Application for Ethics Certificate: A Few Tips
# Types of Applications

<table>
<thead>
<tr>
<th>Type</th>
<th>Criteria</th>
<th>Submission Deadlines</th>
<th>Evaluation Time</th>
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</thead>
<tbody>
<tr>
<td>Full REB Review</td>
<td>Default procedure for research involving human subjects</td>
<td>1st 3 working days of the month – before 5pm</td>
<td>5 weeks or more</td>
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<td></td>
<td>4 copies (including original)</td>
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<tr>
<td>Minimal Risk Review</td>
<td>Procedure for research in which risk is no higher than that lived in every day life</td>
<td>1st 3 working days of the month – before 5pm</td>
<td>5 to 7 weeks</td>
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<td>If the project includes the following participants, the project must go for full review:</td>
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<td>• Aboriginal or First Nation</td>
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<td>• Vulnerable populations (children, people with cognitive or psychological impairments)</td>
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<td>• Possibility of coercion (e.g. students, prisoners)</td>
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<td>• Use of deception in research</td>
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<td>4 copies (including original)</td>
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<tr>
<td>Expedited Review</td>
<td>• Project already approved by another REB</td>
<td>Any working day</td>
<td>2 to 3 weeks</td>
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<td>• Minor revisions to a previously approved project</td>
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<td>• Substantive replication of a previously approved project</td>
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<td>• Project using non-public secondary sources</td>
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<td></td>
<td>2 copies (including original)</td>
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<td></td>
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<tr>
<td>-&gt; Secondary Data</td>
<td>Use of data collected for purposes other than proposed research project</td>
<td>Any working day</td>
<td>2 to 3 weeks</td>
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<tr>
<td>-&gt; 1B Request</td>
<td>Request to release funds for portion of projection that involves non-participant related activities</td>
<td>Any working day</td>
<td>2 weeks</td>
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<tr>
<td>-&gt; Course Outline</td>
<td>Projects involving students conducting research using human subjects within context of a course.</td>
<td>Any working day</td>
<td>1 to 2 weeks</td>
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<td>Professor must submit application</td>
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<td>Submission should be at least one month before course start date</td>
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General Tips Regarding Ethics and the Form

* New online form must now be used – one copy should be submitted online and four printed copies with signatures should be delivered to the Ethics Office
* Use full sentences providing complete answers – no N/A’s
* Avoid technical jargon. If necessary, define terms.
* Paginate all documents
* Do not bind documents
* Use single-spaced Times New Roman point 12 or Arial point 10
* Regardless of application type, the following documents must be submitted with the application form:
  • REB Application Form (online and printed copies with signature)
  • Recruitment text
  • Consent documents (consent form, information sheet, etc.)
Depending on the project, the following may also be required:

- Research tools
- Thesis approval (from thesis committee or supervisor)
- Permission letters
- Other

Consent forms must be printed on Telfer School letterhead (Margins: top 1.6”; left: 2.45”; right: 0.7”; bottom: 0.5”)

Approvals are valid for one year

At the end of the year, an annual report must be submitted to extend approval or close the file

Maximum of 3 renewals permitted

Renewals should be submitted by Expedited Review

No REB meetings in July
Tips for Secondary Use of Data

* Use of data collected for purposes other than proposed research project
* No evaluation necessary if data is public and anonymous
* Evaluation necessary if data banks will be created or used
* The REB will follow the current privacy laws (provincial and federal) when dealing with identifying data
* If identifying information is involved, REB may request consent be obtained from those who contributed data or authorized third party; appropriate strategy for informing subjects may be required as well as consultation with representatives of those who contributed data
When using secondary data, the following should be considered:

* Who collected the original data and how
* Was free and informed consent obtained
* Are there risks associated to identification of participants
* Should permission be obtained from owner of data
* If previous research did not obtain consent from participants for data to be used in the original research or for future research, consent may need to be obtained
If required, researchers must send a letter detailing their response to each point raised by the REB.

A copy of all modified documents must be included with the letter and all modifications must be highlighted.

There is no submission deadline for revised documents.

Once the revisions have been reviewed, the researcher will receive a response from the REB.

If approved, the Protocol Officer will send the researcher a Certificate of Ethics Approval by email.
Section 2. Research Project Description

* This section should answer all the questions raised throughout the rest of the application.
* Can explain the methodology and phases of the research in a step-by-step manner.
* Be specific in explaining how the interviews will be done – in person, by phone, mail, etc
* If using online survey creators, care must be taken if they are housed outside Canada as they will be subject to different privacy laws
* If project will take place over several years, the Ethics application should focus on the activities and research phases occurring in the present year as the researcher will have to apply for an extension at the end of each year of the project
Section 3. Recruitment of Participants

* The REB is always concerned about the risks associated with a manager recruiting employees since the employees may feel compelled to participate in the research.

* The REB prefers that the researcher conduct the recruitment of the participants. So, for example, if recruiting employees from a company, the company should ask its employees permission to pass their contact information to the researcher who will then contact them directly – the role of the company is solely to supply the contact information.
* However, if the employees’ contact information is in the public domain, such as on an online employee directory, the researcher does not require permission from the company to contact the employees. Nevertheless, it is preferable if the research asks the company for permission.

* Be specific when describing the recruitment process – whether by mail, email, phone, in person.

* If the researcher will be working with organizations, the REB will need letters of support in writing – can be in form of email agreeing to participate or an official letter signed by the CEO.
Recruitment ..... Cont’d

* Any exclusion criteria regarding participants should be explained
* The REB prefers that all participants meeting the provided criteria be invited to participate
* If the sample size is to be small, explanation will be required as to how the participants will be chosen
Section 5. Assessment of Risks

* Never answer that the research has ‘no risks’ since it is assumed that there will always be some element of risk, even for research qualifying for a Minimal Review

* Examples of common risks are:
  * Divulging confidential information over the course of the interview
  * Participant losing job due to comments made in the interview
  * Exposing identification of participant based on, for example, their position even though the results remain anonymous
Section 7. Privacy of Participants

* If anonymity cannot be guaranteed completely, this should be stated in the consent form.

* If participants will not be anonymous, this must be clearly stated in the recruitment material and the consent form.

* If participants will be given the opportunity to review transcripts, the methods for doing so must be clearly outlined in the application form.
8. Confidentiality of Data

* Detailed explanation of the storage of the material is required for the complete life-cycle of the project.

* The type of information required here is:
  * the manner in which the data will be identified
  * if codes are used to replace names, REB will want to know that the document containing the names and codes will be kept separately from the data with the codes
  * that computers are password protected, have firewall and anti-virus
  * that servers are secure and firewall-protected
Confidentiality .... Cont’d

* that gateways are secure and firewall-protected
* the manner in which the data will be protected during travel (e.g. when traveling for interviews)
* that data will be secured in lock cabinets
* that cabinets will be in locked offices
* Materials should be kept for a minimum of 5 years – the RGES or a participant has the right to ask to view the data during that period
Section 9. Free and Informed Consent

* Consent forms, recruitment letters and/or emails should be on Telfer letterhead
* Participants should consent in their first official language even if the research will be conducted entirely in one language. Thus, unless it can be clearly justified, the consent forms should always be translated into both of Canada’s official languages
* Consent form templates can be found on RGES’ website
Consent forms should include:

* Researcher’s full contact information
* Name of sponsor of the research
* Paragraph/sentence describing the purpose of the proposed research
* Statement indicating the nature of potential harms and inconveniences associated with the research and likelihood of occurrence
* The risk associated with participation - minimal risk should be explained as participation having no foreseeable risk other than that encountered in every day life
* Guaranteed anonymity – but if guarantee is limited, this should be stated clearly (e.g. may be risk that colleagues may know of individual’s participation)
* Statement indicating nature of potential benefits to participant and others associated with the research and the likelihood of the occurrence
* Statement indicating where and when the interviews will take place (e.g. workplace at convenience of participant)
* Length of data conservation
* Reason for obtaining participant’s contact information (if doing so) (e.g. researcher may wish to contact participant for second interview if needed)
* Option to opt-out without negative repercussion and with full compensation (if any being provided)
Where to Find Information

1. The RGES’ Website
2. University of Ottawa – Canada’s university
3. The Tri-Council Policy Statement
Where to Get Help

Ethics Office Personnel
- Catherine Paquet - Director
cpaquet@uottawa.ca
- Leslie-Anne Barber - Protocol Officer
lbarber@uottawa.ca

Research Office
- Sandra Clark – Research Projects Coordinator
clarkS@telfer.uottawa.ca