Department Ethics Committee Review Form

The university requires research ethics board review before conducting human research. This form is to be used for the review of undergraduate student research and course-based research projects that are minimal risk.

Undergraduate student research includes honours theses, fourth-year projects, independent studies courses, and other undertakings in which the student takes substantial responsibility for the design and conduct of a full-scale project.

- Note: Department-level review cannot be used for faculty research. However, many projects blend a student's ideas with elements of their supervisor's ideas or research. The provision that the student has "substantial responsibility" means that while some elements of the project may contribute to a faculty member's research, the primary goal of the project should still be undergraduate training. Put another way, DEC review of student projects cannot substitute for UHREB review of a faculty member's research program.

Course-based research projects provide students with an opportunity to learn by doing research. In this way, students learn basic research skills and can see how research happens in practice. Course-based projects may be conducted by individuals, small groups of students, or an entire class. Course-based projects may involve the use of diverse methods of research (e.g., observations in public places, interviews within a class or with individuals outside of a class, development and administration of a questionnaire, administration of standard tests). In general, the primary goal of course-based research is use within the class and not wider dissemination.

- Note: Review is required even for course-based activities involving humans that resemble research where the primary purpose of the activity is pedagogical. This is because of the possible risks to those recruited to participate in such activities and because, from a participant's perspective, such activities (e.g., surveys, interviews) may appear indistinguishable from those that meet the definition of research (TCPS2, 2022, Article 2.1). Pedagogical exercises that do not involve systematic observation or data collection, such as role-playing an interview or designing a questionnaire that will not be used to collect responses, do not require ethics review. Some limited research activities (e.g., observation without intervention in public places; see TCPS2, Article 2.3) also do not require any REB review. Data collection in the context of clinical or professional skill development also usually require ethical review.

Application type (check one):

- Undergraduate student research ☐
- Course-based research ☐

Minimal risk refers to projects in which “the probability and magnitude of possible harms implied by participation in the research are no greater than those encountered by participants in those aspects of their everyday life that relate to the research.” (TCPS2, 2022, Article 2.9). Undergraduate student research is typically minimal risk and therefore reviewed only by the DEC. Any undergraduate student research that is more than minimal risk requires review by the UHREB.

Confirm that this application is minimal risk: Yes ☐

For applications by individual students (e.g., honours theses), all sections are mandatory (A to E).
For applications by instructors (e.g., projects conducted by the entire class), sections A, B, & E are mandatory. Sections C and D are optional.

A. Application & Project Information	
Title of Proposal	
Applicant Name	
Department	
Phone	
Email	
Applicant Status (Check one)	☐ Course Instructor ☐ Student Investigator
For undergraduate student research, indicate name and department of supervisor.	
For course-based research, indicate name and number of course.	
Name(s) of co-investigator(s)	
Is this research sponsored or funded?	☐ Yes ☐ No If yes, indicate organization:
Anticipated Start Date	
Anticipated Completion Date	
Date Received	
DEC Protocol Number (To be completed by DEC)	

B. Project Details

**Please attach additional information as a supplemental document where needed if space becomes limited.*

For undergraduate research, provide a rationale for the project. This should include the problem or issue to be addressed and the potential contribution of the research to the advancement of knowledge or its wider social benefit. For course-based projects where the purpose is pedagogy, describe the pedagogical purpose of the project. Use language that is understandable to laypersons. (150 words maximum)

Provide a description of the proposed project's methods including participants (population, sample size, inclusion/exclusion criteria), location (online, in-lab, field, classroom), duration, remuneration (if any), recruiting/screening process, and all study procedures.

Provide a brief description of how the proposed findings will be used (e.g., knowledge mobilization, scholarly publications, classroom exercises).
Provide a brief data management plan including how the project will maintain confidentiality of personal or identifying information, and details related to data storage, retention period, security, distribution, and disposal.
Identify all risks of participation in this study, and explain why these risks do not exceed the risks that participants encounter in the aspects of their daily lives that relate to the research. For assistance identifying possible risks, see the risk assessment checklist that follows. Studies that exceed minimal risk are not eligible for DEC review.
Disclose any real or apparent material or personal conflicts of interest that any of the investigators or sponsors may have regarding relationships with potential participants, and regarding potential uses of the research/scholarly findings. Indicate how any conflicts will be resolved in an ethical manner.

Provide a short risk/benefit analysis in relation to the responses above.
***As attachments**, include all: (a) recruiting materials; (b) consent forms or procedures; (c) all research instruments (e.g., questionnaires, visual/electronic stimuli, observational protocols, interview questions, parameters for video/audio recording, equipment descriptions); (d) relevant letters of permission; and, (e) participant feedback or debriefing forms.*

C. Risk Assessment Checklist

Applicants are expected to be aware of all risks associated with their research projects in relation to TCPS2, university policies, and discipline-specific guidelines. The checklist below, however, will assist applicants and reviewers in identifying potential risks.

For each item, if the chosen response is highlighted, please provide a response explaining and justifying that element of the project and any steps taken to mitigate that potential risk. Underlined responses do not necessarily prevent project approval but represent potential areas of concern that should be considered and addressed by the applicant.

Conflicts of Interest

Disclose any conflicts that apply to the applicants and/or their family members.

1. Is there any possibility that the research findings will be commercialized or generate revenue?	Yes ☐	No ☐
2. Are any of the applicants in dual roles viz-a-viz the participants? (e.g., researcher and provider of other services)	Yes ☐	No ☐
3. Do any of the applicants have proprietary interests in the product under study or the outcome of the research?	Yes ☐	No ☐
4. Are there any other relationships, financial or non-financial that could be construed as a conflict of interest?	Yes ☐	No ☐

Free, Informed, and Ongoing Consent

5. Will the people to be studied be aware that they are the subjects of your research/scholarship?	Yes ☐	No ☐
6. Before giving their consent to participate, will the subjects/participants be informed fully of the nature of their research involvement, and of all features of the research/scholarship that reasonably might be expected to influence their willingness to participate?	Yes ☐	No ☐
7. Will the participants' consent be obtained via a written form or another documented means?	Yes ☐	No ☐
8. Will the explanation of consent (written or oral) contain all elements described in the Consent Form Checklist?	Yes ☐	No ☐
9. Will free and informed consent procedures be used both at the outset of the subject's participation, and thereafter throughout the study (e.g., by notifying subjects/participants of any later changes or developments that might influence informed consent, and seeking further consent to these)?	Yes ☐	No ☐
10. Does the study involve temporarily misleading the subjects/participants as to the study's purposes, incomplete disclosure of the study's purposes, or temporary concealment of other information (e.g., staged occurrences, having subjects/participants do one thing while in fact something else they do is being observed, etc.)?	Yes ☐	No ☐
11. Are any researchers in a position of power, real or perceived, in relation to the participants?	Yes ☐	No ☐
12. Is it possible that the participants might feel or perceive any degree of manipulation, coercion, constraint, or undue influence concerning any aspect of their participation in the study?	Yes ☐	No ☐

13. Will there be any actual or perceived material inducements to participate that exceed reasonable compensations for such things as transportation, unusually lengthy time demands, etc.?	Yes ☐	No ☐
14. Will there be any actual or perceived social inducements to participate that exceed such things as interest in the research, an interesting activity, etc.?	Yes ☐	No ☐
15. Will there be any actual or perceived disincentives for not participating in the research?	Yes ☐	No ☐

Confidentiality

16. Will the participants' identities be kept confidential?	☐ Yes	☐ No
17. Is the nature of the study topic such that merely being known as a participant might represent a disclosure of personal information? For example, recruiting members of stigmatized groups or with health conditions.	Yes ☐	No ☐
18. If responses inadvertently become public, could they be linked to specific participants' identities? For example, because of identifying information within the dataset or deduced by someone else?	Yes ☐	No ☐
19. Will any information about participants or their responses be disclosed to third parties (e.g., teachers, doctors, therapists, other researchers) or disclosed publicly?	Yes ☐	No ☐
20. Will any information about participants be requested from third parties (e.g., teachers)?	Yes ☐	No ☐
21. Are there any ethical or legal limits to confidentiality that may arise in relation to this study's procedures or its participants?	Yes ☐	No ☐
22. Will this study involve any occasions or group(s) where non-participants are present? For example, classroom research.	Yes ☐	No ☐
23. Are there any circumstances where researchers cannot guarantee confidentiality because it depends on third-parties? For example, focus groups involving multiple participants.	Yes ☐	No ☐

Jurisdictional Issues

24. Will the research take place in any other jurisdictions that require additional ethics review? For example, Nunavut or some First Nations lands.	N/A ☐	Yes ☐	No ☐
25. If the study takes place within or with the cooperation of an institution or agency (e.g., school, daycare, church, assisted living), has written approval been obtained from its administrators?	N/A ☐	Yes ☐	No ☐
26. Are there any other ethical frameworks that might apply? For example, OCAP.	N/A ☐	Yes ☐	No ☐

Participant Characteristics

27. Is there a risk that study inclusion/exclusion criteria and/or recruitment processes might unfairly exclude or burden potential participants, groups, or communities?	Yes ☐	No ☐
28. Are any participants children (under age 18) who are not enrolled in university courses?	Yes ☐	No ☐
29. Are any participants, legally or otherwise, expected to have diminished cognitive or emotional capacity to consent, or to understand all elements of the study, at any point during the research project? This includes recruiting, consent, and the duration of all study procedures and follow-up.	Yes ☐	No ☐

30. Are any participants drawn from institutionalized or otherwise captive or dependent populations, such as prisons, hospitals, psychiatric facilities, or mandatory treatment programs?	Yes ☐	No ☐
31. Are any participants from a population that is at heightened risk of experiencing adverse events related to the study procedures? For example, a health condition increasing the risk of exercise.	Yes ☐	No ☐
32. Is the research being conducted with members of distinct communities? For example, Deaf and Hard of Hearing, 2SLGBTQ+, self-governed colonies? If yes, a plan for community engagement is suggested.	Yes ☐	No ☐

Participant Risks

33. Does the study involve actual or potential injury or physical risk? For example, physical fatigue, heat, noise, electric shock, pain, sleep loss, physical deprivation, drugs, alcohol, exercise?	Yes ☐	No ☐
34. Does the study involve actual or potential mental or emotional risk? For example, mental fatigue, fear, loss of self-worth, shame, guilt, embarrassment?	Yes ☐	No ☐
35. Does the study involve actual or potential social or economic risk? For example, loss of privacy or status, damage to reputation, legal jeopardy, loss of employment or benefits.	Yes ☐	No ☐
36. Will the investigator attempt to induce long-term change in participants' attitudes or behaviour?	Yes ☐	No ☐
37. Will real or false individual feedback be given to participants? For example, test scores, performance norms, or personality analysis?	Yes ☐	No ☐
38. Will private materials be provided by the participant? For example, diaries, records, documents, social media posts.	Yes ☐	No ☐
39. Does the study involve any potential risks to third parties who are not participants in the research?	Yes ☐	No ☐
40. Is there any possibility of incidental discovery of participant health or medical conditions?	Yes ☐	No ☐
41. Will all information presented to and collected from participants be in a language that both the participants and the researchers understand fluently?	Yes ☐	No ☐
42. Does this study include the use of personal health information? If yes, you may require PHRPC review from CHIPER.	Yes ☐	No ☐
43. Are any other adverse participant responses anticipated?	☐ Yes	☐ No

Indigenous Research

44. Will your research be conducted on First Nations, Inuit or Métis territories?	☐ Yes	☐ No
45. Does your study use recruitment criteria that include Indigenous identity as a factor for the entire study or for a subgroup in the study?	Yes ☐	No ☐
46. Does your study seek input from participants regarding an Indigenous community's cultural heritage, artefacts, traditional knowledge, or unique characteristics?	Yes ☐	No ☐
47. Does your study use Indigenous identity or membership in an Indigenous community as a variable for the purpose of analysis of the research data?	Yes ☐	No ☐
48. Does your study include interpretation of research results that will refer to Indigenous communities, peoples, language, history, or culture?	Yes ☐	No ☐

**If answering yes to any of the Indigenous Research Questions, a plan for community engagement is required.*

D. Consent Form Checklist

This list is to ensure that all elements of a Consent Form(s) have been included. If you circle "No" or "N/A" for any of the items listed below, please provide a brief explanation in the comments field. If you propose that a written consent form is not required, please provide a brief explanation of how consent will be obtained and documented in the comments field.

1. The University of Winnipeg's letterhead is used or contact information provided	Yes ☐	No ☐	N/A ☐
2. Identity of course instructor or student investigator and supervisor	☐ Yes	☐ No	☐ N/A
3. Description of research topic/question including but not limited to: a) study title/name; b) purpose of research; c) nature/location of participation (e.g., online or in–person); d) duration of participation; e) remuneration, if any; f) research procedures and also whether there are any pre-existing participation eligibility requirements.	Yes ☐	No ☐	N/A ☐
4. Risks and benefits of participation	☐ Yes	☐ No	☐ N/A
5. How feedback will be provided to participants	☐ Yes	☐ No	☐ N/A
6. Degree of anonymity or confidentiality that will be provided, including limitations/exceptions	Yes ☐	No ☐	N/A ☐
7. Statement that participation is voluntary and any answers may be omitted, e.g., "Participants may decline to answer any question(s) without penalty or loss of remuneration."	Yes ☐	No ☐	N/A ☐
8. Statement of whether/when/how withdrawal of data may occur, e.g., "Data may be withdrawn at any time before publication."	Yes ☐	No ☐	N/A ☐
9. Explanation & location of data storage, security, retention, distribution, and disposal.	Yes ☐	No ☐	N/A ☐
10. Statement confirming ethics review including contact information for UHREB & DEC. e.g., "This project has been approved by the Department of XYZ Research Ethics Committee. If you have concerns that the researcher is unable to address, please contact the UHREB Ethics Officer (204-786-9058, ethics@uwinnipeg.ca) or Department Ethics Chair (contact info).	Yes ☐	No ☐	N/A ☐

Researcher Comments/Explanations:

E. Signatures & Acknowledgements

Your signature(s) below indicate that you:

- have read the UHREB Policies and Procedures
- have read the portions of the Tri-Council Policy Statement (TCPS) relevant to the research
- agree to abide by the policies and guidelines listed above
- have completed the TCPS2 CORE tutorial and attached the completion certificate of all investigators
- have disclosed all actual or apparent conflicts of interest
- have disclosed all aspects of the study relevant to ethical review
- believe this submission to be complete
- agree to report to the University Human Research Ethics Board all unexpected or adverse subject/participant responses that exceed the levels anticipated and provided for in this submission
- will conduct the study as described in this submission, if approved
- will request DEC approval for any modifications to the approved submissions
- will comply with all conditions upon which approval may be contingent
- will cease research activities on this approval's expiry date or seek an extension before that date

Note that other university policies may apply to your activities. For example, all UW students, employees, and volunteers working with children are expected to provide recent Criminal Record and Vulnerable Sector checks to Human Resources before the work commences. It is the responsibility of applicants to know their own obligations.

Signature of Course Instructor or Student Investigator:	
Date	*Please save an unlocked copy in case edits are required.*

If student, signature of Faculty Supervisor:	
Date	*Please save an unlocked copy in case edits are required.*

Appendix

SONA Information

(If participants will be Intro Psychology students receiving course credit, this is required)

Study Name:

Study Abstract (concise purpose of research);

Study Description (what participants will be asked to do in the study; online or on campus);

An *in-person study* is one completed face-to-face with the researcher, even if the measures are completed using an internet-based survey tool. An *online study* is one completed via the internet (e.g., Qualtrics, Zoom).

In-person or Online: _____

Duration (rounded to next 30 minute increment): _____

Number of participants: _____

Number of credits (30 minutes: 0.5 credit increments, corresponding to duration):_____

Description:

PSYCHOLOGY DEPARTMENTAL ETHICS COMMITTEE REVIEW

Office Use Only: File Number:
DEC-PSYC-2024-_____

Applicant Name:_____

Project Name: _____

Review Checklist (check all that apply)
_____ This submission meets the criteria for Departmental Review (i.e., student or course-based project that is minimal risk). _____ I have reviewed this submission to ensure completeness. _____ This submission appears to comply with the TCPS2, relevant department and university policies, and disciplinary standards. All ethical issues appear to have been addressed.
Recommendation (check one)
_____ **I approve** of the proposed procedures and materials in their present form. _____ **I require clarifications or modifications** (see comments) that need my further review before granting approval. _____ **I require minor modifications** (see comments) that, if implemented by the applicant, do not need my further review before granting approval. _____ **I do not approve** of this submission (e.g., it is faculty research or exceeds minimal risk) and refer it for UHREB review. _____ This submission **could not be fully reviewed** because it is missing required materials or attachments (see comments).
Comments

Department Ethics Committee Member:	**Department:**
	Psychology
Signature of DEC Member:	**Date:**