DALHOUSIE UNIVERSITY
FACULTY OF MANAGEMENT

Ethics Review Application for Individual Student Projects _ Secondary Use of Information

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 business 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.

This form should only be used for secondary use of information such as health records, student records, or survey data. If the study exclusively uses data that are publicly available or made accessible through legislation or regulation, it is exempt from REB review (TCPS Article 2.2).

This form should be completed using the *Guidance for Submitting an Application for Research Ethics Review – Secondary Use of Information*.

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.

[ ] 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.)*

2.4 Information source / Identification

2.4.1 Describe the original/source data (or biological material) collection. Describe how and why the data (or materials) were originally gathered, when, from whom and by whom. If the data or materials were collected for research purposes, how were participants recruited?

2.4.2 Describe how the purpose of the current research builds on, and/or differs from, the purpose for which the information (data/records/biological materials) was originally gathered.

2.4.3 For the current analysis, describe and justify the sample or sub-sample being used (inclusion/exclusion criteria). Explain the process of identifying, selecting and obtaining records (or materials) from the collection.

2.4.4 Who is the steward/custodian of the source data (or biological materials) collection?

2.4.5 Has your proposed research been approved by the steward/custodian(s) of the records/data/materials?

[ ] Yes Date:

Attach permission and/or letters from the data steward/custodian(s).

[ ] No Anticipated date of approval:

If no, explain why approval could not be granted prior to submission of this REB application:

3. INFORMED & ONGOING CONSENT

3.1 How was informed consent originally obtained from participants? Indicate the information uses for which participants originally gave consent. To what extent does the original consent address the purposes of the current study? Attach original consent form if available.

3.2 Will consent be obtained from individuals prior to using data?

[ ] Not applicable, uses pre-existing research dataset (ensure 3.1 is complete).
[ ] Yes. Explain informed consent process in detail and append consent form(s).
[ ] No. Explain why this would be impossible or impracticable, and why it is unlikely to adversely affect the welfare of individuals to whom the information relates (referring to each of the criteria described in TCPS 5.5A or B and/or 12.3A or B).

4. DATA COLLECTION AND ANALYSIS

4.1 Data Collection

Briefly discuss the data to be captured from the original/source data collection, the data fields to be used, or the variables to be used for the proposed analyses. Justify the use of each of these in relation to the study purposes. Append any data capture sheet for record review, or list of variables to be used.

4.2 Data Analysis

Briefly describe the data analysis plan. Indicate how the proposed data analyses address the study's primary objectives or research questions.

5. PRIVACY AND CONFIDENTIALITY

5.1

a) Indicate the level of identifiability of the original/source data held by the steward/custodian:

[ ] Anonymized (all identifiers have been removed and a key-code linking data/materials with individuals does not exist).

[ ] De-identified/coded (a key-code linking data/materials with individuals exists but is not accessible).

[ ] Identifying (information directly or indirectly identifies individuals).

b) Who will access the source data (or material) to extract the data or samples for this research? If there is identifying information in the source data, how will the privacy of individuals whose data/samples are stored in the collection be protected during this data access?

5.2

a) Indicate the level of identifiability of the data (or samples) that will be extracted from the source data collection for use in this research. It is best practice to collect data at the lowest level of identifiability possible to meet study objectives.

[ ] Anonymized (all identifiers will be irreversibly removed and there will be no key-code linking data/materials with individuals)

[ ] De-identified/coded (a key-code linking data/materials with individuals will exist but will not be accessible to the researchers).

[ ] Identifying (information could directly or indirectly identify individuals). Specify what direct (name, contact information, student number, social insurance number, health number etc.) or indirect (date of birth, sex, postal code, etc.) identifiers are being collected. Justify why each item is needed to conduct the research.

b) Specify which members of the research team will have access to extracted data (or biological materials) and the level of identifiability of the information to which they will have access. Describe why this is necessary.

5.3 Research using health information may be subject to Nova Scotia's *Personal Health Information Act*. In accordance with this Act, if personal health information (defined in guidance document) will be used please explain why the research cannot reasonably be accomplished without this information.

[ ] Not applicable, the research does not use personal health information.

5.4 Will there be any linking of separate data sets as part of this research?

[ ] No

[ ] Yes

If yes:

a) Why is the linkage necessary?

b) Describe how the linkage will be conducted (it is helpful to append a flow diagram)

c) Does that linkage increase the identifiability of the participants? If so, describe reasonably foreseeable risks to privacy and how these will be mitigated.

5.5 Will any information that may reasonably be expected to identify an individual (alone or in combination with other available information) be accessible outside Canada? And/or, will you be using any electronic tool (e.g. survey company, software, data repository) to help you collect, manage, store, share, or analyze personally identifiable data that makes the data accessible from outside Canada?

[ ] No

[ ] Yes. If yes, refer to the University *Policy for the Protection of Personal Information from Access Outside Canada*, and describe how you comply with the policy (such as securing participant consent and/or securing approval from the Vice President Research and Innovation).

5.6 Data security during the study: Describe how and where study documents and data (both hard copy and electronic) and materials will be collected, handled, transferred and stored during the data collection and analysis phase. In particular, indicate the steps that will be taken to protect the security of any directly or indirectly identifiable information, especially if it is shared with others. If there are codes to be used that link the data/samples to information that could identify participants (names, addresses etc.), security of these codes should be described.

5.7 Data security during long term storage: How long will study data or materials be retained after the study is completed? How will they be secured during this time? Will the data eventually be destroyed or irreversibly anonymized? If so, what procedures will be used for this? Discuss any plans for future use of the data or materials beyond the study currently being reviewed.

6. Provision of results to participants and dissemination plans

6.1 The TCPS encourages researchers to share study results with participants in appropriate formats. If applicable, describe your plans to share study results with participants and discuss the process and format.

[ ] Not applicable

6.2

a) Describe plans for dissemination of the research findings (e.g. conference presentations, journal articles, public lectures etc.).

b) In what form will study data be disseminated?

[ ] Only aggregate data will be presented

[ ] Individual de-identified data will be presented

[ ] Other. If “other”, briefly describe dissemination plans with regard to identifiability of data.

6.4 Discuss any potential for risk to individuals, or to communities/collectives (e.g. geographic communities, schools, professions, ethnic groups, etc.) as a result of dissemination of the research findings and how this will be mitigated.

7. Conflict of Interest

Describe whether any dual role or conflict of interest exists for any member of the research team in relation to the individuals whose data are being used (e.g. teaching or clinical relationship, program provision), and/or to study sponsors, and how this will be handled.

[ ] Not applicable

SECTION 3. APPENDICES

Appendices Checklist. Append all relevant material to this application. This may include:

[ ] List of references

[ ] Steward/custodian permission letters, support/cooperation correspondence

[ ] Original and/or new consent documents

[ ] Data capture sheet/list of data fields, variables, survey items

[ ] Flow diagram outlining data collection and linkages