

Brock University Research Ethics Board (REB) 2009-2010 Annual Report

To: Ian Brindle, VP Research

Submitted by: Michelle McGinn, REB Chair and Lori Walker, Manager, Research Ethics
on behalf of Brock University REB

1. Role of the REB

The role of the Brock University Research Ethics Board (REB) is to help ensure that ethical principles are applied to research involving human participants. The REB, therefore, has both educational and review functions as mandated through the Brock Faculty Handbook¹, the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans*², and the *Memorandum of Understanding (MOU) on the Roles and Responsibilities in the Management of Federal Grants and Awards*³. The REB serves the research community as a consultative body and a steward for ethical research at Brock, and provides education related to research ethics and related review procedures for the Brock University community. The REB also has responsibility for independent, multidisciplinary review of ethical considerations for all research involving humans to determine whether the research should be permitted to start or to continue. In addition, the REB is identified as an institutional liaison to the Research and Scholarship Policy Committee of Senate, which has been designated responsibility for proposing any amendments to Brock research ethics policy as presented in Section II:8 of the Faculty Handbook.

2. Composition of the REB

Consistent with the guiding policies, the REB is comprised of a minimum of seven members, including:

- A Chair
- A Vice-Chair
- At least two faculty members with broad expertise in research methods
- At least one faculty member knowledgeable in ethics
- two members who have no direct affiliation with Brock University and are recruited from the community served by Brock University

The full list of REB members is presented in **Appendix A**. As is evident from this list, the actual size of the REB is considerably larger than the minimum seven members. Our policy indicates that other members should be included in the board composition to ensure appropriate knowledge and representation regarding the range of participant populations, research disciplines, methodologies, and content areas reflected in the applications received. The breadth of research at Brock thereby necessitates the inclusion of multiple voices and perspectives during reviews to enact informed ethical decision making. We therefore go beyond the minimum requirement to include an Aboriginal individual, a point that we intend to propose for inclusion in the Faculty Handbook. Likewise, we expanded our board in 2004 to include graduate student members to (a) increase our ability to respond from a student perspective to the vast number of applications proposing research with students, and (b) provide a good educational opportunity for graduate students. We also include a larger number of faculty members to ensure that we have sufficient expertise across the disciplines, methods, and participant populations represented in the research undertaken at Brock. The additional members are critical to the quality of both expedited and full board reviews, and are essential to our education

¹ <http://www.brocku.ca/secretariat/handbook/fhb3/8.html#8>

² <http://www.pre.ethics.gc.ca/eng/policy-politique/tcps-eptc/>

³ http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Policies-Politiques/MOURoles-ProtocolRoles/index_eng.asp

mandate.

The REB is also supported by an Aboriginal Research Advisory Circle (ARAC) who conducts a culturally informed review of applications for research involving Aboriginal peoples with consideration for Aboriginal cultural protocols, histories, and traditions; identifies issues arising from the review that may conflict with TCPS 6 or other emerging policies and practices for research involving Aboriginal peoples; seeks information regarding existing review processes within Aboriginal communities; and recommends to the REB a course of action that could clarify, assist, and/or support the intent of the principal investigator. Researchers whose files are reviewed by ARAC are encouraged to contact them for information and support regarding the Aboriginal elements of their research.

3. Research Ethics Office

3.1. Research Ethics Office Staff

The dual functions of the REB would not be possible without the support of the Research Ethics Office staff (see **Appendix B**):

- ▶ In 2004-2005, the position of Research Ethics Assistant was created. Reporting to the Manager, Research Ethics, the main functions of this position are providing administrative support related to processing ethics applications involving human participants, and providing administrative and operational support to the REB. This full-time contract position was renewed annually until September 2008 when, in anticipation of a proposed on-line research ethics administration system, the position title and job description were changed to Administrative Assistant in an effort to create a more generic support position for the Office of Research Services as a whole. As an on-line system has not been purchased, this position remains dedicated to research ethics support for the time being. However, the degree of administrative support afforded the REB through this position will have to be negotiated with the Office of Research Services in the future, when an on-line system is purchased and implemented.
- ▶ From September 2008 to November 2009, the position of Administrative Assistant dedicated to research ethics was held by Angela Nauss. Since November 2009, the position has been filled by personnel from Temporary Employment Services. It is anticipated that the position will be posted and filled in fall 2010.
- ▶ In 2009-2010 the Research Ethics Office was able to support a Graduate Student Research Ethics Mentor, Ewelina Niemczyk, through a graduate fellowship. This position is based on a model that has proven successful at the University of Southern California. The Mentor is a graduate student who counsels student investigators on issues related to human participant protection and the REB application process through individual advisement and group workshops. The Mentor also works closely with the Research Ethics Office to plan and implement educational outreach programs for the Brock community. This is the sixth year that this position has provided a liaison between Brock students and the REB, helping the Research Ethics Office to develop a better understanding of students' needs and concerns as they relate to protecting research participants. The position also provides an exceptional educational opportunity to the Mentor.

3.2. Systems and Resources

- ▶ The style of the former REB clearance letter was reformatted so that researchers now receive a clearance certificate for each initial application, modification, or revision that is accepted by the REB. Clearance certificates are valid for one year. Certificates expire on the anniversary of research projects' acceptance dates but can be renewed on an annual basis. This change in procedure should enable the Research Ethics Office to better monitor and track the continuing and final reports required of researchers by the Tri-Council.

4. Education and Professional Development

4.1. Human Research Ethics Presentations and Workshops for Brock University Community:

| | |
|-----------------------|----|
| • Class presentations | 16 |
| • General workshops | 2 |
| • Public forums | 1 |
| • Ethics clinics | 4 |

- ▶ The ethics officers gave lectures or seminar presentations (ranging from 50 minutes to 3 hours) to 16 undergraduate and graduate classes in the 2009-2010 academic year. This is an increase from previous years (5 presentations in 2005; 10 in 2006; and 9 in 2008).
- ▶ Two workshops were held in conjunction with the Office of Research Services: one addressing the ethics application and review process, and one focused on issues pertaining to informed consent.
- ▶ The REB, in consultation with the Aboriginal Research Advisory Circle (ARAC), the Tecumseh Centre for Aboriginal Research and Education, and the Six Nations Council Ethics Committee hosted a public forum on October 16, 2009, on Aboriginal Research and Ethics. The day's events also included a closed session for members of the REB, ARAC, and Six Nations Council Ethics Committee to work toward mutual understandings and shared agreements.
- ▶ Four Ethics clinics were held for students in the Learning Commons. These drop-in sessions were intended as outreach—allowing access to the research ethics officers outside the Office of Research Services. This is the second year that this educational approach has been tried but due to low attendance rates, no further clinics have been scheduled.
- ▶ Members of the REB, Research Ethics Office staff, and the Graduate Student Mentor have also provided information and guidance to numerous faculty and student researchers throughout the year.
- ▶ The human research ethics component of the Brock Research website was updated with current research ethics information and educational resources.

4.2. REB Member Professional Development and Training

- ▶ An orientation/training session was held in August for new and continuing REB members to review REB policy and procedures, and to engage in a case study involving ethical issues in research.
- ▶ In addition to the orientation/training session for all REB members, new members were mentored by the Vice-Chair and Senior Research Ethics Officer for a 6-week period in which they completed reviews and discussed them in small groups.
- ▶ Engagement in the review of applications and attendance at REB monthly meetings provides ongoing opportunities for REB members to increase their knowledge about research ethics and review processes. In addition, the following topics were addressed as education components at REB meetings:
 - Risks arising in protocols involving staged activities
 - Guest Speaker: Marion Hansen, Freedom of Information and Privacy Coordinator
 - Guest Speaker: Pierre Deschamps, McGill University, former member of the Panel on Research Ethics (PRE) and the National Council on Ethics in Human Research (NCHER)
 - The revised draft 2nd edition of the TCPS
 - Consent issues with elite participants
 - Student subject pools
 - Business cases as research
- ▶ REB members toured several Applied Health Science Labs in order to learn about research at Brock.
- ▶ Research Ethics Officers and REB members participated in the following external conferences, training and network meetings in 2009-2010:

| Conference | Title/Topic | Date | Venue | Attendees |
|---|--|----------------|----------|------------------------|
| OHRP ⁴ (U.S.) | Quality Assurance Workshop | September 2009 | Toronto | M. McGinn L. Walker |
| CAREB ⁵ Ontario | Connect. Collaborate. Action | November 2009 | Toronto | K. Williams |
| NCEHR ⁶ National Conference | Globalization in Human Research Ethics: Today and for the Future | February 2010 | Ottawa | L. Walker |
| PRE ⁷ | Approaching the Final Version of TCPS II – What’s Next? | February 2010 | Ottawa | L. Walker |
| PRE ⁶ | Research Integrity in Canada | February 2010 | Ottawa | L. Walker |
| CAREB ⁴ REB 301 | Innovative Methods of Research Ethics Education | April 2010 | Montreal | L. Walker |
| CAREB ⁴ National Annual Conference and AGM | Preparing for the Next Decade | April 2010 | Montreal | M. McGinn L. Walker |
| OCUR ⁸ | Harmonizing REB Practices in Ontario | June 2010 | Toronto | M. McGinn L. Walker |

4.3. Presentations, Publishing and Networking by REB Members and Research Ethics Office

- ▶ Michelle McGinn (REB Chair) was invited to present about the Brock Research Ethics Board to the *Teaching and Learning* Editorial Board, Faculty of Education, Brock University, Sept 2009.
- ▶ Michelle McGinn (REB Chair), Catherine Longboat (REB and ARAC member), and Susan Tilley (REB Appeals Committee member) were three of five invited panellists in the session *Exploring Understandings of Respectful Research Practices Across Contexts*, Faculty of Education and Graduate Students’ Association, Brock University, Oakville, ON, Nov 2009.
- ▶ Michelle McGinn (REB Chair) submitted a letter of intent in January 2010 to serve as Principal Investigator of a project, *Research Ethics on the Ground: Partnerships, Plans, and Practices in Global Population Health* that will be funded by the Global Health Research Initiative (\$70,000 Oct 2010-Oct 2012). Other team members include Dan Malleck (REB member), Susan Tilley (REB Appeals Committee member), and Will van den Hoonaard (University of New Brunswick and St. Thomas University).
- ▶ Michelle McGinn’s (REB Chair) review of Allen Hornblum’s *Sentenced to Science: One Black Man’s Story of Imprisonment in America* was published in the *Journal of Research Administration* (volume 40, issue 1).
- ▶ Lori Walker (Senior Research Ethics Officer) presented at the national CAREB conference in April 2010 on the topic: *The roles, responsibilities, and professional identities of Research Ethics Administrators in Canadian universities*.
- ▶ Lori Walker (Senior Research Ethics Officer) co-facilitated CAREB’s REB 301: *Innovative Methods of Research Ethics Education*, with Richard Sugarman from Toronto SickKids Research Institute, in April 2010
- ▶ Lori Walker (Senior Research Ethics Officer) presented a paper entitled: *Intersecting jurisdictions: University and school board ethics review of school-based research*, with Susan Tilley (REB Appeals Committee member) at the Canadian Society for the Study of Education conference, in May

4 Office for Human Research Protections

5 Canadian Association of Research Ethics Boards

6 National Council on Ethics in Human Research

7 Panel on Research Ethics

8 Ontario Council on University Research

2010, Montreal. Susan is PI on a 3-year SSHRC-funded project exploring the ethics review of school-based research and Lori is a research assistant on this project.

- ▶ Michelle McGinn (REB Chair) and Lori Walker (Senior Ethics Officer) presented a session on *Research ethics issues for supervisors and instructors* as part of the Brock Report of Current Knowledge series for Faculty Board in the Faculty of Education, May 14, 2010.
- ▶ Lori Walker (Senior Research Ethics Officer) served on the CAREB Membership Committee and CAREB Professional Development Committee and conducted a national on-line survey of Research Ethics Administrators to ascertain their professional roles and responsibilities.
- ▶ The senior ethics staff at UOIT, Ryerson and Brock met in June 2010 to discuss common issues and share examples of best practice.
- ▶ Lori Walker (Senior Research Ethics Officer) completed a Master's of Education Degree (Educational Inquiry). Her final research project: *The roles, responsibilities, and professional identities of research ethics administrators in Canadian postsecondary institutions*, utilized a mixed method design and included interviews with five Canadian research ethics administrators and a national on-line survey. Lori's Faculty Supervisor was Michelle McGinn (REB Chair).

5. Review of Ethics Applications

- ▶ The number of new applications received in 2009-2010 was **310** with an average turnaround time of **15 working days** for research involving no more than minimal risk (i.e., expedited review). (Please see **Appendix C** for comparative annual statistics over 5 years.)
- ▶ The number of submissions processed for ongoing applications (i.e., modifications, continuing reviews and final reports) was **467**. It is REB practice to process these submissions within **2 days** of receipt.
- ▶ In order to appreciate the volume of submissions to the REB, the number of new applications must be multiplied by three, which is the number of times, on average, an application crosses the desk of a research ethics officer in a one-year period. This includes initial submission, one round of clarification, and the submission of a continuing/final review. Furthermore, the annual number of applications to modify research protocols must be considered. Thus a more accurate reflection of the volume of applications processed in 2009-2010 is: **(310 x 3) + 133 = 1063**.
- ▶ Nineteen per cent of new applications were accepted as is (compared to 5% in 2005-2006) and the number of applications requiring resubmission continued to decrease (from 19 in 2005-2006 to 2 in 2009-2010). There was also a marked decrease in the number of applications requiring multiple rounds of clarification prior to acceptance, although the current database does not allow us to track these statistics readily. The turnaround time for decisions has remained constant at **15 days** from 2008-2009 through 2009-2010 (compared to 19 days in 2007-2008 and 21 days in 2006-2007). Faster turnaround times in the past two years are attributed to office staffing levels. While the initial turnaround times in 2005-2006 and 2009-2010 are identical, the actual wait time for researchers in 2009-2010 was considerably shorter due to faster responses to clarifications and fewer requests for clarifications.
- ▶ The REB maintains a 15-day turnaround time with substantial support from the Research Ethics Office. Office staff provides support for the REB Chair, and sufficient resources for enhanced educational efforts within the REB and for the Brock University community. The research ethics officers conduct rigorous reviews of research applications and propose substantive edits to the reviews submitted by REB members prior to review by the REB Chair. The research ethics officers also process the vast majority of researcher responses to clarifications, applications for modifications to ongoing research, and continuing and final reviews, calling upon the Chair only for those cases where necessary. The active engagement of the research ethics officers in the review process also ensures that they are well prepared to support applicants through pre-reviews of applications and educational offerings. The position of Graduate Student Research Ethics Mentor has also provided an important resource person for students who are often more comfortable speaking with a peer than a staff person or the REB Chair.

- ▶ Applications were received from all 6 Faculties, plus the Library, Administrative units, and non-Brock researchers (other) as illustrated in Figure 1. (Please see **Appendix D** for distribution of applications by department and Faculty.)
- ▶ The majority of applications came from graduate students (41%) and faculty (35%) with undergraduate theses and projects accounting for 16% of submissions. See Figure 2. However, due to an overlap in reporting categories, statistics for submission by type of research should be viewed with caution.

Figure 1. 2009-2010 Applications by Faculty

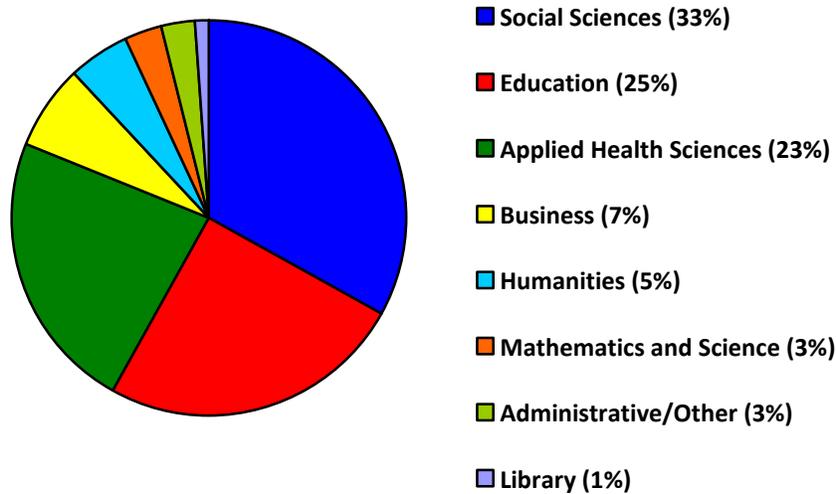
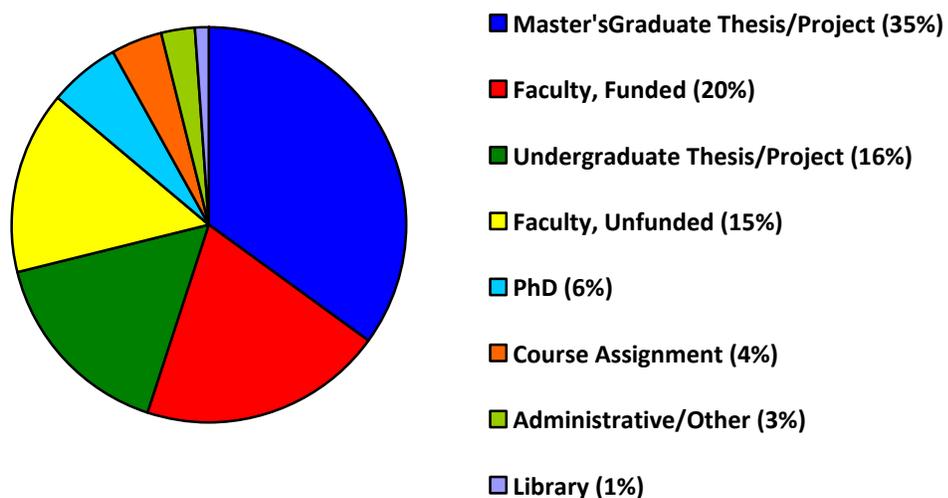


Figure 2. 2009-2010 Applications by Type



- ▶ In 2009-2010, REB members reviewed an average of 31 minimal risk applications, attended 11 monthly meetings, and reviewed 9 full board applications. Due to our commitment to extended training for our new members, those individuals reviewed fewer minimal risk applications (average = 25) than our continuing members (average = 38). We are conscious that this is a higher workload than other volunteer committees on campus and need to ensure that the size of the REB remains large enough to ensure a manageable distribution of the required workload.
- ▶ ARAC reviewed 12 applications in 2009-2010.
- ▶ In contrast to other REB members, the Chair and Vice-Chair receive modest course release (1 credit and ½ credit, respectively). Continual efforts need to be made to reduce the workload for the Chair wherever feasible to match this level of compensation without sacrificing quality of reviews or turnaround times for applications.

6. Compliance and Appeals

- ▶ In 2009-2010, the REB investigated four non-serious, compliance cases. Issues were as follows:
 1. Breach in REB accepted recruitment protocol resulting in potential risk to privacy and perceived coercion;
 2. Research began before REB clearance was in place;
 3. Breach in REB accepted protocol resulting in potential risk to participants;
 4. Complaint from participant regarding inadequate reporting of results.All cases were handled in an educational fashion, according to Brock REB guidelines. Mechanisms were put in place to mitigate risk and research resumed.
- ▶ Consistent with past years, there were no appeals of decisions by the REB in 2009-2010.

7. Challenges Faced by the REB in 2009-2010

- ▶ The Research Ethics Office currently uses a stand-alone Microsoft Access database to track files. We have had difficulty finding administrative support staff that are familiar with this software and as such, have been limited in the functions we can use and the statistics we can report. Because the current system cannot communicate with the database used by the ORS grant officers and finance officers, it is particularly difficult to track clearance certificates and compliance with respect to funded research projects. However, it is anticipated that in 2010-2011, Brock will purchase an advanced research administration software system that will include integrated components for the Research Ethics Office and ORS.
- ▶ The REB continued to struggle with some of the bioscience related protocols it received due to a lack of experience or expertise. Consequently, expert external advice had to be sought a number of times contributing to differential response times across research fields. The TCPS allows for external opinion and suggests that ad hoc members be nominated in cases where projects require specific expertise not available from regular REB members. However, should this occur regularly, the TCPS states that membership of the REB should be modified to ensure knowledge and expertise in the areas of research covered by the REB. While there are faculty at Brock who could provide a greater level of expertise in reviewing physiologically based protocols than existed on the 2009-2010 board, many of these faculty members have traditionally been reluctant to serve on the REB, because a large majority of the applications reviewed fall outside the area of their own expertise and interest. In January 2009, the REB presented the VP Research, Liette Vasseur, with a report proposing a second REB at Brock that would focus on biosciences (i.e., mechanical, physical, and biochemical processes including studies involving physiological measures or interventions). Based on the types of applications typically received, it was envisioned that this division would result in a balanced workload across two boards. The report written by REB Vice-chair, Linda Rose-Krasnor and Research Ethics Officer–Undergraduate, Kate Williams, was prepared in consultation with Brock faculty who conduct research in the biosciences. At the time the report was presented, the VP Research decided a second REB for biosciences was not needed.

In February 2010, the report was revisited with the new VP Research Ian Brindle and approved in principle. In April, the report was taken to the Senior Administrators Council for information. The Senate Committee on Research and Scholarship Policy also expressed support for the proposal at their April meeting. The proposal was introduced for information at the Senate meeting in May with a request to the REB to provide a full proposal with budget considerations.

8. Future Plans

- ▶ The REB is proceeding with a formal proposal, including budgetary considerations, for the creation of a separate bioscience REB. This proposal was presented to VP Research, Ian Brindle, in September 2010 with a request that he present it for action to The Senate Committee on Research and Scholarship Policy.
- ▶ Continual development regarding REB policy and practices for Aboriginal research and ethics is anticipated over the 2010-2011 year with proposed revisions to the Faculty Handbook to be brought forward to Senate.
- ▶ New REB guidelines are currently being developed for student participant pools, case studies, and research projects involving alcohol. It is anticipated that these guidelines will be introduced into practice in fall 2010.
- ▶ In December 2010, the Interagency Advisory Panel on Research Ethics is expected to release a substantial revision to the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* (TCPS). The REB and Research Ethics Office will work to bring Brock policies and REB practice in line with the new guidelines, and launch additional educational sessions to update the Brock University community. These changes will be reflected in proposed revisions to the Faculty Handbook to be brought forward to Senate and corresponding revisions and additions to REB Guidelines.
- ▶ It is anticipated that in 2010-2011, Brock Research will purchase an advanced research administration software system. This system will have an impact on both REB review and research ethics administration. The software will automatize some database functions, which should simplify reporting, provide more accurate statistics, and improve linkages with other databases maintained by the Office of Research Services. The system also raises some challenges:
 - The current administrative assistant position dedicated primarily to research ethics is scheduled to be phased out with the introduction of this software. As a result, the level of clerical support the Office of Research Services provides the REB will have to be negotiated, and training and workload distribution among the research ethics officers will need to be considered.
 - Questions have been raised about the confidentiality of REB files (applications and documentation associated with the review process) at other institutions that have introduced similar systems. These are issues that must be carefully considered and addressed in our context.
- ▶ Lori Walker and Michelle McGinn also intend to release guidelines for scholar-practitioners engaged in research in their professional setting, based upon some work undertaken with research assistants Julia Blushak and Beryl Holtam, and the Graduate Student Research Ethics Mentor. Consultations will occur with relevant departments. The Research Ethics Office will work with the Faculty of Education to deliver these guidelines through a forum session.
- ▶ In 2010-2011, the REB plans to proceed with a project (deferred from 2009) to gather feedback (probably through an on-line survey) from faculty regarding their perceptions of the current REB process and suggestions for improvement.

APPENDIX A – REB MEMBERSHIP 2009-2010

| REB Members | | |
|---------------------------------|-------------------------------|-------------------------------------|
| Bordonaro, Karen | | Library |
| Bruce, Mair | Unaffiliated | Niagara Regional Police |
| Catherine, Nash | | Geography |
| DiBiase, Ann-Marie | | Education, Graduate & Undergraduate |
| Falk, Bareket | | Physical Education & Kinesiology |
| Frost, Gail (until Nov) | | Physical Education & Kinesiology |
| Gallagher, Tiffany | | Teacher Education |
| Liu, Jian | | Community Health Science |
| Malleck, Dan | | Community Health Science |
| Mallen, Cheryl | | Sport Management |
| McGinn, Michelle | Chair | Education, Graduate & Undergraduate |
| Raddon, Mary-Beth | | Sociology |
| Rose-Krasnor, Linda | Vice-chair | Psychology |
| Shores, Bevin | Legal knowledge, unaffiliated | Lawyer |
| Stevens, Julie (until May) | | Sport Management |
| Welland, Richard (until March) | | Applied Linguistics |
| Graduate Student Members | | |
| Gregson, Paige | | Physical Education & Kinesiology |
| Longboat, Catherine | Aboriginal member | Education |
| Rawlings, Kevin | | Applied Disabilities |

| Aboriginal Research Advisory Circle | | |
|--|------------|------------------|
| Brant, Jenn (6 months) | | Education |
| Hodson, Janie | | Tecumseh Centre |
| Hodson, John (6 months) | | Tecumseh Centre |
| Longboat, Catherine | REB Member | Education |
| McGean, Sarah | | Tecumseh Centre |
| Styres, Sandra | | York PhD Student |

| REB Appeals Committee | | |
|------------------------------|-----------------|-------------------------------------|
| Roy, Brian | Past REB member | Physical Education & Kinesiology |
| Butz, David | Past REB Chair | Geography |
| Gabriel, David | Past REB member | Physical Education & Kinesiology |
| McGarrell, Hedy | Past REB member | Applied Linguistics |
| Engemann, Joe | Past REB Chair | Education, Graduate & Undergraduate |
| Plyley, Mike | Past REB member | Applied Health Sciences |
| Tilley, Susan | Past REB member | Education, Graduate & Undergraduate |
| Mangoff, Theodore | Unaffiliated | Chiropractor |

| Research Ethics Staff | | |
|---------------------------------|-------------------------|---------------------------------------|
| Lori Walker | Ex-officio (non-voting) | Senior Research Ethics Officer |
| Kate Williams | Secretary (non-voting) | Research Ethics Officer–Undergraduate |
| Angela Nauss/Sabrina Pennacchio | | Administrative Assistant (ORS) |
| Ewelina Niemczyk | | Graduate Student Mentor, Education |

APPENDIX B – STRUCTURE OF RESEARCH ETHICS OFFICE AND REB

B.1 Structure of Research Ethics Office

**Vice-President Research
Liette Vasseur/Ian Brindle**

The VP Research is responsible for the implementation of Brock University Policy through the REB and ensures that the REB has the appropriate financial and administrative independence to fulfill its mandate.

**Senior Research Ethics Officer
Lori Walker**

Manages the day-to-day operation of the Research Ethics Office, which provides all administrative and educational functions related to the ethics review of research projects involving human participants, ensures adherence to policies and guidelines in the review process as established by the TCPS, and provides administrative and operational support to the REB.

**Research Ethics Officer–Undergraduate
Kate Williams**

Supports review process for undergraduate research and the educational mandate of the MOU. Provides secretarial/administrative and research support to the REB.

**The ORS Admin Assistant
Angela Nauss/Sabrina Pennacchio**

Provides administrative and operational support to the REB. Manages the database, file systems, and the REB email account.

**The Graduate Student Mentor
Ewelina Niemczyk**

Provides support to graduate student investigators preparing to submit to the REB. Assists with the educational outreach programs.

B.2 Structure of REB

Research Ethics Board (REB) - Chair, Michelle McGinn; Vice-Chair, Linda Rose-Krasnor

The REB functions independently, with the support of financial and human resources administered through the Office of the VP Research [Brock Faculty Handbook Section III, 8.3.1(1)]. The REB is mandated to accept, reject, propose modifications to, or terminate any proposed or ongoing research that is subject to REB review pursuant to Brock standards. A decision of the REB to disallow research on ethical grounds, unless reversed on reconsideration by the REB, may only be reversed through appeal. The REB has the authority to suspend any ongoing research under its purview that it deems to pose an unacceptable risk of harm to participants or in which the principal researcher has not complied with University policies and procedures related to the ethical conduct of research involving humans [Brock Faculty Handbook Section III: 8.3.1(1)].

Aboriginal Research Advisory Circle (ARAC)

Completes a culturally informed review of applications for research involving Aboriginal peoples that meet the criteria from TCPS 6.A. with consideration for Aboriginal cultural protocols, histories, and traditions.

The REB Appeals Committee

Hears appeals arising from negative decisions of the REB. Decisions of the Appeals Committee are final and binding in all respects [TCPS 1.11 C and Brock Faculty Handbook Section III: 8.3.7]

Vice-President Research - Ian Brindle

The VP Research appoints REB members and is consulted regarding the selection of the Chair. The VP Research receives the REB annual report [Brock Faculty Handbook Section III: 8.3.1(4)] and presents it to the Research and Scholarship Policy Committee of Senate.

APPENDIX C – REB ANNUAL STATISTICS REGARDING REVIEW OF APPLICATIONS

| | 2009-2010 | 2008-2009 | 2007-2008 | 2006-2007 | 2005-2006 |
|---|------------|------------|------------|------------|------------|
| Total Number of Submissions | 777 | 991 | 604 | 652 | 453 |
| Number/Type of New Submission | 310 | 373 | 347 | 377 | 350 |
| Expedited Review | 289 (93%) | 343 (92%) | 324 (93%) | 350 (93%) | 322 (92%) |
| Administrative Review | 3 (1%) | 6 (1%) | 7 (2%) | 8 (2%) | 12 (3%) |
| Full Board Review | 9 (3%) | 10 (3%) | 6 (2%) | 6 (2%) | 4 (1%) |
| Secondary Use of Data | 9 (3%) | 14 (4%) | 10 (3%) | 13 (3%) | 12 (3%) |
| Number/Type of Submissions for Ongoing Protocols | 467 | 618 | 257 | 275 | 103 |
| Modifications to Ongoing Projects | 133 | 152 | 168 | 130 | 78 |
| Final Reports | 200 | 279 | 47 | 130 | 15 |
| Annual Renewals | 134 | 187 | 42 | 15 | 10 |
| Decisions | | | | | |
| Accepted As Is | 60 (19%) | 92 (25%) | 72 (21%) | 60 (16%) | 17 (5%) |
| Clarification Required | 233 (75%) | 277 (74%) | 264 (76%) | 305 (81%) | 291 (83%) |
| Resubmission Required | 2 (1%) | 4 (1%) | 4 (1%) | 12 (3%) | 19 (5%) |
| Approval Withheld | 0 | 0 | 0 | 0 | 0 |
| Modification Denied | 3* | 0 | 0 | 0 | 0 |
| Initial Decision Pending on June 30th | 15 (5%) | 0 | 7 (2%) | 0 | 23 (7%) |
| Outcomes | | | | | |
| Accepted | 288 (93%) | 344 (92%) | 304 (88%) | 323 (85%) | 299 (85%) |
| Withdrawn | 4 (1%) | 16 (4%) | 13 (4%) | 10 (3%) | 9 (3%) |
| Exempt | 3 (1%) | 4 (1%) | 4 (1%) | 4 (1%) | 10 (3%) |
| Outcome Pending on June 30th | 15 (5%) | 9 (2%) | 26 (7%) | 40 (11%) | 32 (9%) |
| Denied | 0 | 0 | 0 | 0 | 0 |
| Submissions by Faculty | | | | | |
| Social Sciences | 101 (33%) | 119 (32%) | 121 (35%) | 117 (31%) | 132 (38%) |
| Education | 78 (25%) | 104 (28%) | 83 (24%) | 120 (32%) | 96 (27%) |
| Applied Health Sciences | 71 (23%) | 78 (21%) | 91 (26%) | 96 (25%) | 98 (28%) |
| Business | 22 (7%) | 30 (8%) | 19 (5%) | 17 (5%) | 9 (3%) |
| Humanities | 14 (5%) | 18 (5%) | 10 (3%) | 5 (1%) | 4 (1%) |
| Mathematics and Science | 11 (3%) | 10 (3%) | 11 (3%) | 5 (1%) | 4 (1%) |
| Library | 3 (1%) | 5 (1%) | 1 (1%) | 7 (2%) | 1 (<1%) |
| Administrative/other | 10 (3%) | 9 (2%) | 11 (3%) | 10 (3%) | 6 (2%) |
| Submissions by Type of Research** | | | | | |
| Course-based Assignment | 12 (4%) | 25 (7%) | 27 (8%) | 16 (4%) | 23 (6%) |
| Undergraduate Thesis/Project | 50 (16%) | 48 (13%) | 71 (20%) | 93 (25%) | 97 (28%) |
| Master's Graduate Thesis/Project | 108 (35%) | 129 (34%) | 98 (27%) | 119 (32%) | 105 (30%) |
| PhD | 19 (6%) | 11 (3%) | 12 (4%) | 27 (7%) | 10 (3%) |
| Faculty | 108 (35%) | 141 (38%) | 121 (35%) | 102 (27%) | 106 (30%) |
| Library | 3 (1%) | 5 (1%) | 1 (1%) | 7 (2%) | 1 (1%) |
| Administrative/other | 10 (3%) | 14 (4%) | 17 (5%) | 13 (3%) | 8 (2%) |
| Average Turnaround Time (Working Days) | 15 | 15 | 19 | 21 | 15 |
| Number of REB Meetings Held | 11 | 11 | 12 | 11 | 11 |

* Modification deemed to be too great; full application required.

**Due to an overlap in reporting categories, these numbers should be viewed with caution.

APPENDIX D – RESEARCH ETHICS APPLICATIONS BY FACULTY AND DEPARTMENT

| Faculty and Department | # New Submission | % Overall New Submissions |
|--|-------------------------|----------------------------------|
| Applied Health Sciences | 71 | 23% |
| Community Health Sciences | 5 | 2% |
| Nursing | 5 | 2% |
| Physical Education & Kinesiology | 35 | 11% |
| Recreation & Leisure Studies | 12 | 4% |
| Sport Management | 13 | 4% |
| Business | 22 | 7% |
| Accounting | 3 | 1% |
| Finance, Operations & Information Systems | 5 | 1.5% |
| Marketing, International Business & Strategy | 9 | 3% |
| Organizational Behaviour, Human Resources, Entrepreneurship & Ethics | 5 | 1.5% |
| Education | 78 | 25% |
| Graduate & Undergraduate Education | 74 | 24% |
| Teacher Education | 4 | 1% |
| Humanities | 14 | 5% |
| Applied Linguistics | 7 | 2% |
| Dramatic Arts | 3 | 1% |
| English Language & Literature | 2 | 1% |
| History | 2 | 1% |
| Library | 3 | 1% |
| Mathematics and Science | 11 | 3% |
| Biological Sciences | 3 | 1% |
| Cool Climate Oenology & Viticulture Institute | 8 | 2% |
| Social Sciences | 101 | 33% |
| Applied Disability Studies | 7 | 2% |
| Child & Youth Studies | 26 | 8% |
| Communications, Popular Culture & Film | 1 | 0.5% |
| Economics | 2 | 1% |
| Geography | 11 | 3% |
| Labour Studies | 1 | 0.5% |
| Political Science | 7 | 2% |
| Psychology | 34 | 11% |
| Sociology | 8 | 3% |
| Tourism and Environment | 2 | 1% |
| Women's Studies | 3 | 1% |
| Administrative/Other | 10 | 3% |
| Total submissions for 2008/09 | 310 | 100% |