

**Brock University Research Ethics Board (REB)
2010-2011 Annual Report**

To: Gary Libben, VP Research
The Research and Scholarship Policy Committee of Senate

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

1. Role of the Research Ethics Boards

The role of the Brock University Research Ethics Boards (REBs) and the Research Ethics Office (REO) is to help ensure that ethical principles are applied to research involving human participants. The REBs and REO, therefore, have 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 REBs and the REO serve the research community as a consultative body and a steward for ethical research at Brock, and provide education related to research ethics and related review procedures for the Brock University community. The REBs also have 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 REBs are identified as institutional liaisons 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 III:8 of the Faculty Handbook.

2. Differentiation into Two Distinct Research Ethics Boards

Brock University has had a single centralized Research Ethics Board (REB) for many years. On November 26, 2010, the REB presented a report to the Research and Scholarship Policy Committee of Senate entitled, *A Proposed Bioscience Research Ethics Board at Brock University*. Following discussion, a revised proposal, along with an Appendix, *Proposed Changes to the Faculty Handbook* was brought back to the Committee on January 26, 2011. At that meeting, the Committee passed a motion to recommend that Senate approve the differentiation into two distinct Research Ethics Boards—a Bioscience Research Ethics Board (BREB) and a Social Science Research Ethics Board (SREB)—and the corresponding modifications to the Faculty Handbook.

On February 9th, 2011, the Brock University Senate approved modifications to the Faculty Handbook III: 8.3.1 to 8.3.4 – Academic Regulations, Composition and Structure of the Research Ethics Boards allowing for the creation of the new Bioscience Research Ethics Board (BREB) responsible for ethics review, policy development, and education related to research involving:

- physiological measures such as EEGs, heart rate, GSR, temperature, blood pressure, respiration, vagal tone, x-rays, MRIs, CT or PET scans;
- ingestion or other use of food, beverages, food additives, or drugs, including alcohol and tobacco;
- medical techniques or therapies, including experimental medical devices;
- physical exertion beyond normal walking;
- physical movement in participants who have medical vulnerabilities (e.g., spinal cord injury, osteoporosis);

¹ http://www.brocku.ca/university-secretariat/facultyhandbook/section3#_genIndex48

² <http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/>

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

- human tissue samples (e.g., blood, saliva, urine);
- interventions with the potential for physiological effects (e.g., diet and exercise); and/or
- use of medical or official health records (e.g., hospital records).

The new Social Science Research Ethics Board (SREB) is responsible for all other research involving humans. The two boards officially launched in July 2011 with some preparatory work over the spring term to prepare for this launch.

3. Composition of the REBs

Throughout the 2010-2011 academic year, the single centralized Research Ethics Board was in place. Consistent with the guiding policies of the TCPS, the REB was 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; and
- 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 for 2010-2011 is presented in **Appendix A**. As is evident from this list, the actual size of the REBs is considerably larger than the minimum membership. Our policy indicates that other members should be included in the board compositions 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 requirements. For example, in 2004 we began 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 mandate. The larger size and the TCPS expertise requirements led to some challenges with quorum throughout the year, which is an issue that the two new REBs are treating very seriously and expect to resolve in the coming year.

Composition for the two new REBs is as follows with slated membership identified in **Appendix A**.

The BREB is composed of a minimum of nine members:

- the Chair,
- the Vice-Chair
- at least two other faculty members from Brock University with broad expertise in research methods in bioscience fields;
- at least one faculty member from a non-bioscience field;
- at least one member with relevant legal knowledge;
- at least one member with relevant medical knowledge;
- two members who have no direct affiliation with Brock University and are recruited from the community served by Brock University; and

The SREB is composed of a minimum of seven members:

- a Chair
- a Vice-Chair

- at least two other faculty members from Brock University with broad expertise in research methods in social science fields;
- at least one faculty member from a non-social science field; and
- two members who have no direct affiliation with Brock University and are recruited from the community served by Brock University.

In addition to these criteria:

- at least one member on each board must be knowledgeable about ethics in research.
- each board normally has one or two graduate student members; and
- the Manager, Research Ethics sits on each board as an ex-officio non-voting member.

The REBs are also supported by an Aboriginal Research Advisory Circle (ARAC) (see **Appendix A**) 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 TCPS2 or other emerging policies and practices for research involving Aboriginal peoples; seeks information regarding existing review processes within Aboriginal communities; and recommends to the REBs a course of action that could clarify, assist, and/or support the intent of the principal investigator.

4. Research Ethics Office

4.1. 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 2010, Lori Walker's position title was changed from Senior Research Officer to Manager, Research Ethics to better reflect her role in overseeing the Research Ethics function at Brock, developing and implementing policy and procedure, and supervising staff. There are current discussions between the Research Ethics Office, the VPR, and Human Resources to change Kate Williams' title from Research Ethics Officer-Undergraduate to Research Ethics Officer. This change will more accurately reflect Kate's duties, which are not confined to undergraduate research—she provides clerical and research support for both REBs and assists with the ethical review of faculty and graduate student research where volume warrants.
- ▶ In 2004-2005, the position of Research Ethics Assistant was created. Reporting to the Senior Research Ethics Officer, the main functions of this position were 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. However, as an on-line system had not been purchased, this position continued to report to the Senior Research Ethics Officer (now Manager Research Ethics) and was dedicated to full-time research ethics support. In March 2011, the position ceased to provide full-time ethics support and was transitioned from the Research Ethics Office to the Office of Research Services, reporting to the VPR.
- ▶ It was soon recognized that the Research Ethics Office needed dedicated administrative support in order to operate efficiently and on April 4, 2011, a Temporary Employment Services employee, Elfie Marsh was secured for the equivalent of two days per week to support ethics. Currently, this arrangement falls under the category of "extra assistance" as per Article 18.01 of the OSSTF District 35 Collective Agreement with Brock University (May 1, 2010 to April 30, 2012). The degree of administrative support afforded the REB through this position will have to be negotiated with the VPR before the appointment

exceeds the hours permitted for this category and, in keeping with the collective agreement, needs to be posted or receive approval of the Union.

- ▶ In 2010-2011 the Research Ethics Office was once again able to support a Graduate Student Research Ethics Mentor, Ewelina Niemczyk, through a graduate fellowship. This position is based on a model that was initially 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 seventh year that this position has provided a liaison between Brock graduate 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.

4.2. Systems and Resources

- ▶ The Office of Research Services is moving forward with implementing Quali Coeus, open-source software for research administration under an educational community license. Functionality of the REB module will allow complete development, submission, review and communication through a web-based application. This 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. However, the system will also raises some challenges:
 - The level of administrative support to the REBs will be greatly taxed as the Manager, Research Ethics is engaged with ITS and trainers implementing and customizing the new software system.
 - The level of clerical support the Office of Research Services provides the REBs will have to be negotiated, and training and workload distribution among the research ethics office staff 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.

5. Education and Professional Development

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

• Class presentations		15
▪ Undergraduate	4	
▪ Graduate	11	
• General workshops		2
• Departmental/group sessions		2

- ▶ Lori Walker and Kate Williams gave lectures or seminar presentations (ranging from 50 minutes to 3 hours) to 15 undergraduate and graduate classes in the 2010-2011 academic year. 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. Research Ethics Office staff participated in the 2010 Graduate Student Orientation Day. Research Ethics Manager Lori Walker met with the Friends of Service-Learning group to discuss ethical issues relevant to community research and the scholarship of teaching and learning.
- ▶ The position of Graduate Student Research Ethics Mentor has also provided an important educational resource person for graduate students who are often more comfortable speaking with a peer than a staff person or the REB Chair. Ewelina Niemczyk pre-viewed 15 student applications, working with students to improve the quality of their applications prior to submission to the REB.

- ▶ 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.

5.2. REB Member Professional Development and Training

- ▶ An orientation/training session was held in August 2010 for new and continuing REB members to review REB policy and procedures, and to engage in a case study involving ethical issues in research.
- ▶ REB members new to the board in 2010 were mentored by the Vice-Chair and Manager, Research Ethics for a 6-week period in which they completed reviews and discussed them in small groups.
- ▶ Orientation for both the BREB and SREB 2011-2012 board members was held in June 2011. New members are scheduled to engage in small group training from August to October 2011.
- ▶ 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:
 - Proportionate review and student research
 - Online and internet research
 - Mandatory reporting laws
 - Changes resulting from the TCPS2
 - Research involving alcohol consumption
 - Research pertaining to the scholarship of teaching and learning
- ▶ The REB Executive (REB Chair, incoming BREB and SREB Chairs, past REB Chair, Research Ethics Manager) held a half-day retreat in March 2011 to discuss strategic planning around the formation of the BREB and changes introduced in the TCPS2.
- ▶ Research Ethics Officers and REB members participated in the following external conferences, training and network meetings in 2010-2011:

Conference/Event	Title/Topic	Date	Venue	Attendees
CAREB* Ontario Conference	Balancing Risk: Navigating Ontario's Diverse Research Landscape	November 2010	Toronto	J. Frijters L. Walker K. Williams
Faculty of Education and Niagara Catholic District School Board	Research Ethics Review Process at the Niagara Catholic District School Board	December 2010	St. Catharines	L. Walker K. Williams
CAREB National Conference and AGM	REBs under the Lens: Effectiveness, Efficiency, Relevance	April 2010	Halifax	M. McGinn L. Walker
PRE **Regional Workshop	The second edition of the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS 2)	March 31, 2011	Toronto	M. McGinn L. Walker K. Williams L. Sherry-Kirk S. Wong C. Jacobs
Electronic Health Information Laboratory (Webinar)	The Consent Requirements under the Personal Health Information Protection Act			M. McGinn L. Walker
Network Meeting	McMaster University	June 2011	Hamilton	L. Walker
Network Meeting	UOIT and Toronto Rehabilitation Institute	June 2011	St. Catharines	L. Walker
Public Launch	Community Research Ethics Office (CREO).	June 2011	Kitchener	L. Walker

*Canadian Association of Research Ethics Boards

**Interagency Advisory Panel and Secretariat on Research Ethics

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

- ▶ Michelle McGinn (REB chair), Dan Malleck (REB member), and Susan Tilley (REB Appeals committee member), along with Will van den Hoonaard (UNB, former member of the Interagency Advisory Panel on Research Ethics), secured \$69,800 from the Global Health Research Initiative for their project, "Research Ethics on the Ground: Partnerships, Plans, and Practices in Global Population Health." Focused upon collaborative development partnerships related to population health, the two-year project involves multiple case studies of the ways research collaborators experience research ethics on the ground, that is, on the ethical issues and challenges researchers face as their research unfolds over time.
- ▶ Michelle McGinn (REB Chair) and Lori Walker (Manager, Research Ethics) delivered a training session for the University of Ontario Institute of Technology (UOIT) REB on the concept of risk and proportionate review, October 2010, Oshawa.
- ▶ Michelle McGinn (REB Chair) and Lori Walker (Manager, Research Ethics) co-presented the CAREB 301 professional development workshop, *REB Review Case Study (Social Science)* at the CAREB national conference, 2010, Halifax.
- ▶ Lori Walker (Manager, Research Ethics) presented *Unpacking the TCPS2—An Overview of Changes* at the CAREB 301 professional development workshop for the CAREB national conference, 2010, Halifax.
- ▶ Lori Walker (Manager, Research Ethics) served on the CAREB Professional Development Committee and was elected to the CAREB Executive Committee as a member-at-large (three-year term).
- ▶ Kate Williams (Research Ethics Officer-Undergraduate) served on the CAREB Ontario Planning Committee (2010).

6. Review of Ethics Applications

- ▶ The number of new applications received in 2010-2011 was **298** with an average turnaround time of **16 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 **452**. 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 a desk in the Research Ethics Office 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 2010-2011 is: **(298 x 3) + 110 = 1004**.
- ▶ Twenty-five per cent of new applications were accepted as is (compared to 16% in 2006-2007) and the number of applications requiring resubmission continued to decrease (from 12 in 2006-2007 to 1 in 2010-2011). There has also been a marked decrease over the past five years 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 (based on minimal-risk applications) in 2010-2011 was **16** days (compared to 19 days in 2007-2008 and 21 days in 2006-2007). From 2009-2011, faster turnaround times (15 days on average), faster responses to clarifications, and fewer requests for clarifications, have resulted in decreased wait time for researchers. This trend is attributed to office staffing levels during this period.
- ▶ The REB maintains an expeditious turnaround time with substantial support from the Research Ethics Office. Office staff provide support for the REB Chair, and sufficient resources for enhanced educational efforts within the REB and for the Brock University community. The Research Ethics Officer or Manager conducts a rigorous review of research applications and proposes substantive edits to the reviews submitted by REB members prior to review by the REB Chair. The Research Ethics Officer or Manager also processes 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 officer and manager in the review process also ensures that they are well prepared to support applicants through pre-reviews of applications and educational offerings.

- ▶ The recent loss of dedicated administrative support has resulted in somewhat slower turnaround times as the Research Ethics Officer and Manager take on more clerical duties. The long-term effect that this will have on the office function is yet to be seen but is a concern for both REBs, particularly as results of the 2011 REB Survey (see Section 8) indicate that turnaround time is a strong predictor of researcher satisfaction with the REB process.
- ▶ 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 (47%) and faculty (32%) with undergraduate theses and projects accounting for 14% 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.
- ▶ In 2010-2011, the REO processed on average, 25 new applications per month (see Figure 3) with the busiest months being November (35) and January (34). REB member reviewed an average of 27 minimal risk applications each, attended 12 monthly meetings, and reviewed 5 full board applications.
- ▶ Conducting timely reviews in the spring and summer months (May-August) was a challenge as the volume of submissions remained relatively constant (see Figure 3) but the number of reviewers available declined due to vacation and conferences (e.g., 6 faculty reviewers were unavailable in August). When reviewers are unavailable, their portion of the workload has to be redistributed to the remaining REB members; as a consequence, our practice of assigning at least one faculty reviewer to each file resulted in some faculty being overburdened during this period.
- ▶ We are conscious that the REBs have a higher workload than other volunteer committee on campus and need to ensure that the size of each REB remains large enough to ensure a manageable distribution of the required workload. The differentiation into two distinct REBs may address this concern to some extent.
- ▶ ARAC reviewed 10 applications in 2010-2011.
- ▶ In contrast to other REB members, the Chair and Vice-Chair received modest course releases (1 course and ½ course, respectively). The creation of two distinct REBs each with a Chair receiving the equivalent of 1 full course release is expected to bring this workload in line with the level of compensation without sacrificing quality of reviews or turnaround times for applications.

7. Compliance and Appeals

- ▶ In 2010-2011, the REB investigated two Level 1 (minor) compliance cases and one Level 3 (serious) compliance case. All were brought to the attention of the REO by research participants. Issues were as follows:
 - Research began before REB clearance was in place;
 - Modification to protocol initiated without REB clearance in place;
 - Incident leading to breach of privacy followed by the researcher intentionally providing incorrect or misleading information to the REB and intentionally violating the basic principles of the TCPS and/or Brock University Ethics Policy.

All cases were handled according to Brock REB guidelines. The Level 3 case was forwarded to the VPR. Consistent with past years, there were no appeals of decisions by the REB in 2010-2011.

Figure 1. 2010-2011 Applications by Faculty

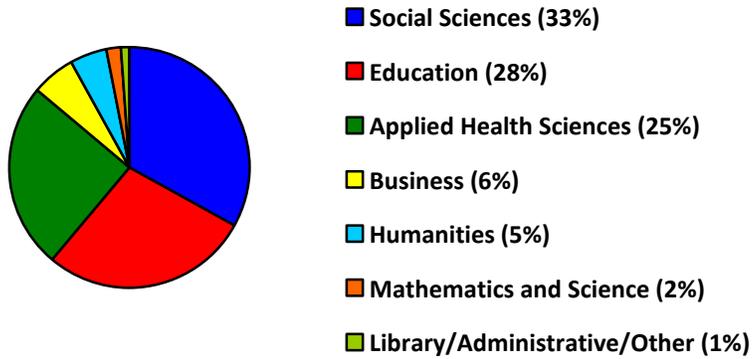


Figure 2. 2010-2011 Applications by Type

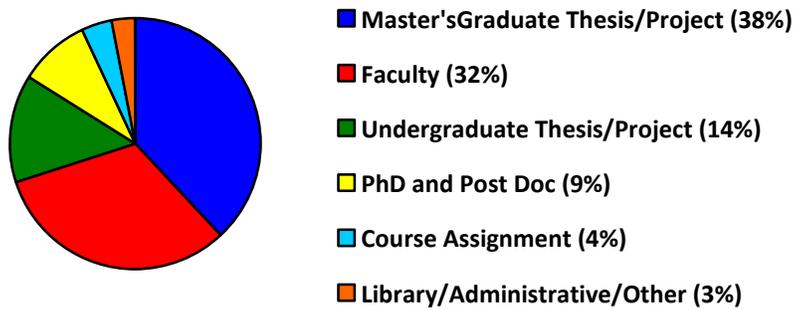
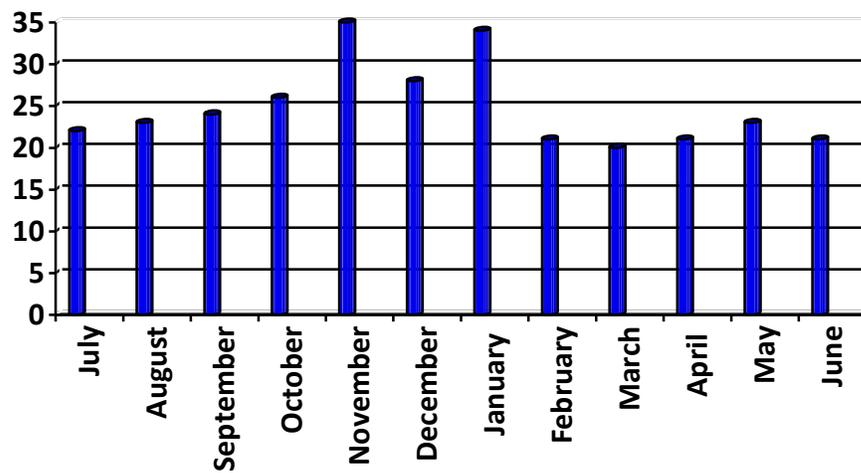


Figure 3. 2010-2011 Applications (new) by Month



8. REB Survey

- ▶ In April 2011, the REB conducted a voluntary, anonymous survey for the purpose of evaluating its procedures in order to improve services and further facilitate research needs. Feedback was sought from graduate students and faculty who conduct or have conducted research involving human participants. With approximately one month of online availability, 121 researchers responded to the survey. Of the respondents who identified their position in the university, 42% were professors of varying rank and 27% were MA or PhD students.
- ▶ Overall, 69% of Brock researchers reported some degree of positive satisfaction with the ethics form and 58% reported positive satisfaction with the ethics process overall.
- ▶ A multiple regression was performed to identify the dynamics influencing researchers' overall satisfaction with the research ethics process at Brock. In order of importance, the greatest predictors of overall process satisfaction were: satisfaction with the feedback process; satisfaction with the application form; and satisfaction with turnaround time (where lower turnaround times were associated with greater process satisfaction).
- ▶ The discrepancy between estimates of average REB turnaround time and researchers' own experienced turnaround time also predicted process satisfaction. Researchers who believed that the average turnaround time was longer than the turnaround time they experienced for their own study were more satisfied with the ethics process overall.
- ▶ However, it is important to note that despite institutional focus on turnaround times, satisfaction with the feedback process for minimal risk studies was about 1.3 times more important to understanding researchers' process satisfaction, when compared to satisfaction with turnaround times.
- ▶ In terms of researchers' satisfaction with the Research Ethics Office function, 87% of respondents were satisfied with the support they received from the REO, with only 6% not satisfied.
- ▶ Overall, 88% of respondents found the REO staff approachable. Similarly, 87% of respondents found the REO staff helpful, 88% found REO staff knowledgeable about the research ethics process, and 78% found the REO staff knowledgeable about research ethics more generally. Across each of these areas, professors were more likely to strongly endorse the related items.
- ▶ A full report of survey results will be posted on the Research Ethics website in January 2012.

9. Future Plans

- ▶ Currently, the Faculty Handbook, Section III, 8.3.13–8.3.15 states that clinical trial research; human genetic research; and research with human gametes, embryos, or fetuses are not permitted at Brock University. This is problematic and will be a hindrance as Brock becomes more research intensive, particularly in light of the new Cairns Family Health and Bioscience Research Complex and work conducted by some of our Canada Research Chairs. In addition, the TCPS2 definition of clinical trials has expanded such as to include some of the research currently undertaken at Brock. It is also noteworthy that TCPS2 provides much more support for researchers and REBs regarding the review of clinical trials research. This is a priority area for the REBs (especially BREB). Proposed revisions to the Faculty Handbook will be submitted to the Research and Scholarship Policy Committee of Senate and brought forward to Senate as soon as possible. Corresponding revisions and additions to REB Guidelines will also be developed in 2011-2012.
- ▶ It is anticipated that Quali Coeus (an advanced research administration software system) will be implemented in 2011-2012. This system will have a significant impact on both REB review and research ethics administration.
- ▶ The Research Ethics Office continues to play a role on the provincial and national fronts and will host the Canadian Association of Research Ethics Boards Ontario Conference in November 2011.

► **APPENDIX A – REB MEMBERSHIP 2010-2011**

REB Members		
McGinn, Michelle	Chair	Education, Graduate & Undergraduate
Frijters, Jan	Vice-Chair	Child and Youth Studies
Book, Angela		Psychology
Bordonaro, Karen		Library
Bruce, Mair	Unaffiliated	Niagara Regional Police
Chalmers, Heather		Child and Youth Studies
DiBiase, Ann-Marie		Education, Graduate & Undergraduate
Ditor, Dave		Kinesiology
Falk, Bareket		Kinesiology
Hodson, Gordon		Psychology
Liu, Jian (Jason)		Community Health Science
Malleck, Dan		Community Health Science
Rose-Krasnor, Linda		Psychology
Shores, Bevin	Legal knowledge, unaffiliated	Lawyer
Tardiff-Williams, Christine		Child and Youth Studies
Thomson, Ron		Applied Linguistics
Graduate Student Members		
Down, Susan		Education
Lovering, Mary		Education
Rawlings, Kevin		Applied Disabilities
Torti, Jacqueline		Applied Health Sciences

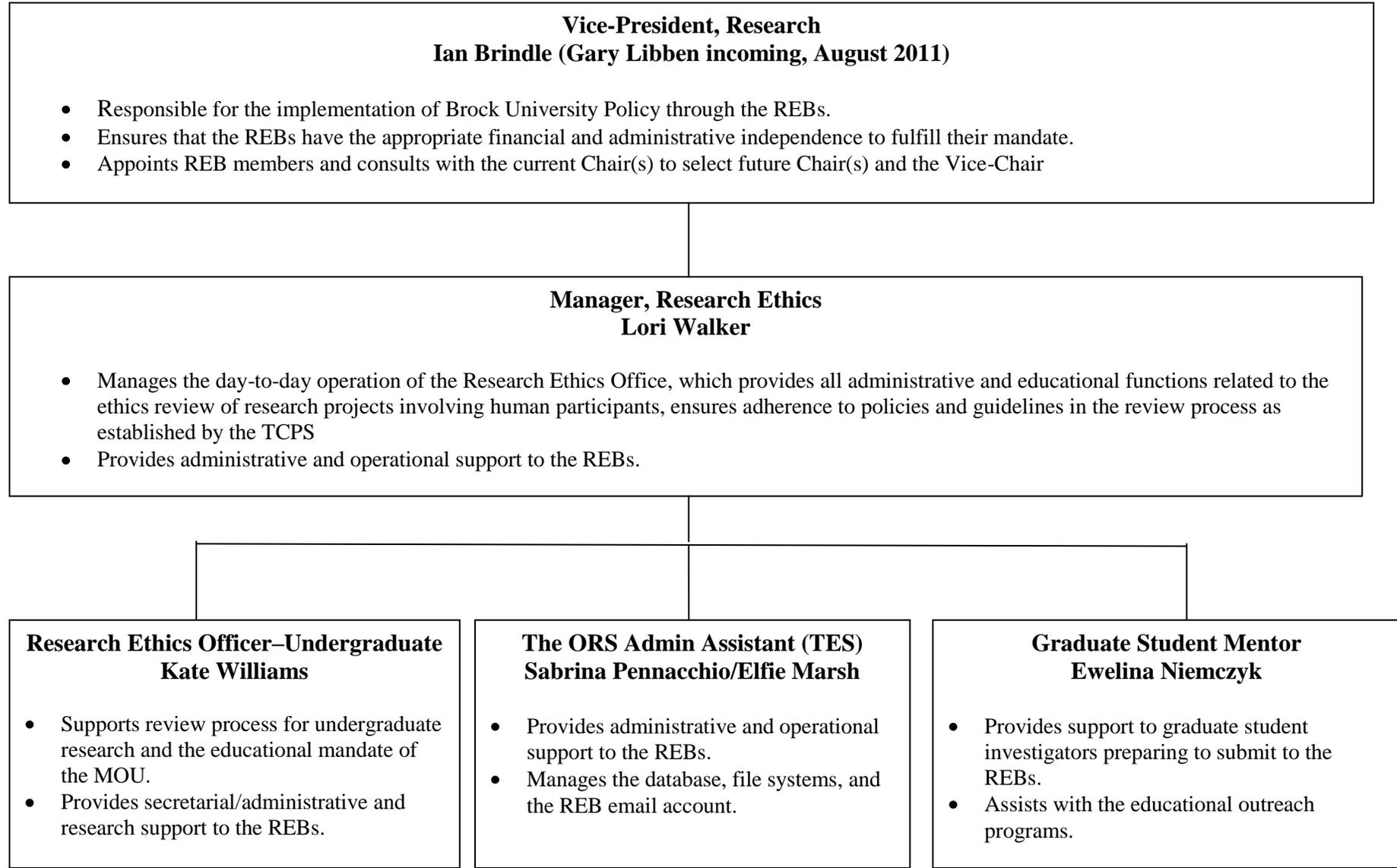
Aboriginal Research Advisory Circle			
July 2010 –March 2011		March 2011-June 2011	
Brant, Jennifer	MEd Student	Brant, Jennifer	MEd/PhD Student
Hodson, Janie	Tecumseh Centre	Carol Jacobs	Brock Elder in Residence
Hodson, John	Tecumseh Centre	Laurie Kirk	MA Student
Longboat, Catherine	PhD Student	Judith Knight	Tecumseh Centre
McGean, Sarah	Tecumseh Centre	Wong, Sandra	Student Development Centre

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	Past REB member (Unaffiliated)	Chiropractor

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

APPENDIX B – STRUCTURE OF RESEARCH ETHICS OFFICE AND REBs

B.1 Structure of Research Ethics Office



B.2 Structure of REBs

Brock University Social Science (SREB) and Bioscience (BREB) Research Ethics Boards

- Michelle McGinn REB Chair (2010-2011) and SREB/BREB Vice-Chair (2011-2012)
- Jan Frijters REB Vice-Chair (2010-2011) and SREB Chair (2011-2012)
- Brian Roy BREB Chair (2011-2012)

The REBs function 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 REBs are 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 a REB to disallow research on ethical grounds, unless reversed on reconsideration by that REB, may only be reversed through appeal. The REBs have the authority to suspend any ongoing research under their purview that is deemed 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)

ARAC completes a culturally informed review of applications for research involving Aboriginal peoples that meet the criteria from TCPS2 9.1. with consideration for Aboriginal cultural protocols, histories, and traditions.

The REB Appeals Committee

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

APPENDIX C – REB ANNUAL STATISTICS REGARDING REVIEW OF APPLICATIONS

	2010-2011	2009-2010	2008-2009	2007-2008	2006-2007
Total Number of Submissions	750	777	991	604	652
Number/Type of New Submission	298	310	373	347	377
Expedited Review	276 (93%)	289 (93%)	343 (92%)	324 (93%)	350 (93%)
Administrative Review	1	3 (1%)	6 (1%)	7 (2%)	8 (2%)
Full Board Review	5 (2%)	9 (3%)	10 (3%)	6 (2%)	6 (2%)
Secondary Use of Data	16 (5%)	9 (3%)	14 (4%)	10 (3%)	13 (3%)
Number/Type of Submissions for Ongoing Protocols	452	467	618	257	275
Modifications to Ongoing Projects	110	133	152	168	130
Final Reports	177	200	279	47	130
Annual Renewals	165	134	187	42	15
New Submission Decisions					
Accepted As Is	74 (25%)	60 (19%)	92 (25%)	72 (21%)	60 (16%)
Clarification Required	208 (70%)	233 (75%)	277 (74%)	264 (76%)	305 (81%)
Resubmission Required	1	2 (1%)	4 (1%)	4 (1%)	12 (3%)
Approval Withheld	0	0	0	0	0
Initial Decision Pending on June 30th	15 (5%)	15 (5%)	0	7 (2%)	0
New Submission Outcomes					
Accepted	261 (88%)	288 (93%)	344 (92%)	304 (88%)	323 (85%)
Withdrawn	9 (3%)	4 (1%)	16 (4%)	13 (4%)	10 (3%)
Exempt	1	3 (1%)	4 (1%)	4 (1%)	4 (1%)
Outcome Pending on June 30th	27 (9%)	15 (5%)	9 (2%)	26 (7%)	40 (11%)
Denied	0	0	0	0	0
New Submissions by Faculty					
Social Sciences	99 (33%)	101 (33%)	119 (32%)	121 (35%)	117 (31%)
Education	82 (28%)	78 (25%)	104 (28%)	83 (24%)	120 (32%)
Applied Health Sciences	73 (25%)	71 (23%)	78 (21%)	91 (26%)	96 (25%)
Business	18 (6%)	22 (7%)	30 (8%)	19 (5%)	17 (5%)
Humanities	14 (5%)	14 (5%)	18 (5%)	10 (3%)	5 (1%)
Mathematics and Science	7 (2%)	11 (3%)	10 (3%)	11 (3%)	5 (1%)
Library	1	3 (1%)	5 (1%)	1 (1%)	7 (2%)
Administrative/other	4 (1%)	10 (3%)	9 (2%)	11 (3%)	10 (3%)
New Submissions by Type of Research**					
Course-based Assignment	11 (4%)	12 (4%)	25 (7%)	27 (8%)	16 (4%)
Undergraduate Thesis/Project	42 (14%)	50 (16%)	48 (13%)	71 (20%)	93 (25%)
Master's Graduate Thesis/Project	113 (38%)	108 (35%)	129 (34%)	98 (27%)	119 (32%)
PhD and Post Doc	26 (9%)	19 (6%)	11 (3%)	12 (4%)	27 (7%)
Faculty	97 (32%)	108 (35%)	141 (38%)	121 (35%)	102 (27%)
Library	1	3 (1%)	5 (1%)	1 (1%)	7 (2%)
Administrative/other	8 (3%)	10 (3%)	14 (4%)	17 (5%)	13 (3%)
Average Turnaround Time for New Submissions (Working Days)	16	15	15	19	21
Number of REB Meetings Held	12	11	11	12	11

** Main type of research only; multiple types may be combined in a single project.

APPENDIX D – NEW RESEARCH ETHICS APPLICATIONS BY FACULTY AND DEPARTMENT

Faculty and Department	# New Submission	% Overall New Submissions
Applied Health Sciences	73	24%
Community Health Sciences	7	2%
Nursing	8	3%
Physical Education & Kinesiology	31	10%
Recreation & Leisure Studies	15	5%
Sport Management	12	4%
Business	18	6%
Accounting	6	2%
Finance, Operations & Information Systems	2	1%
Marketing, International Business & Strategy	3	1%
Organizational Behaviour, Human Resources, Entrepreneurship & Ethics	7	2%
Education	82	28%
Graduate & Undergraduate Education	65	22%
Teacher Education	17	6%
Humanities	14	5%
Applied Linguistics	9	3%
Dramatic Arts	1	1%
History	4	1%
Library	1	1%
Mathematics and Science	7	2%
Biological Sciences	5	2%
Computer Science	2	1%
Social Sciences	99	33%
Applied Disability Studies	7	2%
Child & Youth Studies	30	10%
Communications, Popular Culture & Film	4	1%
Geography	6	2%
Political Science	7	2%
Psychology	37	12%
Sociology	5	2%
Tourism and Environment	2	1%
Women's Studies	1	1%
Administrative/Other	4	1%
Total new submissions for 2010-2011	298	100%