

Ethics Applications for Honours Thesis



Checklist for submitting your Ethics Application

(see Honours Thesis Handbook)



- ✓ Step 1 TCPS2 (CORE) Ethics Tutorial
- ✓ Step 2 Form 101 Ethics Application
- ✓ Step 3 Research Proposal
- ✓ Step 4 Oral Presentation
- ✓ Step 5 Receive Full Ethics Clearance
- ✓ Step 6 Form 104 Modifications

Step 1

TCPS2 (CORE) Ethics Tutorial

<http://www.pre.ethics.gc.ca/eng/education/tutorial-didacticiel/>

Go to the URL above
and click on this link to
start tutorial



The screenshot shows the website for the Panel on Research Ethics. At the top, there are logos for the Government of Canada and the Government of Canada in French, along with the Canada wordmark. The main header features a red maple leaf and the text "Panel on Research Ethics" with the website URL "www.pre.ethics.gc.ca". Below this is a navigation bar with links for "Français", "Home", "Contact Us", "Help", "Search", and "canada.gc.ca". The main content area is titled "The TCPS 2 Tutorial Course on Research Ethics (CORE)". It includes a description of the course and a list of two new modules released in PDF format: "Module 9 - Research Involving the First Nations, Inuit and Métis Peoples of Canada" and "Module 10 - Multi-Jurisdictional Research". A note at the bottom states that the tutorial is experiencing difficulties with registration and provides contact information for assistance. A blue arrow points from the text on the left to the "TCPS 2: CORE TUTORIAL" button.

This tutorial must be completed BEFORE ethics application is submitted.

Step 2 – The Ethics Application (Form 101)

You must received Full Clearance **before** data collection can start

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Research with human participants

Members of the University of Waterloo community must ensure the safety and welfare of participants are adequately protected and their research complies with the:

- [Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans \(TCPS2\), TCPS2 Interpretations, and revisions to TCPS2 \(pdf\)](#)
- [University of Waterloo Statement on Human Research \(PDF\)](#)
- Office of Research Ethics [guidelines and policies](#)
- [Guidelines of various governmental and professional organizations.](#)

Please use the Waterloo Ethics Process to the right to guide you by clicking on the step in the process where you need more information.

IS ETHICS REVIEW NEEDED?
IS THIS RESEARCH?

QUESTIONS ABOUT
ETHICS APPROVAL?

WATERLOO ETHICS PROCESS

Pre-submission and Training ✓

Q & A

Application Process

Review Committees

Renewals

A/B Modifications

Report problems ?

To create/complete an ethics application go to the Office of Research Ethics' website at:

<https://uwaterloo.ca/research/office-research-ethics/research-human-participants>

Click on “Research with human participants”, and then the “Application Process” icon.

If off campus you must log in through VPN to access the Form 101 and 104 applications on the ORE site.

Step 2 – Application guide and checklist

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Application Process

7 steps for submitting an application

1. Prepare your application by reading the following:
 - [Who needs to complete an application form](#)
 - [Video: how to apply for research ethics clearance](#)
 - [Top 10 problems that can delay your ethics application](#)
 - [Training requirements and Guidelines and policies](#)
2. Review the requirements for ethics review with:
 - [Conestoga College](#)
 - [Grand River, St. Mary's, or Cambridge Memorial Hospital](#)
 - [Western University](#)
 - [Wilfrid Laurier University](#)
3. Sign-in to complete the online application form
 - Access to the sign-in page from off-campus is only available through the [Virtual Private Network \(VPN\)](#).

WATERLOO ETHICS PROCESS

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Included in these 7 steps are samples of documents and other supporting materials, as well as information regarding other necessary appendices is also available on this page (items 4 and 5).

If you scroll down the page to item #6 there are instructions on how to complete a Form 101 as well as a checklist.

- Is the research greater than minimal risk and there has been no scholarly review? A [certificate of scientific merit review \(PDF\)](#) may be needed.

6. Ensure your application is complete

- [Guide to completing an application form](#)
- [Checklist for completing an application \(PDF\)](#)

7. Submit your application for review

- Print and sign the application form.
- Forward one copy along with all supporting materials and appendices to the [Office of Research Ethics](#).

Step 2 – Creating the Application (Form 101)

- ❖ You will need to create an account to complete/create an application. Click the “Sign-in” link in step #3.

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ORE Form 101/101A Online

Review Time
Initial application review: Expect the review feedback to be sent to you within 4 to 6 weeks after your application has been assigned a number.
Revisions: Expect the review of your revisions to take 10 to 15 business days after being received by the office.
Modifications: Expect the review of amendments to take 10 to 15 business days after being received by the office.
See [an understanding review times](#). These times may increase during peak periods such as in March, June, and November.

Having trouble logging in?
Your login and passwords are **case sensitive**.
Use the “Forgot Password?” option if you need a reminder.

Off campus access
Off campus access to the Ethics application system has been limited to authorized VPN connections only. For instructions to access the Waterloo VPN with your WatIAM credentials please [visit the IST page](#).

[How to create a Lab or Research Team user profile](#)

[Sign up for our emails](#)

Please contact the Research Ethics Officer at (519) 888-4567 ext. 35217 or ohra@uwaterloo.ca if you are having difficulty with the on-line application.

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WATERLOO ETHICS PROCESS

Pre-submission and Training ✓

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Report problems

- ❖ From this page you can create a new User Profile (first login)
- OR
- ❖ Sign in to your existing application (subsequent logins)

Step 2 – Submitting your application (Form 101) for review

Once the application has been completed online:

- ❖ Print and sign the application (student + supervisor) – **1 (ONE) copy double-sided**
- ❖ Submit the application online (through the ORE database)
- ❖ Attach any supporting materials
 - Recruitment Materials
 - REG (Sona Description); PsycPool (email/phone scripts); Flyer, etc
 - Information/Consent Letter (ICL); + post-debriefing consent if using deception
 - Feedback Letter (+ Oral Debriefing if using deception)
 - Survey/Questionnaire/Interview items and/or Stimulus Appendices
 - Research Proposal (if available but not required)
- ❖ Submit to DERC mailbox (3rd floor PAS mailroom) or to REG Coordinator (PAS 3006)
– **not ORE office**
- ❖ Exemptions from ethics review – see *page 9*

Step 3

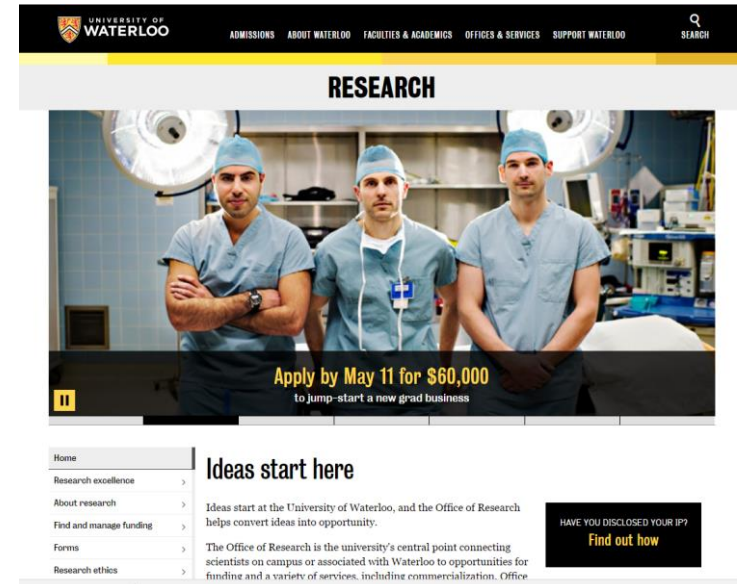
Research Proposal

- Reviewed/approved by Supervisor

Step 4

Oral Presentation

- *To receive departmental approval of project*



Step 5

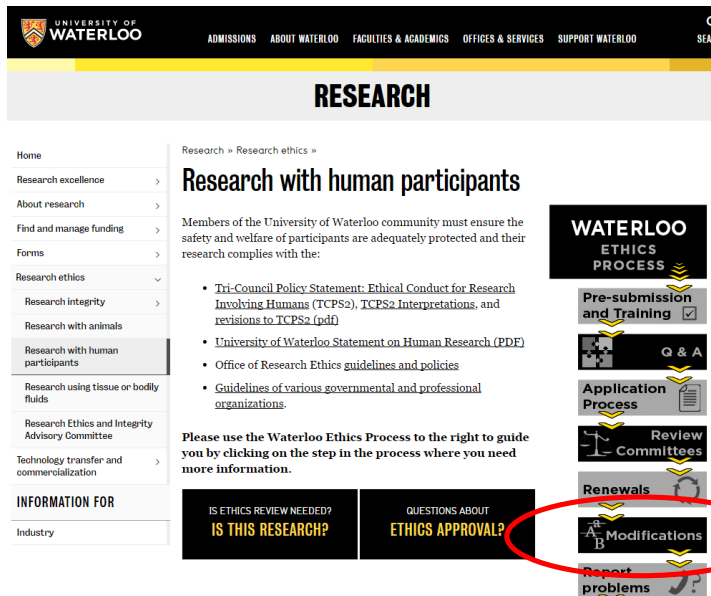
Receipt of ORE Full Clearance

- Data collection may begin

Step 6

Form 104 – used if revisions are necessary after Full Clearance obtained

- Submit all revised materials



WARNING!! Allow 3 – 4 weeks to obtain Full Ethics Clearance

Exemptions

Not sure if you need to submit an ethics application?

In some cases there can be an exemption to submitting a Form 101 for an Honours thesis project. This is done on a case by case situation.

For example, a **Form 101** Ethics application may **NOT BE REQUIRED** if the project involves:

- ✓ only supplemental or re-analysis of **existing** data

AND

- ✓ there will be **no new** data collected

AND

- ✓ the existing data was collected under an active, approved ORE Number

AND

- ✓ you were identified as a 'Student Investigator' under that ORE Number

A **Form 104** Ethics modification is **REQUIRED** if:

- ✓ you were **NOT** identified as a 'Student Investigator' under that ORE Number

- ✓ the original ORE number **DID NOT** mention the honours thesis

In either of these cases you must:

- ✓ notify the **DERC officer** prior to starting the project who will process the exemption

- ✓ await approval of the ethics exemption from the 499 Faculty Advisor

- ✓ complete the TCPS2 CORE Tutorial (*if necessary*)

Please contact the **DERC Officer** to determine your eligibility

REG/Sona

If you will be using the Sona Participant pool you will need to:

- Step 1: Complete TCPS2 (CORE) Ethics Tutorial
<http://pre.ethics.gc.ca/eng/education/tutorial-didacticiel/>
- Step 2: Attend the Sona 1-hour Researcher Training Session
 - Dates/Times posted at
<https://uwaterloo.ca/research-experiences-group/researchers/reg-dates>
- Step 3: Create your Study on Sona
 - Guidelines posted at
<https://uwaterloo.ca/research-experiences-group/researchers/sona-study-creation-approval-visibility>

NOTE:

Do you need REG/Sona Prescreen question(s) and/or Mass Testing scale(s)?

- Discuss this with your supervisor (i.e. - need to recruit specific groups)
- Advise/discuss with REG Coordinator early on
 - Don't wait until the term when you are planning to collect data as these surveys are created in advance of each term

Contact Info

REG/Sona (credit/pay studies)

- REG Coordinator/Sona Administrator
 - Michelle Manios regadmin@uwaterloo.ca
- REG Researchers' Homepage
 - <https://uwaterloo.ca/research-experiences-group/researchers>
- Researcher Training Sessions (mandatory)
 - <https://uwaterloo.ca/research-experiences-group/researchers/reg-dates>

Psych Delegated Ethics Review Committee (DERC)

- DERC Officer: Michelle Manios mamanios@uwaterloo.ca

Office of Research Ethics (ORE)

- ORE Research Ethics: Nick Caric ncaric@uwaterloo.ca or
Karen Pieters karen.pieters@uwaterloo.ca

PSYCpool (pay studies)

- PSYCpool Coordinator: Michelle Manios, psycpool@uwaterloo.ca