DALHOUSIE UNIVERSITY
FACULTY OF MANAGEMENT

Ethics Review Application for Individual Student Projects

INSTRUCTIONS – PLEASE READ CAREFULLY

- Fill in this document electronically by typing in the appropriate boxes and saving the document as a PDF file**.**
- In cases where a particular section is not relevant to your research project, please type "Not applicable" in the appropriate text area(s). Sections left blank will be automatically flagged for revision.
- **Prior to submitting your application, ensure that all students working on the research project as well as your instructor have read and understood the attestation section on page 2. The application will be returned to you without review if this section is incomplete or if your instructor has not reviewed the application and given their attestation.**
- All students working on the project must have recently (no more than two years ago) completed the TCPS 2 CORE (Course on Research Ethics) accessible at: https://tcps2core.ca/welcome

HOW TO SUBMIT YOUR APPLICATION FOR REVIEW

- Submit your completed application (including all appendices) to Jonathan Bertram, Faculty of Management Research Ethics Officer, via email at Jonathan.Bertram@dal.ca. Applications are accepted on an ongoing basis.
- Your application email must include all team members and instructor(s) carbon copied (cc'ed).
- Your application will be reviewed and feedback will be returned to you via email within a period not exceeding 7 days from the date of submission. **You should expect at least one revision after your initial submission and plan your project timeline accordingly.** Should you be required to revise your application, you may resubmit at any time.

1. ADMINISTRATIVE INFORMATION & ATTESTATION

1.1 Administrative Information

Student Name(s)			
Research Project Title			
Project Start Date		Project End Date	
Course Number		Course Title	
School/Program			
Undergraduate or Graduate-level project?			
Lead Student Researcher for Application Process (if more than one student working on project)		Lead Student Research Email Address	

1.2 Student Attestation

"Yes" must be marked with an "X" following all three statements in order for the application to be accepted for review.

I am the lead student researcher on this project. I agree to ensure that I/my team conducts this research following the principles of the Tri-Council Policy Statement Ethical Conduct for Research Involving Humans (TCPS) and consistent with the Dalhousie University Policy on the Ethical Conduct of Research Involving Humans and the Faculty of Management's Ethics Review Policy for Course-based Projects involving Human Participants. I/my team understand(s) that my/our instructor and the Research Ethics Officer are available to answer any questions I/we may have about the ethical conduct of this research. **[X] Yes [ ] No** As the lead student researcher on this project, I agree (on behalf of my team) to notify my instructor and Research Ethics Officer (REO) immediately if a problematic or adverse event occurs in the conduct of the research project or if data analysis or other review reveals undesirable outcomes for the participant(s). I also agree to notify my instructor and the REO if I make any changes to protocols after initial approval is granted and to resubmit my application for review and approval prior to the collection of data. **[ ] Yes [ ] No** I attest that I (and all student researchers on my team) have recently (no more than two years ago) completed the TCPS Course on Research Ethics (CORE) online tutorial. Certificates have been submitted for review with this application. **[ ] Yes [ ] No**

1.3 Supervisor/Instructor Attestation

"Yes" must be marked with an "X" by the lead supervisor/instructor in order for the application to be accepted for review.

Lead Supervisor/Instructor's Name	
Additional Supervisor/Instructors' Names (if applicable)	
As the lead supervisor of this research project, I attest that I reviewed the student project to ensure its academic and pedagogical merit and I will require adherence to the procedures approved by the Research Ethics Officer/Management Ethics Review Standing Committee. I will provide the necessary instruction/supervision to each student researcher throughout the project and I take joint responsibility for ensuring that all procedures performed will be conducted in accordance with the TCPS and University Policy. I have completed the TCPS Course on Research Ethics (CORE) online tutorial. **[ ] Yes [ ] No**	

2. RESEARCH PROJECT BACKGROUND

2.1 Importance of Research Project
Briefly describe why your study is important and should be undertaken.

2.2 Research Question/Objectives
List the research question(s) and/or objectives of the research project.

2.3 Expected Outcomes
Identify the following:
a) Expected learning outcomes of this research project *(what do you to learn/accomplish from this research project, and/or what does your instructor hope for you to learn/accomplish?)*
b) Expected final product of this research *(i.e. a report, a presentation etc.)*

3. METHODOLOGY AND RECRUITMENT

3.1 Methods
Which method(s) are involved in your research project? Please specify whether each method is quantitative or qualitative.

If you are using a combination of methods, please clearly identify which method(s) will be used for each part of your research project (i.e. "A quantitative online survey will be used to collect XXX data. We will also be using a qualitative focus group to collect data on XXX").

3.2 Use of Methods

Explain the following in detail:
a) What will participants be asked to do?
b) Which member(s) of the research team will be interacting with the participants and how will this contact take place (whether in person, via email, via telephone etc.)?
c) Will you be recording any part of your research process and if so, indicate what type of tool you will be using to do this.

In the appendix section, attach a copy of all questionnaires, interview guidelines or other test instruments in your appendices. If you are working with a partner organization and they will be recruiting participants but the recruitment material (i.e. email or letter) has been created by your research team, this must be included as well.

3.3 Participation Time Requirement

Approximately how long will it take a participant to participate in your study?

If there are several aspects of participation, please provide a breakdown of the time each aspect is expected to take participants (i.e. "It is anticipated that it will take participants 10 minutes to read and ask questions about the consent form and 30 minutes to be interviewed, for a total of 40 minutes").

3.4 Location

Where will the project data be collected (i.e. interviews, survey completion etc)?

Please place an "X" in the adjacent box(es) and indicate any notes regarding location that may be necessary (for example, you could place an "X" next to "On campus" and indicate "interviews will be conducted on campus unless a participant requests an off-campus interview").

		Notes regarding location (if any)
On campus		
Off campus		
Online (survey etc.)		

3.5 Recruitment

How will participants be recruited? Be sure to identify who will be doing the recruitment and what actions they will take. How will potential participants be contacted (e.g., e-mail, advertisements, in-person), and by whom? Describe and explain the reasoning for the use of any inclusion/exclusion criteria.

In the appendix section, attach a copy of any posters, advertisements, flyers, letters, or telephone scripts to be used for recruitment.

3.6 Deception and Debriefing

Is any form of deception or misdirection proposed? If so, provide a detailed justification, including how the instructor will supervise it and outline how you will debrief your participants after they participate in your research.

Debriefing is "the full disclosure of the research purpose and other pertinent information to participants who have been involved in research employing partial disclosure or deception. Debriefing is typically done after participation has ended, but may be done at any time during the study" (TCPS2, 2014, p. 203). It is highly unlikely that a student project will use deception and deception in course projects is unlikely to be approved.

4. PARTICIPANTS

4.1 Target Population and Sample

Identify the following:

a) Your target population *(who your potential participants will be)*
b) The reason you selected this target population
c) The approximate size of this target population
d) The number of individuals from your target population who will make up your sample size *(the number of people you hope to have take part in your research)* and the reason you chose this size
e) When your data collection will end, relative to your sample size. *(For example, if you are conducting a survey or interviews, please ensure that you clarify whether you have a pre-established date on which your survey will close/you will stop your interviews regardless of sample size.)*

4.2 Social/Cultural Considerations
Are there any social or cultural considerations that will be important in interacting with your target population/sample? *According to the TCPS2, "[r]esearchers should anticipate, to the best of their ability, needs of participants, groups and their communities that might arise in any given research project" (p. 54).*

4.3 Conflict of Interest
Will there be any dual role or conflict of interest for any member of the research team in relation to potential research project participants (i.e. co-worker-co-worker, teacher-student etc.)? If so, outline the following: a) The nature of that relationship b) Whether it involves a difference in power and if so, describe this difference in power c) Whether and in what way this relationship may impact your research d) How this dual role or conflict of interest will be handled *If you will be using social media as a recruitment tool, please note that in all cases, there is likely to be a relationship between one or more members of the research team and potential study participants. Ensure that you adequately address this in a) through d).*

5. DATA ANALYSIS

5.1 Data Analysis Plan Describe your data analysis plan and indicate which computer software (if any) will be used. Remember to indicate whether your analysis will involve only basis descriptive statistics or whether you expect to use more advanced/complex analyses such as logistic regressions or factor analysis.

5.2 Appropriateness of Data Analysis Plan How will your data analysis plan enable you to answer your research question(s) and/or meet your research objective(s)?

6. RISKS & BENEFITS

Only research involving minimal risk can be reviewed at the Faculty level by the REO. Research which involves greater than minimal risk must be reviewed by a Dalhousie REB. **Minimal risk**, as defined in Chapter 2 of the TCPS 2, means that "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" (Article C.1).

Even minimal risk research involves some degree of risk, discomfort or inconvenience for participants. Acknowledging these minimal risks will not decrease the likelihood of your project receiving approval by the REO. What is important is that you demonstrate how you will mitigate these risks.

6.1 Risks Please indicate if the participants might experience any of the following risks, by placing an "X" in the appropriate box(es).				
Physical (e.g., bodily contact, administration of any substance)?	Yes		No	
Psychological/emotional (e.g., feeling embarrassed, anxious, upset)?	Yes		No	
Social (e.g., possible loss of status, privacy, reputation)?	Yes		No	

If you answered **Yes** to any of the above (which is the case for most projects), please explain the risks, how likely they are, describe how they will be managed, and how they are proportionate to student experience and pedagogical goals.

6.2 Benefits

Are there any potential direct benefits to the participants (other than compensation)? Are there any indirect benefits of the study (for example, contribution to new knowledge)?

Ensure that you clearly distinguish direct from indirect benefits.

6.3 Compensation

How will participants be compensated (if at all) and/or reimbursed for expenses? Please provide details of this compensation/reimbursement where applicable.

In general, it is anticipated that participants will not be compensated for participating in student projects.

7. INFORMED & ONGOING CONSENT

7.1 Informed Consent Process

How and when will informed consent be obtained? How will you ensure that potential participants are informed of what the project involves?

Note that all projects approved by the REO/MERSC are required to use a standardized consent form with modifications to suit individual projects (see page 12). Please modify the consent form to be applicable to the project.

7.2 Absence of Written Consent

If you are unable to obtained written consent (as may be necessary for such techniques as telephone interviews or web-based surveys etc.), please indicate how you will know when informed consent has been obtained.

7.3 Withdrawal from Research Project Describe how participants will be given the opportunity to withdraw (their participation and/or their data) from the project, including any limitations to this and the reason for these limitations *(i.e. participants will be unable to withdraw their data once data analysis has begun because data will be in aggregate form). Ensure that you clearly outline how their data will be handled if they do choose to withdraw from the project at any point.*

8. CONFIDENTIALITY & ANONYMITY/PRIVACY

Anonymity is the inability to identify any one individual as having participated in a certain research study. **Anonymized information** "is irrevocably stripped of direct identifiers, a code is not kept to allow future re-linkage, and risk of re-identification of individuals from remaining indirect identifiers is low or very low. **Anonymous information** is information that has never had identifiers associated with it (TCPS2, p. 57).

Anonymity should not be confused with **confidentiality**, which is the ethical obligation of researchers to "safeguard entrusted information. 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 participant, and to the integrity of the research project" (TCPS2, p. 56).

Privacy "refers to an individual's right to be free from intrusion or interference by others […] Individuals have privacy interests in relation to their bodies, personal information, expressed thoughts and opinions, personal communications with others, and spaces they occupy. […] An important aspect of privacy is the right to control information about oneself. The concept of consent is related to the right to privacy. Privacy is respected if an individual has an opportunity to exercise control over personal information by consenting to, or withholding consent for, the collection, use and/or disclosure of information" (TCPS2, p. 55-56).

8.1 Methods of Ensuring Confidentiality & Anonymity/Privacy

Place an "X" in the box that applies to your research project. Please refer to the TCPS2 definitions of these terms (included above) to ensure that you have a clear understanding of each term.		
	Methodology (i.e. online survey or interview)	Mark with "X" if applicable
Participants will be anonymous to the researcher(s) and therefore it will not be possible for the researcher(s) or members of the public to trace information/results to any one participant.		
Participants will not be anonymous to the researcher(s) but their data will be anonymized in all reports/presentations etc. and therefore it will not be possible for members of the public to trace information/results to any one participant.		
Participants will not be anonymous to the researcher(s) and their data will not be anonymized in reports/presentations etc. but they will have the opportunity to request that certain responses remain confidential from members of the public and untraceable to themselves.		
Participants will not be anonymous to the researcher(s) or members of the public; their data will not be anonymized in reports/presentations etc. which means that all responses will be able to be traced to one particular participant, and information will therefore not be confidential.		

8.2 Identifiable Information

If participants will be anonymized, how will this be achieved? If not, how will participants' information be kept confidential?

Identifiable *information is "[i]nformation that may reasonably be expected to identify an individual, alone or in combination with other available information" (TCPS2, p. 56).*

8.3 Use of Quotations

Will participants be quoted in a report or presentation? If so, will these quotes be attributed to a particular participant and how will permission for this be sought and obtained? Describe how participant confidentiality will be protected when research results are shared.

8.4 Data Storage and Confidentiality

Will data be in electronic or hard copy form, or both? Please place an "X" in the appropriate box.					
Electronic		Hard Copy		Both Electronic and Hard Copy	

a) How and where will the **hard copy** data be stored and handled so that the participants' identities are protected? *Remember that paper consent forms are hard copy data*.
b) How and where will the **electronic** data be stored and handled so that participants' identities are protected (when applicable)?
c) Who will have access to the raw data?

Remember that protecting participants' identities means that only members of the research team as well as your instructor(s) and/or teaching assistant(s) will have access to the raw data.

8.5 Availability of Information Outside of Canada

Will any information that may reasonably be expected to identify an individual (alone or in combination with other available information) be accessible outside Canada? This includes sharing information with team members, collecting data outside of Canada, use of non-Canadian survey companies, etc.

Place an "X" in the appropriate box.

YES		NO	

IF YES, describe how you will comply with the Dalhousie University Policy for the Protection of Personal Information from Access Outside Canada, such as securing participant consent and/or securing approval from the Vice President Research.

8.6 Raw Data Retention and Disposal

According to the Faculty of Management policy on the retention of raw data for an undergraduate or Master's-level student project which is being completed solely as a course component (non thesis-based), **all data must be retained for a period of one year after the receipt of final grades for the course for which the project was completed**. This data may be retained by both student(s) researcher(s) and the instructor(s) of the course, or solely by the former or by the latter. Students must clearly state their data retention/disposal plan in their ethics application submission.

a) How will your data be disposed of after this time?
b) If your data disposal plan differs from what is outlined above, please indicate the length of time your data will be retained and provide an explanation for this. *If it does not differ, please write "N/A". Note that if you are working with a partner organization, you must specify data retention and disposal details for both the research team members (or the individual student working on the project) and the partner organization.*

8.7 Duplication of Data

Will any of the data will be duplicated and if so, for what reason? How will this data be safeguarded (Back-up copies etc.)

8.8 Transmission of Data Between Team Members

Will participants' information be transmitted electronically between team members at any point? If so, in what manner will this be done? (i.e. using Dropbox, DalShare or Novell File Storage).

If only one student is working on this project, please mark this section "Not applicable".

For more information about secure alternatives to transmitting sensitive information via email, see https://dalu.sharepoint.com/sites/mydal/dc/ITS/Wiki/Security-faq-email-alternatives.aspx

8.9 Dissemination of Results

The TCPS encourages researchers to share study results with participants in appropriate formats. Briefly describe how the results of the research project will be available to participants. If they will not be available, please explain the reason for this.

9. APPENDICES

Please indicate which appendices you/your team have/has attached by placing an "X" in the appropriate box(es). Include any necessary comments in the adjacent box(es).

	Mark "X" if applicable	Comments for REO/MERSC Reviewer (if any)
A. Course assignment/syllabus *(optional)*		
B. TCPS 2 CORE Certificates of Completion for each team member *(this is required)*		
C. Recruitment/Advertisement Material (including email text to be forwarded to potential participants or script for in-person interactions where applicable)		
D. Screening Documents		
E. Follow-up recruitment email/telephone text		
F. Consent form(s) (participants and/or employers where applicable)*		
G. Questionnaires, scripts, interview guides, etc.**		

*The consent form template that is required to be used is available at:
http://www.dal.ca/faculty/management/current-students/research-ethics-forms.html

**Interview scripts/guides must meet the following criteria:

- ✓ The imperative verb tense must be used for instructions to the interviewer. These instructions should be in bold in order to make it clear that the interviewer should not read them aloud. (For example: "**Hand the participant the consent form and ensure that they do not have any questions regarding the research project or form**".)
- ✓ Interview scripts/guides must be logically structured and text must not guide participants to a particular answer. Text should use language that reflects a process of ongoing consent (for example, allowing participants ample time to ask any questions they may have, etc.).
- ✓ Interview scripts/guides should accurately reflect how well you know the person you are interviewing. If it is not your first contact with the participant, there is no need to restate your name etc. as the participant will already know this information.
- ✓ Remember that the interview guide/script is a real tool that will be used for a real situation so it is important that it feel comfortable to the interviewer.