# REB Application Companion Guide

This document is intended to be used as a guide in completing the *Non-Psychology/Psychology Ethics Application* on ROMEO. It will describe the general considerations for each section of the application and will also reference specific TCPS2 articles where appropriate. It is not an exhaustive list of instructions, and the REB may ask for other considerations not listed in this document.

## Tab 1 – Project Information

Please enter an accurate and descriptive title of your project. There is no need to fill out the Start Date and End Dates, as they will be changed before approval.

## Tab 2 – Project Team Information

The researcher who created the application is automatically listed as the Principal Investigator (PI). You can click on *Change PI* if you need to change the PI **before** submission.
If there are any other project team members, add them to the ROMEO file with the Add New button listed under Other Project Member Info.

- Please note that students can no longer be listed as PI. If an application is submitted with a student listed as PI, it will be returned for revisions. For information and instructions on how to change the PI, please visit our website.

## Tab 3 – Non-Psychology/Psychology Applications – Request for Human Ethics Review

### Section 1 – Administrative Details

#### Question 1.1

Only full-time faculty members, contract faculty members on active contracts, or staff members can be listed as the primary investigator after August 1, 2023. This change is to align with the TCPS2's definition of Principal Investigator, which is "The researcher who is responsible for the ethical conduct of the research, and for the actions of any member of the research team at a local site."
Students can still prepare an ethics application as all individuals added to a Romeo application can edit the application. While they can start an application and edit all sections of an application, they will not be able to be listed as a PI when it comes to the final submission to the REB.
If a student generates a new Romeo application, they will be defaulted to the PI. The PI must be switched to the student's supervisor prior to the submission. The supervisor will need to review and approve the application before submitting to the REB. To change the PI to a supervisor:

1. Navigate to the Project Team Info tab of your application.
2. Click Change PI in the top left corner of the tab.

3. Search for a full time or contract teaching faculty member or staff member.
4. Click Select next to their name.

Alternatively, a supervisor can generate the application in ROMEO and add the student as a student co-investigator or principal student investigator so that the student can fill out the remainder of the application. The final approved version must be reviewed, approved, and submitted by the PI (supervisor) in order to be reviewed by the REB. This new process will remove the requirement of students having to submit a screenshot of their supervisor's approval with every new application.

### Question 1.2 and 1.3

Identify where the research activities are taking place.

### Question 1.4

Identify any partnering organizations or agencies that you are working with or were contracted by for this project.
**Example:** This project is being conducted at the request of the Anytown Community Organization.

### Question 1.5

Identify if there are any additional necessary permissions/certifications required to engage in research activities. These permissions can include approvals from school boards, Indigenous research ethics committees, business leaders, collaborators, etc.

### Question 1.6

If you answered yes to question 1.4, describe these additional permissions/certifications.
**Example:** additional approval from the WRDSB will be required.

### Question 1.7

Indicate if any of these options apply to your project. If so, different or additional review processes may be required.

### Question 1.8

A clinical trial must be registered in a publicly accessible registry (e.g., www.clinicaltrials.gov). Provide this number of your clinical trial registration in this section.

### Question 1.9

Indicate if your study is funded.

### Question 1.10

If you answered yes to question 1.8, provide the funding name, agency, and the name of the PI on the grant.
**Example:** Samantha Moeller's SSHRC IDG

### Question 1.11

Provide the grant's index code. If the index code is not known or is being generated, please include your reference number so staff can communicate your approval with Research Finance. If you have a limited release of funds, note that in this section.

### Question 1.12 and 1.13

Indicate the type of project this application is for. If it is for undergraduate or graduate coursework, provide the course code. Please note that some undergraduate coursework can be reviewed by the departmental Research Ethics Committees (RECs). To learn what projects are eligible for REC review and to see which departments have RECs, please visit our webpage.

## Section 2 – Study Description and Methods

### Question 2.1

*Briefly* describe the reasons why this research is being conducted, the scientific rationale, and the specific hypothesis(es)/research question(s) to be examined. Please include a short description of the study design, but do not describe the methods in this section. Use clear language that can be understood by researchers outside of your discipline.

**Example:** This research is being conducted to examine how adults think about the development of prospective memory (the ability to remember to do something in the future) in children. Prospective memory differs from retrospective memory as retrospective memory is memory for events in the past. Some researchers believe that prospective memory is inherently social in nature as it often involves other people or the consequences involve others (e.g., forgetting to meet a friend for lunch, forgetting to mail a letter, etc.). Young children make prospective memory errors because they do not remember what they have to do but as they get older, they begin to make errors because they fail to remember when to complete the task. Using a survey, we will present different vignettes to test the following hypotheses: 1) adults will think that prospective memory errors are more severe than retrospective memory errors based on ratings of specific adjectives chosen by the researchers, 2) older children will be seen as more at fault for their errors than younger children based on ratings of fault because children become more independent as they get older.

### Question 2.2

Identify *all* the methods the research activities will employ.

### Question 2.3

If you selected "Other" in Question 2.2, describe those methods briefly.

### Question 2.4

Describe *all* the methods employed by the study and how long participation will take.

**Example:** Participants will first read and sign the consent form (5 minutes), followed by completing a survey. The survey contains 20 vignettes about a child either 4 or 6 years old

making a prospective or a retrospective memory error. They will be rated on several different adjectives as well as personal fault for the memory error (see Appendix C for the survey, 30 minutes). All participants will see all conditions, so there is no deception involved and thus no need for a debriefing form. Total time to complete: 35 minutes.

## Section 3 – Participants and Recruitment

### Question 3.1

Describe the participants you are going to collect data from and indicate how many participants you anticipate to recruit.
**Example:** approximately 400 adults aged 18+ will be recruited to participate.
**Example 2:** 20 employees, and 40 customers between the ages of 25 and 60 from the Waterloo Region will be recruited to participate.

### Question 3.2

Describe any criteria that you are using to filter participants. Identify the criteria you are using to include specific participants or exclude them.
**Example:** Apart from age, there are no restrictions on who can participate in this research because we are looking for a broad range of perspectives. An age of 18+ is necessary because that is how old individuals must be to be members of the website Prolific.
**Example 2:** As we will be studying LGBTQ2S+ individuals in first-year university environments, only participants that identify as LGBTQ2S+ and currently enrolled in their first year of university will be included.

### Question 3.3

Identify if there will be a screening process to identify eligible participants.

### Question 3.4

If you answered yes to question 3.3 and are using a screening process to determine the eligibility of participants, describe the process in this section. Please note that screening surveys also require informed consent. Therefore, eligibility questions can be asked after the informed consent for the project. Alternatively, you can include a brief consent statement specific to the screening process ahead of the eligibility questions.
**Example 1:** Participants will be screened for eligibility. After they sign the consent form, they will be asked a set of eligibility questions (see Appendix B). If they are ineligible to participate, their data will be destroyed.
**Example 2:** Participants will be screened for eligibility. The eligibility survey begins with a short consent form pertaining to the collection of screening data (See Appendix D). If they are deemed ineligible, these data will be destroyed. If they are deemed eligible, they will be invited to take part in the study and provided with the informed consent form for the project in full.

### Question 3.5

Identify all places where participants will be recruited from.

### Question 3.6

Identify all applicable materials that will be used for recruitment. Please ensure to attach copies of all relevant recruitment materials in the Attachments section.

### Question 3.7

Describe the recruitment process, including where participants will be recruited from, list specific sources, and describe the materials that will be used to recruit which participants. If you must gain access to specific information to recruit (such as email listservs, etc.), please explain how you will gain access.

**Example:** Participants will be recruited only through Prolific, using the attached Prolific ad.

**Example 2:** Participants will be recruited through posters on Wilfrid Laurier Campus and the University of Waterloo campus, through student group contacts, and social media posts on Twitter, Instagram and Facebook. The social media posts will be on accounts created specifically for the project.

Example 3: A recruitment email will be forwarded to the Deans of the social work faculties at Ontario institutions with the attached poster. They will forward that email to the students on our behalf.

### Question 3.8

Identify if there are any relationships between the researchers and potential participants.

### Question 3.9

If you answered yes to question 3.8, describe the nature of the relationship between the researchers and potential participants.

**Example:** Participants will be students enrolled in PS344, which the PI currently teaches. To ensure that there is no undue influence to participate in the research project, potential participants will be invited by the co-investigator who does not have access to or influence over student grades. The PI will not have access to the data until the participants' final grades are submitted.

### Question 3.10

Identify if the potential participants are members of a company or organization that is funding the study.

**Example:** a company contracts the research team to collect data from their employees.

### Question 3.11

If you said yes to question 3.10, provide as much information as possible about the organization and how you plan to ensure there is no undue pressure for employees to participate and minimize the risks to their participation.

**Example:** The company who contracted the research will not receive a dataset. Instead, they will receive a summary report of the findings. The company will not know who participated or did not participate in the research.

## Section 4 – Research Involving Indigenous Peoples and Communities

According to TCPS 2 Article 9.1: "Where the research is likely to affect the welfare of an Indigenous community, or communities, to which prospective participants belong, researchers shall seek engagement with the relevant community." The questions in this section are to determine what community engagement has already taken place or will take place during the lifespan of the project.

### Question 4.1

Identify what aspects of your project will be applicable to your research. If you select any of the options besides Not applicable, answer questions 4.2-4.9.

### Question 4.2

Describe the kind and amount of engagement you have already had or will have with the Indigenous communities you will be working with. If you have emails or other documentation to confirm community engagement, attach it in the Attachments tab.

**Example:** We have corresponded with local Leaders to build a research project together that focuses on the needs of the community. The viability of the project, discussion of methods and participants, data management, and renumeration have all been discussed. Their approval of the project has been attached in the Attachments tab.

### Question 4.3

If you received or sought out any information about the community prior to engagement, explain what the information is and where you received it from.

### Question 4.4

Sometimes, research agreements between both parties will be created, outlining the specific responsibilities of each group, data management protocols, etc. Please indicate if one of these agreements has been generated between the University or the research group and the community and attach it if applicable.

**Example:** Yes, an agreement between the University and the community has been created and is attached in the attachments section (see Appendix G).

### Question 4.5

Describe if you will seek out the expertise of local people with experience in the community, or if you will provide support for capacity building, such as training local personnel, during the course of research.

**Example:** Yes, we will employ and train local individuals as RAs in our research methods. That way, when the main data collectors leave the site, the project can continue with local researchers.

### Question 4.6

Explain how leaders in the community will assist with recruitment or identification of potential participants, if they are involved in this phase of the project.
**Example:** Yes, leaders will share the information about the projects with other members of the community and provide them with the researchers' contact information should they want to participate.

### Question 4.7

Identify if the final results will be shared or stored with the community, and where these results will be stored.
**Example:** Yes, the data and final results belong to the community and will be held in the local government office. The community will decide how to use the data from that point forward.

### Question 4.8

Explain if individuals will be asked to speak on behalf of their community during the course of research. Please provide details about how specific members will be selected (e.g., are you looking for people with specific roles in the community) or indicate if the community itself will identify and invite these members.
**Example:** Yes, specific members of the community will be invited to attend conferences with the researchers on behalf of the community to speak about the findings. All those who attended the focus groups will be invited to attend.
**Example 2:** Yes, specific members of the community will be invited to participate in the research activities as representatives of their communities. Participants will be identified in consultation with the community.

### Question 4.9

Explain whether your research will investigate the conduct of those with authority over Indigenous individuals. If it will, explain how the research will be conducted with respect and consideration for cultural norms and the safety of the participants.

## Section 5 – Free, Informed, and Ongoing Consent

### Question 5.1

Indicate the age and decision-making capacity of the participants. Select as many as applicable to your project.

### Question 5.2

Indicate which methods of consent you are obtaining. Select as many as applicable to your project.

### Question 5.3

Describe how you will be obtaining and documenting participants' consent. Provide as much detail as possible.

**Example 1:** Participants will be given a consent form to read and sign once they enter the lab ahead of all data collection. A researcher will be present to review the consent form with them and answer any questions they have. This method is being used because data collection will be in person.
**Example 2:** Because our survey is on Qualtrics and hosted on Prolific, a signed consent form cannot be used. Instead, participants will indicate their consent through checkboxes on the first page of the survey before any data is collected.
**Example 3:** Because of the historical implications of signing forms, it is not appropriate to request participants sign a consent form. In this case, I will discuss the consent terms with participants verbally, and note their consent down on a form for my records. A copy of this information (attached) will be given to participants to keep.
**Example 4:** Because of the nature of my research questions, participants may be put in danger if it is revealed that they participated in my research (e.g., in cases of research on domestic violence). Therefore, a paper trail of their participation is not appropriate. I will discuss the consent terms with participants verbally and note their consent down on a form for my records.

### Question 5.4

Describe the consent processes in detail for those who are not able to provide consent to participate on their own behalf.
**Example 1:** Participants with advanced stages of dementia will not be able to consent to participate in research on their own behalf and must have a third party or caregiver consent for them. Upon the first visit, their caregivers will be given a paper consent form to review with a researcher and sign. Participants will be asked for their assent ahead of the interview using the assent script (see Appendix 4 – Assent Script). Decision-making capacity will be assessed by their caregiver, who will be present through the course of the interview and will stop the protocol as necessary. If at any time the participant does not wish to continue, the experiment will be stopped immediately.
**Example 2:** Consent for children to participate will be sought from their caregivers via a signed consent form emailed to them, and children will be asked for assent at the time of participation using the attached assent script (Appendix 5 – Assent Script). If at any time the participant does not wish to continue, the experiment will be stopped immediately.

### Question 5.5

Explain if consent will be re-documented throughout the study, and how.
**Example:** Signed consent will be sought at the start of each of the three interviews.

### Question 5.6

Indicate if you will be collecting broad consent for the use of data in future projects and how you will be collecting it. Please note that the following is necessary to include in the consent form in order to request broad consent (TCPS 2 Article 3.13):

a. the type, identifiability, and amount of data and human biological materials being collected and stored for re-use, and for what potential purpose;

b. the voluntariness of the participant's consent, including any limitations on the feasibility of withdrawal;
c. a general description of the nature and types of future research that may be conducted, including whether the research might be conducted outside of Canada (if known);
d. the risks and potential benefits of storage of data and human biological materials, and of their use in future unspecified research, including areas of uncertainty where risks cannot be estimated;
e. access to a general description of the repository and its governance;
f. a statement regarding participants' preference to being re-contacted for additional future research;
g. whether the data or human biological materials could be shared with researchers who are not subject to the TCPS;
h. whether the research will (if known) or might include whole genome sequencing or similar technologies that may pose a substantial risk of re-identification of the participant or identification of material incidental findings (when appropriate);
i. whether linkage of data gathered in the research or derived from human biological materials with other data about participants – either contained in public or personal records – is anticipated (Article 5.3); and
j. separate options for consenting to participate in a specific research project and for consenting to the storage of data and human biological materials for future unspecified research.

### Question 5.7

Indicate whether you are using deception or concealment (partial disclosure) as part of your project. If you are not using either, skip to question 5.13.
**Deception:** Presenting false information as true. Example: presenting false statistics on bird migration as it relates to climate change.
**Concealment (partial disclosure):** Not presenting all information about the project. Example: participants being sorted into one of many experimental conditions that are being compared, not being given the true hypotheses or purpose of the research.

### Question 5.8

Describe what information will be withheld from participants, or what misinformation will be presented.
**Example:** The purpose of the research (testing participants' memory for stimuli they did not hear in the study phase to see if they falsely recall anything) will be withheld from participants.

### Question 5.9

Describe why it is necessary to withhold/misrepresent information during your study.
**Example:** The purpose of the study will be withheld because giving this information to participants in the consent form may influence their behaviour (e.g., might result demand characteristics), which will influence the results of the study and make them ungeneralizable

and invalid. The benefits of the research outweigh the risks of concealment because we are not concealing any important or sensitive information, and participants will be fully debriefed after the study is complete.

### Question 5.10

Describe how participants will be debriefed. Please note that in rare and extenuating circumstances, debrief may not be required. If this is the case, please describe the decision not to debrief thoroughly.
**Example:** Participants will be given a debriefing letter immediately following their participation or withdrawal.

### Question 5.11

TCPS2 Article 3.7B stipulates that *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*. Indicate if participants will be given this option. If you are not planning on providing participants with this option, explain.
**Example:** Yes, participants will be given the option to withdraw their data during debriefing (see attached Appendix 6 – Debriefing Form).
**Example 2:** Data is collected anonymously, and therefore withdrawal is not possible. (Note that linking your debriefing document to your anonymous survey and including a "Now that you know the true nature of the study, do you consent to the use of your data in this study? ___ yes, ___ no" does make it possible to meet TCPS recommendation to permit withdrawal of data in an anonymous study.)
**Example 3:** Allowing participants to withdraw their data may introduce a bias into our results, as those who identify as politically conservative are more likely to request the withdrawal of their data than those who identify as politically liberal.

### Question 5.12

Describe what will happen to the participant's data when a participant withdraws (if possible, practical, and appropriate).
**Example:** Participants' data will be deleted if they choose to withdraw.

### Question 5.13

Indicate if the methods used may reveal any incidental findings such as health conditions, diagnoses, etc.

### Question 5.14

Describe if there are any clinical implications associated with the potential incidental findings.
**Example:** Yes, this research may reveal specific cognitive diseases (e.g., dementia) for which participants may require further care.

### Question 5.15
Describe if the incidental finding would be accepted by professionals in the appropriate field (e.g., would the findings be recognized as an official clinical diagnosis?)
**Example:** No, while the findings would be the diagnostic criteria for dementia, participants would be required to obtain an official diagnosis from a doctor.

### Question 5.16
Indicate if the disclosure of the findings could cause psychological harm to participants.

### Question 5.17
Indicate if you will be communicating the incidental findings to participants.

### Question 5.18
Describe how you will communicate the findings to participants.
**Example:** Participants will be asked to come to the lab because something was revealed during their participation. Upon their arrival, they will be asked to sit down with the researcher and the researcher will then deliver the news of the discovery of their illness. A counselor will be present with the researcher to provide the participant with support should they need it.

### Question 5.19
If you are planning to reveal these incidental findings to participants, describe the method by which they will be revealed. Consent to recontact participants to disclosing incidental findings must be obtained in the consent form.
**Example:** In the consent document we will be asking participants to provide an email address if they wish to receive updates regarding the research. Any incidental findings will be sent to the participants that consented to receive this information.

## Section 6 – Privacy, Confidentiality, Anonymity, and Data Management
### Question 6.1 – 6.2
Indicate *all* the data that you are collecting that could potentially identify a participant (either on its own or in combination with other data) and provide justification for why you are collecting this data.

### Question 6.3
Justify the collection of identifiable information and how it will be used to answer the research questions.
**Example 1:** Name and email address will be collected to contact participants to invite them to participate in the research and to send them their transcript for verification after their interview.
**Example 2:** Partial postal code will be collected to generate a crime map in the area, which is essential to our analysis for type of crime by location in the GTA.

### Question 6.4

Indicate if you are collecting any personal health information. According to the Personal Health Information Protection Act, personal health information means identifying information about an individual in oral or recorded form, if the information,

(a) relates to the physical or mental health of the individual, including information that consists of the health history of the individual's family,

(b) relates to the providing of health care to the individual, including the identification of a person as a provider of health care to the individual,

(c) REPEALED: 2020, c. 13, Sched. 3, s. 8 (7).

(c.1) is a plan that sets out the home and community care services for the individual to be provided by a health service provider or Ontario Health Team pursuant to funding under section 21 of the *Connecting Care Act, 2019*,

(d) relates to payments or eligibility for health care, or eligibility for coverage for health care, in respect of the individual,

(e) relates to the donation by the individual of any body part or bodily substance of the individual or is derived from the testing or examination of any such body part or bodily substance,

(f) is the individual's health number, or

(g) identifies an individual's substitute decision-maker. 2004, c. 3, Sched. A, s. 4 (1); 2007, c. 8, s. 224 (6); 2007, c. 10, Sched. H, s. 2; 2020, c. 13, Sched. 3, s. 8 (7, 8).

### Question 6.5

Justify your collection of personal health information and explain how it will be used in your project.

**Example:** We are using participants' dementia diagnosis status as a variable for analysis to examine the differences in cognitive performance on our measures.

### Question 6.6 – 6.7

Indicate and describe any demographic data you are collecting.

### Question 6.8

Justify the collection of demographic data and explain how it will be used in your analysis.

**Example:** Analysis will be conducted based on age of the participants to examine how participants' prospective memory ability improves as they age.

### Question 6.9

Describe how participants will be identified in the stored data.

**Example:** Individual participants will be identified by a participant number.

### Question 6.10

If you are using a pseudonym, participant number, etc., indicate if this identifying will be linked to a participant's identifying information.

### Question 6.11

Describe how long the linking information will be stored and how it will be deleted.
**Example:** The linking code will be stored for one year before being permanently deleted by the principal investigator.
**Example 2:** The data must remain identifiable because participants will be identifiable in the research outputs.

### Question 6.12

Indicate what kind of records you will be keeping the data in: paper, electronic, or both.

### Question 6.13

Indicate who will be responsible for storing the data, who will have access to the data, and where it will be stored. Please note that USB keys are not advised for data storage.
**Example:** the principal investigator will be responsible for the storage of the data, and all co-investigators will have access to the raw data. It will be stored on their Laurier OneDrive.

### Question 6.14

Describe how the data will be used in the dissemination of the results.
**Example 1:** The data will be presented in aggregate, so no participants will be individually identified.
**Example 2:** Participants' story will be summarized by the researcher and de-identified quotes will be used.

### Question 6.15

If you included quotations in your answer to 6.14, indicate if individuals can participate in the research without having their quotations used in reports of study findings. If they can, add a consent option at the end of your consent form to request participants' consent to use their quotations. If they cannot, include information (typically found in the confidentiality section) about the mandatory use of quotations in your consent form.

If you will be using a transcript software, please consult with ICT to determine if the software is approved for use in research and submit proof of correspondence to the application.

### Question 6.16

Indicate if participants have the opportunity to review their quotations before their use in the dissemination of the results. If they do, describe how you will present the quotations to them for their review, how long participants have to review this information, and what will happen if they do not respond.
**Example:** The following statement was included in the consent document: "You will be able to vet your quotations. You will receive an email prior to any publication with the quotations selected for use. You will have two weeks to review, make changes to, or remove your

quotations. If the researchers do not hear back from you in that time, the quotations will be used as they are."

### Question 6.17
Indicate if anyone outside of Laurier will have access to the data.

### Question 6.18
Describe how you will send the data to co-investigators outside of the institution and the safeguards employed to keep the data secure.
**Example:** We will share the de-identified link via OneDrive or SharePoint to the researchers at the University of Calgary.

### Question 6.19
Indicate if there are any plans to link the collected data to any existing datasets.

### Question 6.20
If there are any plans to link the data to other datasets, databases, or registries, identify where the data will be shared and why you are linking or depositing the data to these places.
**Example:** We will be linking this data to a Health Canada dataset on doctor and patient relationships.

### Question 6.21
If you answered yes to question 6.19, describe if and how a participant could be identified by the linkage of datasets as described. Also describe how the data will be safeguarded during transport.
**Example:** There is no possibility that participants may be identified by the linkage of datasets, as there is not enough indirectly identifying information that is stored in the datasets that could create identifiable people. The dataset will be completely anonymized ahead of transmission and linkage.
**Example 2:** Several of the variables collected through this study may be matched with the existing dataset to generate a more fulsome picture of participants. This picture may be identifiable to those who have access to it. This linked dataset will not be shared outside the research team.

### Question 6.22
Indicate if you plan on depositing the data in an open access repository.

### Question 6.23
If you answered yes to question 6.22, identify the database if it is known.
**Example:** We will be uploading the anonymized dataset to ICPSR to allow other researchers to have access to the dataset and continue data analysis.

### Question 6.24

Explain how long the data will be retained. If there are any requirements for retaining data for a specific amount of time, please state them.

**Example:** Per the WLUFA collective agreement, the de-identified data will be kept 5 years from the completion of data collection. The linking key and identifiable data will be kept for 6 months until analysis is completed and then destroyed.

**Example 2:** Participant information will be kept until October 31, 2023, and then destroyed. The de-identified data will be kept indefinitely to allow for use on future projects.

### Question 6.25

Describe how the data will be destroyed. If it is not being destroyed, describe how the data will be stored indefinitely.

**Example:** Hard copy files will be sent to Iron Mountain for destruction, electronic files will be deleted and recycle bin on the computer cleared as well.

**Example 2:** All electronic data will be stored indefinitely on the laboratory computer, and backed up on a Laurier One Drive account.

### Question 6.26

Participants should be given the opportunity to withdraw their data and end their participation in a research project. However, this may not be possible past deidentification or if the data is collected anonymously. Describe how participants can withdraw from the study, and what point they can withdraw up to.

**Example:** Participants can withdraw their data by contacting the researcher by [date]. After this date, the data will be de-identified and the researchers will not be able to identify individual data.

**Example 2:** As the data received is anonymous, the researchers will be unable to identify individual data after the completion of the survey.

### Question 6.27

Describe any limits to confidentiality and the protection of participant data. Examples of when researchers may be required to provide participant data to those outside the research team are if a participant discloses child abuse, if they have committed a violent crime, or if the data is subpoenaed by the courts.

**Example:** As a licensed social worker, any disclosure to child abuse will be reported to authorities as required by law.

## Section 7 – Risks

### Question 7.1 – 7.2

Indicate and identify what kinds of risks participants will face by participating in the research activities.

### Question 7.3

Describe, with as much detail as possible, how the risks selected in Question 7.1 will be minimized.

**Example 1:** Participants will be given a list of free support resources in the consent form and in the debriefing letter. They also do not have to answer any questions they do not want to and can terminate the interview at any time without loss of compensation.

**Example 2:** Participants will be monitored throughout their participation for signs of light-headedness and illness, and the experimenter will stop the trials if there is a sign that they are feeling unwell or uncomfortable. Participants are also free to refuse any procedure or question and can terminate the study at any time without loss of compensation.

### Question 7.4

If the research activities must be stopped at any point for concerns for participant safety, describe these stopping conditions.

**Example:** If a participant suddenly becomes dizzy during the study, the study will be stopped immediately, first aid will be applied by the researcher, and medical assistance will be called in as required.

**Example 2:** If any participant becomes distressed during the interviews, the interviews will be stopped. The principal investigator will determine whether further support is required and refer as required.

## Section 8 – Benefits

### Question 8.1

Indicate if there are any direct benefits to participating in this study.

### Question 8.2

Describe the benefits to the participants, communities, and society.

**Example:** Participants will not benefit directly from the research. Knowledge gained from this research will benefit the community by being used to develop future programming for immigrant children to be used in libraries.

**Example 2:** Participants (undergraduate students) will benefit from this research by learning about the research process and experimental methodology. The research community will benefit from an enhanced understanding of the modalities of false memories.

Please consider the following:

- Benefits for each group likely differ in size and scope
- Sometimes, participants do not benefit directly from participating in research. Incentives and compensation do not count as benefits in this section and should not be listed here.

### Question 8.3

Describe the scientific and scholarly benefits of this study.

**Example:** This research will expand on the existing literature on prospective memory in children.

### Question 8.4

Describe why the benefits outweigh the risks described in section 8.
**Example:** The benefits of enhanced programming available to newcomers and their children to Canada in the Kitchener/Waterloo region, which can increase literacy and enhance and strengthen community ties, outweighs the psychological risk of being uncomfortable answering questions relating to their immigration.

## Section 9 – Incentives and Reimbursement

### Question 9.1

Indicate if you will be providing incentives. Incentives can include PREP/LSRPS credits, cash, gift card, small gift, entry into a draw, etc.

### Question 9.2

Describe what the incentives you will be providing are and how participants will receive it.
**Example:** Participants will be given $2.00 USD for participating in the survey. This amount will be sent via e-transfer to the participant's email address.

### Question 9.3

One of the main concerns regarding incentives that the REB has is evaluating if the amount is so large that participants will disregard risks in order to obtain the incentive. In this section, justify the amount you will provide to participants.
**Example 1:** Prolific's recommended payment amount is $12.00USD/hour. Because our survey is 10 minutes long, we will provide $2.
**Example 2:** It is the standard in this field to provide participants with $50/hour for their participation.
**Example 3:** PREP in-person studies are required to provide 1 PREP credit per hour of in-lab participation.

### Question 9.4

Indicate if participants will need to spend their own money to participate in your research, such as paying for parking at the research location, bus fare, childcare, etc.

### Question 9.5

If participants will incur any costs by participating that they would not otherwise incur, describe if any of the costs are being reimbursed and how. This can include transportation, parking, childcare costs, etc.
**Example:** Participants will be given a day parking pass to park in the closest lot to the lab.

## Section 10 – Feedback and Dissemination

### Question 10.1

Indicate when the findings of the research activities will be made available to participants and describe how participants can either learn about the results or contact the researchers if interested in learning more. It is highly suggested that results, in some way, be made available.
**Example:** Results will be made available after September 30, 2024. Participants can email the researcher using the email listed on the consent form after September 30, 2024 for a copy of the results summary.

### Question 10.2 and 10.3

Describe how the results will be communicated. This includes all dissemination plans.
**Example:** The results will also be communicated in a community-run podcast, a journal article, and conference presentations.

### Question 10.4

Indicate if you will be presenting the findings to the company you are working on behalf of.

### Question 10.5

Describe how the findings of this research will be communicated to the participants if you are working with or on behalf of a third party.
**Example:** The report that will be given to the company we are working on behalf of is noted in the Feedback section of the consent form.

## Section 11 – Conflict of Interest

### Question 11.1

Indicate if there are any conflicts of interest to declare, related to the situations below:

- a researcher or anyone connected to a researcher will receive any personal benefits from the conduct of this study.
- the researchers are aware of any incentives that may influence their integrity, independence, or ethical duties in the conduct of the research.
- the researchers are aware of any institutional conflicts of interest.
- any of the researchers or anyone connected to a researcher have any interest in the product being studied, the conduct of this research, or anyone sponsoring or supporting the research.
- any of the researchers or anyone connected to a researcher have connections to anyone sponsoring, supporting, or is otherwise interested in the outcome of this research.
- Any other real, potential, or perceived COIs.

### Question 11.2

If you selected any answer besides Not applicable in question 11.1, please describe the nature of the conflict of interest, who is involved, and the proposed ways to minimize the risks presented by it. Please provide as much detail as possible.

**Example 1:** The researcher's family member is part of the development team for the product and does stand to benefit financially from the development of the product.
**Example 2:** Dr. Jane Doe will receive gifts by the company commissioning the research.
**Example 3:** Those who may review this application may benefit financially from this research.
**Example 4:** Dr. Jane Doe works for company developing the product being tested.
**Example 5:** Mr. John Doe is the Executive Director of the program that will benefit from this research.

## Section 12 – Document Checklist

### Question 12.1 – 12.6

Ensure that all the documents you plan to attach are checked off in this section. In addition, ensure that all that you have checked off in this section is attached.

## Section 13 – Principal Investigator Acknowledgements

### Question 13.1

Please check off the box to acknowledge that you have read the agreement.