**2023/24 – Graduate or Undergraduate: Application for Approval of Human Participant Research**

**Section 1. General Information**

1.1) \* Location(s) where the part of research involving human participants will be conducted. Check all that apply:

Off-campus research may include community projects or studies conducted online using Trent-provided facilities (e.g., Qualtrics, Zoom).

On-campus
Off-campus
Other

1.2)  If you selected off-campus, specify:

1.3)  If you selected Other, specify:

For multijurisdictional studies provide the involved parties and the name of the home institution

1.4) \* Will any facilities or resources provided by Trent University be used for this research?

Facilities may include Trent computers, Trent-provided storage (physical and electronic) and/or Trent-licensed software (e.g., Qualtrics or Zoom)

Yes
No

1.5)  If you selected Yes, please specify:

1.6) \* Have you attached letters of support from Agencies, Non-Government Organizations, or other Institutions:

If your proposal has been approved by REB at another institution, please attach a copy of the approval letter.

If you require the assistance of an agency to recruit participants (for example, you will be using an agency’s email member list), please attach a letter/email that documents this agreement.

Additional approvals are attached
Not applicable
Additional approvals are pending

1.7)  Indicate all other approvals required before research can begin:

**Section 2: Research Project Information**

2.1) \* In plain language, describe the research question and how you plan to address it. (300 words max)

2.2) \* What is the rationale for this study? (150 words max)

Rationale: the reasons why the proposed research should be conducted in the proposed form.

2.3) \* What is the significance of the study? (100 words max)

The significance of the research refers to the anticipated public or scientific benefits of the study findings.

2.4) \* How will the results of this study be disseminated?

Examples of data dissemination: thesis, dissertation, academic journal publication, report, community presentation, creating a website dedicated to the project, on social media, etc.

**Section 3: Study Design and Intervention**

3.1) \* Describe the events of the study in chronological order from the participants' perspective:

3.2) \* What are you measuring and/or what kind of data are you collecting?

Examples of outcome measures are the questionnaires or surveys received (number of questions answered), the photographs, video/voice recording of the studied events/interviews (length), field notes, physiological or cognitive measures, measurements of movement, etc.

3.3) \* Describe the time commitment for participants of the study including the number of meetings, and their frequency and duration:

3.4) \* How will the data be analyzed?

The analysis strategy or statistical tests planned.

3.5) \* Will the research involve any form of deception?

Yes
No

3.6)  If you selected Yes, please justify:

**Section 4: Study Participants**

4.1) \* Who will participate in the study? List any inclusion and exclusion criteria:

4.2) \* Are there groups who would benefit from this study who are being excluded on the basis of age, ethnicity, gender, or race?

Yes
No
Not applicable

4.3)  If you selected Yes, please justify:

4.4)  If your research includes control group(s), provide rationale for it:

4.5) \* Indicate the number of participants to be enrolled:

4.6) \* Provide justification for the sample size:

4.7) \* Will there be costs associated with participation (e.g., time, transportation, etc.) and will you compensate participants for these costs?

4.8) \* If a participant withdraws, what steps will you take to distribute the compensation?

4.9) \* Does this research meet any of the following criteria or conditions? Complete Section 5 only if you checked at least one box below. Check all that apply:

Research conducted on First Nations, Inuit or Métis lands
Recruitment criteria that include Indigenous identity as a factor for the entire study or for a subgroup in the study
Research that seeks input from participants regarding an Indigenous community’s cultural heritage, artefacts, traditional knowledge or unique characteristics
Research in which Indigenous identity or membership in an Indigenous community is used as a variable for the purpose of analysis of the research data (this differs from the collection of ethnicity or race as a means of establishing a representative sample)
Interpretation of research results that will refer to Indigenous communities, peoples, language, history or culture.
None of the above

4.10) \* Will Trent University students' coursework, grades, or assignments become part of the data set? If yes, please complete Section 6 - Scholarship of Teaching and Learning.

Yes
No

**Section 5: Indigenous Persons and Their Communities**

Researchers have a responsibility to have considered Chapter 9 of the TCPS2 before completing this section

5.1) \* Have you read TCPS2 – Chapter 9?

Yes
No

5.2) \* Please explain how you plan to use Indigenous identity or membership in Indigenous community as part of your analysis and reporting.

5.3) \* What is the nature and extent of community engagement required for your project? (TCPS2, Article 9.2)

5.4) \* What is the current status of that engagement?

5.5) \* Approvals or letters of support from the appropriate Indigenous community, jurisdiction or organization are attached. (TCPS2, Article 9.10)

Yes
No
Approvals or letter of support are pending

5.6) \* Are you aware of the principles of ownership, control, access and possession (OCAP), or any community-based ethical approvals that pertain to your research? (TCPS2 Article 9.8)

Consider consulting the following resources:

First Nations Information Governance Centre:  Understanding the principles of OCAP: Roadmap to Information governance  https://youtu.be/y32aUFVfCM0 (6:21)

Ontario Federation of Indian Friendship Centres  (2016). USAI research framework. 2nd edition. Toronto:  OFIFC, 2016.
https://ofifc.org/wp-content/uploads/2020/03/USAI-Research-Framework-Second-Edition.pdf

Yes
No

5.7) \* How have you incorporated OCAP or community-based principles and approvals into your research?

**Section 6: Scholarship of Teaching and Learning**

Answer questions in this section only if you are conducting research in teaching and learning that involves student participants and/or if students' coursework, grades, or assignments are part of the data set. Visit Trent Human Participant Research Ethics website for the "Guidelines for Research Involving Students as Participants".

6.1)  Who will obtain consent and conduct the data collection? Is this individual known to the students?

6.2)  Describe your recruitment strategy and how it will address the conflict of interest associated with your dual role as instructor and researcher:

Pedagogical research requires that faculty distinguish their researcher role from their role as an instructor or department official. When planning a recruitment strategy, consider whether the information you have available would be accessible were you not an instructor or department official. If it would not, indicate the steps you will take to access the data without your direct involvement. For example, a recruitment email to students can be sent by an RA unknown to students or from the Departmental rather than researcher directly.

6.3)  Describe the timeline of obtaining consent, data collection, and data analysis, making it clear what parts of the study will be conducted before and after course grades are submitted.

6.4)  Will study participants be exposed to class material (lectures, readings, labs, etc.) or evaluations (exercises, assignments, tests, etc.) that non-participants will not? If so, please describe.

6.5)  If the educational experiences of your students will depend on their participation, explain how you will compensate for potential discrepancies in outcomes or grades.

SoTL researchers have an ethical responsibility to prioritize education over research when conducting a study with their students. Faculty should explain how the decision to participate or not in pedagogical research will affect students’ educational experiences. They should also explain how they will ensure fairness in course outcomes and grades despite offering different experiences to students depending on their decision to participate, not participate, or their membership in a control group.

6.6)  Will current student-participants’ coursework and/or grades become part of the data set?

Yes
No

6.7)  Will student grades or coursework previously collected for purposes other than the current research project be used in this study?

This question refers to the grades or coursework collected from past courses.

Yes
No

6.8)  If you answered Yes to question 6 or 7, how will you obtain permission from students to use course grades or materials for research purposes?

Permission must be sought from students if any of their course materials (e.g., papers, assignments, tests, exams, marks, etc.) are to be used for research purposes, as use of a student’s course materials would be secondary use of identifiable information for research purposes. Exceptions to the consent requirement for secondary use of identifiable information are outlined in the Guidelines for Research Involving Students as Participants (2021).

**Section 7: Risks and Benefits**

7.1) \* Indicate the level of risk a participant may experience:

Minimal risk is associated with the research in which the probability and magnitude of possible harms implied by participation in the research are no greater than those encountered by participants in those aspects of their everyday life that relate to the research.

Minimal risk
Above-minimal risk

7.2) \* Indicate the type of risk participants may be exposed to:

Physical risk or discomfort (including any bodily contact, application of equipment, management of any substance)
Psychological risks (including feeling demeaned, embarrassed, worried or upset)
Social risks (including loss of status, privacy and/or reputation)
Professional risks (including loss of status, privacy and/or reputation)
Risks for participants belonging to a vulnerable population as defined by the TCPS2
Risks for participants belonging to a distinct cultural group whose status may place them at greater risk than the general population.
Other

7.3)  If you selected Other, please explain:

7.4) \* For each of the boxes checked above, describe the specific risk and explain how it will be managed:

If your study involves vulnerable populations or distinct cultural groups, describe the experience and/or training of the research team in working with the identified population or dealing with above minimal risk projects.

Consider matters of cultural and religious sensitivity, gender, language-barriers, or the collection of identifying or confidential information.

7.5) \* Describe any potential benefits to the participants from their involvement in the project. Indicate if there are no direct benefits.

**Section 8: Anonymity and Confidentiality**

8.1) \* List any identifying information that will be collected, used, or disclosed. Check all that apply:

Name
Date of Birth
Address
Telephone/Fax Numbers
Email Address/IP Address/URLs
Images (e.g., photographic, x-ray, video)
Voice recordings
Health Information
Other
None

8.2)  If you selected Other, specify:

8.3) \* Identify all potential sources of this information. Check all the apply:

Directly from participant
From other institution
Existing database
Health record
Other
Not applicable

8.4)  If you selected Other Institution, Existing Database, or Other, specify:

8.5) \* If the research cannot be reasonably accomplished without it, justify the use of identifying information:

8.6) \* How will participants be identified in data files

E.g., name, pseudonym, study number, initials

8.7) \* Describe where and how research-related paperwork (and any other printed information, including signed consent forms, field notes, printed photographs, artwork, and written contributions) will be stored and protected, including storage of any duplicates:

Physical safeguards to protect the confidentiality of paperwork include the use of locked filing cabinets, away from public areas. Administrative safeguards include the development and enforcement of organizational rules about who has access to personal information about participants.

8.8) \* Describe where and how research-related digital files (including raw questionnaire data, post-analysis data files, written documents, scanned documents, photos, voice and video recordings, etc.) will be stored and protected, including the storage of any back-up copies:

Physical safeguards to protect the confidentiality of digital files include the location of computers containing research data away from public areas. Technical safeguards include use of computer passwords, firewalls, anti-virus software, encryption and other measures that protect data from unauthorized access, loss or modification. Administrative safeguards include the development and enforcement of organizational rules about who has access to personal information about participants.

8.9) \* Describe the ownership and retention obligations of the collection of this information. If this data will be destroyed, at what point destruction will occur:

8.10) \* In addition to PI, list the names and roles of people who will have access to the raw data in the future, if known:

8.11) \* If a copy of the deidentified data be made available to others, how will other researchers access the data?

A note consistent with these possibilities must be included on the information and consent form.

Posting data on an open-access website (e.g., Open Science Framework)
Adding data to an existing database
Data can be made available by request
Other
Not applicable

8.12) \* Will the project require the services of a translator/transcriber?

Yes (requires a copy of the confidentiality agreement for the translator/transcriber)
No

**Section 9: Informed Consent**

Please ensure the response to the questions in this section match the information provided to participants in your Consent Form.

9.1) \* Will the consent/assent process be completed before data collection begins?

Consent form is necessary to collect any type of participant-related data, e.g., demographic data

Yes
No

9.2) \* Describe the participant identification and recruitment strategy:

Who will be contacting potential participants?
If the person contacting participants about the study is an intermediary (e.g., someone who works for an agency), please upload letter of agreement from agency.

9.3) \* Describe the consent process:

How will contact be made (e.g., email/telephone - attach template or script)? How and when will the participant receive the information and consent letter? How will consent be recorded? Describe how you will hold up your obligation to ensure that consent is ongoing.

9.4)  If necessary, describe the assent process:

9.5) \* Describe how participants will receive a copy of the information and consent letter.

9.6) \* Describe the procedure if a participant decides to withdraw:

Describe how can participants withdraw and what will happen to their data

9.7) \* Will the research involve persons without capacity or competency to provide consent/assent?

Yes
No

9.8)  If necessary, describe by whom and how capacity will be assessed:

9.9)  How will substitute decision makers be identified?

9.10)  If the inability to provide consent is expected to be temporary, what procedures will be used to assess the return of capacity?

**Section 10: Conflict of Interest**

10.1) \* Describe any relationship the principal investigator or any member of the research team may have with the research participants.

Research participants include students, co-workers, family members, friends, clients, etc.

10.2) \* Will the principal investigator, any member of the research team including student researchers, and/or their spouses, partners, immediate family members and business associates, receive any personal benefits as a result of or in connection with this study?

Immediate family refers to siblings, children, in-laws.

Personal benefits include financial remuneration, intellectual property rights, rights of employment, consultancies, board memberships, share ownership, stock options, etc.

Yes
No

10.3)  If Yes, describe the benefits:

Do not include incentives or compensation for direct costs of research in response to this question.

10.4) \* Does the principal investigator, members of the research team, or their family members own or operate a business (including consultancy), are involved in the governance of a business, or are stakeholders in a business that could benefit from this research project?

Yes
No

10.5)  If Yes, identify the business:

10.6) \* What is the likelihood of a commercial outcome from this research?

None
Some
Very possible
Definite commercialization

10.7)  Describe the potential commercial outcomes. Identify all commercial benefits to any member of the research team and their families or business associates.

**Section 11: Graduate and Undergraduate Student Information**

11.1) \* Status of student researcher:

Undergraduate
Masters
PhD

11.2) \* Name of student supervisor(s):

Student supervisor(s) should be included in the Project Team Info tab

11.3)  The proposed research project is:

All Co-Investigators should be included in the Project Team Info tab.

Individual project
Group project

11.4) \* As a student Principal Investigator, I confirm that my supervisor reviewed and approved this submission:

Yes
No

**Section 12: Declaration and Signatures**

12.1) \* As the Principal Investigator, I have read and fully understand all ethics obligations as follows:

I declare that the project information provided in this application is accurate
I agree to conduct the research in accordance with the Tri-Council Policy Statement (2022): Ethical Conduct for Research Involving Humans and Trent University's Policy for Research Involving Human Participants
I will report any serious adverse events to the Trent University Research Ethics Board
I will report any changes to the approved protocol to the Trent University Research Ethics Board, and will not implement those changes until I have received approval to do so from the Trent University Research Ethics Board
I agree to request a renewal of approval for any project continuing beyond the expected date of completion in the approved protocol
I will submit an Annual Update to the Trent University Research Ethics Board for every calendar year the project is active
I will submit a final status report to the Trent University Research Ethics Board once the research has been completed

12.2) \* As the Principal Investigator, I understand that I need to upload and submit final versions of the following documents/materials with my application:

My TCPS2 Core certificate (the REB recommends that student supervisors and anyone on the research team who interacts with participants also provide their TCPS2 certificates).
All recruitment material, including emails, posters, and social media advertisements, etc.
Consent form(s)
If applicable, all experimental stimuli (pictures, scripts, etc.) to be presented to participants
If applicable, all survey and/or interview questions
If applicable, letters of agreement with research partners
If applicable, any REB approvals from other institutions

12.3) \* Date of declaration:

