REB ID NUMBER:	(office use only)
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Toronto Academic Health Sciences Network (TAHSN) HUMAN SUBJECTS RESEARCH APPLICATION

All sections of this application MUST be completed before it will be considered for REB review. A complete application must be submitted to each site where this research will take place. A separate detailed protocol must be included with each application. (Please note: Delegated Review and Full Board Review studies have different submission requirements. For further information, please see the 'Guidelines for Research Involving Human Subjects', available at http://www.mountsinai.on.ca/about_us/corporate-information/ethicsboard/forms).

SECTION I: GENERAL INFO	RMATION		
 PRINCIPAL INVESTIGATO If your institution requires the at this institution. 		on-staff investigator accepts the role	and responsibilities of PI
Title (e.g. Dr.):	Last Name:	First Name:	
2. FULL STUDY TITLE			
Sponsor Protocol Number (if applicable):		
2A. Is this protocol directly subsequent to a pilot study)		proved study at this institution (∍.g., extension, rollover,
If Yes, indicate name o	f Principal Investigator:	and REB file number:	
3. SOURCE OF FUNDING			
Sponsor Name:			
Granting Agency Name:			
Internal Funding:			
Other:			
Funding obtained			

4. INVESTIGATORS

Funding applied for No funding required

4A. PRINCIPAL INVESTIGATOR CONTACT INFORMATION AND SIGNATURE

Explain:

Expected date of decision:

PRINCIPAL INVESTIGATOR AGREEMENT - I assume full responsibility for the scientific and ethical conduct of the study as described in this application and submitted protocol and agree to conduct this study in compliance with the Tri-Council Policy Statement: Ethical Conduct for Research Involving Human Subjects and any other relevant regulations or guidelines. I certify that all researchers and other personnel involved in this project at this institution are appropriately qualified or will undergo appropriate training to fulfill their role in this project.

Dept/Div:	Program:	Institution:
Telephone:	Pager:	Fax:
Street Address:		
City:	Province:	Email:

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Sig	nature of Principal Inves	stigator	Date		
4B.	CO-INVESTGATOR	(S) CONTACT INFORMATI	ON AND SIGNATURE		
prot	cocol and agree to		pliance with the Tri-Cou	s described in this application and uncil Policy Statement: Ethical (idelines.	
1	Title:	Last Name:	First Name:	Institution:	
	Dept/Div:	Program:	Signature		
2	Title:	Last Name:	First Name:	Institution:	
	Dept/Div:	Program:		I	
			Signature		
3	Title:	Last Name:	First Name:	Institution:	
	Dept/Div:	Program:			
			Signature		
4	Title:	Last Name:	First Name:	Institution:	
	Dept/Div:	Program:			
			Signature		
5	Title:	Last Name:	First Name:	Institution:	
	Dept/Div:	Program:			
			Signature		
res Not	earch administrative Applicable	e contact, research studen		L INVESTIGATOR (e.g. study co	oordinator,
Cor	ntact's Role in Study	/ :			
Ind	icate to whom corre	spondence should be mai	led: PI Other		
Tit	le:	Last Name:	First N	Name:	
De	ept/Div:	Program:	Institu	tion:	
	lephone:	Pager:	Fax:		
St	reet Address:	Province:	Email	<u> </u>	
	·J·	T TOVITIOO.			
5. C	DEPARTMENT/DIVIS	ION/PROGRAM APPROVA	\L *		

* For institutions that require the PI to be a staff member, approval must come from the Department / Division / Program Head of the same institution as the PI.

TAHSN Harmonized Core Application (Version Date: 14 March 2006) MSH Version Date: 03 June 2014 Page 2 of 16 DEPARTMENT/DIVISION/PROGRAM HEAD APPROVAL - I am aware of this proposal and support its submission for ethics review. I consider it to be feasible and appropriate. I attest that the Principal Investigator responsible for the conduct of this study is qualified by education, training, and experience to perform his/her role in this study. Title: Last Name: First Name: Signature of Dept/Div/Program Head Date 6. STUDY PERIOD **Expected start date: Total study duration:** 7. OTHER ETHICS/SCIENTIFIC/SCHOLARLY REVIEW *Ethics Review and Approval Status (check all that apply and indicate date where applicable): In order to facilitate the REB review process through harmonization and coordination of REB activity, Application Approved Applied, Reviewed identify if any of the REBs below have reviewed To Be Review and/or approved the study outlined in this application Submitted **Pending** (check all that apply): Baycrest П П Bloorview Kids Rehab Centre for Addiction and Mental Health П П П П Hospital for Sick Children Mount Sinai Hospital П St. Michael's Hospital Sunnybrook and Women's College Health Sciences Centre П Toronto Rehabilitation Institute University Health Network П University of Toronto П П П Other (e.g. Hamilton Health Sciences REB, University of Western Ontario Health Sciences REB, other GTA hospitals): Include all relevant correspondence related to ethics and scientific review (e.g. REB review letter, replies, approval letter). 8. CLINICAL TRIAL APPLICATION This section must be completed for clinical trials only. See TAHSN guidelines for Health Canada's definition of a clinical Not applicable If not applicable proceed to Question 10. 8A. If this study involves any of the following, check all that apply:

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Investigational drug(s) - drug name(s):

Approved drug for new indication, dosage, or formulation (e.g. new patient population) - drug name(s):
☐ Investigational biologics – name(s) of biologics:
☐ Investigational natural health products (NHP) – NHP name(s):
Investigational medical devices – device name(s):
8B. If this study involves submission to Health Canada under the Food and Drug Act: Is Health Canada "No objection letter" or regulatory authorization attached? \square Yes \square No If No, when is it expected?
8C. Provide the FDA IND number (drug studies) or PMA number (device studies): FDA IND #: Pending PMA #: Pending Not Applicable
Note: final approval will not be granted until the appropriate regulatory approval has been received.
9. CLINICAL TRIAL REGISTRATION
The International Committee of Medical Journal Editors (ICJME) has indicated that clinical trials will not be published without the registration of that trial prior to subject enrolment. A clinical trial is defined by ICJME as, "Any research project that prospectively assigns human subjects to intervention and comparison groups to study the cause-and-effect relationship between a medical intervention and a health outcome. This definition includes drugs, surgical procedures, devices, behavioural treatments, process-of-case changes and the like. A trial must have at least one prospectively assigned concurrent control or comparison group in order to trigger the requirement for registration."
Given the above definition, indicate whether this trial will be registered (e.g., www.clinicaltrials.gov, www.controlled-trials.com/isrctn/). Yes No Not Applicable
If Yes, provide registration site:
SECTION II: STUDY SUMMARY
Note: Responses to this section are not a substitute for the full protocol.
10. ABSTRACT Must be summary of study suitable for lay audience.
(Max ¼ page)
11. RATIONALE AND HYPOTHESIS/RESEARCH QUESTION
TI. NATIONALE AND ITT OTTLOSO/NEGLANOTI QUESTION
11A. Indicate the rationale for this study.
(Max 1/4 page)
11B. Indicate the hypothesis for this study or research question. (Max ¼ page)
11C. Indicate the significance of the study (i.e. the overall anticipated public and/or scientific benefit). (Max ½ page)

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2. STUDY	
/lany of the: I/A.	e questions apply to clinical research studies. If any of the items are not applicable to your study, indi-
interve	
(Max ½ page	
	be the primary outcome measures/goals of the study.
(Max ¼ page	
I 2C. List an Not Applicab	y criteria for premature withdrawal of a subject from the study for safety concerns.
(Max ¼ page	
If Yes provis	cebo used in this study? Yes No explain how this is this justified (e.g. no alternative standard treatment available). Include any ions in place to reduce risks to subjects assigned to placebo (e.g., increased monitoring, rescue
If Yes provis medic	explain how this is this justified (e.g. no alternative standard treatment available). Include any ions in place to reduce risks to subjects assigned to placebo (e.g., increased monitoring, rescue
If Yes provis medic (Max	explain how this is this justified (e.g. no alternative standard treatment available). Include any ions in place to reduce risks to subjects assigned to placebo (e.g., increased monitoring, rescue ation).
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If Yes provis medic (Max	explain how this is this justified (e.g. no alternative standard treatment available). Include any ions in place to reduce risks to subjects assigned to placebo (e.g., increased monitoring, rescue ation). 4 page) his study involve deception or intentional lack of disclosure? Yes No
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If Yes provis medic (Max 2E. Does to 18 Yes (Max 2E. Will the study or be This would prohibited or 18 Yes	explain how this is this justified (e.g. no alternative standard treatment available). Include any ions in place to reduce risks to subjects assigned to placebo (e.g., increased monitoring, rescue ation). 4 page) is study involve deception or intentional lack of disclosure? Yes No justify and indicate how subjects will be debriefed. 4 page) subject be withdrawn from or denied usual therapy for any condition in order to participate in the subject to other restrictions during the study? Yes No noclude medications that are prohibited or restricted in order to be eligible for the study or that may be restricted during the course of the study.)
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If Yes provis medic (Max 12E. Does to If Yes (Max 12F. Will the study or be This would prohibited or If Yes (Max 13. SUBJEC	explain how this is this justified (e.g. no alternative standard treatment available). Include any ions in place to reduce risks to subjects assigned to placebo (e.g., increased monitoring, rescue ation). 4 page) bis study involve deception or intentional lack of disclosure? Yes No justify and indicate how subjects will be debriefed. 4 page) subject be withdrawn from or denied usual therapy for any condition in order to participate in the subject to other restrictions during the study? Yes No nolude medications that are prohibited or restricted in order to be eligible for the study or that may be restricted during the course of the study.) explain. 4 page)

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i) Indicate the age range of eligible subjects: 13B. If applicable, indicate the rationale for control group(s). (Max ¼ page) 13C. **Total study enrollment:** Number of subjects to be enrolled at this institution: Indicate the time period for enrollment: Approximate size of eligible population from institution/practice: **13D.** Is sample size justified in the protocol? ☐ Yes ☐ No If Yes, indicate protocol page: If No, provide sample size justification. (Max ¼ page) 14. STUDY INTERVENTIONS OR PROCEDURES Not Applicable [(e.g. observational studies). If not applicable, go directly to 15. DATA ANALYSIS 14A. Document the usual standard of care at this institution for this population. Not Applicable (Max ¼ page) 14B. Indicate what procedures are to be carried out in the study, that are not considered part of the diagnostic, therapeutic "routine" or indicate how standard of care is altered. Attach a copy of all non-standardized instruments (e.g., questionnaires, rating scales). (Max ¼ page) 14C. Indicate the additional risks associated with the study as compared to usual standard of care. Do not refer to other sections of this form. (Max ½ page) 14D. Indicate duration of study visits and extra time commitment (length, number, and frequency of test sessions) for study participation. (Max ¼ page) 15. DATA ANALYSIS Briefly explain what methods will be used to analyze study data. References to protocol for this question are acceptable. Indicate applicable page(s) of protocol. (Max ¼ page)

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		_				
TION	I III: ETHICAL ISSUES					
	UITMENT AND CONSI	ENT				
	document to be viewed ust be included with you			t (e.g	., recruitment	posters/letters, consent/assent forms, inform
Indic	ate what tools will be	used to ic	denti	fy po	otential subje	ects for recruitment into the study.
Perma	anent health record/clin	cal chart (spec	ify sc	ource):	
	ng database (specify):					
	s the Principal Investiga					es 🔲 No
	o, identify the entity that e creation and maintena					urposes is a research activity that may requir
arate	REB application. Cons	ult your ins	tituti	onal	REB.	
	tisements, including we	b based re	ecruit	tment	tools (attach	
Other	(specify):					
i) lo	erral (e.g. response to a dentify all persons wherposes).		ŕ	wing	health recor	ds/identifying information (for recruitmen
1	Title:	1.5	et N	ame:		First Name:
'	Institution:			catio		Role in Study:
2	Title:			ame:		First Name:
	Institution:	Qı	ualifi	catio	ns:	Role in Study:
3	Title:	l a	ast N	ame:		First Name:
	Institution:			catio		Role in Study:
	Tide	1.	-4 NI			First Name .
4	Title: Institution:			ame: catio		First Name: Role in Study:
	misulation.	Q	uaiiii	CallOi	15.	Note in Study.
5	Title:	La	ast N	ame:		First Name:
	Institution:	Q	ualifi	catio	ns:	Role in Study:
	ist the identifying information in increased in its interest i					used, or disclosed from the records durin
	1 NI		1	<u> </u>		shata manhia was MDI was h
H] Name] Address				nages (e.g., p locial Insuran	ohotographic, x-ray, MRI scans)
 	Telephone Numbers				ledical Recor	
	Email Address				ate of Birth	4 1 1 4 1 1 1 2 4 1

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	Health Card Number	☐ Health Information: (e.g., relating to inclusion /exclusion criteria, medications)
	Other information (specify):	Citteria, medications)
	iii) December the committee manner	
	(Max ¼ page)	es that will be taken to protect the confidentiality of this information.
		his information at the completion of the recruitment process.
	(Max ¼ page)	
alrea lette	idy known to the subject or authority, e-mail, website). Attach a copy of	act with potential subjects or authorized third party, whether they are ized third party, and how contact will be made (e.g., in person, phone, the script or any written materials if applicable.
(Ma	x ¼ page)	
(incl		I who will obtain consent (e.g. will consent be written, oral, telephone equires special consent considerations (e.g., child, incompetent adult, unable to
	x ¼ page)	
	Person obtaining consent ☐ Yes Investigator ☐ Yes ☐ No	he relationship (e.g., physician, employer) and what steps will be taken to
	consent.	be given to subjects to review the information before being asked to give
	(Max ¼ page)	
16E.	Indicate if the research will involve	e any of the following:
	i) Special Considerations (chec Women of child bearing potent Pregnant women Healthy volunteers Students Staff	
	ii) Capacity/Competency (check ☐ Children less than 16 years of ☐ Emergency patients	

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 ☐ Individuals temporarily unable to provide an informed consent ☐ Marginally incompetent subjects
☐ Incompetent subjects
None of the above
Describe how capacity will be assessed for any individuals in 16Eii.
(Max ¼ page)
If subjects are incapable of providing consent, provide information on how substitute decision makers
will be identified. (Max ¼ page)
(Wax 74 page)
When inability to provide an informed consent is expected to be temporary, describe what procedu
will be used to regularly assess capacity and to obtain consent if the individual later becomes capable providing consent.
(Max ¼ page)
iii) Communication Difficulties (check all that apply):
Individuals who may require translation
Individuals who are illiterate
Subjects unable to communicate
☐ None of the above
Provide an explanation of what procedures will be used to address any communication difficulties (e.g
the use of translated forms, translator, impartial witness).
(Max ¼ page)
6F. If potential subjects might be approached for recruitment in other studies, indicate the steps that will be
aken to minimize the number of times that this will occur.
(Max ¼ page)
7. RISK/BENEFIT ESTIMATES
7A. Potential Benefits to Subjects
No direct benefits anticipated □
ist anticipated benefits to the subject, if any.
(Max ¼ page)
17P. Potential Harms (injury discomfort and inconvenience) to subject (including never allocited factors)
I7B. Potential Harms (injury, discomfort and inconvenience) to subject (including psychological factors). No known risks \Box
i) List the known risks of study intervention(s) including approximate rates of occurrence, severity and

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rates of reversibility.

Γ	(Max ¾ page)
	i) List the risks of any tests, procedures or other protocol-mandated activities that are conducted for research purposes only, including approximate rates of occurrence, severity and reversibility.
	(Max ¾ page)
L	
	ii) For studies involving placebo, washout, or withholding treatment, list any risks related to absence treatment.
į	Not Applicable
	(Max ¾ page)
i	v) Include a summary of the data regarding reproductive risks such as teratogenicity or embryotoxion for the study drug, any risk with breastfeeding, or risk to men regarding conception.
ļ	Risks unknown 🗍
	(Max ¼ page)
	f Yes, explain. (Max ¼ page)
	MENTS icable □
Ind	icate what payment(s) will be provided to subjects or substitute decision makers, if applicable.
Rein	nbursement for expenses incurred as a result of research t: Specify (e.g., travel, meals):
	s for participation
ue:	
oun	npensation for time t:
vide	justification if compensation for time will be provided. (Max 1/4 page)
Othe	er forms of compensation:
NON	IITORING
	licate if there is a plan for monitoring of the study (e.g. sponsor initiated site visits) No Not Applicable
If \	YES, describe.
	Max ¼ page)

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B. Indicate if an interim analysis is planned.	_ res	s ☐ No ☐ Not Applicable
If Yes, describe briefly.		
(Max ¼ page)		
C. Indicate if there is a steering committee.	Yes	☐ No ☐ Not Applicable
If Yes, provide a copy of the terms of refe	erenc	ce (mandate) of the steering committee.
D. Indicate if there is a data and safety monito Yes ☐ No ☐ Not Applicable	ring	board (DSMB).
	he sp	en available or provide a description of the DSMB, includents on sor, and whether the committee will review unblind
(Max ¼ page)		
		gements are in place to monitor the safety data and ho
overall risk/benefit information will be com	ımun	icated to the REB.
(Max ¼ page)		
•		
	nv o	of the Investigators involved in the research study o
any of the conflicts listed below apply to a ember of their immediate family, append a lett Il be managed. Disclose all contracts and an lating to this project. Conflict of interest ma	er to	of the Investigators involved in the research study of the Chair of the REB detailing these activities and how nflicts of interest (actual, apparent, perceived, or pot so arise with regard to the disclosure of personal
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SECTION IV: PRIVACY AND CONFIDENTIALITY

22. COLLECTION USE AND DISCLOSURE OF PERSONAL HEALTH INFORMATION

Investigators should comply with the duties set out for researchers in the Personal Health Information Protection ACT (PHIPA – effective in Ontario Nov. 1, 2004) and with the privacy and confidentiality and consent guidelines outlined in the Tri-Council Policy Statement on Ethical Conduct for Research Involving Humans.

(Max 1/4	clinical trials, attach data collection forms.
(Max 74	page)
28 Id	entify all potential sources of this information.
(Max ¼	
22C. Inc	licate how study subjects will be identified on data collection forms (e.g. study number, initials).
(Max ¼	
	dicate how data will be stored.
	nputerized files (specify): Server Desktop Laptop Laptop Iio recordings
☐ Har	d copy
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Har Vid	d copy eotape er (e.g. PDA): i) Describe the safeguards to protect the confidentiality and security of the data, including any physic and technical safeguards (e.g. data will be stored in a locked and secure area, the data will be stored a secure server that is password protected) (Max ¼ page)
Har Vid	d copy setape er (e.g. PDA): i) Describe the safeguards to protect the confidentiality and security of the data, including any physic and technical safeguards (e.g. data will be stored in a locked and secure area, the data will be stored a secure server that is password protected) (Max ¼ page) ii) Indicate who will have access to these data in the future. (Max ¼ page)

	(Max ¼ page)	ta to which the personal health inf	omation will be illiked.	
	(man, page)			
	ii) Explain how the	e linkages will be made.		
	(Max ¼ page)	e illikages will be illade.		
	iii) Explain why th	ese linkages are required.		
	(Max ¼ page)	J i		
	Indicate how long th	o norsonal health information will	romain identifiable and explain why	
	indicate now long th applicable	le personal nealth information will	remain identifiable and explain why.	
a	<pre>¼ page)</pre>			
la)	(¼ page)			
a)	(¼ page)			
		(in addition to those listed in Q. 16	Bi) that will have access to the personal h	ealth
ł.	Identify all persons (the study, their reason for access	, and related qualifications.	ealth
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22K. Describe any harms or benefits that could arise if personal health information was inappropriately released (e.g., embarrassment, refusal of employment or insurance coverage, stigmatization of individuals / groups) and how any consequences would be addressed.
(Max 1/4 page)
22L. Describe how and when the personal health information will be disposed of or returned to the health information custodian. (Max ¼ page)
SECTION V: FUNDING AND CONTRACTS
23. BUDGET No budget required
Attach an itemized study budget (applies to all full board and expedited review studies). The budget should reflect all costs at this institution.
Indicate whether the funding is sufficient to cover all study costs. \square Yes \square No
If No, explain how the shortfall will be made up. (Max ¼ page)
Indicate if any investigator will receive direct personal payments from the budget. Yes No
If Yes, describe what these payments are for and the amount. (Max ¼ page)
24. AGREEMENTS 24A. Contract/Research Agreement Indicate whether there is a contract/research agreement involved Yes No
If Yes, provide name of sponsor/agency and contact information (address, phone number and contact name for billing purposes):
Provide name of the contract research organization and contact information (address, phone number and contact name for billing purposes): Not applicable
24B. Indicate whether the contract/research agreement has been submitted for review and signing. (See institution specific instruction page) \square Yes \square No
24C. Indicate if there is external (non-institutional) liability insurance. ☐ Yes ☐ No
ii) Indicate who will cover reasonable out-of pocket expenses to ensure that immediate medical care is provided if a subject suffers an injury as a result of participation in the study. Sponsor Institution

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Other (specify):				
24D. Publication Agreements				
i) Indicate if there is an agreement between the Investigator and the sponsor regarding the use, publication or disposal of the data. \square Yes \square No \square Pending				
ii) If Yes, Indicate whether the funding agency or sponsoring company places any restrictions on publication of findings or reporting interim results. \square Yes \square No \square Pending				
iii) If Yes, explain any restrictions.				
(Max ¼ page)				
25. MATERIAL TRANSFER AGREEMENT				
Indicate if there is a material transfer agreement (MTA) involving human material for this study. This refers to an agreement for transfer of biological materials (e.g. tissues, cell lines) from the institution to another institution or entity. Yes No				
If Yes, attach a copy of the agreement.				
26. INFORMATION SHARING				
Indicate if there is an information sharing agreement. Yes No				
If Yes, attach a copy of the agreement.				

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Principal Investigator: REB #:

Toronto Academic Health Sciences Network (TAHSN) MSH Instructions and Study Impact Signature Page (Appendix 1)

Some administrative details surrounding research protocols differ throughout the TAHSN hospitals. This form is a Mount Sinai Hospital supplement to the TAHSN application form. Please consult the MSH TAHSN guidelines for details of study impact by department.

STUDY IMPACT

Does the study impact on other hospital departments or services? Yes ☐ No ☐	
If yes, provide signature to indicate protocol has been submitted to appropriate department.	
Note that the Principal Investigator is responsible for all successful negotiations with departme	nts

Departments/Committees	Impact	Departmental/Divisional Signature
Pharmacy Bill Wilson ext:5016	Yes No	
Biomedical Engineering Robert Wilson ext: 5973	Yes No	
Medical Imaging Debbie Havill ext:16-4310	Yes No	
Nursing Tracy Kitch ext: 2352	Yes No	
Pathology & Lab Medicine Maria Mendes ext: 4479 Azar Azad ext: 8545	Yes No	
Microbiology Tony Mazzulli ext:4695	Yes No	
Cardiology/ECG and Echo Dianne Locke ext: 7264	Yes No	
Respiratory Therapy Lynda Hutchens-Richmond ext: 8238	Yes No	
Peroperative Services Sharon Ball ext: 2630	Yes No	
Surgical Skills Lisa Satterthwaite ext:2611	Yes No	