



## IND Form

### *Undergraduate student project protocol*

**Who should complete this form:** All undergraduate students conducting individualized research/creation projects involving human participants. This includes all performances, experiments, interviews, and participant observation. It also includes as all honour theses, and all faculty-directed or supervised research/creation projects, including individualized student project that may be undertaken as part of a course.

Electronic versions of this and other ethics related forms are available through the Glendon Research Services ([abrassard@glendon.yorku.ca](mailto:abrassard@glendon.yorku.ca)).

Information pertaining to ethics matters at Glendon may be obtained by contacting Director of Research Alexandre Brassard Desjardins (extension 88521) or Research Officer Reagan Brown (extension 66829). For further information on ethics policies at York University, please review the Senate Policy found on the Research website at: [www.research.yorku.ca](http://www.research.yorku.ca).

<b>STUDENT CREATOR/ RESEARCHER</b>	PRINT SURNAME		PRINT FIRST NAME		
	ACADEMIC STATUS				
	UNDERGRADUATE STUDENT <input type="checkbox"/>		<input type="checkbox"/> GRADUATE STUDENTS DO NOT FILL THIS FORM, BUT THE GRAD-1 AND GRAD-2 FORMS INSTEAD		
	DEPARTMENT				
	PHONE NUMBER		E-MAIL		
<b>PROJECT DETAILS</b> <small>(PLEASE GIVE FULL DETAILS)</small>	COURSE TITLE AND NUMBER				
	SHORT TITLE FOR THIS INDIVIDUALIZED PROJECT				
	IS THIS A REVISED VERSION OF A PREVIOUSLY SUBMITTED PROTOCOL?		<input type="checkbox"/> YES	<input type="checkbox"/> NO	
	WAS THE LAST VERSION APPROVED (GIVE DATE) OR DENIED?		<input type="checkbox"/> APPROVED (                    )	<input type="checkbox"/> DENIED (                    )	
	IS THE PROJECT DEFINED AS...				
	<input type="checkbox"/> MINIMAL RISK <sup>(1)</sup>		<input type="checkbox"/> NON-MINIMAL RISK ( IN THIS CASE, THE PROTOCOL MUST BE REVIEWED BY THE H.P.R.C. PLEASE FILL A HPRC-1 FORM INSTEAD)		
	DATE PROJECTS IS TO COMMENCE		DATE PROJECT IS SCHEDULED TO END		
<b>STUDENT AND SUPERVISOR DECLARATION</b>	<i>I HAVE EXAMINED THE GUIDELINES AND PRINCIPLES DETAILED ABOVE, AND THE SENATE POLICY FOR THE ETHICS REVIEW PROCESS FOR RESEARCH INVOLVING HUMAN PARTICIPANTS, AND STATE THAT, TO THE BEST OF MY KNOWLEDGE, THIS RESEARCH CONFORMS THERETO. I HEREBY UNDERTAKE TO NOTIFY THE REVIEW COMMITTEE IF I MAKE ANY MAJOR CHANGES TO MY RESEARCH THAT MAY AFFECT HUMAN PARTICIPANTS IN THIS RESEARCH PROJECT. I WILL ALSO NOTIFY THE DEPARTMENT REVIEW COMMITTEE IF ANY UNFORESEEN RISKS NOT SPECIFIED IN THE RESEARCH PROPOSAL APPEAR. IN SUCH A CASE, THE STUDY WILL BE SUSPENDED PENDING CLARIFICATION.</i>				
	SIGNATURE OF STUDENT CREATOR/RESEARCHER		MONTH/DAY/YEAR		
	<b>X</b>				
	SIGNATURE OF COURSE/PROJECT DIRECTOR		MONTH/DAY/YEAR		
<b>X</b>					
<b>CHECKLIST:</b>	<input type="checkbox"/> ORIGINAL, PLUS 2 COPIES				
	<input type="checkbox"/> FORM IS SIGNED				
<input type="checkbox"/> CONSENT STATEMENT IS ATTACHED (INFORMED CONSENT FORM, LETTER, OR VERBAL STATEMENT)					
<b>REVIEW</b> <small>(FOR USE BY THE UNIT REVIEW COMMITTEE)</small>	COMMITTEE MEMBERS:				
	PROTOCOL STATUS:		<input type="checkbox"/> APPROVED	<input type="checkbox"/> NOT APPROVED	
	<i>WE, THE MEMBERS OF THE DEPARTMENT/UNIT REVIEW COMMITTEE, CONFIRM THAT WE UNDERTOOK THE REVIEW OF THE PROJECT LISTED ABOVE ACCORDING TO THE ETHICAL STANDARDS ESTABLISHED IN THE SENATE POLICY FOR ETHICS REVIEW PROCESS FOR RESEARCH INVOLVING HUMAN PARTICIPANTS. WE CONFIRM THAT THIS PROJECT COMPLIES WITH THESE STANDARDS.</i>				
	SIGNATURE OF COMMITTEE SECRETARY/CHAIR		MONTH/DAY/YEAR		
	<b>X</b>				

<sup>1</sup>The HPRC uses the definition of minimal risk as outlined in the SSHRC/NSERC/CIHR *Tri-Council Policy Statement "Ethical Conduct for Research Involving Humans"* (August 1998): "If potential subjects can reasonably be expected to regard the probability and magnitude of possible harms implied by participation in the research to be no greater than those encountered by the subject in those aspects of his or her everyday life that relate to the research then the research can be regarded as within the range of minimal risk" (p. 1.5).

## **I. Information on Individualized Student Project**

How would you describe your projects for this class?

- Creative project involving unpaid or student participants as actors, dancers, musicians, models, etc. (*Complete sub-section I-A*)
- Research project involving human participants. More precisely, systematic investigations carried through questionnaires, surveys, interviews, subject observation or other, in order to establish facts, principles or generalizable knowledge. (*Complete sub-section I-B*)

### **I-A. Details on Creative Project**

1. Themes explored?
2. Creative parameters?
3. Goals and objectives?
4. Who will be the potential participant(s)?
5. What is the recruitment method(s) for the participants (*e.g.* audition)?
6. Participant activities (*e.g.*, performing, modeling, being filmed, etc.)?
7. What, if any, are the benefits to the participants (*e.g.*, professional development, learning new dance movements, complimentary tickets, etc.)?
8. Will you be offering inducements to participate (*e.g.*, money, gift certificates, academic credit, etc.)?
  - No
  - Yes (*please elaborate*). NOTE: projects involving only professional artists or fully paid participants does not need to undergo ethical review.
9. What, if any, are the risks to the participants?
10. Are the results of the project to be recorded, broadcasted or made public in any way? (*If yes, please elaborate*).
11. Will participants be asked to wear revealing costumes or be nude?
12. In case of projects involving performers, what is the expected audience for the shows?
13. Is there a possibility of commercialization of the project results? If so, would it give rise to an apparent or actual or potential conflict of interest on the part of creators/researchers, the University or sponsors?

### **I-B. Details on Research Project**

1. Research questions and hypothesis:
2. Methodology
3. Goals and objectives:
4. Who will be the potential participant(s)?
5. What is the recruitment method(s) for the participants?
6. Participant activities (*e.g.*, giving interviews, filling a questionnaire, etc.):
7. What, if any, are the benefits to the participants (*e.g.*, access to results of finding)?
8. Will you be offering inducements to participate (*e.g.*, money, gift certificates, academic credit, etc.)?
  - No
  - Yes (*please elaborate*). NOTE: projects involving famous individuals and based on publicly available records does not need to undergo ethical review.
9. What, if any, are the risks to the participants?
10. Is there a possibility of commercialization of the project results? If so, would it give rise to an apparent or actual or potential conflict of interest on the part of creators/researchers, the University or sponsors?

## **II. Informed consent**

**NOTE:** INFORMED CONSENT MUST BE OBTAINED FROM ALL HUMAN PARTICIPANTS. PAID PARTICIPANTS, PROFESSIONAL ARTISTS OR FAMOUS INDIVIDUALS STUDIED THROUGH PUBLIC RECORDS ARE NOT CONSIDERED "HUMAN PARTICIPANTS".

1. How will informed consent be obtained?

- Informed consent forms (*please attach draft version. See templates annexed to this form*)
- Letters (*please attach draft version, and explain why a informed consent form is not being used*)
- Verbally (*please attach a draft script of what participants will be verbally told, and explain why an Informed consent form is not being used*)

2. Will the participants be provided with the following:

- (a) An explanation of the research prior to their participation?
  - Yes
  - No (*please elaborate*)
- (b) Is substitute consent involved (e.g., children, youths under 16, incompetent adults, etc.)?
  - Yes (*please elaborate*)
  - No
- (c) Is deception involved?
  - Yes (*please elaborate*)
  - No
- (d) Will individuals remain anonymous?
  - Yes
  - No (*please elaborate*)

NOTE: it is expected that participants remain anonymous unless the project explicitly requires a public performance (e.g., dance show, theatre play, concert), or unless participants explicitly have given their permission otherwise.

(e) Will the project data be kept confidential? By what method?

- Yes
- No (*please elaborate. For example: exhibition, recording, filming, broadcasting of results*).

NOTE It is expected that the data be kept confidential, unless the participants explicitly have given their permission otherwise.

**NOTE:** STUDENT CREATORS/RESEARCHERS ARE RESPONSIBLE FOR KEEPING INFORMED CONSENT DOCUMENTS ON FILE IN A SAFE AND SECURE LOCATION FOR TWO YEARS AFTER THE CONCLUSION OF THE PROJECT.

## **III. Checklist**

- Original, plus 2 copies
- Form is signed
- Consent statement is attached (informed consent form, letter, or verbal statement)

## **IV. Review Process**

1. Bring this *Undergraduate project protocol* to your course director for signature, then bring it to the administrative assistant of your department/unit for submission to the department/unit review committee.
2. Your project can commence only *after* approval of this protocol.



## Template to help students to write an *Informed Consent Form*

1. Indicate title of the research or creative project. For example:

*Theatrical Use of Masks and their Effect on Teenage Audiences*

2. State the nature of the document. For example:

*INFORMED CONSENT FORM*

3. Provide contact information for yourself. For example: *John Q. Student, john.q.student@yorku.ca*

4. Brief Description of project (research rationale, purpose, goals, why you are conducting the research). For example:

*My name is \_\_\_\_\_, I am a student in \_\_\_\_\_ at York University. The purpose of this research is \_\_\_\_\_. As part of my research study I intend to (describe your research:)* \_\_\_\_\_

5. Describe the recruitment method and what you expect the participants to do. For example:

*I have asked you to participate in this study because you were \_\_\_\_\_ (chosen randomly, are a leader in your field, are in my class etc.). I am asking you to participate in this research project by 1) completing a questionnaire and 2) answering questions in an interview that will be recorded to ensure accurate interpretation.*

6. Indicate that the participants are not obliged to participate, that they do not have to answer questions, and the conditions under which they can withdraw. Example for a research project with interviewees:

*Please note that you are under no obligation to participate in this study. You have every right to decline to answer questions or terminate your participation at any point during the data collection phase of this study. Should you choose to withdraw from this study, audiotapes of our conversation will be erased and information obtained from you will be destroyed.*

Example for a creative project with performers:

*Please note that you are under no obligation to participate in this (dance show/concert/theatre play). If you decide to participate, we expect that you will honour your artistic commitments, but you keep the right to terminate your participation until \_\_\_\_\_ (e.g. until the first technical rehearsal). After that period, you can withdraw only if you have sound reasons to believe that your physical or psychological well-being is seriously at risk.*

7. Indicate that and demonstrate how participants will remain anonymous and their data will be kept confidential. For example:

*Any data used to illustrate these findings will be stripped of any information that might be used to identify participants. Data will be secured in a locked filing cabinet in my office and will be accessible to the researcher alone. Participants will not be identified.*

8. Clearly state any risks to or benefits for participants in this study. For example:

*Participating in this study should benefit individuals, projects, and firms by providing them with early access to these findings, which will be published in academic journals at a later date along with hypotheses and illustrative data. There are no expected risks for participants.*

9. Provide contact information for your faculty/department/program ethics committee should the participant have any concerns or issues with the research. For example:

*If you have any questions or concerns, please feel free to contact the department/unit review committee at 416-736-\_\_\_\_\_ (indicate\_e-mail@yorku.ca).*

10. Include a signature and date line for participants. For example:

Participant's name (please print)

Signature

Date

## FIRST EXAMPLE OF AN INFORMED CONSENT FORM:

*“Poetry in Motion” Choreography*  
**INFORMED CONSENT FORM**

Marie-Josée Schwartz, student, [mjschwartz@yorku.ca](mailto:mjschwartz@yorku.ca)

My name is Marie-Josée Schwartz. I am a Dance student at York University, and I am mounting a choreographic work created during my “Introduction to choreography” class. This creative project entails two weeks of rehearsals and one representation. It uses basic and well known dance movements.

I have asked you to participate in this study because you have shown a keen interest in my work, you already master the main movements, and you have demonstrated excellent dance skills during the auditions. I am asking you to participate in this project by (1) attending the 8 hours of rehearsals (Saturday March 1 and Saturday March 7, 9:00AM-1:00PM) and (2) performing at the Strate Studio on March 10, 7:00PM-8:00PM.

Please note that you are under no obligation to participate in this dance project. If you decide to participate, we expect that you will honour your artistic commitments, but you keep the right to terminate your participation until the first technical rehearsal. After that period, you can withdraw only if you have sound reasons to believe that your physical or psychological well-being is seriously at risk.

Participating in this project should benefit you by providing you an opportunity to develop your performance skills and learn new movements. However, there is no material compensation or artist fees. There are no expected risks for participants.

The show will be open to the public. It will be advertised on campus to students, faculty members, and family members, and we expect an audience of 20-30 persons. The performance will be videotaped and showed in my Dance class, and my course director will receive a copy. Fifteen second clips will be also included in my online portfolio at: [www.mjschwartz.ca](http://www.mjschwartz.ca)

If you have any questions or concerns, please feel free to contact the Dance Department review committee at 416-736-1234 extension 12345 ([indicate\\_e-mail@yorku.ca](mailto:indicate_e-mail@yorku.ca)).

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Participant’s name (please print)

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Signature

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Date

## SECOND EXAMPLE OF AN INFORMED CONSENT FORM:

*Political Ads and their Effect on Opinions*  
**INFORMED CONSENT FORM**

Jean Tremblay, student, jtremblay@yorku.ca

My name is Jean Tremblay. I am a student at Glendon College, York University. The purpose of this project is study the impact of political ads on people's opinions. As part of my research study, I will interview two random groups of peoples (one of them will be exposed to ads), and I intend to compare the reactions of the two groups.

You are asked to participate in this study because your name has been randomly selected from the phonebook. I am asking you to participate in this research project by (1) looking at a few online ads; (2) completing a questionnaire and (3) answering questions in an interview that will be recorded to ensure accurate interpretation.

Please note that you are under no obligation to participate in this study. You have every right to decline to answer questions or terminate your participation at any point during the data collection phase of this study. Should you choose to withdraw from this study, audiotapes of our conversation will be erased and information obtained from you will be destroyed.

Any data used to illustrate these findings will be stripped of any information that might be used to identify participants. Data will be secured in a locked filing cabinet in my office and will be accessible to the researcher alone. Participants will not be identified.

Participating in this study should benefit you, by providing you with early access to my findings, which will be used for a research paper in my social science. My paper available on demand, and will be published on my personal website. There are no expected risks for participants.

If you have any questions or concerns, please feel free to contact the Sociology department review committee at 416-736-1234 extension 12345 (indicate\_e-mail@yorku.ca).

\_\_\_\_\_  
 Participant's name (please print)

\_\_\_\_\_  
 Signature

\_\_\_\_\_  
 Date