Instructions for SERS Graduate Students when Completing the Office of Research Ethics (ORE) Online Application

I. Complete the Tri-Council Policy Statement Ethical Conduct for Research Involving Humans (TCPS2) tutorial:
   - This online/web-based tutorial is called CORE (Course on Research Ethics).
   - You will need to indicate on your research ethics application that you have completed the tutorial before submitting your application.
   - The tutorial may take three (3) hours, on average, to complete.
   - If you have already completed the tutorial for a course or another research project you do not need to complete the tutorial a second time.

II. Create a User Profile:
   a) The first step is to create a user profile. Go to the ORE website at http://iris.uwaterloo.ca/ethics/
   b) Please note that off campus access to the ethics application system has been limited to authorized VPN connections only. For instructions to access the University of Waterloo VPN with your WatIAM credentials please visit the IST page at http://ist.uwaterloo.ca/cs/vpn/.
   c) In the column "Research with Human Participants" click on "Form 101 Online Application"
   d) When at the ORE Form 101 online click on “Create a New User Profile”
   e) Create a new user profile using any login and password you like. The ORE is not associated with the Registrar's Office, so you do not have to use your StudentID
   f) When you are completing the User profile, use your "@uwaterloo.ca" email address as this is preferred for all correspondence with the ORE and with participants.
   g) When you have successfully created a profile log in with login and password that you created.
   h) If you already have a user profile because of a previous research ethics application that you submitted you can skip this step and go directly to the Main Menu section below.

III. Main Menu:
   a) Select “Create a New Application (Form 101)”.
   b) Read the instructions on the following page carefully.
   c) Click on the link to “Guide to the 101/101A Application and Review Process”.
   d) Read the guidelines carefully as these will help you complete your Form 101. This guide can also be found at http://iris.uwaterloo.ca/ethics/human/application/101guide.htm
   e) When you are ready to begin working on your application click on “I have read the instructions”.

IV. Completing the 101 Application Online:
   a) There are 8 parts to be completed.
   b) Although the text boxes may looks small and will not expand as you enter more text, a scroll bar will be displayed allowing you to scroll through the text you enter. You can enter multiple paragraphs of text if needed.
   c) The burgundy coloured tabs at the top right of the application can be used to skip to other sections. You do not need to complete the sections in any particular order.
   d) Save each page as you go along.
   e) In the template application provided, responses to some questions, such as benefits, have been provided for you. These responses can be pasted directly into your application.
   f) Important Note: The 101 Form does not have a spell check or grammar check function. Please carefully proofread your application. You are encouraged to prepare the written sections of your application in MS Word to check for spelling and grammar. Then, cut and paste the written sections into the application.
A. General Information

- Section 1, Title of Project. Begin by entering the title of your proposed study/project. The title should be the same title as the project proposal/contract you prepared for your faculty advisor.
- Section 2a, Principal and Co-Investigator(s). This section is not applicable (NA) so leave this blank.
- Section 2b, Collaborators. This section should be completed only if you have collaborators associated with your research. Collaborators are Faculty or staff (at UWaterloo or another institution) who lend expertise to the project or function as a gate keeper or liaison, but are not involved in project design or management.
- Section 3, Faculty Supervisor(s). Enter the name of your faculty advisory (first and last on one line) along with their department (use drop down menu), extension number, and email.
- Section 4, Student Investigator(s). Enter your name as the student investigator (first and last on one line), along with your department (use drop down menu), email, and local phone number. Leave the “Ext” blank and provide your “@uwaterloo.ca” email address for all correspondence.
- Section 5, Level of Project. Click on “M.E.S.” under “Thesis Research” and click on “New Project/Course.” No other items need to be checked.
- Section 6, Funding Status. If you will be using funds from a student award or from your faculty supervisor’s grant or contract to support your proposed research you will need to complete this section by checking “yes” and complete each of the other parts of this section. If you are unsure how to complete this section, consult the guidance notes “A6” highlighted in yellow or contact Julie Joza in the ORE at ext. 38535. If there is no financial support for your research, check “no” and go to section 7.
- Section 7, Involvement of Another Institution or Site. If your research involves partnerships among researchers and/or may include participation of several populations you would check “yes” indicating the study is multi-site. A multi-site study is when: a) a team of researchers affiliated with different institutions are working together on the research, b) the researchers are affiliated with different institutions, independently conducting several research projects, where the data are combined at some point to form one overall research project, c) the Principal Investigator affiliated with one institution is collecting data or recruiting research participants at different institutions, or d) the Principal Investigator has multiple institutional affiliations (e.g., two universities, a university and a hospital) and is collecting data at more than one of the institutions.
- Section 8, Other REB/IRB review. You will only check “yes” if your research must undergo ethics review by Research Ethics Boards at some or all of the participating institutions as the study is multi-site as per Section 7 above. If you check “yes”, provide details on the outcome of other institutions’ ethics reviews of your project, with date, to indicate if an ethics review decision from another Research Ethics Board is pending or if you plan to submit to any other Research Ethics Board(s). If you are unsure whether you study is multi-site or will need other REB review, contact Julie Joza in the ORE at ext. 38535.
- Section 9, Graduate Thesis Research. Certain departments require that student thesis (undergraduate and graduate) proposals be reviewed and approved by the student's thesis committee prior to submission of a corresponding research ethics application to the ORE for ethics review. Researchers are requested to indicate whether or not any prior review (informal or formal) at the departmental level has occurred or is intended to occur and the outcome of this review. In cases where departments do not have requirements for approval of thesis proposals, this should be indicated by checking “No, not a departmental requirement”.
- Section 10, Project start and end date. Enter the date (month/day/year) that you anticipate beginning your study and the date that you anticipate completing your study.

A. Summary of Proposed Research

- Section 1, Purpose and Rationale for Proposed Research, Part A. Here you need to describe the purpose, objectives, and rationale of your proposed project and include your
research questions. This description must be written clearly without the need to refer to other documents. Please spell out any acronyms used.

- Part B, Summary. In lay language, provide a one paragraph (approximately 100 words) summary of the project including purpose, the anticipated potential benefits, and basic procedures used.

B. Details of Study
- There are a total of 5 sections to be completed and some have multiple sections.
- Section 1, Methodology/Procedures. There are two parts to be completed.
  a. Part A. Click the box next to the various procedures that you will use. Most ERS projects will either conduct surveys in person, computer administered surveys, interviews in person, interviews by telephone, focus groups or some combination of these including audio-recording. You do not need to check “secondary analysis of data” to refer to a literature review. Many of the items on this list will not apply to ERS projects. If you are unsure what procedures to check consult the guidance notes “C1a” highlighted in yellow or contact Julie Joza in the ORE at ext. 38535.
  b. Part B. This section requests complete details of your study procedures (e.g. qualitative and/or quantitative methods). Describe your procedures in detail and sequentially, as they will occur for the participant.
  c. Part C is not applicable for ERS research, therefore check “No”.
- Section 2, Participants. There are three parts to be completed.
  a. Part A. Click the boxes next to the type of participants you propose to recruit. Most ERS projects do not recruit children, adolescents, or persons in institutionalized settings.
  b. Part B. Describe your potential participants (e.g., gender, age range and any other special characteristics). Most ERS projects will recruit adults age 18 and older.
  c. Part C. State the number of participants that you expect to take part in the study (e.g., number of interviewees, number of people surveyed, etc.)
- Section 3, Recruitment Process. There are three parts to be completed.
  a. Part A. Click the box next to the sources from where you will recruit potential participants. Most ERS projects will recruit from “other UW sources” such as students or professors, “Kitchener-Waterloo community”, or “Agencies”.
  b. Part B. Describe here how you will recruit potential participants. Most ERS projects will recruit by sending an information letter by email.
  c. Part C. Check the location of the study as either “on campus” or “off campus” and identify the location. If you are planning a survey on campus, identify the location where the survey will be conducted. If you will be conducting interviews, identify these will be done in the participants office or mutually agreeable location such as a coffee shop.
  d. Section 4, Remuneration. If you have no plans to provide remuneration, check “No”. Please note that remuneration is not required. Many studies do not provide any form of remuneration to participants. If you do plan to provide participants with remuneration, describe all details of any financial (or other) remuneration of participants for their travel, parking, or participation time in the study (i.e. hourly rate) in the application form. The total amount of remuneration should not be so high as to unduly influence or induce a person to volunteer, or to continue in a study past the point at which s/he otherwise would discontinue participation. Other types of remuneration are acceptable such as gift certificates, certificates/cards, theatre tickets, T-shirt with decals related to the study. See the UWWaterloo policy on remuneration at http://www.adm.uwaterloo.ca/infofin/Policy/ProcedureUniversityofWaterlooRemunerationtoResearchParticipantsFinal.pdf
  e. Section 5, Feedback. Describe your plans for providing appreciation to your participants for taking part in your study. Most ERS projects will provide participants with a few statements of appreciation at the end of the survey or email them a letter of appreciation after the interview. Sample feedback letters can be found at http://iris.uwaterloo.ca/ethics/human/application/FeedbackAppreciation.htm
C. Potential Benefits from the Study

- There are 2 sections to be completed.
- **Section 1, Benefits to the Participants.** Describe any known benefits for participants for taking part in the proposed research project. If there are no benefits it is fine to state there is no known benefit.
- **Section 2, Benefits to the Scientific Community/Society.** Describe any known benefits of the proposed research to science or society. Most ERS projects will benefit the scientific community by teaching you how to conduct a research project.
- If you are unsure what information to include in this section consult the guidance notes “D” highlighted in yellow.

D. Potential Risks to Participants from the Study

- There are 2 sections to be completed.
- **Section 1, Risks to Participants.** Most ERS projects will pose no known or anticipated risks to study participants. Thus, check the box “no known or anticipated risks” and describe why you believe there are no known or anticipated risks/stressors to the participants.
- **Section 2, Safeguards.** Because there are no known or anticipated risks the safeguards to identify are things such as the participants being able to decline to respond to questions, stopping an interview at any sign of upset or distress, etc.
- If you are unsure what information to include in this section consult the guidance notes “E1” and E2” highlighted in yellow.

E. Informed Consent Process

- There are 3 sections to be completed.
- **Section 1, Process to Inform and Obtain Consent.** If you are conducting interviews in-person, check “information letter with written consent form”. If you are conducting interviews by telephone, check “information letter with verbal consent”. If you are conducting a survey (in-person, email or online) where consent will be implied if the individual completes the survey and returns it, check “information/cover letter”.
- **Section 2, Written Consent Not Obtained.** If you checked “information letter with verbal consent” or “information/cover letter” explain why you are unable to obtain written consent (e.g., telephone interview and consent will be obtained verbally; survey and consent will be implied by returning completed survey; etc.)
- **Section 3, Involvement of Minors.** Most ERS projects involve adults therefore check “No”.
- Sample information letters and consent forms can be found at [http://iris.uwaterloo.ca/ethics/human/application/101samples.htm](http://iris.uwaterloo.ca/ethics/human/application/101samples.htm)

F. Anonymity of Participants and Confidentiality of the Data

- There are 4 sections to be completed.
- **Section 1, Anonymity of Participants and Confidentiality of Data.** Provide an explanation of how you will ensure confidentiality of the information you collect or ensure anonymity of your participants if desired. Important: Please be sure to read the guidance notes “G”.
- **Section 2, Procedures for Securing Data Collected.** Provide an explanation of how you will secure the information you collect from your participants. This includes written notes, audio-recordings, completed surveys, etc. Important: Please be sure to read the guidance notes “G”.
- **Section 3, Length of Data Retention.** Indicate how long you plan to retain the various types of data that you will collect. Most ERS graduate level projects will retain data for one (1) or more years unless the faculty supervisor indicates he/she wishes for the student retain the data longer. Please be sure to clarify this with your faculty supervisor.
- **Section 4, Conditions when Anonymity Cannot be Guaranteed.** If you intend to attribute quotations to participants by name then you need to check “Yes” for this section as they will not be anonymous to anyone who reads your paper.

G. Deception
SERS studies rarely include deception therefore check “no” for this section. If you anticipate your study may include deception please contact Julie Joza in the ORE at ext. 38535 to discuss your proposed research.

V. Appendices

- Scroll down to the appendices section after completing Section H and check off all the materials you will include with your application.
- You should check:
  - i. “Recruitment Materials” if you are using something other than the information-consent letter to recruit potential participants
  - ii. “Information Letter and Consent Form” if you are conducting interviews
  - iii. “Information/Covering Letter” if you are conducting a survey
  - iv. “Materials”
  - v. “Feedback Letter”
  - vi. “Research Proposal”

As noted above, samples can be found at http://iris.uwaterloo.ca/ethics/human/application/101samples.htm

VI. Reviewing and Printing Your Application

- Click on “Save Current Page”
- Click on “Summary for Review” to check if all sections of the application have been completed. This page will identify for you in red text any sections of the application that were not completed.
- At this point you can choose to “Edit Application”; “Save and Edit Later”; return to the “Main Menu”; “Delete Application”; or “Submit to Office of Research Ethics”. If you choose “Main Menu”, you will be transferred to a menu listing all your application(s).
- To continue working on the current application click on “Edit Application” to begin completing the rest of the application and the sections listed in red text. If you wish to complete the application on another day click on “Save and Edit Later”.
- When the review page has no more red text at the top, click on the button “Submit to the Office of Research Ethics”. You will be led through a couple of confirmation questions before returning to the Main Menu.
- From the Main Menu page, choose “Edit/Review an Existing Application”. You will notice that you can no longer edit your application. This is supposed to happen.
- Click on “Review”.
- There is a hyperlink that says “Printable Version”. Click this and print one (1) copy of the application.
- Print one (1) copy of your Appendices, as noted in section IV above, and attach these in the order listed above to the one (1) printed version of your application.

VII. Submitting Your Application to the Office of Research Ethics

- Sign the one (1) copy of the application on the line “Signature of Student Investigator” and write the date.
- Check that you have completed the TCPS2 tutorial.
- Take the one (1) copy of the application to your faculty supervisor to sign and date.
- Send the one (1) copy via campus mail to the Office of Research Ethics in Needles Hall along with your Appendices.
- You may also drop off the applications to the Office of Research Ethics if you wish. We are located in Needles Hall, 1st floor, near the bottom of the stairs. Enter the door Office of Research and leave the applications with the receptionist at the front desk.