

Fort Garry Campus Research Ethics Boards

CTC Building, 208 - 194 Dafoe Road

Winnipeg, MB R3T 2N2

Phone: (204) 474-7122

(For HES Admin.) Protocol # \_\_\_\_\_\_\_\_\_\_\_\_\_\_

(For HES Admin.) CORE/CHRPP

**FORT GARRY CAMPUS RESEARCH ETHICS BOARD**

**SUBMISSION FORM**

**Psychology/Sociology REB** **Education/Nursing REB**  **Joint-Faculty REB**

Check the appropriate REB for the Faculty or Department of the Principal Researcher.  This form, attached research protocol, and all supporting documents, must be sent to the Human Ethics Coordinator, [Margaret\_Bowman@umanitoba.ca](mailto:Margaret_Bowman@umanitoba.ca), CTC Building, 208 - 194 Dafoe Road, 474-7122.

**Principal Investigator:**Dr. James E. Young, Dr. Pourang Irani

**Co-investigator(s):** Daniel Rea

**Status of Principal Investigator(s):** (please select): Faculty Post-Doc  Student: Graduate  Undergraduate WRHA Affiliate  Other  Specify:

Address (to receive Approval Certificate): Dr. James E Young, Dept. Computer Science, EITC-E2-445

Phone: 204-474-6791 Fax:       Email: young@cs.umanitoba.ca

Project Title: Robot Mood Ring for a Group: A Group-Robot Ambient Display

Start date: Aug 1,2011 Planned period of research (if less than one year): 1 year \*\*\*

Type of research (Please select):

**Faculty Research** **Administrative Research** **Student Research**

Self-funded  Central  Honour’s Thesis

Sponsored  Unit-based  Master’s Thesis

(Agency) NSERC Discovery   Doctoral Thesis

UM Project #       Class Project

(Course Number)

**Signature of Principal Investigator:**

**For student research:** If thesis, this proposal is approved by department/thesis committee. By signing, the Thesis Supervisor/Course Instructor indicates that they have reviewed and approved this application.

**Name of Thesis Advisor**  **Signature**

(Required if thesis research)

**Name of Course Instructor:** **Signature**  (Required if class project)

Persons signing assure responsibility that all procedures performed under the protocol will be conducted by individuals responsibly entitled to do so, and that any deviation from the protocol will be submitted to the REB for its approval prior to implementation.Signature of the thesis advisor/course instructor indicates that student researchers have been instructed on the principles of ethics policy, on the importance of adherence to the ethical conduct of the research according to the submitted protocol (and of the necessity to report any deviations from the protocol to their advisor/instructor).

**Ethics Protocol Submission Form** Page 2

**(Basic Questions about the Project)**

The questions on this form are of a general nature, designed to collect pertinent information about potential problems of an ethical nature that could arise with the proposed research project. In addition to answering the questions below, the researcher is expected to append pages (and any other necessary documents) to a submission detailing the required information about the research protocol (see page 4).

1. Will the participants in your study be **UNAWARE** that they are participants?   Yes  No

2. Will information about the participants be obtained

from sources other than the participants themselves?  Yes  No

3. Are you and/or members of your research team in a position of power

vis-a-vis the participants? Yes   No

If yes, clarify the position of power and how it will be addressed.

4. Is any inducement or coercion used to obtain the participant's participation? Yes  No

5. Do participants identify themselves by name directly, or by other means

that allows you or anyone else to identify data with specific participants?   Yes No

If yes, indicate how confidentiality will be maintained. What precautions are to be

undertaken in storing data and in its eventual destruction/disposition.

6. If participants are identifiable by name, do you intend to recruit them for future studies?  Yes  No

If yes, indicate why this is necessary and how you plan to recruit these participants

for future studies.

7. Could dissemination of findings compromise confidentiality? Yes  No

8. Does the study involve physical or emotional stress, or the participant's expectation

thereof, such as might result from conditions in the study design? Yes  No

9. Is there any threat to the personal safety of participants? Yes  No

10. Does the study involve participants who are not legally or practically able to give

their valid consent to participate (e.g., children, or persons with mental health problems

and/or cognitive impairment)? Yes  No

If yes, indicate how informed consent will be obtained

from participants and those authorized to speak for participants.

11. Is deception involved (i.e., will participants be intentionally misled about the purpose

of the study, their own performance, or other features of the study)? Yes  No

12. Is there a possibility that abuse of children or persons in care

might be discovered in the course of the study? Yes  No

If yes, current laws require that certain offenses against children

and persons in care be reported to legal authorities.

Indicate the provisions that have been made for complying with the law.

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13. (a) Does the study include the use of personal health information? Yes  No

The Manitoba Personal Health Information Act (PHIA) outlines responsibilities

of researchers to ensure safeguards that will protect personal health information.

If yes, indicate provisions that will be made to comply with this Act

(see document for guidance: http:/www.gov.mb.ca/health/phia/index.html).

13. (b) PHIA requires that all employees, students, or agents who handle or are exposed

to personal health information take PHIA Orientation and sign a pledge

of confidentiality that acknowledges that they are bound by written policy and procedures.

Has PHIA Orientation and pledge-signing been completed

by all employees, students, and agents?  Yes  No

If “No,” the Principal Investigator should contact UM Access & Privacy

Coordinator’s Office to make arrangements, [fippa@umanitoba.ca](mailto:fippa@umanitoba.ca)

Where individuals have not completed PHIA Orientation and signed a pledge,

and for the purpose of ensuring that they do, Principal Investigator’s contact

information will be provided to the University Access & Privacy Coordinator’s Office.

**Provide additional details pertaining to any of the questions above for which you responded "yes”, excluding question 13 (b).** Attach additional pages, if necessary.

Click shaded area to add text Please see attached file "EthicsRoombaMoodRingPart2.docx"

**Ethics Protocol Submission Form**  Page 4

**(Required Information about the Research Protocol)**

Applications for ethics approval should include the following information and be **presented in the following order**, using the headings indicated. Each page should be numbered, by hand if necessary. To ensure the most rapid approval possible, please refer to the detailed application guidelines posted on the HES website.

1. **Summary of Project:** Attach a detailed but concise (one typed page) outline of the purpose and methodology of the study, describing **precisely** the procedures and tasks in which participants will be asked to engage.

2. **Research Instruments:** Include next a concise summary of the research instruments, especially any risks they may pose to participants. In a separate appendix, provide copies of **all** materials (e.g., questionnaires, tests, interview schedules, instructions, etc.) to be given to participants and/or third parties.

3. **Participants:** Provide a detailed description of the participants, their numbers, and how they will be recruited . Include **copies** of all written recruitment communications and **scripts** of all oral recruitment communications. Are there any characteristics of the participants that make them especially vulnerable or require extra precautions?

4. **Informed Consent:**  Normally, consent **in writing** is required. Attach a copy of the consent form(s) on department/faculty letterhead (see detailed guidelines regarding consent forms). Different consent forms for different groups of participants in the same study are frequently required. If written consent is not to be obtained, indicate why and the manner by which participants’ consent (verbally) or assent to participate in the study will be obtained. How will the nature of the study, the questions they will be asked, the tasks in which they will engage, and the risks to which they will be exposed be explained to participants **before** they give informed consent? How will consent be obtained from parents or legal guardians of participants unable to give legal consent on their own? If confidential records will be consulted, indicate the nature of the records, and how participants’ consent for accessing such records will be obtained. If it is essential to the research, indicate why participants will not be made aware that their records are being consulted.

5. **Deception:** Deception refers to the deliberate withholding of essential information or the provision of deliberately misleading information about the research or its purposes. If the research involves deception, the researcher must provide detailed information on the extent and nature of deception and why the research could not be conducted without it. This description must be sufficient to justify a waiver of informed consent.

1. **Feedback/Debriefing:** Normally, feedback should be given to participants about the research immediately after data collection, so as to make their experience as educational as posible. How will the feedback be provided and by whom? If feedback will not be given, please explain why feedback is not planned. In addition, steps should be taken to provide participants with a brief, non-technical summary of study results as soon as possible after the data collection phase of the study is completed (normally a few weeks or months). Participants should be given a choice of how they wish to receive a summary and should be told approximately when (MMYY) to expect it.

7. **Risks and Benefits:** Are there any risks (physical, psychological, and/or emotional) to participants, or to a third party? If yes, provide a description of the risks, the steps that will be taken to mitigate them, and the steps that will be taken to ameliorate any actual harm to participants, including (if appropriate) providing a list of helpful resources. The researcher should also describe any direct, counter-balancing benefits for participants of the proposed study.

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8. **Anonymity or Confidentiality:** Describe the nature of the data that will be collected, how it will be stored, and who will have access to it. Anonymous data contains no personal identifiers and, thus, poses no risk of identification to participants. Confidential data contains personal identifiers and carries with it an inherent risk of identification. Therefore, in the latter case steps must be taken to prevent unauthorized persons from linking data to individual participants, up to and including dissemination of findings.

Confidential data should be destroyed or rendered anonymous as soon as it is no longer necessary scientifically to link data with individual participants. Anonymous data may be kept indefinitely. Please describe your plans in this regard, including an approximate date (MMYY) by which any confidential data will be destroyed.

9. **Compensation:** Will participants be compensated for their participation? Reasonable compensation may be provided to defray actual costs associated with study participation and/or as an honorarium for the time and effort of participants. However, it may not be sufficient to act as a significant inducement to participation .

10. **Dissemination**: How will study results be disseminated, to whom, and for what intended purposes? Dissemination plans must be agreed to in general by participants and must not jeopardize their right to confidentiality unless they have explicitly waived this right.

Review your submission according to this:

**Checklist**

Principal Investigator:

|  |  |
| --- | --- |
| Click to select | Item from the Ethics Protocol Submission Form |
|  | All information requested on the first page completed in legible format (typed or printed). |
|  | Signatures of the principal investigator (and faculty advisor, or course instructor if student research). |
|  | Answers to all 13 questions on pages 2-3 of Ethics Protocol Submission form, INCLUDING ANY QUESTIONS FOR WHICH YOUR RESPONSE WAS “YES”. |
|  | Detailed information requested on page 4 of the Ethics Protocol Submission Form in the numbered order and with the headings indicated. |
|  | Ethics Protocol Submission Form. |
|  | Research instruments: copies of all instruments and other supplementary material to be given to participants. |
|  | Completion of CORE or CHRPP tutorial |
|  | Copy of this checklist. |

**NOTE: For ease of reviewing it would be much appreciated if you could number the pages of your submission (handwriting the numbers is quite acceptable).**