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| Office Use Only | Protocol #Click or tap here to enter text. |
|  | Version #Click or tap here to enter text. |

# Instructions

1. Complete all sections. Please write “N/A” if a section is not applicable to your research/training protocol.
2. Attach a copy of all relevant permits, questionnaires, interview schedules, tests, informed consent forms, project budget, and/or other items required for a complete review of your amendment request form.
3. Submit this form to the Chair of the Research Ethics Committee via email – chairREC@auroracollege.nt.ca

For guidance on completing each section, please see the Aurora College REC Guidance for Applicants documents (found here: <http://nwtresearch.com/licensing-research/aurora-college-research-ethics-committee>).

The Aurora College Research Ethics Committee reviews research according to the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS) (<http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/>) and Aurora College Policy I.04 Ethical Conduct for Research Involving Human Subjects (<http://www.auroracollege.nt.ca/_live/pages/wpPages/PoliciesResources.aspx>). The committee strongly recommends that all applicants have a working familiarity with both documents.

# Principal Investigator Information

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| --- | --- | --- | --- |
| Last Name | Click or tap here to enter text. | First Name | Click or tap here to enter text. |
| Institution / Agency Affiliation | Click or tap here to enter text. |
| Division/Faculty | Click or tap here to enter text. |
| Mailing Address | Click or tap here to enter text. |
| E-Mail Address | Click or tap here to enter text. | Phone Number | Click or tap here to enter text. |

# Funding and Licensing Details

Status of funding/support for the project – please choose one:

[ ]  Unfunded project

[ ]  Funding Pending

[ ]  Funding received

Sponsors(s)/funding agency(s): [ ]  SSHRC [ ]  CIHR [ ]  NSERC

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| [ ]  Other Government (Please specify): | Click or tap here to enter text. |
| [ ]  Other Non-profit (Please specify):  | Click or tap here to enter text. |
| [ ]  Other Industry (Please specify):  | Click or tap here to enter text. |
| [ ]  Other (Please specify):  | Click or tap here to enter text. |

**Fee Schedule: Please be aware that there is a fee for some research ethics reviews. Fees are described in the following chart**

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| Applicant type | Fee |
| External applicants (not Aurora College staff or students) | $350 for initial review of the research$100 for renewal and major amendments |
| Industry-sponsored research | $3000 for initial review of the research$500 for renewal and major amendments |
| Tri-Council funded research (NSERC, SSHRC, CIHR) | No fee |
| Aurora College staff or student research | No fee |

List of location(s) where the data will be collected (please attach a map if the region is large):

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| Click or tap here to enter text. |

The NWT Scientists Act requires that all research conducted in the Northwest Territories be licensed by the Aurora Research Institute. For more information, please visit: [www.nwtresearch.com/licensing-research](http://www.nwtresearch.com/licensing-research)

Status of research license:

[x]  Research license acquired [ ]  Research license pending [ ]  Research license application not yet submitted

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| [ ]  No research license required (Please explain):  | Click or tap here to enter text. |

Please note: you are not required to submit a research license to the Aurora College Research Ethics Committee

# Project Details

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| Anticipated start date: | Click or tap to enter a date. |
| Anticipated completion date: | Click or tap to enter a date. |
| Title of Project: | Click or tap here to enter text. |

Provide a brief **summary of the purpose, objectives, and aims** of the research. Describe your methodology and what will be required of human participants. Please use language that can be understood by a non-specialist (300 words max.)
Please note: the committee may refuse to review applications with summaries exceeding 300 words.

**Reminder:** Please include a copy of questionnaire(s), interview guide(s), data collection tool(s) and/or test instrument(s).

Click or tap here to enter text.

# Estimation of Risks and Risk Mitigation

According to TCPS Chapter 2, *minimal risk* research is defined as “research in which the probability and magnitude of possible harms implied by participation in the research is no greater than those encountered by participants in those aspects of their everyday life that relate to the research.” Some research may pose more than minimal risk to participants. This type of research is permitted, provided that the principal investigator understands the risks fully, informs participants of the risks, and has planned to appropriately mitigate the risks.

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| Will this study involve the following? (Please check) | None | Minimal risk | More than minimal risk |
| 1. Is there any physical risk or physiological manipulation?
 |[ ] [ ] [ ]
| 1. Psychological or emotional manipulations – might a participant feel demeaned, embarrassed, worried or upset?
 |[ ] [ ] [ ]
| 1. Are there questions that may be upsetting to the respondent? Could participants feel fatigued or stressed?
 |[ ] [ ] [ ]
| 1. Does your study have the potential for identifying distressed individuals?
 |[ ] [ ] [ ]
| 1. Is there any social risk – possible loss of status, privacy, and/or reputation?
 |[ ] [ ] [ ]
| 1. Do you foresee any chance that the subjects may be harmed in any way?
 |[ ] [ ] [ ]
| 1. Is any deception involved? Withholding of information from, or misinforming participants?
 |[ ] [ ] [ ]
| 1. Is there any potential for coercion or the perception of coercion? That is, might a person feel pressured to participate in the research, answer questions, or do things they might not otherwise do because of an actual or perceived power or trust relationship between the principal investigator and the participant (e.g. manager/employee, teacher/student, nurse/patient, etc.)?
 |[ ] [ ] [ ]
| 1. Does the research pose any possible risk to the principal investigator and/or research team?
 |[ ] [ ] [ ]
| 1. Are the risks similar to those encountered by the subjects in everyday life?
 | [ ]  Yes | [ ]  No |
| 1. Will any participants be persons whose ability to provide fully informed consent is compromised?
 | [ ]  Yes | [ ]  No |
| 1. Will any participant be a minor (younger than 19 years old) while participating in the research?
 | [ ]  Yes | [ ]  No |

Describe the likely risks to participants and how they will be mitigated.

Do you plan **follow-up** procedures with participants? [ ]  Yes [ ]  No
Does your research require **formal debriefing**? [ ]  Yes [ ]  No

TCPS Article 3.7B: Debriefing must be a part of all research involving an alteration to consent requirements (see Article 3.7A) whenever it is possible, practicable and appropriate. Participants in such research must have the opportunity to refuse consent and request the withdrawal of their data and/or human biological materials whenever possible, practicable and appropriate.

If yes to both/either question, please provide details:

# Recruitment of Participants

Describe the participants (e.g. general public, Indigenous community members, hospital patients, minors) who will be involved in the research.

Please address:

 Who will be recruited and why.

How individuals will be recruited, including provisions to address potential selection bias.
How and where you will advertise your project.
If remuneration/compensation is offered, please state the amount and provide justification.
Any provisions that have been made to accommodate participants’ language and cultural needs during the recruitment process.
Provide a justification for use of snowball sampling or referring recruitment to a third-party, including how you will reduce selection bias and avoid discrimination in recruitment.

**Include a copy of your recruitment notice, advertisement, information sheet, including those to be used by a sponsor or supportive organization, if applicable.**

# Informed Consent

Please describe the **informed consent process. Provide a copy of your information sheet and consent form.** Please include your plans for ensuring participants retain a copy of the informed consent information and principal investigator contact information for their future reference.

In some circumstances, verbal consent may be obtained in addition to or as an alternative to written consent. Provide an explanation for seeking verbal instead of written consent and a script containing the same points normally covered in a written consent form.

If participants are minors or, for any other reason, may not be able to provide fully informed consent, describe how capacity to consent fully will be assessed, any alternate sources of consent (eg. parent or guardian), and the assent process for participants. Provide a copy of any information sheet or written consent/permission provided to persons consenting on behalf of another.

**Please address how you plan to accommodate participants’ language or cultural needs during the informed consent process.**

When and how will people be informed of the **right to withdraw** from the study?

Please address:
 The procedures that will be followed for people who wish to withdraw from the study, including **any dates or
 deadlines for withdrawal** (eg. before the data is anonymized/amalgamated, before the study report is
 submitted/published).
 What will happen to information contributed by the participant after they have withdrawn.

 What will happen to honoraria in the event that a recipient withdraws.

# Privacy and Confidentiality

**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 (TCPS Chapter 5A)

**Confidentiality** refers to the obligation of an individual or organization to safeguard entrusted information. The ethical duty of confidentiality includes obligations to protect information from unauthorized access, use, disclosure, modification, loss or theft (TCPS Chapter 5A)

Will participants be anonymous in the data gathering phase of the study? [ ]  Yes [ ]  No
(Please note: anonymous means no link can be made between the participants and the research; no one, including the research team, knows who has participated in the research.)

Will the identity of participants and the data they provide be kept confidential? [ ]  Yes [ ]  No

If **NO**: In the research products (study report, research poster, publications, presentations, etc), do you plan to:

[ ]  Use direct quotations without attributing the quotation to specific participants?
[ ]  Use direct quotations and directly attribute the quotation to specific participants?
[ ]  Include the names of participants with or without attributing quotations/contributions to them?

If **YES**: Please indicate if there are any limits to confidentiality:

[ ]  Limits due to the nature of group activities (eg. focus groups): the principal investigator cannot guarantee confidentiality.

[ ]  Limits due to context: individual participants could be identified because of the size of the sample or relationship to the principal investigator.

[ ]  Limits due to selection: the participant recruitment or selection procedure may compromise confidentiality of participants (eg. participants are referred to the study by a person or a group outside the research team).

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| [ ]  Other:  |  |

Explain how you propose to address these limitations:

Explain how you propose to respect the individual’s privacy and maintain confidentiality.
Please address:

How the raw data will be compiled and used in the write-up of the results.

If and how participants will be asked to review their contribution before inclusion.

Provide specific details about the **security procedures** for the data.
Please address:

How data, data keys, surveys, interview transcripts and all other confidential information will be stored and secured during data analysis and processing.
Who will have access to the confidential data, now and in the future.
How long the data will be retained; how they will be stored and secured; and the plans for disposal of the records/data. If raw data is to be retained indefinitely or handed over to a research partner, please include protocols for ensuring the privacy and confidentiality of participants indefinitely.

# Community Involvement

Describe how you plan to work with NWT communities to accomplish this research. Please include the terms of your partnership with the community, NWT Indigenous groups, or local organizations, including ownership of, control of, access to, and possession of the data (200 words max.) See Chapter 9 in the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* (link) for guidance on conducting research involving Indigenous communities.

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If the study involves collection of traditional knowledge, please describe how community consent to use and share this knowledge will be gained. Please address how you will include local experts who will assist in accurately interpreting and analyzing traditional knowledge.

# Dissemination of Results

Describe how you will make the results of the research available to participants, the community, and others (general public, research community, etc.) Please address when and how participants will be informed of your plans to disseminate the results of your research to others.

# Benefits

What are the likely benefits of the research to the principal investigator, research team, the participants, and society?

# Signatures

I certify that (a) the information contained in this application is accurate; (b) conduct of the proposed research will not commence until ethical approval has been granted; and (c) the Aurora College Research Ethics Committee will be advised of any revisions to the protocol arising before or after ethical certification is granted.

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| Principal Investigator’s Name |  | Date |  |
| Principal Investigator’s Signature |  |

**If applicant is a student:**

|  |  |  |  |
| --- | --- | --- | --- |
| Advisor’s Name |  | Date |  |
| Advisor’s Title |  |
| Advisor’s Signature |  |

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| Protocol Checklist - REQURIED | N/A | Attached |
| Copy of the verbal or written explanation that will be provided to participants before they are asked to consent to participation. |[ ] [ ]
| Copy of informed consent(s) that will be distributed to each participant. |[ ] [ ]
| Copy of assent document to be distributed to any participant whose capacity to consent is compromised. |[ ] [ ]
| Copy of questionnaire(s), interview or focus group guide(s), and other data collection tools. |[ ] [ ]
| Copy of recruitment notice, advertisement, and/or information sheet, including that used by a sponsor or supportive organization (as applicable). |[ ] [ ]