

**Brock University Research Ethics Board (REB)  
2008-2009 Annual Report**

**To:** Liette Vasseur, VP Research

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

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## **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 Handbook<sup>1</sup>, the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans*<sup>2</sup>, and the *Memorandum of Understanding (MOU) on the Roles and Responsibilities in the Management of Federal Grants and Awards*<sup>3</sup>. 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.

## **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 expect to include in the next version of 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 mandate.

The REB is also supported by an Aboriginal Research Advisory Circle (ARAC) who conducts a culturally

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

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

<sup>3</sup> [http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Policies-Politiques/MOURoles-ProtocolRoles/index\\_eng.asp](http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Policies-Politiques/MOURoles-ProtocolRoles/index_eng.asp)

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**):

- ▶ The Senior Research Ethics Officer (a new title assigned in September 2008 in recognition of a direct reporting line from the new position of Research Ethics Officer–Undergraduate, see below) is responsible for the day-to-day operation of the Research Ethics Office, which provides all administrative and educational functions related to ethics clearance for research projects involving human participants, ensures adherence to policies and guidelines consistent with the *Tri-Council Policy Statement*, and provides administrative and operational support to the Research Ethics Board. In an effort to reduce the workload of the chair and improve response times to researchers, a decision was made in 2004–2005 that the Research Ethics Officer conduct rigorous reviews of all research applications (in addition to reviewers); and review researchers' responses to clarifications requested by the REB, granting clearance on behalf of the REB when responses are satisfactory. These changes were approved by the VP Research, Michael Owen, and in November 2005, an updated job description for the Research Ethics Officer was submitted to the Evaluation Committee at Brock. This resulted in a reclassification of the position in March 2006, from Job Group K to Job Group L.
- ▶ In 2004–2005, the position of Research Ethics Assistant was created. This is a full-time contract position that has been renewed annually. Reporting to the Research Ethics Officer, 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.
- ▶ In September 2008, a full-time permanent position of Research Ethics Officer–Undergraduate was added to the Research Ethics Office. Kate Williams (former REB graduate student member) was hired in this role. Kate's main functions are supporting the review process for undergraduate research, supporting the educational mandate of the MOU and providing secretarial/administrative and research support to the REB.
- ▶ In 2008–2009 the Research Ethics Office was able to support a Graduate Student 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 Graduate Student 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 REB Student Mentor also works closely with the Research Ethics Office to plan and implement educational outreach programs for the Brock community. This is the fourth 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 graduate student mentor.

#### **3.2. Systems and Resources**

- ▶ The research ethics Access database was updated in 2008–2009 to increase the efficiency of the Research Ethics Office. Highlights include improved tracking of multiple modifications and queries to accurately

calculate turnaround times. Two new databases were created: one to track early release of funds, and one to record cases of non-compliance.

- ▶ In order to ease into future electronic submissions, reviewers were given the choice of receiving applications electronically (scanned) or in hard copy.
- ▶ Changes were made to the standard application form, modification form and continuing and final report form to increase clarity and make the forms more user-friendly. Revisions were also made to the early release of funds form to clearly articulate federal requirements in this area.
- ▶ Due to the scarcity of storage space, office staff purged (confidentially shredded) all non-medical, expedited (minimal risk) REB files seven years or older.

#### **4. Education and Professional Development**

##### **4.1. Human Research Ethics Presentations/Workshops for Brock University Community:**

• Class presentations	9
• General workshops	3
• Faculty forums	2
• Ethics clinics	2

- ▶ The ethics officers gave lectures or seminar presentations (ranging from 50 minutes to 3 hours) to 9 undergraduate and graduate classes, in the 2008-2009 academic year. Additional presentations were made during the New Faculty Orientation, REB Orientation, Applied Health Studies Graduate Studies Information Session and Office of Graduate Studies Information Session.
- ▶ Three workshops were held in conjunction with the Office of Research Services; two addressing the ethics application and review process, and one focused on issues pertaining to informed consent.
- ▶ Two Ethics clinics were held for graduate students planning their program exit projects. In these sessions, the Senior Research Ethics Officer worked with student researchers to identify and address specific ethical issues pertaining to their proposed research.
- ▶ Two faculty forums were held: one in connection with a proposal for a new bioscience REB at Brock, and one detailing the proposed changes put forth in the draft second edition of the Tri-Council Policy Statement.
- ▶ Members of the Board and 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.
- ▶ The small resource library housed in the Senior Research Ethics Officer's office was expanded. This library is available to faculty and REB members.

##### **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. This session introduced a manual created to guide REB members' work throughout the year.
- ▶ 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.
- ▶ The following topics were addressed as education components at REB monthly meetings:
  - Secondary research participants
  - REB member liability
  - Informed consent in research with particular emphasis on research involving youth

- Course-based research
  - The draft 2nd edition of the Tri-Council Policy Statement (TCPS)
  - The use of deception in research
  - Reviewing critical research
- ▶ REB members also toured 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 2008-2009.

Conference	Title/Topic	Date	Venue	Attendees
McMaster Annual Workshop	How to Review a Protocol	September 2008	McMaster	K. Williams
Network Meeting	Emerging Issues in Research Ethics	October 2008	UOIT	L. Walker
CAREB <sup>4</sup> Ontario	Privacy, Confidentiality and Sharing	November 2008	Waterloo	L. Walker K. Williams
NCEHR <sup>5</sup> National Conference	Vulnerabilities: The Importance of Context in Ethical Research and Human Participant Protection	February 2008	Ottawa	L. Walker K. Williams
Panel on Research Ethics	Towards a Second edition of the TCPS	February 2008	Ottawa	L. Walker K. Williams
Panel on Research Ethics	Ethical Issues, Challenges and Opportunities in Public Health Practice and Research	February 2008	Ottawa	L. Walker
CAREB <sup>4</sup> National Annual Conference and AGM	Research Ethics in the 21st Century: Finding the Right Balance Between Principled and Prescriptive Approaches – Are We There Yet?	April 2009	Vancouver	M. McGinn L. Walker

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

- ▶ Michelle McGinn (REB Chair) and Susan Tilley (REB Appeals Committee) co-taught a 3-day course at North-West University, Potchefstroom, South Africa. The course, designed for faculty and graduate students, was entitled *Research ethics policies and practices: Advancing your research agenda*. The visit also provided opportunities to provide advice to scholars and administrators responsible for ethics and research review within the Faculty of Education and across the university.
- ▶ Lori Walker (Senior Research Ethics Officer) had a book review published in the fall 2008 edition of the *Journal of Research Administration*. The book reviewed was Harriet Washington’s *Medical Apartheid: the Dark History of Medical Experimentation on Black Americans from Colonial Times to Present* (2006).
- ▶ Michelle McGinn (REB Chair) wrote a book review for the *Journal of Research Administration* (fall 2009). The book reviewed was Allen Hornblum’s *Sentenced to Science: One Black Man’s Story of Imprisonment in America* (2007).
- ▶ Lori Walker (Senior Research Ethics Officer) presented at the national NCEHR conference in February, 2008, with Dr. Susan Tilley (Education). The session topic was *Research in Schooling Contexts: The Process and Implications of REB and School-Board Ethics Review*.
- ▶ Catherine Longboat (REB student member and ARAC member) presented a paper entitled: *Advancing the Work of Ethics Policies and Practices in Research Involving Aboriginal Peoples* at the Canadian Society for the Study of Education conference, in May 2009, in Ottawa.

<sup>4</sup> Canadian Association of Research Ethics Boards

<sup>5</sup> National Council on Ethics in Human Research

- ▶ Michelle McGinn (REB Chair) was the lead author of a case study on “Investigating student learning related to antiracism” for the introductory tutorial for the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS).<sup>6</sup>
- ▶ Michelle McGinn (REB Chair) completed her 6-year term on the Social Sciences and Humanities Research Ethics Special Working Committee established by the Interagency Panel on Research Ethics. During that period, she co-authored 10 reports for the public (all released in both official languages).<sup>7</sup> These reports and other interventions by the committee informed the creation of the new section on qualitative research and many other changes in the proposed revision to the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* (TCPS) that was released for public consultation in December 2008.<sup>8</sup>
- ▶ Lori Walker (Senior Research Ethics Officer) served on the CAREB Membership Committee and CAREB AGM/National Conference Planning Committee.
- ▶ Michelle McGinn (REB Chair), Kate Williams (Research Ethics Officer - Undergraduate) and Lori Walker (Senior Research Ethics Officer) visited Ryerson to investigate their on-line submission system.
- ▶ The senior ethics staff at UOIT, Ryerson and Brock met in October to discuss common issues and share examples of best practice.

## 5. Review of Ethics Applications

- ▶ The number of new applications received in 2008-2009 was **373** 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 4 years.)
- ▶ The number of submissions processed for ongoing applications (i.e., modifications, continuing reviews and final reports) was **618**. It is REB practice to process these submissions within **2 days** of receipt.
- ▶ There is an evident trend across the past 4 years of increasing numbers of applications accepted as is (from 5% in 2005-2006 to 25% in 2008-2009) and decreasing numbers of applications requiring resubmission (from 39 in 2005-2006 to 4 in 2008-2009). These differences are sufficiently robust to be statistically detectable. 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 also decreased in this time period. The fastest turnaround times occurred during the two years (2005-2006 and 2008-2009) that the office was staffed by three employees. While the initial turnaround times in 2005-2006 and 2008-2009 are identical, the actual wait time for researchers in 2005-2006 was longer in terms of response to clarifications.
- ▶ The REB attributes the above changes to increased staffing in the office, which has relieved the workload within the Office and for the REB Chair, and has provided 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 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.

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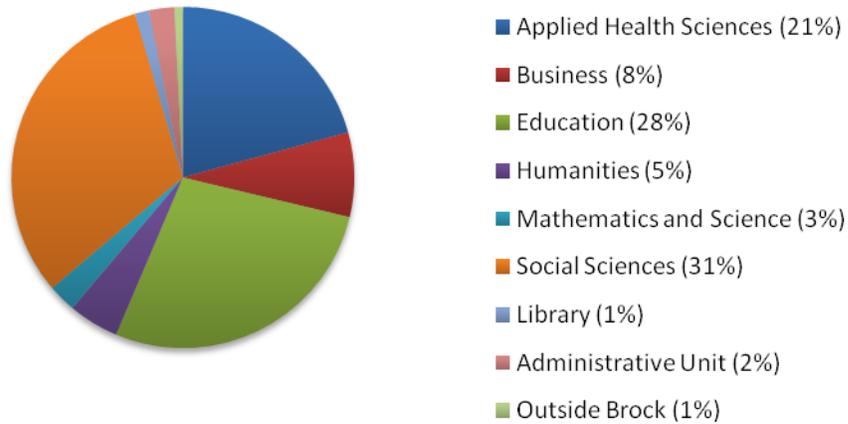
<sup>6</sup> Available at <http://www.pre.ethics.gc.ca/english/tutorial>.

<sup>7</sup> Some reports are available at <http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/reports-rapports/>.

<sup>8</sup> <http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/draft-preliminaire/>

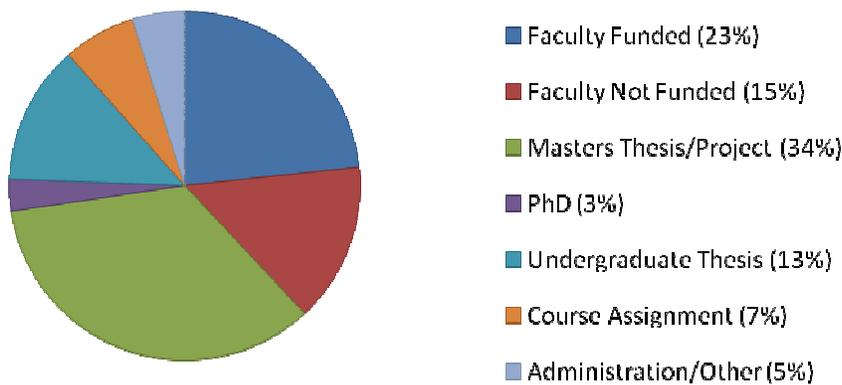
- ▶ Applications were received from all 6 Faculties, plus the Library, Administrative units, and non-Brock researchers as illustrated in Figure 1. (Please see **Appendix D** for distribution of applications by department and Faculty.)

**Figure 1. 2008-2009 Applications by Faculty**



- ▶ Applications were received primarily from faculty (38%), graduate students (37%) and undergraduate students (13%); as well as applications for course assignments, administrative research and external research. See Figure 2.

**Figure 2. 2008-2009 Applications by Type**



- ▶ Improved systems and the presence of a full staff complement enabled the office to bring all outstanding continuing and final reports up to date. A total of 279 final reports and 187 continuing reviews were processed in 2008-2009. These figures represent substantial (and statistically detectable) increases from previous years (e.g., 47 and 42 in 2007-2008).
- ▶ In 2008-2009, REB members reviewed an average of 32 minimal risk applications, attended monthly meetings, and reviewed 10 full board applications. Due to our commitment to extended training for our new members, those individuals reviewed fewer minimal risk applications (average = 21) 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 17 applications in 2008-2009.
- ▶ 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 2008-2009, 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. Course-based research began before REB clearance was in place;
  3. Research began before REB clearance was in place;
  4. Research began before REB clearance was in place.

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 2008-2009.

## 7. Challenges Faced by the REB in 2008-2009

- ▶ The TCPS stipulates that a community member is required for REB quorum. In 2008-2009, the REB struggled with quorum due to the absence of community members. This affected turnaround times for full board reviews in particular. The REB began the year with three community members; however, one was accepted into an academic program at Brock and another left the board in January. The former remained on the board as a graduate student member, but no longer fit the TCPS definition of a community member due to the new student affiliation with Brock. The remaining community member found it difficult to attend every meeting. The REB has recruited two community members for the 2009-2010 board, but the issue of trained reserve/alternate community members needs to be addressed.
- ▶ The 2008-2009 REB did not have the experience or expertise needed to review a number of the bioscience applications that we received. Consequently, expert external advice had to be sought a number of times. 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 2008-2009 board, many of these faculty have traditionally been reluctant to serve on the REB, because a large majority of the protocols 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, see **Appendix E**). 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. The VP Research decided a second REB for biosciences was not needed at this time. The proposed slate of REB members for 2009-2010 includes some faculty with bioscience expertise but it is anticipated that the REB will still have to rely heavily on external advice, an issue that appears to lead to differential response times across research fields.

## 8. Future Plans

- ▶ 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 will host a public forum on October 16, 2009, on Aboriginal Research and Ethics. The day's events also include a closed session for members of the REB, ARAC, and Six Nations Council Ethics Committee to work toward mutual understandings and shared agreements. Continual development regarding REB policy and practices regarding Aboriginal research and ethics is anticipated over the 2009-2010 year with proposed revisions to the Faculty Handbook to be brought forward to Senate.
- ▶ In December 2008, the Interagency Advisory Panel on Research Ethics released a substantial revision to the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* (TCPS) for public consultation. Once a finalized version of this document is accepted by the three granting agencies, the REB and 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 2009-2010, 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 and improve linkages with other databases maintained by Brock Research. 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, training and workload distribution 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.
- ▶ Senior Research Ethics Officer, Lori Walker, with the support of the Canadian Association of Research Ethics Boards, and REB Chair, Michelle McGinn, is conducting a national survey on the roles and responsibilities of research ethics administrators. Results will be available in May 2010.
- ▶ 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 plan consultations with relevant departments.
- ▶ In 2009-2010, the REB plans 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 2008-2009**

<b>REB Members</b>		
1. Michelle McGinn	Chair	Education, Graduate and Undergraduate
2. Linda Rose-Krasnor	Vice-chair	Psychology
3. Mike Ashton		Psychology
4. Lisa Barrow		Finance, Operations and Info Systems
5. Andre Basson		Campus Ministries
6. Irene Blayer		Modern Languages, Literatures, and Cultures
7. Sandra Bosacki		Education, Graduate and Undergraduate
8. Heather Chalmers		Child and Youth Studies
9. Ann-Marie DiBiase	Acting Vice-chair (Jan-July)	Education, Graduate and Undergraduate
10. Jan Frijters		Child and Youth Studies
11. Gail Frost		Physical Education and Kinesiology
12. Tiffany Gallagher		Teacher Education
13. Kelli-An Lawrance		Community Health Science
14. T.C. Mangoff	Community member	Mangoff Chiropractic Health Centre
15. Dan Malleck	Acting Vice-chair (Jan-July)	Community Health Science
16. Tanya Martini		Psychology
17. Catherine Nash		Geography
<b>Graduate Student Members</b>		
1. Kate Cassidy		Education
2. Catherine Longboat	Aboriginal member	Education
3. Kevin Rawlings		Applied Disabilities
4. Adi Silman		Applied Health Sciences
<b>Research Ethics Staff</b>		
Lori Walker	Ex-officio (non-voting)	Senior Research Ethics Officer
Kate Williams	Secretary (non-voting)	Research Ethics Officer–Undergraduate
Angela Nauss		Administrative Assistant–Brock Research
Ewelina Niemczyk		Graduate Student Mentor, Education
<b>Aboriginal Research Advisory Circle</b>		
Janie Hodson		Tecumseh Centre
John Hodson		Tecumseh Centre
Catherine Longboat	REB Member	Education
Sarah McGean		Tecumseh Centre
Sandra Styres		Tecumseh Centre
<b>REB Appeals Committee</b>		
David Butz	Past REB Chair	Geography
Joe Engemann	Past REB Chair	Education, Graduate and Undergraduate
David Gabriel	Past REB member	Physical Education and Kinesiology
Hedy McGarrell	Past REB member	Applied Linguistics
Mike Plyley	Past REB member	Applied Health Sciences
Brian Roy	Past REB member	Physical Education and Kinesiology
Susan Tilley	Past REB member	Education, Graduate and Undergraduate
Bruce Mair	Community member	Niagara Regional Police

## APPENDIX B – STRUCTURE OF RESEARCH ETHICS OFFICE AND REB

### B.1 Structure of Research Ethics Office

**Vice-President Research**  
**Liette Vasseur**

Responsible for the implementation of the Brock University Policy through the REB. The REB functions independently, with the support of financial and human resources administered through the Office of the VP Research as per the Brock Faculty Handbook Section III, 8.3.1(1).

**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**

Provides administrative and operational support to the REB, managing 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.

**Vice-President Research - Liette Vasseur**

The VP Research ensures that the REB has the appropriate financial and administrative independence to fulfill its mandate. The VP Research appoints REB members and consults with the current Chair to select the subsequent Chair  
Brock Faculty Handbook Section III: 8.3.2 a-b.

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

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).

**APPENDIX C – REB ANNUAL STATISTICS REGARDING REVIEW OF APPLICATIONS**

<b>Protocol submissions</b>	<b>2008-2009</b>	<b>2007-2008</b>	<b>2006-2007</b>	<b>2005-2006</b>
<b>Number/Type of New Submission</b>	<b>373</b>	<b>347</b>	<b>377</b>	<b>350</b>
Expedited Review	343	324	350	322
Administrative Review	6	7	8	12
Full Review	10	6	6	4
Secondary Use of Data	14	10	13	12
<b>Submissions for Ongoing Protocols</b>	<b>618</b>	<b>257</b>	<b>275</b>	<b>103</b>
Modifications to Ongoing Projects	152	168	130	78
Final Reports	279	47	130	15
Annual Renewals	187	42	15	10
<b>Decisions</b>				
Accepted As Is	92	72	60	17
Clarification Required	277	264	305	291
Resubmission Required	4	4	12	19
Approval Withheld	0	0	0	0
Modification Denied	0	0	0	0
Initial Decision Pending at Time of Report	0	7	0	23
<b>Outcomes</b>				
Accepted	344	304	323	299
Withdrawn	16	13	10	9
Exempt	4	4	4	10
Outcome Pending at time of report	9	26	40	32
<b>Submissions by Faculty</b>				
Social Sciences	119	121	117	132
Education	104	83	120	96
Applied Health Sciences	78	91	96	98
Business	30	19	17	9
Humanities	18	10	5	4
Mathematics and Science	10	11	5	4
Library	5	1	7	1
Administrative/other	9	11	10	6
<b>Submissions by Type of Research</b>				
Class Assignment	25	27	16	23
Undergraduate Thesis/Project	48	71	93	97
Graduate Thesis/Project	129	98	119	105
PhD	11	12	27	10
Faculty	141	121	102	106
Library	5	1	7	1
Administrative/other	14	17	13	8
<b>Average Turnaround Time (Working Days)</b>				
	<b>15</b>	<b>19</b>	<b>21</b>	<b>15</b>
<b>Number of REB Meetings Held</b>	<b>11</b>	<b>12</b>	<b>11</b>	<b>11</b>

**APPENDIX D – RESEARCH ETHICS APPLICATIONS BY FACULTY AND DEPARTMENT**

<b>Applied Health Sciences</b>	<b>78</b>
Applied Health Sciences	1
Community Health Sciences	8
Nursing	5
Physical Education & Kinesiology	32
Recreation & Leisure Studies	22
Sport Management	10
<b>Business</b>	<b>30</b>
<b>Education</b>	<b>104</b>
Education	1
Centre for Adult Education and Community Outreach	2
Teacher Education	28
Graduate & Undergraduate	73
<b>Humanities</b>	<b>18</b>
Applied Linguistics	15
English Language & Literature	1
Dramatic Arts	1
History	1
<b>Library</b>	<b>5</b>
<b>Mathematics and Science</b>	<b>10</b>
Biological Sciences	3
Cool Climate Oenology & Viticulture Institute	3
Mathematics	4
<b>Social Sciences</b>	<b>119</b>
Social Sciences	1
Applied Disability Studies/ABA	15
Child & Youth Studies	30
Communications, Popular Culture & Film	6
Geography	6
Political Science	5
Psychology	33
Sociology	11
Tourism and Environment	9
Women's Studies	2
Social Justice & Equity Studies	1
<b>Administrative</b>	<b>6</b>
<b>Other</b>	<b>3</b>
<b>Total submissions for 2008/09</b>	<b>373</b>

**APPENDIX E – PROPOSAL FOR THE ESTABLISHMENT OF A BIOSCIENCE REB**

A Second Research Ethics Board for Brock University?

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## **Introduction**

The first goal of this report is to summarize information relevant the issue of whether to establish a second REB (REB2) at Brock University. The REB2 would focus on the ethical review of studies involving physiological and biological research procedures and interventions, as well as helping to shape ethics policy and educational initiatives for this type of research. The information contained in this report includes discussions of REB members, a survey of practices used at other universities, and issues that emerged in a University-wide open forum on physiological research ethics. Thirteen faculty and students, in addition to the Chair and Vice-Chair of the current REB (REB1), the Senior Ethics Officer, and the Associate Director of Research Services, attended the forum.

The second goal of this report is to present recommendations regarding the establishment of a REB2.

## **Does Brock University need a second REB?**

We believe that the time is appropriate for Brock University to establish a second REB. The mandate of REB2 should be the review of research that involves biological or physiological measures, interventions, or procedures.

Our recommendation is based on several observations. First, there has been an increase in the number and complexity of protocols for which reviewers require expertise in physiological, biomechanical, and biological domains. We anticipate that this number will grow further, given University plans to develop greater research expertise in biosciences and the creation of the Bioscience Centre.

Second, current REB members do not have the experience or knowledge to review these types of research and thus have needed to rely on outside expert advice. The need to seek outside expertise for the review of research using physiologically based procedures or assessments has resulted in considerable delays in REB decisions, as the REB1 and outside experts often need multiple exchanges to obtain required information. Although the establishment of REB2 would not totally eliminate the need for outside experts, the presence of reviewers familiar with the methods, disciplinary standards, and risk of this type of research would decrease the frequency of such consultations, as well as increasing their efficiency. The delay in making REB decisions thus would be reduced.

At Brock, we have faculty doing such research who could provide a greater level of expertise in reviewing physiologically based protocols than exists on the current Board. Many of these faculty, however, have traditionally been reluctant to serve on REB1, because the large majority of the protocols reviewed by REB1 (primarily social science and education) fall outside the area of their own expertise and interest. In this context, it is important to note that, at the open forum, seven faculty members volunteered to serve on REB2.

A third reason is that the idea of REB2 has had strong support from researchers who would use such a Board. Indeed, researchers present at the open forum on this topic unanimously supported the creation of a second REB.

A fourth reason to create a second REB is that REB1 may not meet the TCPS guidelines for the composition of university REBs, when it reviews physiologically based research. Specifically, the guidelines require relevant disciplinary and legal expertise be represented in REB membership in the review process.

### **Current practices at other universities**

As part of the preparation of the current report, we conducted a survey of current REB practices at 22 universities from across Canada. The universities were selected to be representative of the diversity of Canadian universities. For each university surveyed, we recorded the number of university-wide and Faculty-based REBs. If a university had more than one REB, we recorded the names and types of research reviewed by each Board. Additional information about the administrative support, compensation, and suggested “best practices” also were obtained from a number of the universities. A summary of the information obtained through the survey is presented in the Appendix.

Of the 22 universities surveyed, 10 had multiple REBs that were designed to review different types of research. The universities with more than one REB included the University of Alberta (9 REBs), University of Manitoba (3), University of British Columbia (3), Dalhousie University (2), McMaster University (2), University of Western Ontario (2), University of Ottawa (3), University of Toronto (3), University of Saskatchewan (2), and University of Victoria (2, including a joint REB with the Health Authority). In addition, the University of Windsor is in the process of adding a second

REB to review protocols related to biomedical research. It also should be noted that almost all universities with a single REB (and many of the ones with multiple REBs) have department-level Boards that review undergraduate protocols that are minimal risk. These departmental Boards thus provide some level of disciplinary expertise during these reviews.<sup>9</sup>

In general, the universities with multiple REBs use one of three strategies for identifying which protocols should be submitted to each of their REBs. All three strategies tend to result in different REBs reviewing biomedical and non-biomedical research, although the ways these domains of research are defined vary across universities.

The first strategy is a faculty- or department-based approach, in which the Department or Faculty of the submitting researcher determines the appropriate REB. For example, at the University of Manitoba's Fort Garry Campus there are three REBs: (1) Education/Nursing, which reviews protocols from faculty in Education, Nursing, Physical Education and Recreation Studies, Continuing Education, and Engineering); (2) Psychology/Sociology, which reviews protocols submitted by researchers from Psychology, Sociology, Counseling Service, and Social Work); and (3) Joint Faculty, which reviews submissions from all remaining departments except Pharmacy.

The second strategy for determining protocol distribution among multiple REBS is based on the content of research, rather than the Faculty of the submitting faculty member. For example, at the University of Saskatchewan, the Biomedical REB is responsible for all protocols involving human participants that include medically invasive

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<sup>9</sup> We advise against circulating ethics applications for research involving humans to departments/faculties for consistency purposes.

physical procedures and invasive testing, physical interventions with the potential for adverse effects (e.g., drugs, exercise), surgical procedures (e.g., biopsies), specimen collections (e.g., blood), and the use of patient charts. The Behavioural REB reviews protocols with content that includes noninvasive interventions and measures (e.g., interviews, surveys), social or behavioural interventions, noninvasive physiological measures (e.g., heart rate, blood pressure), observational or descriptive research (e.g., observations of dietary or exercise routines without intervention), or recording by audiotape or videotape.

A third strategy is to use a mixed faculty- and content-based approach, in which the appropriate REB is primarily determined by the researcher's faculty appointment but protocols with a specific type of content are assigned to a specific REB. An example of a university using this approach is the University of Toronto, in which the appropriate REB is determined by faculty for all but HIV/AIDS research. All HIV/AIDS research, regardless of the faculty affiliation of the research, is reviewed by the HIV/AIDS REB.

Five (University of Alberta, University of Manitoba, McMaster University, University of Ottawa, and University of Toronto) of the ten universities with multiple REBs use some version of a Faculty-based strategy.

### **Types of research to be reviewed by the second REB.**

As described in the previous section, one approach typically used to divide protocols among multiple REBs is on the basis of the Faculty or discipline of the primary investigator. Thus, for example, all protocols initiated by Brock University researchers in Applied Health Sciences could be assigned to REB2, and all protocols by Social Science faculty would go to REB1. Although this seems to be a simple and clear strategy, it

might result in protocols being sent to an REB that lacked appropriate research expertise. Incorrect assignment could result from the heterogeneity of research done within Faculties and disciplines. For example, researchers within Applied Health Sciences often use surveys rather than physiological measures and some Social Science researchers make frequent use of physiological techniques such as EEG and tissue samples. Thus, we do not recommend this Faculty-based approach.

Establishing content criteria for each of the REBs is a second strategy for distributing protocols and the one that we recommend for Brock. One Board, for example, might review all protocols that involve physiological measures or interventions and the other Board might review all other protocols. Consistent with several standard dictionary online sources (Random House Unabridged Dictionary, 2006; American Heritage Science Dictionary, 2002; Merriam Webster Revised Unabridged Dictionary, 1998), we propose that physiological research be considered broadly to include direct measurements of human organic functions, including mechanical, physical, and biochemical processes.

There would need to be a set of guidelines for making decisions about which Board would be appropriate for specific types of research, such as those created by the University of Western Ontario. Either the researcher or the Research Office could make the determination of whether a protocol was to be sent to REB1 or REB2, based on these guidelines.

We believe that it will probably be both more efficient and accurate for the individual researcher to decide where his or her protocol should be sent. Therefore, we recommend that a checklist of the criteria be made available to all researchers on the

REB webpage and that they make the initial decision about the appropriate REB for their application. If a Research Officer, REB Chair, or REB member judges that a protocol has been sent to the wrong REB, the protocol will be re-assigned to the appropriate REB as soon as possible and the researcher will be notified. If REB2 members judge that there is more than minimal risk from a behavioural measure contained within a protocol within their mandate, the REB2 Chair should consult with the REB1 Chair. If necessary, an REB1 review of that section of the protocol may be conducted simultaneously with an REB2 review of the physiological sections. The researcher should be notified as soon as such a decision is made.

We further propose the following guidelines for determining which REB is appropriate for a given research protocol.

If a research project involves any of the following methods, we propose that it would be reviewed by REB2:

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

- g) interventions with the potential for physiological effects (e.g., diet and exercise);  
and/or
- h) use of medical or official health records (e.g., hospital records)

### **Formation of REB2**

Recruitment and selection of members. We propose that recruitment and selection of members for REB2 be completed as soon as possible. Although we had seven faculty members volunteer to serve on REB2 at our open forum, we recommend that a general university-wide call for members be circulated to faculty and graduate students as soon as a second REB is approved.

In order to meet TCPS guidelines for the composition of an REB and to be consistent with our current practices, we suggest that REB2 comprise the following members: (a) six faculty members who together can provide research expertise in biochemical processes, physiological processes, motor control and learning, and neuropsychology; (b) a faculty member whose research expertise lies outside these content areas, in order to provide an “outside” ethical perspective; (c) two community members; (d) two graduate students with relevant content expertise; (e) a member with expertise in ethics (who may be one of the faculty members specified above); and (e) the Senior Research Ethics Officer (nonvoting). In addition, REB2 should secure timely access to an individual with expertise in legal issues relevant to physiological research and who is not affiliated with the University. The membership also should include an individual with medical expertise relevant to the content to be reviewed. These latter two individuals may serve as regular REB2 members, and thus fulfill one or two of the

community member positions. Another option is to retain these individuals in a consulting role; they then would provide specific expertise as needed.

The REB2 will need a Chair and Vice-Chair, chosen from among the faculty members identified above. One possibility would be for the REB1 Vice-Chair to serve initially as the Vice-Chair for REB2. A clerical assistant from the Office of Research Services should attend the REB2 meetings; he or she would be responsible for taking minutes.

Half of the faculty and community members should be appointed to three-year terms. The remaining faculty and community members should be appointed to two-year terms. All subsequent appointments to the Board should be for three-year terms. This appointment strategy would provide two years of 100% member stability followed by a year in which 50% of the faculty and community members were either replaced or renewed. This strategy will increase the likelihood of continuity in REB policy, peer mentoring, and consistency in decisions, while providing a systematic strategy for replacing members.

Training. Initial training for REB2 members should begin as soon as they are chosen. REB2 members will need to receive the standard orientation and mentoring provided to REB1 members. In addition, REB2 members will need specialized instruction in the evaluation of physiological risk and government regulations for the use of procedures that carry more than minimal physical risk, as well as becoming acquainted with relevant standards and processes used by other universities. As soon as possible after the initial training, the REB2 members could “shadow” REB1 members’ reviews of research meeting the criteria outlined above for submissions to REB2 . Both REBs

would share their reviews and expertise, and REB2 would be ready to begin its “solo” reviews of protocols within its mandate by the spring of 2009.

Development of materials. The operation of REB2 would be facilitated by the creation of several documents. One is a **checklist** for researchers that they could use to decide whether REB1 or REB2 would be the appropriate REB to review their protocol. This checklist would be based on the criteria outlined in the above section on types of research to be reviewed by each REB. An example of such a checklist is provided in the Appendix. If any one of the criteria applies to an investigator’s research, the protocol should be submitted to REB2. If none of the checklist criteria apply, the protocol should be submitted to REB1.

In addition to the checklist, REB2 members should develop **reference protocols** for commonly used physiological techniques (e.g., obtaining saliva samples) and laboratory emergency procedures. These standard protocols should be posted on the Research Ethics website, where they could be used as guides for researchers preparing submissions to the REB2. The protocols also would be informative for future reviewers.

REB2 members should consider the need to develop additional **standard operating procedures** for the REB2, in addition to those already developed for the REB1. New procedures, for example, may include guidelines for determining when outside expertise may be needed.

### **Additional Issues**

Name. As is evident from the appendix, multiple REBs at other universities show variation in how they are named. Sometimes they are named for the Faculties they serve and in other cases their names reflect the content of their mandates. REBs that review

physiologically based research often include the label “Biomedical” or “Health Sciences”. Based on the discussion at the Open Forum, we do not recommend either of these labels for Brock’s REB2. Objections include the idea that much of the research that would be reviewed by REB2 would not be medical and that health science research does not necessarily involve physiological methods or direct measurements of biological processes. We suggest that Brock’s REB2 be called “Bioscience” and REB1 be called “Behavioural Science.”

Resources. REB2 will require some resources beyond those currently allocated for REB1, including course releases, education costs, and possible compensation for legal and medical experts. The new Chair of the REB2 will need a full course release, at least in the first year or two of the REB2 operation, given that there will be considerable development and university-wide education work needed in the Board’s formative period. The course release for the REB2 chair could be re-evaluated after this period and adjusted to fit that Board’s workload. If the REB1 Vice-Chair serves as the Vice-Chair for REB2, the half-course release currently provided for the Vice-Chair may be sufficient for both roles, if the Vice-Chair’s current REB1 duties were reduced proportionally. The Vice-Chair might, for example, be excused from reviewing protocols in order to compensate for additional time spent with the new Board.

As described above, there would be a need to provide training for REB2 members. The details of such training have yet to be determined but would likely involve paying for Board members’ attendance at workshops and ethics conferences, as well as bringing experts to Brock for presentations to both REB members and interested members of the University community.

It may be difficult to recruit legal and medical experts to serve on the REB2 on a voluntary basis. If this is not possible, it may be necessary to pay such experts to attend REB2 meetings. Once the REB2 is established, there may be less future need to seek outside advice in the review of protocols on a case-by-case basis; however, we also expect the number of complex bioscience protocols to increase. Thus, the Research Office may experience an overall increase in this budget category.

Maintaining consistency. It will be important for the two REBs to be consistent in the ways in which they interpret and apply the TCPS. Therefore, communication and coordination between the two Boards will be necessary to establish and maintain at both structural and functional levels. The University community should not have the impression that it is easier to get approval from one REB than from another. It will take some care to prevent this perception, given that REB2 will be reviewing protocols that contain surveys and other measures that are also commonly used in protocols reviewed by REB1.

Consistency between the Boards can be accomplished through a number of mechanisms. First, we suggest that REB1 and REB2 share at least two members. One will be the Senior Research Officer. The other will be a faculty member. It could be the REB1 Vice-Chair (as suggested previously) or the researcher whose disciplinary expertise is outside of the bioscience mandate defined above. A second and third strategy for establishing consistency is for the two REBs to share common standard operating procedures, wherever relevant, and the use of a common general orientation for new members to both Boards. Fourth, the two REB Chairs should meet regularly to provide mutual updates and discuss common concerns. Finally, the use of common application

forms should make consistency more likely, given that researchers will be asked to provide the same types of information to both REBs.

## **Conclusions**

The goals of this report were first to summarize information relevant to the issue of whether we should establish a second REB at Brock University. The second goal was to make specific suggestions for the creation of a second REB.

We recommend that a second REB (REB2) be established. It should have responsibility for reviewing research that involves physiological assessments and procedures, interventions that might have physiological effects, and/or the use of medical records. The primary basis for the establishment of REB2 is the need to develop “in-house” expertise and efficiency in the review of such research, as well as widespread support from researchers who would use the second Board. We also recommend that, in the first instance, the researcher should decide the appropriate REB to review a specific protocol. This decision would be aided by the use of a checklist (such as that provided in the Appendix) and would be subject to review by the Senior Research Ethics Officer and the REB Chairs. In addition, we suggest that the name of REB2 be the “Bioscience REB” and the name of the current Board be “Behavioural Science REB”.

REB2 should comprise a minimum of 10 members, in addition to the Senior Research Officer and clerical assistance. Course releases and training expenses will be the major additional resources required for the operation of REB2. Consistency between the two REBs will be important and could be enhanced by joint memberships, common standard operating procedures and applications, a joint orientation, and regular communication between the Chairs. Other recommendations included strategies for

establishing expertise and stability in REB2 membership, as well as the need to develop procedures and forms specific to the new Board.

## Appendix

<b>MULTIPLE REB CHART</b>			
<b>University</b>	<b>One or multiple REBs</b>	<b>Compensation for member</b>	<b>Advice about best practice</b>
Bishop's University	One REB - ethics review and approval is granted by either the REB or by the appropriate department in the case of course-based research or assignments that require students to collect information from human participants.		
Concordia University	One REB- Human Research Ethics Committee (UHREC) is currently developing updated standard operating procedures for ethics review. These will be posted on the website once they are finalized. They also have departmental review.		
Dalhousie University	<p>2 REBs</p> <ol style="list-style-type: none"> <li>1. Health Science Research Ethics Board</li> <li>2. Social Science and Humanities Research Ethics Board</li> </ol> <p>Departmental Committees are responsible for the ethics review of human subject research when it is conducted as part of undergraduate or graduate course-work, or as undergraduate thesis work when it poses less than minimal risk to participants. Where such research poses greater than minimal risk, it must be referred to a University Board for review.</p> <p>Faculty and students submitting their research projects for human ethics review must prepare their submissions using the appropriate forms and guidance documents which are specific to each Board. The selection of the correct forms is governed by the nature of the research and research participant population, not the home Department or discipline of the Researcher.</p>		<p>An upper limit is placed on the number of protocols on the agenda for full review for any single Board meeting. No more than 7 new full reviews will be conducted per meeting. This applies to both Boards. When more than 7 protocols are allocated for full review in a given month, it will be necessary to defer the excess to the agenda of the next month. This may happen only once or twice per year at peak times (e.g., July, September). This change is necessary in order to manage the workload of the Boards.</p> <p>Dalhousie has deadline dates for submission of Faculty and graduate thesis research projects which require ethics review. These deadlines apply both to submission to the Health Sciences Research Ethics Board and the Social Sciences and Humanities Research Ethics Board.</p> <p>The Health Sciences Human Research Ethics Board and the Social Sciences and Humanities Human Research Ethics Board meet approximately two weeks after the submission deadline dates.</p>
Lakehead University	One REB - only Graduate/Faculty apply to main REB unless it is an undergraduate project with more than minimum risk (then the departmental boards will report that to the REB). All other undergraduate projects must receive approval from their departmental Research Ethics Board (the REB delegates the ethical review of undergraduate research to Departmental Ethics Committees).		

<p>McMaster University</p>	<p>2 REBs:</p> <ol style="list-style-type: none"> <li>1. Hamilton Health Sciences/Faculty of Health Sciences, Research Ethics Board (HHS/FHS) – this Board is based at the University but they have an affiliation with hospital REB. If you are a faculty member, a staff member, or a student in the Faculty of Health Sciences, &amp;/or you are conducting research at Hamilton Health Sciences &amp;/or its affiliated sites and programmes, please go to the HHS/FHS REB</li> </ol> <p>St. Joseph's Healthcare Hamilton Research Ethics Board – separate institute that has their own REB – but they have the same forms as the HHS/FHS REB for consistency (if you are conducting research at St. Joseph's Healthcare Hamilton, please go to SJHH REB)</p> <ol style="list-style-type: none"> <li>2. McMaster Research Ethics Board (MREB) – if you are a faculty member, a staff member, a student conducting research involving human participants and are not in the faculty of Health Sciences or McMaster affiliated hospitals, please go to MRE</li> </ol> <p>The Boards do not share the same chair, members or ethics officer.</p> <p>They are currently looking at reciprocity to expedite the review if the application has already been approved by one Board at McMaster.</p>	<p>REB members are not paid for their participation. The office covers for parking and will also support the entire costs of annual conferences for interested members, however, there is no other direct compensation currently available.</p> <p>Within the University and/or Hospital there is growing recognition of the work undertaken by members of the REB which may result in academic reward, through promotion and tenure or allocation of protected time at the Departmental level. This may indirectly translate into academic advancement or even some form of financial reward (through promotion etc).</p> <p>The REB Chair and Vice Chair receive a stipend.</p>	<p>The website has to be clear and the first information sent out to members of the university regarding an additional REB must be clear as to where researchers should apply. Terms of reference should lay out which board researchers should apply to.</p> <p>McMaster offers an abundance of workshops for reviewers as well as undergraduates, graduates and faculty.</p> <p>The forms are different for each REB (HHS/FHS and MREB)</p>
<p>Mount Allison University</p>	<p>One REB</p>		
<p>Ryerson University</p>	<p>One REB</p>		
<p>Simon Fraser University</p>	<p>One REB</p> <ul style="list-style-type: none"> <li>• SFU doesn't have medical faculty or clinical trials. They report no need for a separate Board.</li> </ul>		
<p>University of Alberta</p>	<p>Multiple REB's (9 in total)</p> <ol style="list-style-type: none"> <li>1. Agriculture, Forestry and Home Economics REB</li> <li>2. Arts, Science and Law REB</li> <li>3. Business REB</li> <li>4. Campus Saint-Jean REB</li> <li>5. Education, Extension and Augustana REB</li> <li>6. Engineering REB</li> <li>7. Health REB</li> <li>8. Native Studies REB</li> <li>9. Physical Education and Recreation REB</li> </ol>	<p>Their members are not compensated at the moment but they are having problems with this – members have had a hard time getting course release. Chairs get course release but only if they get a certain number of applications so it varies for each REB</p>	<p>Do not have too many REB's as there is a lot of duplication across faculties</p> <p>Try to have everything housed in one office (animal care, all REB staff etc)</p> <p>Talk to Chairs, Deans and VP research to see what kinds of things can be offered as compensation</p>

	<p>Currently in the process of reducing their number of REB's</p> <p>Their Health REB is split into 2 panels – one for biomedical and one for health</p> <p>They feel like they made a mistake when trying to categorize their REB's around faculties (have faculty based REB's) instead of organizing their REB's around kinds/type of research (for example, one for qualitative data, one for site based research, etc.)</p> <p>Each Board is de-centralized – every REB has an admin home (in their faculty) so there is a huge variation among REBs.</p> <p>Researchers apply for ethics to their faculty</p> <p>Reciprocity is always a problem</p> <ul style="list-style-type: none"> <li>· Chairs do not overlap</li> <li>· Lynn – the Human Research Protection Officer covers all of the Boards</li> </ul>		<p>Watch that naming the boards does not hinder its functioning (e.g., have one Biomedical Board and then one Board that deals with “all other applications” – do not get too specific)</p>
<p>University of British Columbia</p>	<p>Four Boards</p> <ol style="list-style-type: none"> <li>1. Behavioural REB – reviews research that involves invasions of privacy, such as interview, questionnaires, tests, observations and experimental manipulations in the behavioural and social sciences.</li> <li>2. Clinical REB – reviews research that involves all clinical interventions, such as the testing of drugs, medical devices, and other therapeutic initiatives as well as the analysis of clinical data involving linkage of data from existing databases.</li> <li>3. UBC-Providence Health Care REB – reviews any research undertaken at a Providence Health Care site and also covers researchers with a UBC Faculty appointment undertaking research at a PHC site.</li> <li>4. UBC-BC Cancer Agency Research Ethics Board – reviews clinical research undertaken at any of the BC Cancer Agency sites. Behavioural projects can be sent to either the UBC-BCCA REB or the UBC Behavioural REB</li> </ol> <p>NOTE: There are details in the Guidance notes about joint submissions</p> <p>UBC Office of Research Services handles the administration aspects of these committees</p> <p>The researcher categorizes what type of research it is on the RISE system</p> <p>Each Board has a different Chair and members</p>	<p>Professional members, lay members and lawyers all get compensated quite well - \$350 per meeting attended The chairs and associate chairs get a salary</p> <p>50,000 to Chair/ 24,000 to Ethicist</p>	<p>There are guidance notes that correspond to the questions in the online Application for Ethical Review and each question in the application includes a link to the relevant item discussed. The guidance notes are intended to ensure that the applicant has the necessary information to be able to complete correctly the Application for Ethical Review. The online application form is divided into pages or views with required fields in each view which will prevent applicants from proceeding to the next page.</p> <p>Refer to UBC's policies and procedures for Research Involving Human Subjects. This includes information on each Board's role and responsibilities.</p>

<p>University of Manitoba</p>	<p>3 REB's on the Fort Garry Campus (Social Science based)</p> <ol style="list-style-type: none"> <li>1. Education/Nursing REB (Education, Nursing, Physical Education and Recreation Studies, Continuing Education, Engineering.)</li> <li>2. Psychology/Sociology REB (Psychology, Sociology, Counseling Service, Social Work)</li> <li>3. Joint Faculty REB (Remaining faculties and departments except Pharmacy)</li> </ol> <p>and 2 REB's on the Bannatyn Campus (Medical)</p> <ol style="list-style-type: none"> <li>1. Biomedical Research Ethics Board (BREB) – reviews all research ethics protocols involving clinical trials and other biomedical research interventions.</li> <li>2. Health Research Ethics Board (HREB) – reviews research from the Bannatyn campus involving the behavioural sciences, surveys, examinations of medical records and protocols of generally lesser risk.</li> </ol> <ul style="list-style-type: none"> <li>• The decision process for determining where a protocol is sent is based on the faculty of primary appointment (if they work there, they submit there). However, there are some exceptions.</li> <li>• Each REB has a different chair and different members.</li> <li>• There is an experienced ethicist and law representative</li> </ul>	<p>For the Fort Garry Campus – members are not compensated but the 3 Chairs get course release.</p> <p>Bannatyn Campus – members are not compensated but Chairs do get stipend (one gets .2 and the other gets .15 – it depends on level of experience)</p> <p>Occasionally they need to seek external reviews (if they need more expertise) and they pay the externals in these cases</p>	<p>They have an “assessment checklist” for Board members to help them keep in mind what issues are important.</p> <p>Suggests to get involved with Deans of Faculties and AVP to get course release for REB members</p> <p>The ethics application forms are identical</p> <p>Hard copy submission currently their process, however, nTreePoint is the new online system they are currently trying</p>
<p>University of Ottawa</p>	<p>3 REBs</p> <ol style="list-style-type: none"> <li>1. Social Sciences and Humanities REB - evaluates all research projects originating from School of Management, and from the faculties of Arts, Education and Social Sciences</li> <li>2. Health Sciences and Science REB evaluates all projects originating from the faculties of Engineering, Science, and Health Sciences; and the Appeal Board hears all appeals made against any decision of any of the Research Ethics Boards.</li> <li>3. The Faculty of Medicine research projects are assessed by the Research Ethics Board of the Ottawa Hospital Projects from the Faculty of Medicine are to be submitted to the Ottawa Hospital REB</li> </ol> <p>The Protocol Officer for Ethics in Research acts as the Secretary of each REB. The Secretary is a non-voting member of the REB.</p> <p>Graduate Students must submit their research projects for the approval to the University Human Research Ethics Committee (UHREC)</p>		

University of P.E.I	One REB		
University of Regina	<p>One REB - In the case of research undertaken by undergraduate students within a course, the REB has delegated this review to departmental or faculty level ethics review committees. Copies of all approved protocols must be forwarded to the REB.</p> <p>Individual units within the University of Regina (i.e., departments and one department faculties) can apply to the REB for the privilege to conduct their own reviews of undergraduate research that is part of course requirements and that involves MINIMUM risk to subjects.</p> <p>Undergraduate research that involves more than minimum risk to participants cannot be delegated for departmental review and requires REB approval.</p>		<p>Projects are normally reviewed by two members of REB and the REB Chair. If all of the reviewers and the researcher agree that the project is low risk, does not require scholarly review, and does not involve conflict of interest, the applicant is sent the anonymous comments of the reviewers. If the project is deemed acceptable by all reviewers and the Chair, approval is granted. If modifications or clarifications are required, the applicant must submit these to the Chair.</p>
University of Saskatchewan	<p>2 REBs:</p> <ol style="list-style-type: none"> <li>1. Behavioural Ethics</li> <li>2. Biomedical</li> </ol> <p>All research involving humans as research participants must be reviewed by either the appropriate REB (biomedical or behavioural) or relevant Departmental/College Committee (REC).</p> <p>The Biomedical REB and the Behavioural REB may collaborate in assessing submissions that combine elements of both biomedical and behavioural research.</p> <p>The Biomedical Research Ethics Board (Bio-REB) is responsible for the review of all protocols involving human subjects which include:</p> <ol style="list-style-type: none"> <li>1. Medically invasive physical procedures, invasive interventions and invasive measures (includes administration and testing of drugs);</li> <li>2. Physical interventions that have the potential for adverse effects such as drug, exercise and dietary interventions;</li> <li>3. Surgical procedures such as biopsies, the collection of blood or other specimens;</li> <li>4. Use of permanent charts or records in accordance with provincial legislation.</li> </ol>		<p>Saskatoon Health Region has an agreement with the University of Saskatchewan Research Ethics Boards to provide ethical review and approval for all research conducted in Saskatoon Health Region. The purpose of this review is for the researcher to identify what Health Region departments are affected by the research and to determine each department's ability to support the research</p>
University of Toronto	<p>3 REBs – reviews depend on departmental or faculty affiliation of the principal investigator except for the HIV/AIDS REB.</p> <ol style="list-style-type: none"> <li>1. Health Sciences REB – Faculty of Medicine (all departments), IBBME, Nursing, Pharmaceutical Sciences, Social Work, Physical Education &amp; Health and Dentistry)</li> <li>2. HIV/AIDS REB – reviews all HIV/AIDS research, regardless of PI affiliation.</li> <li>3. Social Sciences, Humanities &amp; Education REB – all departments within Social Sciences, Humanities, OISE/UT, Physical Sciences &amp; Eng.</li> </ol>		<p>U of T implements direct reference to CIHR Best Practices for Protecting Privacy in Health Research (September 2005) website, and states the 10 elements in summary form.</p>

<p>University of Victoria</p>	<p>One REB - but they have a joint REB with a local health authority- the Vancouver Island Health Authority (joint UVIC/VIHA)</p> <ul style="list-style-type: none"> <li>• These are not faculty specific Boards, so they do a full range of everything</li> <li>• The Boards do not have the same Chair but they do share Eugenie Lam, the Human Research Ethics Coordinator who makes sure there is continuity and information flow between each board</li> </ul>	<p>2.5 FTE positions, 1 Chair</p>	<p>Keeping communication between each Board is key</p>
<p>University of Waterloo</p>	<p>One REB</p>	<p>.</p>	<p>The University of Waterloo 's Office of Research Ethics (ORE) works in close association with, and administers, the Committee</p> <p>The Office of Research Ethics receives over 800 applications per year; approximately 8% of the applications submitted to the ORE are reviewed by the Human Research Ethics Committee or a sub-committee of the HREC, while the remaining 92% are reviewed by the Director or a Manager (the Director and Manager, ORE , conduct ethics review of all human research applications that pose no greater than minimal risk to participants)</p>
<p>University of Western Ontario</p>	<p>2 REBs</p> <ol style="list-style-type: none"> <li>1. Health Sciences REB</li> <li>2. Non-Medical REB (Social or Behavioural Sciences/Humanities REB)</li> </ol> <p>It is the responsibility of the Research Ethics Board for Health Sciences Research Involving Human Subjects (HSREB) to review protocols for biomedical and clinical research involving human subjects for The University of Western Ontario and its affiliated hospitals and research institutes.</p> <p>It is the responsibility of the Research Ethics Board for Non-medical Research Involving Human Subjects (NMREB) to review protocols for non-medical research involving human subjects for The University of Western Ontario and its affiliated hospitals and research institutes.</p> <p>The researcher determines which REB to use by asking themselves a series of questions:</p> <p>Does this research...</p> <ol style="list-style-type: none"> <li>1. Involve or relate to a medical or physical intervention or therapy?</li> <li>2. Take place in a medical or health care setting or use or relate to medical or health records?</li> <li>3. Involve patients, medical, dental, nurses, other allied health professionals or care givers?</li> <li>4. Use or relate to new, innovative or novel medical techniques or therapies?</li> <li>5. Involve physical exertion beyond normal</li> </ol>		

	<p>walking?</p> <p>6. Involve physically invasive contact or take samples of bodily fluids or tissues by invasive measures other than buccal swabs?</p> <p>7. Require the ingestion of any food or beverage?</p> <p>IF YOU ANSWERED YES TO ANY OF THESE QUESTION YOU MUST SUBMIT YOUR PROJECT TO THE hsreb</p> <p>IF YOU ANSWERED NO TO ALL THE QUESTIONS, THEN YOU MUST SUBMIT YOUR PROJECT TO THE NMREB</p> <p>(Western also has sets of questions for researchers to ask themselves regarding full board or expedited review for both medical and non-medical)</p> <p>If the application has been submitted to the wrong REB it will be re-directed by ethics staff.</p>		
University of Windsor	<p>One REB - They are planning on having a 2<sup>nd</sup> REB for Biomedical since the recent opening of the new Medical School this year. Since the first year of students has only entered this fall (2008), the REB for Biomedical has not been established as of yet. Also, the structure of such a board has not yet been determined.</p>		<p>Protocols must be submitted by noon on the Tuesday prior to the meeting date. Late applications will be put over to the next meeting date.</p>
Wilfred Laurier University	<p>One REB for human research plus departmental ethics review committees, for projects of undergraduate students. If the undergraduates' projects are part of a faculty member's own research program (for instance if the professor will use any part of the results of the undergrad's research for his/her own research purposes) or if the participants are at greater than 'minimal risk' by participating, the Research Ethics Board needs to review and approve the project.</p>		
York University	<p>One REB - Course-related (undergraduate and graduate), non-funded, minimal-risk research (including Major Research Papers and Comprehensive Examinations) is reviewed by a Faculty, Department, School or Graduate Program review committee. All other research is reviewed by the University-wide ethics review committee, <i>the Human Participants Review Committee</i> (HPRC).</p>		

**Sample checklist for determining which REB is appropriate for an ethics submission**

Does your research involve any of the following measures or procedures?

Measure or Procedure	Yes or No
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)	
human tissue samples (e.g., blood, saliva, urine)	
interventions with the potential for physiological effects (e.g., diet and exercise)	
use of medical or official health records (e.g., hospital records)	

If you answered “yes” to **any** of the above measures or techniques, you submit your ethics application to REB2. If none of the above are characteristic of your research, submit your application to REB1.

If you have any questions about where to submit your application, please contact Lori Walker, the Senior Ethics Officer (x4876) or the REB office (x3035).