



**Instructor’s Ethics Review Application Form**  
**(For Instructors Using Course Assignment Projects involving Human Subjects)**

<b>INSTRUCTOR(S)</b>	
<b>EMAIL(S)</b>	
<b>CONTACT NUMBER(S)</b> <i>Please indicate instructor(s)' initials in brackets if more than one instructor</i>	
<b>COURSE TITLE</b>	
<b>COURSE NUMBER</b>	
<b>SCHOOL/PROGRAM</b>	
<b>SESSION</b> <i>i.e. fall, winter, spring or summer</i>	

**SCOPE**

This form applies to instructors assigning student research projects **involving human subjects**; projects are completed by individuals or groups as class assignments in standard courses. This application should be completed by the course instructor or course coordinator and submitted to the Faculty of Management Research Ethics Officer (REO). It must be reviewed by the REO and any necessary revisions must be addressed before ethics approval can be granted. **Only once the application is approved can the assignment be distributed to students.**

**INSTRUCTIONS**

Please fill in this document electronically by typing in the appropriate areas and saving the document as a Microsoft Word file. In cases where a particular section is not relevant to the research project the students will be conducting, please type “Not applicable” in the appropriate text area(s). Sections left blank will be automatically flagged for revision. **Please ensure that you sign, rather than type in, the designated signature line(s) on page 2 of this application.**

Submit your completed application to Jonathan Bertram, Research Ethics Officer with the Faculty of Management, via email at [Jonathan.Bertram@dal.ca](mailto:Jonathan.Bertram@dal.ca). Please use as the email subject “Instructor's Ethics Application Attached”. Applications are accepted on an ongoing basis. **Your application will be reviewed and feedback will be returned to you via email within a period not exceeding 3 business days from the date of submission. Should revisions be required, you may resubmit the form at your earliest convenience.** Once all ethical issues have been adequately addressed, the REO will send you an ethical approval letter via email. Please retain a copy of this letter for your records. Approval is valid for two full semesters. Should you plan to have students conduct the same project in subsequent years, simply

email the REO explaining this and indicating the changes (if any) to the project, and an extension of your approval letter will be issued.

#### RESPONSIBILITIES REGARDING PREPARATION OF STUDENTS

It is the instructor's responsibility to ensure that students have been properly prepared and informed to comply with the Faculty of Management Ethics Review Policy for Course-based Projects in completing the course assignment(s). Students must complete and submit the Student Agreement Form to the instructor **prior to** contacting participants or commencing their projects. The student agreement can be found online at: <http://www.dal.ca/faculty/management/current-students/research-ethics-forms.html>  
**Please note that all advertisements/notices must be approved by the REO prior to their use.** It is strongly advised that all students working on the project complete the TCPS 2 CORE (Course on Research Ethics) available at: <http://www.pre.ethics.gc.ca/eng/education/tutorial-didacticiel/>

Students will not always have training or knowledge about the ethical handling of people and data. To ensure that the Faculty, the University, the instructor, and the students are in compliance both legally and ethically, instructors must educate their students. Instructors must ensure that students have sufficient knowledge to:

- a) Explain the purpose and nature of the research to participants
- b) Obtain free and informed consent from participants
- c) Debrief participants (if necessary) after the data have been collected
- d) Make explicit to participants and employers (where applicable) the right to opt out of any question or procedure without penalty or loss of promised benefits
- e) Address the anonymity and confidentiality issues related to data collection and analysis, and the presentation of results in presentations and reports
- f) Appropriately identify and mitigate risks to participants
- g) Secure and destroy data according to the Faculty's procedures and the approved research protocol

#### SIGNATURES

As the instructor or course coordinator of this course, my signature testifies that I will review the student project to assess the academic and pedagogical merit, and I will require adherence to the procedures outlined in the document *Faculty of Management Ethics Review Policy for Course-based Projects*. I will require signed agreement forms from students prior to students making contact with participants.

I will provide the necessary instruction/supervision to each student researcher throughout the project and I expect that all procedures performed will be conducted in accordance with the *Tri-Council Policy Statement on Ethical Conduct for Research Involving Humans* (TCPS2).

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INSTRUCTOR'S SIGNATURE

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DATE

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INSTRUCTOR'S SIGNATURE

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## 1. CHECKLIST (APPENDICES)

Please indicate which appendices are attached by placing an “X” in the appropriate box(es). Include any necessary comments in the adjacent box(es).

	Mark “X” if applicable	Comments (if any)
A. Consent form (participants or employers, where applicable)		
B. Questionnaires, scripts, interview guides, etc.*		
C. Recruitment/Advertisement Material		
D. Course assignment/syllabus		

\*Please ensure that the interview scripts/guides meet the following criteria:

- ✓ Interview scripts/guides must use the imperative verb tense for instructions to the interviewer. These instructions should be in bold in order to make it clear that the interviewer should not read these instructions 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.

<i>TO BE FILLED IN BY REO/MERSC REVIEWER UPON RECEIPT OF APPLICATION</i>			
<b><i>Date Application Received</i></b>		<b><i>Time Application Received</i></b>	
<b><i>Notes</i></b>			

## 2. PROJECT BACKGROUND INFORMATION

### 2.1 Rationale for Research Project & Learning Outcomes

Briefly describe why this study/research project is important and outline the expected learning outcomes for students.

### 2.2 Research Question/Objectives

List the research question(s) and/or objectives of the research project.

### **2.3 Expected Outcomes**

Identify the expected final product of this research (*i.e. a report, a presentation etc.*)

## **3. METHODS AND DATA ANALYSIS**

### **3.1 Methods**

Which method(s) are involved in this research project? If students will be using a combination of methods, please clearly identify which method(s) will be used for each part of the research project (*i.e. "A quantitative online survey will be used to collect XXX data. Students will also be using a qualitative focus group to collect data on XXX"*).

### **3.2 Use of Methods**

Explain in detail a) what participants will be asked to do, and b) how contact with participants will take place (whether in person, via email, via telephone etc.). *Attach a copy of all questionnaires, interview guidelines or other test instruments in your appendices.*

### **3.3 Appropriateness of Methods**

Briefly explain how these selected methods will enable students to answer the research question(s) or meet the research objective(s).

### **3.4 Participation Time Requirement**

Approximately how long will it take a participant to participate in this study? *If there are several aspects of participation, please provide a breakdown of the time each aspect is expected to take participants (i.e. "I anticipate 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").*

**3.5 Location**

Where will the project be conducted? *Please place an "X" in the appropriate 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").*

On campus	
Off campus	
Online (survey etc.)	

**3.6 Deception**

Is any form of deception or misdirection proposed? If so, provide a detailed justification, including how the instructor will supervise it. *Note that deception in course projects is unlikely to be approved.*

**3.7 Data Analysis Plan**

Describe the data analysis plan students will use and indicate which computer software (if any) will be involved. *Please be as specific as possible when referring to any statistical analyses that may be involved.*

**4. PARTICIPANTS AND RECRUITMENT****4.1 Target Population**

Identify the target population (where will the sample of participants be taken from?) How will students select/exclude participants?

**4.2 Sample Size**

How many participants will be involved in this research project? How has this number been determined?

#### **4.3 Social/Cultural Considerations**

Are there any social or cultural considerations that will be important in interacting with this 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. 52).*

#### **4.4 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? *Attach a copy of any posters, advertisements, flyers, letters, or telephone scripts to be used for recruitment.*

### **5. INFORMED CONSENT**

#### **5.1 Informed Consent Process**

How and when will informed consent be obtained? How will the researcher ensure that potential participants are informed of what the project involves? *Note that all projects approved by the REO/MERSC will be required to use a standardized consent form with modifications to suit individual projects (see Appendix A). Please modify the consent form to be applicable to the project.*

#### **5.2 Absence of Signed Consent**

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

### 5.3 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*).

## 6. 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 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).

**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).

### 6.1 Methods of Ensuring Confidentiality & Anonymity/Privacy

Place an “X” in the box that applies to this research project. TCPS2 definitions of these terms are included above for your convenience.

Participants will be anonymous to the student researchers and therefore it will not be possible for the student or members of the public to trace information/results to any one participant.

Participants will not be anonymous to the student researchers 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 student researchers 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 student researchers 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.	

**6.2 Identifiable Information**  
 If participants' data will be anonymized, how will this be achieved? If not, how will participants' information be kept confidential?

**6.3 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?

**6.4 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
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a) How and where will the **hard copy** data be stored and handled so that the participants' identities are protected (when applicable)? 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 the instructor(s) and/or teaching assistant(s) will have access to the raw data.*



**6.5 Raw Data Retention and Disposal**

*According to the FoM policy on the retention of raw data for a 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.*

a) How will the 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 the data will be retained and provide an explanation for this. *If it does not differ, please write "N/A". Note that if students will be working with a partner organization, you must specify data retention and disposal details for both the research team members and the partner organization.*

**6.6 Duplication of Data**

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

### **6.7 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). *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>*

### **6.8 Dissemination of Results**

Briefly describe how the results of the research project will be available to participants.

### **6.9 Conflict of Interest**

Will there be a relationship (i.e. co-worker-co-worker, teacher-student etc.) between any member of the research team and any potential participants in your study? If so, identify a) the nature of that relationship, b) whether it involves a difference in power c) whether and in what way this power imbalance will impact your research and d) how this conflict of interest will be handled. *If you will be using social media as a recruitment tool, please ensure that you adequately address how any pre-existing relationships between researchers and potential participants might play a role in your research.*

## 7. COMPENSATION

### 7.1 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, the Research Ethics Officer/MERSC Reviewers anticipate that participants will not be compensated for participating in student projects.*

## 8. 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 the project receiving approval by the REO. What is important is that you demonstrate how you will mitigate these risks.

### 8.1 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	
Is there any deception involved (see “Debriefing” below)?	Yes		No	
Are risks to participants greater than in their everyday life?	Yes		No	

If you answered **Yes** to any of the above, please explain the risks, describe how they will be

managed, and how they are proportionate to student experience and pedagogical goals.

### **8.2 Benefits**

Is this strictly a learning exercise for the student researchers? Are there any potential direct benefits to the participants? Are there any indirect benefits of the study (for example, contribution to new knowledge)?

### **8.3 Debriefing**

*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, p. 191).*

What information will be provided to the participants after participating in the project? It is highly unlikely that a student project will use deception, but if its use is approved, how will it be revealed in the debriefing process?

## RESEARCH CONSENT FORM

**Instructions to student researcher:** *Ensure that you remove all sample wording from your consent form and adjust the form to fit your particular research project. Do not use italicized or underlined text in your consent form. Ensure that all text is at a grade eight reading level. If you will be using an online survey tool such as Opinio, please remember to remove the signature and date lines at the end of this document as participants will generally provide consent by clicking a box (such as "Begin survey" or "I agree"). **Remember to delete this instruction paragraph.***

"We invite you to take part in a research project called "title". This study is being done by first and last name(s). We are student type(s) i.e. Masters student(s) in the Faculty of Management at Dalhousie University in Halifax, Nova Scotia. We are doing this research for a class project in the name of program or course. The project is supervised/instructed by instructor name(s). The information below tells you about our research and what you will be asked to do. It also tells you about any benefits, risks, inconveniences or discomforts you might experience. You can take part in this study if you are insert participation criteria here. About indicate approximate number of participants people will be taking part in this research.

To help us understand insert topic/area of investigation, we will ask you to explain what participants will be asked to do. This section (1-2 paragraphs) should include a brief description of your project, explaining what you hope to find, without using language that will bias potential participants' participation in the study. Like the rest of the document, it should be written at a grade eight reading level. Be sure to explain any terminology that participants may not understand. Include the following: 1) A statement of the research purpose; 2) a description of research procedures such as sampling/target population information and methodology; 3) a clear statement about the level of risks to participants, how any reasonably foreseeable risks will be mitigated, and a description of potential benefits to participants/in general; and finally 4) an estimate of the amount of time it will take to participate in your research.

It is your decision whether or not you want to take part in this research project. Even if you do take part, you can leave the study at any time for any reason. There will be no negative consequences to yourself. Include a statement here that indicates any limitations on withdrawal from the study (for example, participants may not be able to withdraw their data once it has been aggregated). Clearly explain the reason for this, in straightforward language. You may choose not to insert a statement which explains that participants may skip one or more questionnaire or interview questions if they do not feel comfortable answering for whatever reason (if applicable in the case of your project)."

All information you give to members of our research team will be kept private. When we share our project findings in indicate whether you will be creating a report, giving a class presentation, etc., we will only talk about group results. This means that it will not be possible for you to be identified. Any identifying information about you (like your name) will be kept in a separate file, in a locked cabinet or password-protected, secure file.

If you agree to participate in this research project, please identify what participants should do i.e. "electronically fill out this consent form and return it to one of us via e-mail". We are happy to share our results with you in indicate approximate date study results will be available and what steps participants should take to obtain these results, i.e. contact you via email.

**I have read the explanation about this study. I understand what I am being asked to do and my questions about the study have been answered. I agree to take part in this study. I know that participating is my choice and that I can leave the study at any time.**

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**PARTICIPANT'S SIGNATURE**

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**DATE**

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**RESEARCHER'S SIGNATURE**

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**DATE**

If you have any questions, comments, or worries about your participation in this research `project, please contact me, insert name, email and phone number or my insert instructor/supervisor, name of instructor/supervisor(s), school or faculty, email and phone number.