RED RIVER COLLEGE
OF APPLIED ARTS, SCIENCE AND TECHNOLOGY

Research Ethics Board
Application Procedure

PURPOSE

This document outlines the review process for research requests to use Red River College staff, students and/or facilities for study and research purposes.

All such projects must follow ethical guidelines governing research involving human subjects as articulated in the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans[2] (http://www.pre.ethics.gc.ca/english/policystatement/policystatement.cfm) as well as RRC policy.

The College endorses the ethical principles set out in the Tri-Council Policy Statement. These ethical principles include:

- respect for human dignity
- respect for free and informed consent
- respect for vulnerable persons
- respect for privacy and confidentiality
- respect for justice and inclusiveness
- achievement of an appropriate balance between potential harms and benefits, and
- minimization of harm and maximization of benefit.

To facilitate the review process, applicants are advised to include all requested information in their applications. The Board may request additional information. If all information is provided, the Board should be able to make a decision promptly.

APPLICATION GUIDELINES

1. The Research Protocol Submission Form is to be competed in detail, attaching additional pages as required, by all applicants

2. All applications are to include six (6) copies of all materials.

3. It is the applicant's responsibility to ensure that all application materials are complete in order to facilitate the review of a submission. In no circumstance will an application be reviewed if the file is incomplete or not in the required format.

4. Prior to submitting an application, the researcher should complete the checklist at the end of the Protocol Submission Form.

5. All submissions should be submitted at least five (5) working days prior to a scheduled meeting of the Research Ethics Board (REB). The Board in September of each academic year prepares and distributes an annual meeting schedule.

REVIEW PROCESS

1. The Research Ethics Board will review all applications in accordance with ethical guidelines governing research involving human subjects as articulated in the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans as well as RRC policy. Reviews will be prompt and are intended to facilitate the conduct of research.

[2] This document was produced and is maintained and updated by NSERC, CIHR and SSHRC, the three major research granting agencies in Canada.

2. After review by the REB, the application may be:

    - Approved as submitted
    - Approved with suggestions for minor changes
    - Approved with conditions for changes
    - Deferred, pending receipt of additional information or major revisions
    - Not approved.

3. The REB shall notify each applicant in writing of its decision.

4. Negotiated revisions: Where the ethics review process requires changes, these will be negotiated by the researcher(s) and the Chair of the REB. Once agreement has been reached, the Chair shall issue a letter indicating ethics approval for the research.

5. Reconsideration: If there is no agreement between the REB and researcher on the changes recommended by the REB, a study does not pass ethics review. The researcher may request reconsideration by the REB of this decision. This request should be accompanied by a detailed explanation of the reasons why the suggested procedure is unacceptable, and preferably a suggestion of an alternative procedure. If requested, the REB will allow the researcher to make his/her case before the REB; however after presenting the case the researcher must leave to allow the REB to deliberate its decision *in camera*. The REB decision following reconsideration is final.

6. Appeals: Appeals may be made on procedural or substantive grounds. The researcher(s) may appeal a decision by submitting their appeal in writing to the President.

APPLICATION PROCEDURE

The completed application should be submitted to:

Research Ethics Board
Research and Planning Department
C509-2055 Notre Dame Ave.
Winnipeg, MB R3H 0J9
(Fax) 204.633.7470

Protocol # _____
(Assigned by REB Admin.)

RED RIVER COLLEGE
OF APPLIED ARTS, SCIENCE AND TECHNOLOGY

Research Protocol Submission Form

Research Ethics Board

Request for Approval of Proposed Research

Involving Staff / Students and/or facilities at Red River College.

Principal Researcher(s): _____

Position: _____

Affiliation: _____

Address: _____

_____

_____

Phone: _____

e-mail: _____

Research Project Title: _____

Project location: _____

Start date: _____

Planned period of research: _____

Expected date of termination: _____

Funding source (if any): _____

Signature of Principal Researcher: _____

Has this research project been reviewed by any Research Ethics Board or Research Approval Body?

Yes ____ No _____ (If yes, please attach copies of the decision).

If there is a sponsoring organization, please indicate the organization and a contact person:

Sponsoring organization _____

Contact person: _____

Address: _____ Phone _____ e-mail _____

_____

Nature of sponsorship:

_____

_____

Please list names and affiliations of other persons involved in conducting the research.

Name _____ Affiliation _____

Name _____ Affiliation _____

Name _____ Affiliation _____

Name _____ Affiliation _____

Name _____ Affiliation _____

Name _____ Affiliation _____

Please use additional pages if there are more persons involved in conducting the research.

Basic Questions about the Project

These questions are designed to collect information about potential problems of an ethical nature that could arise with the proposed research project.

1. Will the subjects in your study be **UNAWARE** that they are subjects? _____Yes _____No

2. Will information about the subjects be obtained from sources other than the subjects themselves? _____Yes _____No

3. Are you or members of your research team in a position of power vis-à-vis the subjects? (e.g. teacher, supervisor). If yes, clarify the position of power and how it will be addressed. _____Yes _____No

4. Is any inducement or coercion used to obtain the subject's participation? _____Yes _____No

5. Do subjects identify themselves by name directly, or by other means that allows you or anyone else to identify data with specific subjects? If yes, indicate how confidentiality will be maintained. What precautions are to be undertaken in storing data and in its eventual destruction/ disposition. _____Yes _____No

6. If subjects are identifiable by name, do you intend to recruit them for future studies? If yes, indicate why this is necessary and how you plan to recruit these subjects for future studies. _____Yes _____No

7. Could dissemination of findings compromise confidentiality? _____Yes _____No

8. Does the study involve physical or emotional stress, or the subject's expectation thereof, such as might result from conditions in the study design? _____Yes _____No

9. Is there any threat to the personal safety of subjects? _____Yes _____No

10. Does the study involve participants who are not legally or practically able to give their valid consent to participate e.g., children, or persons with mental health problems and/or cognitive impairment)? If yes, indicate how informed consent will be obtained from subjects and those authorized to speak for subjects. _____Yes _____No

11. Is deception involved (i.e., will subjects be intentionally misled about the purpose of the study, their own performance, or other features of the study)? _____Yes _____No

12. Is there a possibility that in the course of data collection that you might discover information on sensitive matters related to abuse or violence against vulnerable persons? _____Yes _____No

Provide details pertaining to any of the questions above for which you responded "yes" on the following page. Attach additional pages, if necessary.

Details pertaining to preceding questions (Please indicate the question number).

In my judgment this project involves: ☐ minimal risk
☐ more than minimal risk

The definition of minimal risk is ". . . that the risks of harm anticipated in the proposed research are not greater nor more likely, considering probability and magnitude, than those ordinarily encountered in life, including those encountered during the performance of routine physical or psychological examinations or tests."

Required Information about the Research Protocol

Each application for ethics approval should include the following information and be presented in the following order, using these headings:

1. **Summary of Project:** Attach a detailed but concise (**one typed page**) outline of the **purpose** and **methodology** of the study describing **precisely** the procedures in which subjects will be asked to participate.

2, **Research Instruments:** Attach copies of **all** materials (e.g., questionnaires, tests, interview schedules, etc.) to be given to subjects and/or third parties.

3. **Study Subjects:** Describe the number of subjects, and how they will be recruited for this study. Are there any special characteristics of the subjects that make them especially vulnerable or require extra measures?

4. **Free and Informed Consent:** (At Red River College it is required that there will be full disclosure to the subjects of the nature of the research, unless the research design requires that certain elements of the research not be provided to subjects and the REB is satisfied that no harm would accrue to the subjects). How will prospective subjects be contacted? What procedures will be in place to inform prospective subjects that they do not have to participate? When and how will the purpose and nature of the research, the anticipated benefits, inconveniences, risks to the subject, and the tasks to be performed by the subject be explained to the subjects? How will consent be obtained, and how may it be withdrawn? (Subjects must be advised that they may withdraw at any time.) Will the subjects be under any kind of pressure to consent? Is consent coerced, constrained, or unduly induced? If the subject is not competent or eligible to give consent, how will consent be obtained and from whom? Will consent **in writing** be obtained? If so, attach a copy of the consent form. If written consent is not to be obtained, indicate why not and the manner by which subjects' consent (verbally) or assent to participate in the study will be obtained. If confidential records will be consulted, indicate the nature of the records, and how subjects' consent is to be obtained.

5. **Deception:** Deception refers to the deliberate withholding of essential information or the provision of deliberately misleading information about the research or its purposes. If the research involves deception, the researcher must provide detailed information on the extent and nature of deception and why the research could not be conducted without it. This description must be sufficient to justify a waiver of informed consent.

6. **Feedback/Debriefing:** Describe the feedback that will be given to subjects about the research after they have completed their participation. How will the feedback be provided and by whom? If feedback will not be given, please explain why feedback is not planned. If deception is employed, debriefing is mandatory. Describe in detail the nature of the post-deception feedback, and when and how it will be given.

7. **Risks and Benefits:** Is any physical or psychological harm, or jeopardy to social position likely to result from participation in the project? If yes, describe the risks involved and what you will do to alleviate the harm. What are the counterbalancing benefits?

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8. **Privacy and Confidentiality:** Describe the procedures for preserving privacy and confidentiality. If confidentiality is not an issue in this research, please explain why. Will confidential records be consulted? If yes, indicate what precautions will be taken to ensure subjects' confidentiality. How will the data be stored to ensure confidentiality? How will individual data be guarded against misuse by a third party? When will the data be destroyed?

9. Compensation: Will subjects be compensated for their participation? Compensation may reasonably provide subjects with assistance to defray the costs associated with study participation.

10. **Conflicts of interest:** Are there any actual, apparent or potential conflicts of interest? Provide all details.

11. **Additional areas of concern:** Please note that additional ethical issues may need to be addressed in the conduct of projects in some sensitive areas. Some examples of such areas are: a) research on cultures, countries, and ethnic groups different from one's own, b) research on captive and dependent populations, c) research on children; and d) projects on sensitive topics, such as subjects' sexuality, finance, employer-employee relationships, and other sensitive matters. If your research involves such sensitive areas, please elaborate on the research design, the protocols for confidentiality, and other the methods to manage the sensitivity.

12. **Use and reporting of results and findings**. (Any dissemination of results or findings that report directly and mention Red River College in any form must be approved by the College prior to any publication in any form or media.) How will the researchers / sponsors fulfill this condition? What will the primary use be of the results of the research? Who will own the data?

Attestation:

I agree to abide by the ethical guidelines and procedures of Red River College, of the *Tri-Council Policy Statement*, of my profession or discipline, as well as of any other institution in which the research is undertaken. I am aware of my responsibility to be familiar with these standards.

I further agree to **notify the ethics office** of **any change** in the **methodology** or **status** of the research project and to comply with requests made by the ethics office during the life of this research.

Signature of the Principal Researcher: Date:

_____ _____

Review your submission according to this checklist:

	Checklist
☐	All contact information requested on the first and second page completed in legible format (typed or printed).
☐	Signatures of the principal researcher on the first and last page of the submission form.
☐	Answers to all the Basic Questions and details provided where necessary.
☐	One page summary of the research project.
☐	Detailed information requested in this Research Protocol Submission Form in legible format (typed or printed). Alternatively, this could be provided on separate sheets coded to the number and heading of each item.
☐	Six copies of The Research Protocol Submission Form and all additional sheets.
☐	Research instruments: 6 copies of all instruments and other supplementary material to be given to subjects.
☐	Current CV of principal researcher.
☐	Copy of this checklist.

The completed application should be submitted to the Research Ethics Board, Research and Planning Department, C509-2055 Notre Dame Ave., Winnipeg, MB R3H 0J9, (fax) 204.633.7470, or e-mail to ablackman@rrc.mb.ca.

NOTE: Research proposals will be considered for review only when all relevant documents are included.