for a specific context.

The results of this study will be presented collectively and no individual participants will be identified without their permissions.

I have been informed of and understand the purpose and procedures of this study and the purpose and procedures of this interview/these interviews.

I understand that I am free to withdraw my consent and discontinue my participation in this interview or study at anytime.

I understand that the interview will be audiotaped or digitally recorded and then transcribed.

*[Insert this text if you plan to videotape your participants]* I agree / wish not (Please circle one) to be videotaped.

I also understand that my words may be quoted directly. With regards to being quoted, please check yes or no for each of the following statements:

<input type="checkbox"/> Yes <input type="checkbox"/> No	I wish to review the notes collected during my interview.
I agree that researchers may publish documents that contain quotations by me under the following conditions (checking YES to any of the below means that you grant copyright permission to the researcher for the purpose of publication):	
<input type="checkbox"/> Yes <input type="checkbox"/> No	I agree to be quoted directly (my name is used).
<input type="checkbox"/> Yes <input type="checkbox"/> No	I agree to be quoted directly if my name is not published (I remain anonymous).
<input type="checkbox"/> Yes <input type="checkbox"/> No	I agree to be quoted directly if a made-up name (pseudonym) is used.

I agree to the donation of my interview to an accredited archival institution *[name the institution]*

I wish to have the interview recording and transcription to be (select one):

sealed for 20 years    sealed for 5 years    made available to researchers at any time.

**By signing this consent form, you are indicating that you fully understand the above information and agree to participate in this study.**

**Participant's signature** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Researcher's signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

If you have any questions about this study, please contact [for **student research**, the student's name, phone number, and e-mail address, and the faculty supervisor's name, phone number, and e-mail address]. This research has been reviewed and approved by the Mount Allison University Research Ethics Board [for **student research** as part of a class: this research has been reviewed and approved by the Department of \_\_\_\_\_ which reports annually to the Mount Allison University Research Ethics Board.]. If you have any questions or concerns about this study, you may contact Dr. Nauman Farooqi, Chair of the Mount Allison University Research Ethics Board, by phone (364-2281) or by e-mail at [reb@mta.ca](mailto:reb@mta.ca).

## Standard Wording of Decision Letter – Approved as Submitted

date

name

Department

Mount Allison University

Dear :

I am writing with respect to your recent submission to the University's Research Ethics Board (REB) Form 1 (2010-XXX) "title". The REB has reviewed the documentation of this project and determined that it meets its ethical guidelines.

The REB requests that all researchers who submit projects for ethics review provide a brief report at the end of the year outlining their progress with data collection and commenting on any problems they may have encountered. Please complete Form 3: Annual Progress Report (or Completion Report) of Research Involving Human Subjects, and print, sign, and submit a copy to the Office of Research Services. This form is available on our website at [www.mta.ca/reb](http://www.mta.ca/reb). Researchers are also urged to contact REB immediately if any ethical issues arise during data collection.

Members of the board would like to thank you for your submission and wish you great success with your research.

Sincerely,

Name, Chair

Mount Allison University Research Ethics Board

Email: [reb@mta.ca](mailto:reb@mta.ca)

Cc: Dr. NAME, Provost and Vice-President, Academic and Research

Standard Wording of Decision Letter – Approved Subject to Modifications

date

name

Department

Mount Allison University

Dear :

I am writing with respect to your recent submission to the University's Research Ethics Board (REB) Form 1 (2010-XXX) "title" The REB has reviewed the documentation of this project and determined that it meets its ethical guidelines but requires the following minor/major modification(s):

a)

b)

**Please re-submit your modifications to my attention prior to start of the project.**

**Upon submission of these changes and our review, you will receive an email notice advising that you may proceed with your study. Please report any issues as you proceed.**

The REB requests that all researchers who submit projects for ethics review provide a brief report at the end of the year outlining their progress with data collection and commenting on any problems they may have encountered. Please complete Form 3: Annual Progress Report (or Completion Report) of Research Involving Human Subjects, and print, sign, and submit a copy to the Office of Research Services. This form is available on our website at [www.mta.ca/reb](http://www.mta.ca/reb). Researchers are also urged to contact REB immediately if any ethical issues arise during data collection.

Members of the board would like to thank you for your submission and wish you great success with your research.

Sincerely,

Name, Chair

Mount Allison University Research Ethics Board

Email: [reb@mta.ca](mailto:reb@mta.ca)

Cc: Dr. S. NAME, Provost and Vice-President, Academic and Research

## Standard Wording of Decision Letter – Not Approved

date

name

Department

Mount Allison University

Dear :

I am writing with respect to your recent submission to the University's Research Ethics Board (REB) Form 1 (2010-XXX) "title". The REB has reviewed the documentation of this project and determined that it does not meet its ethical guidelines, and we therefore do not provide approval at this time.

The specific concerns of the REB are as follows:

- a)
- b)
- c)

You have two options if you wish to pursue this research in some form. The first is to submit a new application to the REB which addresses all of the concerns noted above, or which is a different project but related project which meets ethical guidelines. I strongly encourage you to resubmit a full REB application addressing the issues and making the changes noted above.

The second is that you do have the right to appeal the decision of the REB. The appeal process is outlined at <http://www.mta.ca/reb/senatepolicy.html#appeals>. Appeals of REB decisions will only be considered on procedural grounds or when there is significant disagreement over an interpretation of the TCPS.

If you wish to discuss any specific issues raised in this letter please contact myself or David Bruce, Director, Office of Research Services (364-2618).

Sincerely,

Name, Chair

Mount Allison University Research Ethics Board

Email: [reb@mta.ca](mailto:reb@mta.ca)

Cc: Dr. NAME, Provost and Vice-President, Academic and Research



Mount Allison University  
Research Ethics Board  
**Confidentiality and Non-Disclosure Agreement for REB Chair**

The deliberations of the Research Ethics Board are confidential in nature.

By signing this agreement, you agree to hold confidential any and all information that is shared, and any and all of the discussions and deliberations associated with the protocols that are reviewed at all meetings, including face-to-face meetings and those conducted electronically.

You must not disclose any information, and you must not attribute any comments made during the deliberations to any individual. You must only share the decisions of the Research Ethics Board, through the adopted policies and procedures of the Research Ethics Board.

You must destroy any printed materials provided to you for review, and delete any electronic versions of same, when your term of office as Chair expires.

The Research Ethics Board requires that you declare any conflicts of interest you may have concerning the deliberations of any protocol submitted for review, and that you excuse yourself from the deliberations and decision-making associated with these.

**For the University:**

\_\_\_\_\_  
Dr. NAME, Provost and Vice-President  
Academic and Research

\_\_\_\_\_  
Date

**Research Ethics Chair:**

\_\_\_\_\_  
Dr. NAME, Chair

\_\_\_\_\_  
Date

Mount Allison University  
Research Ethics Board  
**Confidentiality and Non-Disclosure Agreement for REB Members**

The deliberations of the Research Ethics Board are confidential in nature.

By signing this agreement, you agree to hold confidential any and all information that is shared, and any and all of the discussions and deliberations associated with the protocols that are reviewed at all meetings, including face-to-face meetings and those conducted electronically.

You must not disclose any information, you must not attribute any comments made during the deliberations to any individual, and you must not share the decisions of the Research Ethics Board, with anyone without the consent of the Research Ethics Board Chair.

You must destroy any printed materials provided to you for review, and delete any electronic versions of same, after the minutes of the meeting at which these materials were reviewed, are adopted.

The Research Ethics Board requires that you declare any conflicts of interest you may have concerning the deliberations of any protocol submitted for review, and that you excuse yourself from the deliberations and decision-making associated with these.

**Research Ethics Board:**

\_\_\_\_\_  
Dr. NAME, Chair

\_\_\_\_\_  
Date

**Member:**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

Mount Allison University  
Research Ethics Board

**Confidentiality and Non-Disclosure Agreement for Observers Attending REB Meetings**

The deliberations of the Research Ethics Board are confidential in nature. However, for education purposes only, the Research Ethics Board makes it possible for faculty, staff, students, and others to observe its deliberations.

By signing this agreement, you agree to hold confidential any and all information that is shared, and any and all of the discussions and deliberations associated with the protocols that are reviewed at this meeting. You must not disclose any information, you must not attribute any comments to any individual, and you must not share the decisions of the Research Ethics Board, with any individual or party. Any printed materials provided to you by the REB must be returned to the REB prior to the conclusion of the meeting.

Furthermore, the Research Ethics Board may, at its sole discretion, ask you to leave the meeting at any time, for any purpose or reason as it sees fit, so that it may conduct its deliberations.

**Research Ethics Board:**

\_\_\_\_\_  
NAME, Chair

\_\_\_\_\_  
Date

**Observer:**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

## Translator Non-Disclosure Form

### **PROJECT TITLE**

RESEARCHER name, Supervised by Dr. NAME  
DEPARTMENT, Mount Allison University

By signing below I, \_\_\_\_\_ (full name), agree to provide confidential written and oral translation services to RESEARCHER NAME for the purposes of his/her research project on PROJECT NAME OR DESCRIPTION.

I understand that the participants' identities must remain confidential between me and the student. I agree not to discuss the details of this project with anyone other than the [RESEARCHER / STUDENT] prior to the publication of his/her report and even then to avoid the use of any names or identifying details about participants. [INSERT any other relevant information, such as "I will not share any information with employees of XXXX.]

**Translator's signature** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Researcher's signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

To speak with the supervisor of this project, please contact NAME, EMAIL, PHONE.

This research has been reviewed and approved by the Mount Allison University Research Ethics Board. If you have any questions or concerns about this study, you may contact Dr. Nauman Farooqi, Chair of the Mount Allison University Research Ethics Board, by phone (506-364-2281) or by e-mail at [reb@mta.ca](mailto:reb@mta.ca).

**Letter of Agreement**  
**Between the University of Prince Edward Island and Mount Allison University**  
**Regarding Appeals from Research Ethics Board Decisions**  
**May 2011**

**Introduction**

As of September 30, 1999, the three federal research councils, CIHR, SSHRC, and NSERC, through their Tri-Council secretariat, require compliance with the Tri-Council Policy Statement **Ethical Conduct for Research Involving Humans** (the Policy) for all institutions with researchers receiving funding from any of the Council members. In order to comply with the Policy, each institution must have in place a Research Ethics Board (REB) and an appeal procedure to address negative decisions of that Board.

The Policy requires that appeals of REB decisions be heard by an appeal board meeting the requirements of the Policy. The Policy allows appeals to be heard by an REB from another institution provided the other institution is itself fully compliant with the Policy and provided a formal written agreement between the institutions is in place. What follows is a letter of agreement between Mount Allison University and the University of Prince Edward Island whereby the REB of each institution will serve as an appeal board for the other.

**Terms of Reference for REB Appeals**

The Policy requires that an institution's REB be responsible for reviewing research involving human subjects and issuing an Ethics Certificate or equivalent letter which approves the work if the guidelines for such work described in the Policy are met. As indicated in Article 6.18 of the Tri-Council Policy, in the case of a negative decision of the REB, researchers have the right to request, and REBs have an obligation to provide, reconsideration of the decision. As indicated in Article 6.19 of the Tri-Council Policy, an appeals mechanism and procedure must be established to facilitate appeals of REB decisions after this reconsideration process is complete and there is still a negative decision. Appeals of REB decisions will be considered on procedural or substantive grounds, or when there is significant disagreement over an interpretation of the Tri-Council Policy Statement.

**Mechanism**

In the case of a negative decision by the REB at either University, its Chair will notify its own senior administrative officer (SAO) responsible for the REB. The appeal process will be initiated when the researcher(s) whose work the decision effects sends a request for appeal in writing to their own SAO within 30 days of receiving the final decision from the REB.

The letter of appeal shall include a copy of the original submission to the REB from the researcher(s), copies of the relevant decision from the REB (including a written record of the

REB's decision upon reconsideration of the original decision), the reasons for the appeal, and a statement of the desired outcome.

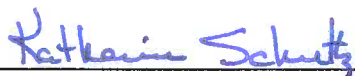
Upon receiving the appeal, the senior administrative officer responsible for the REB will forward the request to the SAO of the other institution, along with the documentation included in the appeal mentioned above, who will then pass the information to their own REB. The appeal will be heard and a decision made by the appeal board within three (3) weeks of receiving all the relevant information. This decision will only be released to the appeal board's SAO of the institution where the appeal originated, who will then make the decision known, in writing, to both the Chair of the REB and the researcher(s).

As indicated in Article 6.20 of the Tri-Council Policy, the decision of the appeal board on behalf of the institution shall be final.

### Terms of the Agreement

- The Research Ethics Board at one institution will serve as an appeal board for the other institution should an appeal arise from a decision made by an REB.
- The responsibility and liability for research that is subject to an appeal anticipated by this agreement will remain with the home institution of the principal researcher.
- The Tri-Council Policy Statement version 2.0 (December 2010), entitled **Ethical Conduct for Research Involving Humans**, will guide REBs in their consideration of an appeal.
- This agreement shall remain in effect for three (3) years from May 1, 2011 to April 30, 2014 and shall be renewable at the end of that period. The agreement, may, however, be terminated before three years by mutual consent.
- This agreement does not preclude the parties from entering into similar arrangements with other institutions.
- This agreement will terminate should one of the parties be deemed not in compliance with the Tri- Council Policy Statement by Tri-Council representatives.

Signed



Wade MacLauchlan, President  
University of Prince Edward Island

20-4-11

Date

**Katherine Schultz, Ph. D.**  
**Vice President**  
**Research & Development**



Stephen McClatchie, Provost and Vice-President  
Mount Allison University

11 April 2011

Date

## REB Orientation for New Members

(outline of discussion points for Office of Research Services Staff or Chair)

1. Committee structure
  - a. Full committee and subcommittees
  - b. Authority of subcommittees
  - c. Quorum
  - d. Meeting schedule
2. Application and review procedures
  - a. Forms 1, 2, 3
    - i. Sent to office, reviewed for completeness
    - ii. Sent to members e-file only by Deans Secretary
    - iii. Delete afterwards
  - b. Approved, approved with minor modifications or major modifications, not approved
  - c. Correspondence sent by office
  - d. Letter, not a certificate
3. Meetings
  - a. Full committee meeting
    - i. Minutes of last full and any sub-committee meetings
    - ii. Matters arising
    - iii. Ratify sub-committee decisions
    - iv. Protocols
    - v. Other business
  - b. Subcommittee meeting
    - i. Protocols
    - ii. Other business
4. Complete file
  - a. Original application
  - b. Letter from Chair (or Acting Chair)
  - c. Revisions
  - d. E-approval to proceed
5. Non-MTA applications
6. Applications involving multiple researchers at multiple institutions
7. Archives
  - a. Minutes – after two full years
  - b. Protocols – after five full years
8. Training and Development
  - a. CAREB
9. Substantive Ethical Issues
  - a. Vulnerable populations
  - b. Consent forms
  - c. Rigorous methods