Office of the Dean
York University
230 York Lanes — 4700 Keele Street
Toronto, ON, Canada M3J 1P3
Tel: (416) 736-5521
yorku.ca/gradstudies

Form TD2: Research Ethics Protocol Form for Graduate Student Thesis, Dissertation, or Pilot Project

Research ethics protocols for theses, dissertations, and pilot projects are approved by the Faculty of Graduate Studies (FGS).

- Submit paper copies of the relevant forms to your Graduate Program for review and signature.
- Graduate Programs will forward forms to FGS Thesis & Dissertation Coordinator.
- All submissions must include:
    - TD1 (Thesis/Dissertation Proposal Submission) Form signed by the student, supervisor, and Graduate Program Director,
    - thesis/dissertation proposal
        - In cases requiring preliminary research (e.g., pilot project), submit the pilot project research proposal instead of the thesis/dissertation proposal.
    - Informed consent form
    - If applicable, other documentation required for your specific research ethics protocol
- The average time to process minimal risk protocols is approximately 40 working days from the date of receipt by FGS. INCOMPLETE OR ILLEGIBLE PROTOCOLS WILL BE RETURNED TO THE RESEARCHER, WHICH WILL DELAY THE PROCESS.
- Research that is more than minimal risk; or that involves clinical trials, is approved by the York University Human Participants Review Committee (HPRC). Use HPRC Form.
- Research ethics protocols for a course, or a Major Research Paper (MRP), are approved by your Graduate Program's Delegated Research Ethics Committee. Consult with your Graduate Program for appropriate forms.
- For more information on research ethics related matters, please visit the ORE website: research.info.yorku.ca/research-services/research-ethics or FGS Research Ethics: yorku.ca/gradstudies/students/current-students/thesis-and-dissertation/research-ethics
- Contact: Research Officer (fgsro@yorku.ca)

Indigenous Research:

Indigenous-related research with human participants and/or research involving Indigenous Peoples must be reviewed by the Indigenous REB (IREB). Applications must be submitted using the Indigenous REB protocol form.

The following questions may assist in determining whether your research involves Indigenous peoples:

- Will the research be conducted on Indigenous land (Canada; international) for which permission and/or approval from an authority (such as a band council, First Nations Research Ethics Board etc.) may be required?
- Will recruitment criteria include the Indigenous identity as either a factor for the entire study or for a subgroup of the study?
- Will the research seek input from participants regarding an Indigenous peoples' cultural heritage, artefacts, or traditional knowledge?
- Will research in which Indigenous identity or membership in an Indigenous community be used as a variable for the purpose of analysis of the research data?
- Will interpretation of research** results refer to Indigenous communities, peoples, language, history or culture? "Research" does not include literary criticism and/or history (excluding oral history) and/or primarily textual activities)

If you have answered 'Yes' to any of the above noted questions, then your research involves Indigenous peoples and will need to be reviewed by the Indigenous REB, using the IREB protocol form, rather than the TD2 form.

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Part A – General Information

A. Student Information

Student Name		Date (mm/dd/yyyy)
E–mail	Phone	Student number
Program		Degree
Check one: ☐ Thesis ☐ Dissertation ☐ Pilot Project		
Title of Research Project		
Name of Supervisor		
Is this a revised version of a protocol previously submitted to FGS and/or HPRC ☐ Yes ☐ No Proposed start date for research involving human participants (mm/dd/yyyy) _____		

1. Is this research defined as:

Minimal Risk?
More than Minimal Risk?

If More than Minimal Risk, do NOT use this TD2 form. Submit HPRC Protocol.

The HPRC uses the definition of minimal risk as outlined in the SSHRC/NSERC/CIHR Tri-Council Policy Statement (TCPS) "Ethical Conduct for Research involving Humans" (December 2014): "If 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 then the research can be regarded as within the range of minimal risk" (p. 1.5). An expanded version of this definition is available from ORE upon request.

NOTE: Full board review is required for ALL research that is more than minimal risk. A full board review requires a meeting of the Human Participants Review Committee (HPRC) for the purposes of providing final approval and which, as a consequence, may take longer to review.

2. Does this research involve clinical trials?

☐ No ☐ Yes

If Yes, do NOT use this TD2 form. Submit HPRC Protocol.

3. Is this research part of a faculty–led research project for which a faculty member is the Principal Investigator?

☐ No ☐ Yes

If Yes, do NOT use this TD2 form. Instead, please attach TD4, Statement of Relationship between Proposal and Existing Approved Research/Facilities, as well as a copy of the HPRC Approval Certificate.

4. Does this research involve animals or biohazards?

☐ No ☐ Yes

If Yes, do NOT use this TD2 form. All student research involving animals or biohazards must be under faculty supervision. Please attach TD4, Statement of Relationship between Proposal and Existing Approved Research/Facilities, as well as a copy of the HPRC Approval Certificate.

5. Are you conducting secondary data analysis?
☐ No ☐ Yes

If yes, please review the Secondary Data Analysis Guidelines and ensure that you complete section B. 8 below.

NOTE: Secondary Data Analysis is described as the analysis of data collected for a purpose other than that for which it was originally collected in order to pursue a research interest which is distinct from that of the original work. Researchers are advised to review the Secondary Data Analysis Guidelines for further information on requirements related to use of secondary data for research purposes.

6. Is any anticipated funding* for this project from any external (i.e., outside York) sources?
☐ No ☐ Yes

If yes, what is the funding agency and/or program?

*The definition of "funded" does not include funding in the form of student OGS scholarships, SSHRC fellowships, NSERC scholarships, or CIHR awards. These awards are intended to support students through their studies and do not require reports from students on the specific research activities conducted. The definition of "funded" does apply to grants awarded for specific research projects, whether those projects be the student's own research projects or research being conducted as part of a faculty member's funded research project. Typically, for "funded" research, granting agencies require reports of the research conducted.

7. Does this research involve another institution? Research involving another institution (such as a school, university, business, government agency) may require additional ethics review and approval or permissions if using institutional resources (such as internal listservs, or conducting interviews on the premises of the institution).
☐ No ☐ Yes

NOTE: If the research is to be conducted at a site requiring ethics approval or administrative permission, please include all draft informed consent forms/administrative permission requests. It is the responsibility of the researcher to determine what other means of clearance are required, and to obtain clearance prior to starting the project.

a. Do any of the institution(s)/site(s) have an ethics review board? ☐ No ☐ Yes

If 'Yes', specify the institution(s)/site(s):

b. Do any of the institution(s)/site(s) require administrative permission? ☐ No ☐ Yes

If 'Yes', specify the institution(s)/site(s) and provide a copy of the letter of permission:

c. Has any other Research Ethics Board (REB) cleared this project? ☐ No ☐ Yes

If 'Yes', please submit the original application and provide a copy of the clearance letter.

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Part B – Research Information

1. Project Description

In layperson's terms, please provide a general and brief description of the research (e.g., hypotheses, goals and objectives, etc. – maximum 3,000 characters).

2. Participants

State who the participant(s) will be: Describe the participants that will be recruited and about whom personal information will be collected (i.e., numbers, age, special characteristics, etc.). Describe the size of the group from which participants will be recruited and the estimated number needed for the research (minimum/maximum). Where active recruitment is required, please describe inclusion and exclusion criteria. Where the research involves extraction or collection of personal information, please describe from whom the information will be obtained and what it will include (*include permission letters*).

☐ This study will be using a participant pool

Please indicate which participant pool(s):

- ☐ URPP
- ☐ Schulich Marketing Pool
- ☐ School of Administrative Studies participant pool
- ☐ KURE
- ☐ Glendon Participant Pool
- ☐ Other:

3. Recruitment

a. **How will participants be recruited** (e.g., snowball technique, random sampling, previously known to interviewer, telephone solicitation, etc.)?

b. **Will you be using any advertisements, flyers, posters, email scripts, social media postings, etc. for recruitment purpose?**

☐ No ☐ Yes If 'Yes', please attach a copy of each with your application.

4. Inducements

a. **Will you be offering inducements to participate** (e.g., money, gift certificates, academic credit, etc.)**?**

☐ No ☐ Yes

If yes, please elaborate:

(Please check all that apply)

☐ Financial
☐ In–kind
☐ Draw
☐ Participant Pool Bonus Points
☐ Other:

b. If inducements are provided, please provide the source of funding for them:

5. Methods

a. Please indicate **all** the research methods that apply:

☐ Action Research
☐ Observation
☐ Documentary Filmmaking
☐ Experimental lab study
☐ Oral/Life history
☐ Experimental behavioural study
☐ Other:

☐ Ethnography
☐ Survey
☐ Focus Group
☐ Interview
☐ Human Tissues
☐ Online Research

b. Do any of the methods involve:

Audio Recording? ☐ No ☐ Yes
Photographic Recording? ☐ No ☐ Yes
Video Recording? ☐ No ☐ Yes

- Please note that explicit consent is required to use these methods of recording. Please see Section 10, Informed Consent for details.
- If you are using recordings, you will be required to account for how they will be safely stored, eventually destroyed or
  archived, and how, if used in research dissemination, confidentiality will be maintained. Please see Section 11, Data Security for details.

c. What will be required of the participant(s)? Clearly specify in a step-by-step outline exactly what the participant(s) will be asked to do in each methodology. A separate outline is required for each methodology. Include the settings, types of information to be involved, and how data will be analyzed. Include details about identifying participants, recruitment, procedures participants will undertake, etc. Include copies of study instruments. Please also include the estimated time commitment required of participants for each method.

d. What is the experience and training of the researcher with this kind of research? If applicable, please provide a description of the supervisor's support for this research.

6. Risk

Please indicate potential risks that the participants as individuals or as part of an identifiable group or community might experience by being part of this research project:

a. Physical risks (including any bodily contact; administration of any substance)?	☐ No	☐ Yes
b. Psychological/emotional risks (feeling uncomfortable, embarrassed, anxious, upset)?	☐ No	☐ Yes
c. Social risks (including possible loss of status, privacy and/or reputation)?	☐ No	☐ Yes
d. Data security (i.e., risk to participant from data exposure)?	☐ No	☐ Yes
e. Tied to deception involved in the study? (See DEBRIEFING section below)	☐ No	☐ Yes
f. OTHER:	☐ No	☐ Yes

g. No known or anticipated risk: ☐

If you answered yes to any of the above, please describe how each of the potential risks described above will be managed and/or minimized:

7. Benefits

What, if any, are the benefits to the participants? **Or,** ☐ **No benefits**

a. Discuss any potential direct benefits to the participants from their involvement in the project; these might include education about research methods, useful knowledge gained about self, etc.

b. Comment on the (potential) benefits to the scientific/scholarly community or society that would justify involvement of participants in this study.

8. Secondary Analysis of Data

NOTE: Secondary Data Analysis is described as the analysis of data involving human participants collected for a purpose other than that for which it was originally collected in order to pursue a research interest which is distinct from that of the original work. Researchers are advised to review the Secondary Data Analysis Guidelines for further information on requirements related to use of secondary data for research purposes.

a. **Are you conducting Secondary Data Analysis?** ☐ **No** ☐ **Yes**

If "No", please GO TO QUESTION 9

If "yes" please answer the following questions:

i. Are you using **anonymous data** (data which never included personal identifiers)
☐ No ☐ Yes
If 'Yes,' please provide a description of the provenance of the data set:

NOTE: Research that relies **solely** on secondary analysis of anonymous data is exempt from ethics review.

ii. Are you using **anonymized data**? (data which has been stripped of personal identifiers; no potential for data linkage)
☐ No ☐ Yes
If 'Yes,' please provide a description of the provenance of the data set:

iii. Are you using **identifiable data**:
☐ No ☐ Yes
If 'Yes,' please provide a description of the provenance of the data set:

b. If you are conducting secondary analysis **using identifiable data**, please address the following:

i. Do you plan to link this identifiable data to other data sets?

☐ No ☐ Yes

If 'Yes', please describe:

ii. What type of identifiable data from this data set are you planning to access and use?

☐ Student records (please specify in the space below)
☐ Health records/clinic/office files (please specify in the space below)
☐ Other personal records (please specify in the space below)

iii. What personally identifiable data (e.g., name, student number, telephone number, date of birth, etc.) from this data set do you plan on using in your research? Please explain why you need to collect this identifiable data and justify why each item is required to conduct your research.

iv. Describe the details of any agreement you have, or will have, in place with the owner of this data to allow you to use these data for your research. ***ATTACHMENTS: Submit a copy of any data use/access agreements.***

v. When participants first contributed their data to this data set, were there any known preferences expressed by participants at that time about how their information would be used in the future?

☐ No ☐ Yes

If 'Yes', please explain.

vi. How will you obtain consent from the participants whose identifiable data you will be accessing? Please explain.

Note: Consent of the participants is required for research involving secondary analysis of data that includes personal identifiers. Waiver of consent may only be considered if researchers meet the additional criteria. Please consult the Secondary Data Analysis Guidelines for further information.

vii. If you do *not* intend to seek consent of participants for use of identifiable data for secondary analysis, please provide a rationale as to why:

9. Conflict of Interest

a. Is there a possibility of an apparent, actual, or potential conflict of interest on the part of researchers, the University, or sponsors? (e.g., commercialization of research findings, self-funded research, etc.)

☐ No ☐ Yes

If yes, please elaborate and outline how the potential or real conflict of interest will be addressed:

b. Do any members of the research team have multiple roles with potential participants (e.g., researcher and therapist, researcher and teacher, student/supervisor, teaching assistant and students, etc.)

☐ No ☐ Yes If 'Yes', please review Research Involving Investigators' Students

i) Describe the nature of the multiple roles between researcher(s) and any participants

ii) Describe how the potential conflict of interest that will emerge as a result of the dual roles will be minimized or managed

c. Are there any restrictions regarding access to or disclosure of information/results/data at any point during the study including completion that the funder/sponsor has placed on the researchers? (These include controls placed by
sponsors, funding sources, advisory or steering committees.)

☐ No ☐ Yes

If 'Yes', please describe:

10. Informed Consent

This section pertains to issues around informed consent.

a. Is there a relationship between participants and either of the following:

Principal Investigator: ☐ No ☐ Yes
Person obtaining consent (if other than the PI): ☐ No ☐ Yes ☐ Not applicable

If 'Yes', what steps will be taken to avoid the perception of undue influence in obtaining free and informed consent?

b. Ongoing consent is required if the research occurs over multiple sessions or over an extended period of time. Does the research occur over multiple occasions and/or over an extended period of time (i.e., beyond 6 months)?

☐ No ☐ Yes

If 'Yes', please describe the process of how you intend to obtain *ongoing* consent?

c. Is substitute consent involved (e.g., recruiting individuals under 16; those without capacity to consent)?

☐ No ☐ Yes

If 'Yes', please elaborate on how consent and assent will be obtained. Please attach 1) Substitute Consent Form for the parent/guardian, and 2) Assent Form for the participant which includes all information required in the consent form but is written in age appropriate language.

d. Is deception involved? Specifically, do you intend to withhold any information from and/or intentionally mislead the research participants?

☐ No ☐ Yes

If 'No', please go to question "e"

If 'Yes':

i) Please provide a description of the nature of the deception and whether it is full or partial. Please provide a rationale as to why deception (in whole or part) is required:

ii) Please append a copy of the debriefing statement

The debriefing statement needs to explain three elements:

(i) Why the experiment was developed and why the deception was necessary.

(ii) What the current research says about the topic, which includes providing two references (text, article, on-line reference) that the participants can reasonably access and understand (if you have an academic and non-academic population, you may need to provide more than one version of the debriefing statement or make sure that the references can be accessed by the least educated of the population).

(iii) Any additional resources that would be useful for the participant. Resources need to be appropriate and accessible for the participants. For example, if you are conducting a study on parenting, you could include community resources for parenting classes or recommendations for parenting guides. (source: Univ. Virginia, IRB)

Researchers must re–obtain consent from the participants once the debriefing statement has been provided. Participants shall be provided with and sign the Debriefing Consent Form.

iii) If a debriefing statement will not be provided to the participants, please provide a rationale as to why a statement will not be provided:

iv) For studies that are not deceptive, briefly describe the process and nature of any immediate post-study information that will be provided to participants and the rationale for providing this information (e.g., counselling or trauma resources, information links, etc.):

e. How will informed consent be obtained? (Please check all that are applicable):

- ☐ Informed Consent Form. Please attach draft version. Attach Substitute Consent Form and Assent Form if applicable.
- ☐ Verbal Consent. If informed consent is being obtained verbally, please provide a rationale regarding why verbal consent may be necessary and an Informed Consent Form is not being used. Please note that verbal consent is permissible in only exceptional circumstances where written consent is not feasible or inappropriate. Please attach draft Verbal Consent Script of what participants will be verbally told.
- ☐ Online consent form. Please attach draft version. If online consent is being obtained, please indicate the website where the questionnaire/survey will be hosted:

11. Data Security

Privacy refers to an individual's right to be free from intrusion or interference by others. It is a fundamental right in a free and democratic society. The ethical duty of confidentiality refers to the obligation of an individual or organization to safeguard entrusted information. Security refers to measures used to protect information. It includes physical, administrative and technical safeguards.

For a fuller description of researcher obligations surrounding confidentiality, privacy and data security issues, please consult the **Data Security Guidelines for Research Involving Human Participants**.

In light of the above, please address the following questions:

a. Will the data be treated as confidential? ☐ No ☐ Yes

If "No", please provide a rationale:

b. Will the participant(s) be anonymous? ☐ No ☐ Yes

Note: Participants are NOT anonymous to researchers during interviews/ focus groups/ experimental research/ face-to-face research or where researchers have access to any identifiable information. However, anonymity and confidentiality can be provided in any final reports/ publications.)

If "No", please provide a rationale:

c. Describe the procedures to be used to ensure anonymity/confidentiality of participants (where applicable) –or– the confidentiality of data during the conduct of research and dissemination of results, such as data anonymization.

d. Please describe how you plan to store hard copy data securely, i.e., consent forms and other written records. Note that consent forms must be stored for 2 years.

☐ Locked filing cabinet
☐ Other

e. Please describe how you plan to store electronic data securely (such as video/audio recordings and document files)

- ☐ Encrypted and/or password-protected USB keys, laptops and/or other portable electronic data devices
- ☐ Secure Server
- ☐ Other

f. Please describe how you plan to store other formats of data (if applicable):

g. Tri-agency now considers it best practice to deposit the research data to a data repository, whenever possible. Please clarify if, following active data collection, the de-identified data will be deposited to a data repository If you do not plan to deposit data into a data repository, please provide a rationale:

h. If you plan to destroy research data, please provide a rationale (e.g., it is not feasible to de-identify data, there is a high risk of re-identifying or relinking the data, exposure of the data might cause vulnerability or harm to the participants or their communities, the topic of the data is sensitive, etc.):

i. If you plan to destroy research data,

- provide a firm date by which the data will be destroyed (mm/dd/yyyy): _____
- provide details of their final disposal
  - for hard copy data (e.g., cross-cut shredder, etc.)
  - for electronic data (e.g., deletion and overwriting of drives; destruction of drives; etc.)

j. Describe any limitations to protecting the confidentiality of participants whether due to the law, the methods used, the nature of the sample population, or other reasons (e.g., duty to report) that you are aware of.

k. Identify all parties who will have access to the data.

- ☐ Primary Investigator/student
- ☐ Supervisor
- ☐ Other (please specify):

l. Uses of the data: Please describe all forms of output that are anticipated to result from this research (e.g., presentations, written papers, placing data in an archive, creative works, documentary films, etc.). Describe how any potentially identifying information will be handled in each form of output.

m. Subsequent use of data: Will the data potentially be used for other purposes in the future (e.g., teaching, future analysis, publishing of dataset, archiving in an institutional repository, etc.)

☐ No ☐ Yes

If 'No', the data will be solely used for the purposes described in this application and will not be used for other purposes in the future.

If 'Yes', participants must be informed of this possibility during the consent process. Subsequent use of the data for new purposes may require additional review by the REB.

If 'Yes', please describe how the data will be prepared to make it suitable for future use (e.g., anonymization, storage, archiving, etc.). Please describe what future uses might occur (e.g., use within the PI's research group, transmission to other researchers, publication of the dataset, etc.). Please identify any known repositories to which data may be submitted. (The REB recognizes that all potential future uses cannot be anticipated, but does expect that data will be prepared in a manner for future uses that respects the conditions under which the data were originally collected.)

12. Additional Information

Is there any additional information that you would like to add that may assist the HPRC in reviewing your protocol?

Part C – Declarations

Student Declaration

I hereby certify that all information on this form and all statements in the attached documentation are correct and complete. I have examined the guidelines and principles detailed above, and the Senate Policy for Research Involving Human Participants, and affirm that, to the best of my knowledge, this research conforms thereto. I affirm that I have informed all members of my research team of their responsibilities as it speaks to the conduct of research involving human participants and as outlined in the Senate Policy for Research Involving Human Participants. I have advised all research team members that all human participants in the research must have signed a written consent form or have provided oral consent for their participation in the research. I hereby undertake to notify the Human Participants Review Committee via the Office of Research Ethics (HPRC) if I make changes involving the use of human participants on this project and submit the required documents (e.g. Amendment request) to HPRC for review and approval; if these changes are not minor, my research proposal may be required to undergo a further ethics review. I understand that any misrepresentation in the proposal or attached documentation may lead to a charge of breach of academic honesty. In the case of an adverse/unanticipated event, I will notify HPRC. I also understand that I must retain Consent Forms for two years following the completion of the research. I will also notify HPRC if any unforeseen risks not specified in the research proposal appear. In such a case, the study will be suspended pending clarification.

Signature of Student

Date (mm/dd/yyyy)

Supervisor Declaration

I hereby certify that all information on this form and all statements in the attached documentation are correct and complete. I have advised the student that all human participants in the research must have signed a written consent form or have provided oral consent for their participation in the research. I have advised the student that the Human Participants Review Committee via the Office of Research Ethics (HPRC) will be advised of any changes in research methodology or any increased anticipated risks to human participants and that a further ethics review and approval is required as a result of such changes. I have advised the student that Consent Forms must be retained for two years following the completion of the research.

Signature of Supervisor (of Thesis/Dissertation)

Date (mm/dd/yyyy)

Section to insert Digital Signatures (if applicable):

Electronic Signature of Principal Investigator (PI)

Date (mm/dd/yyyy)

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Document Checklist

Please attach the following items, if applicable, to TD2, Graduate Student Human Participants Research Protocol.

Incomplete forms will not be accepted for review.

1 All TD2 forms must have the following attached:

a. Informed Consent Form(s)
b. TCPS Certificate

2 Other Consent Documents (if applicable):

- ☐ Substitute Consent form (Parental/Guardian consent) — required if your research participants are under 16 years of age or without capacity to consent
- ☐ Assent Form — required if your research involves substitute consent
- ☐ Verbal Consent Script — required if you plan to seek verbal consent for any of the research participants
- ☐ On–line Consent Script — required if participants are asked to consent online

3 External permission and approvals (if applicable):

- ☐ Decisions Needed From Other REB Boards — required if your research requires ethics approval from an institution other than York University
- ☐ External REB approval required — certificate attached
- ☐ External institutional permission required — documentation provided
- ☐ Internal institutional permission/approval required (e.g., OIPA) — documentation provided
- ☐ Medical directive
- ☐ Research Agreement(s) — append all copies
- ☐ Data use/access agreements (for use in secondary data analysis)

4 Test Instruments (if applicable):

- ☐ Questionnaires and Test Instruments
- ☐ Draft interview questions, focus group questions

5 Recruitment (if applicable):

- ☐ Recruitment Materials: Posters, Letters, Participant Pool Advertisement, etc.

6 Debriefing (if applicable):

- ☐ Debriefing Letter — required if your research involves deception (see Section 10, Informed Consent for details)
- ☐ Debriefing Consent Document — required following administration of debriefing statement (if your research involves deception)

7 Other (if applicable):

- ☐ Provenance of Anonymous Data
- ☐ Research Team Member Confidentiality Agreement
- ☐ Participant Images Informed Consent Addendum