1.0 PURPOSE

1.1 The purpose of this procedure is to outline the appropriate process to ensure that the conduct of Research Involving Human Participants, performed Under the Auspices of the University, follows the highest ethical standards as defined in the Policy.

2.0 DEFINITIONS

2.1 Ethics Approval refers to the Research ethics approval granted in accordance with the Policy and its Procedures by the REB for proposed Research Involving Human Participants.

2.2 Institutional Conflict of Interest refers to real, perceived or potential conflict between at least two substantial institutional obligations that cannot be adequately fulfilled without compromising one or both obligations. Conflicts may occur when pursuing particular goals, for instance, the pursuit of two different “goods,” such as an effort to obtain general infrastructure funding from a donor that conflicts with an effort to promote research that the donor does not wish to support.

2.3 “Minimal Risk” refers to research in which the probability and magnitude of possible harms implied by participation in the research is no greater than those encountered by participants in the aspects of their everyday life that relate to the research.

2.4 “Policy” refers to the SFU Policy on the Ethics Review of Research Involving Human Participants.

2.5 “Principal Investigator (PI)” refers to the person or persons leading a research project.

2.6 “Procedures” refers to the Procedures in force with respect to this Policy.
2.7 **Protocol Development** refers to the early stages of a Research Involving Human Participants project, prior to activities that would require REB Research Ethics Approval.

2.8 **Provisos** refer to a written explanation of the conditions and/or modifications that must be made to a submitted application for ethics review for it to receive approval.

2.9 **Reconsideration** refers to the process by which a researcher and the REB attempt to resolve any disagreements, through deliberation and consultation, about the decision rendered by the REB.

2.10 **Research** is an undertaking intended to extend knowledge through a disciplined inquiry and/or systematic investigation.

2.11 **Research Ethics Appeal Board (“REAB”)** refers to the body appointed under the Policy and these associated Procedures to hear appeals of decisions by the REB.

2.12 **Research Ethics Appeals Process** refers to the process that allows a researcher to request a review of an REB decision when, after reconsideration, the REB has refused ethics approval of the Research.

2.13 **Research Ethics Board (“REB”)** refers to a body of researchers, community members, and others with specific expertise (e.g., in ethics, in relevant disciplines) established by an institution to review the ethical acceptability of all Research involving humans conducted within an institution’s jurisdiction or under its Auspices.

2.14 **Research Involving Human Participants** means Research involving:

2.14.1 Human Participants; or

2.14.2 Human Biological Materials, as well as human embryos, fetuses, fetal tissue, reproductive materials and stem cells, whether derived from living or deceased individuals.

2.15 **Unanticipated Problem** refers to any incident, experience, or outcome that meets all of the following criteria:

2.15.1 Unexpected (in terms of nature, severity, or frequency) given (a) the research procedures that are described in the protocol-related documents, such as the REB-approved research protocol and informed consent document; and (b) the characteristics of the participant population being studied;

2.15.2 Related or possibly related to participation in the research (possibly related means there is a reasonable possibility that the incident, experience, or outcome may have been caused by the procedures involved in the research); and

2.15.3 Suggests that the research places participants or others at a greater risk of harm (including physical, psychological, economic, or social harm) than was previously known or recognized.

2.16 **Under the Auspices** means with the protection or support of someone or something, especially an organization such as a University.

2.17 **University** refers to Simon Fraser University (“SFU”) for the purpose of this Policy.
3.0 RESPONSIBILITIES

3.1 Adhering to the policies on the ethical conduct of Research Involving Human Participants is a responsibility shared by constituents across the institution.

3.2 Responsibilities of the Administration

3.2.1 The University is responsible for ensuring that adequate controls are in place so that, until REB approval is in place, research activities involving humans do not take place. To this end, unless University Administration has received notification that Ethics Approval has been granted to Conduct Research Involving Human Participants, or a request for the release of partial funding through the Protocol Development process has been approved, the University will not

   a. open any research accounts; or
   b. authorize spending on any research accounts.

3.2.2 The Senate is responsible for the academic governance of the University. The Senate has delegated specific responsibilities to the Research Ethics Board (“REB”) and, as a result, receives annual reports of its activities.

3.2.3 The Vice-President, Research and International has been designated with administrative responsibility for the implementation of the University’s policies on Research Involving Human Participants. The Vice-President, Research and International shall provide the necessary administrative oversight and resources to both SFU Research Ethics (“ORE”) and the REB to ensure that the practices and procedures designed to protect the dignity and well-being of human research participants are in compliance with institutional Policy, the current version of the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (referenced herein as the “Tri-Council Policy Statement” or TCPS). The Vice-President, Research and International, or their delegate, is responsible for ensuring that the provisions of these policies are followed. This includes investigating allegations of non-compliance and instigating post-approval monitoring where required. The Vice-President, Research and International, or their delegate, is also responsible for entering into any agreements with other institutions to conduct the ethics review and approval of Research involving Simon Fraser University researchers.

3.2.4 Academic administrators such as Deans, Directors, and Department Chairs have overall responsibility for the conduct of Research carried out within their Faculties, Schools, and Departments. They should be aware of ongoing Research within their area and have a duty to create a climate for ethical practice in Research by promoting widespread general awareness and knowledge of institutional policy and the need for ethics review. These individuals also share in the responsibility of ensuring that the REB is appropriately constituted and has the expertise needed to properly review the applications that come before it.

3.2.5 SFU Research Ethics is responsible for:

   a. overseeing the process of research ethics review for Research Involving Human Participants for the University;
working with the Office of the Vice-President, Research and International to maintain REB membership;

c. providing administrative support for the activities of the REB, including but not limited to: recruiting, supervising, training, and managing research ethics coordinators and staff; managing the research ethics component of the SFU’s research administration system; liaising with internal (e.g., Research Services, faculty, students) and external (e.g., sponsors, academic institutions) stakeholders on ethics administration issues; providing initial pre-review, review, and post approval continuing review support; and

d. offering ethics education and training activities for the SFU research community.

3.3 Responsibilities of Researchers

3.3.1 The primary responsibility of researchers is to ensure that their Research is carried out in an ethical manner. All researchers who plan to conduct Research Involving Human Participants must:

a. familiarize themselves and comply with all University policies relating to Research, including Policy R20.01, these affiliated Procedures, and the Tri-Council Policy Statement;

b. prior to recruiting human participants (with the exceptions noted in the Policy, section 5.3.1. and TCPS Article 6.1. and Chapters 9 and 10), accessing data, or collecting human biological materials, submit an ethics application accompanied by any supplementary materials necessary for ethics review and approval;

c. respect all decisions of the REB, including following all Provisos that were required for approval, and conduct all REB approved Research in accordance with:

i. the Tri-Council Policy Statement;

ii. University policies and procedures governing security and privacy, and all other applicable policies and procedures of the University; and

iii. other relevant legal obligations (including provincial, national, and international laws and regulations), policies, standards (including professional and institutional standards), and guidelines, where applicable to a particular area of Research or to the funding of such Research.

d. promptly report to the REB any Unanticipated Problems that may increase the risk for those human participants involved in the conduct of the approved Research project;

e. promptly submit to the REB any proposed changes to the Research project and obtain the approval of the REB before implementing the changes, except when necessary to eliminate immediate hazards to human participants; and

f. notify the REB when the Research project has concluded.

3.3.2 The University is committed to ensuring that Research conducted Under its Auspices is done with the highest ethical standards. As part of this commitment, the ORE and REB, with the support of the Vice-President, Research and International, have set completion
of the TCPS online tutorial “Course on Research Ethics” (CORE) or the CITI Biomedical or Social & Behavioural Research Ethics course as mandatory for all SFU-affiliated researchers who plan to conduct Research Involving Human Participants.

a. The selected course must be completed before submitting one’s application to the REB for ethics review. All SFU-affiliated students (graduate and undergraduate) must submit the relevant Certificate of Completion with their application for ethics review.

b. Students involved in course-based research must submit the certificate of completion with the application provided to their instructor.

c. All other study personnel (e.g., SFU-affiliated faculty and staff) do not need to attach the Certificate of Completion to the application; however, copies should be retained and be made available upon request.

3.4 Responsibilities of Faculty Members as Supervisors of Student Research

3.4.1 In supervised Research, the term “researcher” includes both the supervisor and the individual(s) being supervised. All student-led Research must be supervised by a faculty member who accepts responsibility for overseeing the ethical conduct of the student’s Research and acts as Principal Investigator on such research.

a. When a graduate student is designated as the “student lead” on an application for ethics approval, the faculty supervisor of the student must act as the Principal Investigator.

b. When an undergraduate student’s Research project is submitted for ethics review, the supervisor must submit the application and be designated as the Principal Investigator and the student as a co-investigator.

3.4.2 Faculty supervisors should act as a resource for the student lead when preparing an ethics application, providing guidance and reviewing the application prior to submission. Faculty supervisors must:

a. ensure that their students have the training and competence necessary to execute the proposed Research in an ethical manner;

b. assist students with the preparation of their application for REB review;

c. ensure that the application is clearly written, scientifically valid, and provides the appropriate protections for human research participants;

d. review, approve and submit the application for REB review; and

e. manage the ethics application through the life of the study (i.e., submitting amendments, renewals, and requests for closure).

3.4.3 After Ethics Approval has been granted, the supervisor is responsible for ensuring that the conditions of the approval are properly executed.

3.5 Responsibilities of Student Researchers

3.5.1 As stipulated in the Policy, graduate and undergraduate students conducting Research Involving Human Participants, where the data are collected prior to writing a research
paper, master’s thesis or doctoral dissertation, must obtain the appropriate ethics review and approval before the Research may begin. Such projects will be supervised by a faculty member (acting as the Principal Investigator) who shares in accepting responsibility for the ethical conduct of the Research.

3.5.2 In the case of undergraduate or graduate course-based Minimal Risk research projects, approval may be granted by the course instructor as delegated by the REB (See 4.10 Course Review).

3.5.3 When submitting their first ethics application (whether individually or within a course), all students (both graduate and undergraduate) are also required to submit a certificate of completion for one of the courses designated in section 3.3.2. The courses are designed to familiarize researchers with the ethical principles associated with the conduct of Research Involving Human Participants. Although a student’s Research must be supervised by a faculty member, such supervision does not in any way diminish the obligation of the student to comply with the Policy, the Tri-Council Policy Statement, or other regulations that govern the ethical conduct of Research involving humans.

3.5.4 It is the joint responsibility of the student and faculty supervisor to ensure that the Research project receives and maintains the appropriate ethics approval and that, as per thesis regulations, documentation of this approval is included when the thesis is submitted to the library.

3.6 Responsibilities of the Research Ethics Board

3.6.1 Specific composition requirements of the REB are attached to this procedure as Schedule A.

3.6.2 The REB is responsible for the initial and continuing review of all Research Involving Human Participants in a way that is consistent with this Policy and all applicable ethics guidelines. In discharging this responsibility, the REB shall:

a. meet regularly (normally monthly);

b. provide fair, impartial, and reasoned reviews of the ethical acceptability of proposed and ongoing Research in an efficient and timely manner;

c. ensure that the potential benefits of the proposed Research are sufficient to warrant human participant involvement;

d. ensure that all proposed Research involving Indigenous peoples adheres to Chapter 9 in the Tri-Council Policy Statement, and facilitate compliance with the United Nations Declaration on the Rights of Indigenous Peoples, the SFU-ARC report recommendations and the 2010 Dean’s Accord on Indigenous Education;

e. approve, reject, propose Provisos to, terminate, or suspend any proposed or ongoing Research conducted by members of, or Under the Auspices of, SFU;

f. declare actual, perceived and potential conflicts of interest associated with all research protocol reviews and recuse oneself when a conflict of interest exists or is declared to exist by the Chair;

g. in collaboration with the ORE;

i. ensure that REB decisions are communicated clearly and in a timely manner to researchers;
ii. prepare and maintain comprehensive records, including all documentation related to the projects under review, attendance at all REB meetings, and accurate minutes reflecting REB decisions;

iii. recommend, develop, and implement research ethics educational opportunities for researchers and participants;

iv. develop specific policies, guidelines, or procedures on matters as needed;

v. ensure SFU researchers are aware of the Policy and Procedures and make public any issues that will lead to changes in the current review practice;

h. review the Policy and Procedures biennially, and recommend any necessary policy changes for Vice-President, Research and International implementation and Senate approval when required;

i. collaborate with other REBs on the review of multi-centred Research projects;

j. establish, when appropriate, its own internal policies and procedures that do not conflict with those approved by the Senate or the Tri-Council Policy Statement; and

k. meet at least once a year, in open session, to discuss and approve the internal policies of the REB.

3.7 Responsibilities of the Research Ethics Board Chair

3.7.1 In addition to such other responsibilities as may be delegated to the REB Chair, they are responsible for:

a. being well-versed in the regulations, guidelines, policies and ethical principles applicable to human participant research, specifically those within the most current version of the Tri-Council Policy Statement;

b. providing pre-review decisions regarding risk and appropriateness of an application for full board review;

c. providing leadership for the REB and facilitating the research ethics review process through the sound application of the Policy and Procedures;

d. appointing ad hoc REB members as required;

e. conducting any aspects of ongoing review delegated by the REB; and

f. ensuring appropriate quorum requirements are met for each application reviewed at full board.

4.0 PROCEDURE FOR ETHICS REVIEW

4.1 The REB shall adopt a proportionate approach to research ethics review such that, as a preliminary step, the level of review is determined by the level of risk presented by the Research to the participants:

4.1.1 the lower the level of risk, the lower the level of scrutiny (e.g., delegated review); and

4.1.2 the higher the level of risk, the higher the level of scrutiny (e.g., full review).
4.2 A proportionate approach to assessing the ethical acceptability of the Research, at either level of review, involves consideration of the foreseeable risks, the potential benefits, and the ethical implications of the Research.

4.3 Applications to the REB may be placed in one of two risk categories:

4.3.1 **Minimal risk**, which is defined as Research in which the probability and magnitude of possible harms implied by participation in the Research is no greater than those encountered by participants in those aspects of their everyday life that relate to the Research.

4.3.2 **Above minimal risk**, which applies to applications not covered by 4.3.1 above.

4.4 Risks in Research are not limited to just the participants. In their conduct of Research, researchers themselves may be exposed to many forms of risk (e.g., injury, incarceration). Risks to researchers may become a safety concern, especially for student researchers who are at a learning stage regarding the conduct of Research. While it is not a formal part of its responsibilities, the REB may raise concerns about the safety of researchers as part of its communication. Based on the level of risk, the REB may consider referring these concerns to the appropriate compliance review committee.

4.5 Full review by the REB should be the default requirement for all Research Involving Human Participants unless the decision is made to authorize delegated review based primarily on the risks associated with study involvement.

4.6 To qualify for delegated review (i.e., a review conducted by the REB Chair or designate, an REB member, or non-member with experience and knowledge comparable to that of an REB member), the Research described in the application must involve no more than Minimal Risk for the participants.

4.7 The ORE, in consultation with the Chair of the REB, will initially decide whether the application should receive a full or delegated review and will distribute the submitted application accordingly.

4.8 The REB has the sole authority to designate an application as above minimal risk.

4.9 **Scholarly Review**

4.9.1 When deciding whether or not to approve Research applications designated as above minimal risk, the REB must adopt the “proportionate approach to review” and consider the scholarly merit of the proposal. The primary test of scholarly merit is the application of scholarly standards and methodological approaches appropriate to the discipline(s) of the researcher(s).

4.9.2 If the Research has already passed acceptable peer review, such as through a recognized granting agency (e.g., SSHRC, NSERC, CIHR) or through a peer review process established within the University (e.g., dissertation committee), the REB will normally accept documentation of those reviews as evidence that appropriate scholarly standards have been met.

4.9.3 If the proposed Research has not yet been subject to external peer review, or if the proposed Research is funded by an independent external contract, the REB will either;
a. determine scholarly merit itself, if the members of the board have the necessary research expertise in the area(s) in question, or

b. decide to refer the project for review by up to three external reviewers who have the appropriate qualifications and expertise with respect to the project.

4.10 COI Review - Individual

4.10.1 The ORE will manage the process of REB review of stand-alone Conflict of Interest disclosures relevant to Research involving human participants as per Policy GP-37. Normally, COI should be disclosed as part of the standard review process.

4.10.2 The REB will determine whether a COI exists and whether the management plan meets the requirements of this Policy and the TCPS2.

4.11 COI Review – Institutional

4.11.1 Institutional Conflicts of Interest disclosed to the SFU Research Integrity Officer will be considered by the REB using procedures detailed in Policy GP-37.

4.11.2 The REB will determine whether an Institutional COI exists and, if so, how the conflict will be managed in Research involving human participants (such as requiring disclosure).

4.12 Course Review

4.12.1 The University encourages integration of Research and teaching throughout its academic programming. Course-based research projects, where data are collected from human participants, are used at both the undergraduate and graduate level. These projects may be carried out by individual students or small groups or as a single class project.

4.12.2 As Research is the intended purpose of these undertakings, the potential for risks to participants requires that these projects be reviewed by the Research Ethics Board. Also, it is important that the ethical standards that respect and protect human participants in Research are learned and practiced as students continue to develop their research skills.

4.12.3 Rather than require students to complete and submit individual applications for ethics review and approval, instructors may be able to complete an application for Ethics Review of Course-based Research Projects Involving Human Participants for all of the Research projects planned for the course, provided that those projects pose Minimal Risk to participants.

4.12.4 Course-based approvals shall not be used for larger scale projects conducted to fulfill the requirements for a graduate degree or undergraduate honours thesis. In these cases, students must complete a full ethics application. Also excluded from the course-based approval process are those research activities in which students work on a larger-scale project, such as their instructor’s or another faculty member’s research program. In these cases, students should be added to the existing approval as research assistants or study personnel through the amendment process.

4.12.5 Refer to the SFU Guidelines for Ethical Review of Course-Based Research Involving Human Participants.

5.0 MEETINGS, DETERMINATIONS, RECONSIDERATIONS, AND APPEALS
5.1 The REB shall meet monthly, at a minimum, for the review of proposed Research projects that are not assigned for delegated review. Other meetings may be called by the Chair or Deputy Chair as required.

5.2 Quorum for the REB shall consist of 50% of the REB voting membership plus one (1) including, at minimum, the core membership representation set out in Schedule A.

5.3 Only regular members, or their alternates when replacing regular members, will count toward quorum and be allowed to vote.

5.4 The REB may both request and accommodate reasonable requests from researchers to participate in discussions of their applications, but the researchers should not be present when the REB makes its decisions.

5.5 Decisions are normally arrived at by consensus. When consensus is not possible, decisions will be made on the basis of a simple majority vote of those members present. The REB will provide the researcher with a written summary of its decision.

5.6 The REB can make one of the following four determinations as a result of its review:

5.6.1 approved as submitted;
5.6.2 approved pending Provisos (i.e., certain conditions or required changes are met);
5.6.3 deferred, pending receipt of additional information or major revisions that must be submitted for re-review; and
5.6.4 not approved or rejected.

5.7 Reconsideration of REB Decisions

5.7.1 Researchers have the right to request, and the REB has an obligation to provide, prompt Reconsideration of an REB decision.

5.7.2 Initial Reconsideration may simply consist of informal discussions between the researcher and the REB Chair. If the matter is resolved through this process, the resolution will be documented in the ORE online application system and will also be reflected in the application materials as appropriate.

5.7.3 If informal discussions do not lead to a resolution, the researcher may request a formal Reconsideration. The researcher must provide a written request for Reconsideration to the Chair of the REB, outlining the concerns they have with the initial REB review. The researcher has the right to be heard in a meeting with the REB to discuss the issues identified.

5.7.4 When requesting a Reconsideration, the onus is on the researcher to justify the grounds on which the Reconsideration is requested and to indicate any alleged breaches to the established research ethics review process, or any elements of the REB decision not supported by the Tri-Council Policy Statement.

5.8 Appeal of REB Decisions

5.8.1 If, after having fully exhausted the Reconsideration process, the researcher continues to be dissatisfied with the REB decision, the researcher may utilize the Research Ethics
Appeal Process and appeal the decision of the REB to the Research Ethics Appeal Board (REAB).

5.8.2 The appeal may be launched for either procedural or substantive reasons. The onus is on the researcher to justify the grounds on which the appeal is requested and to indicate any breaches to the review process or any elements of the REB decision that are not supported by the Tri-Council Policy Statement.

5.8.3 Researchers may appeal decisions of the REB to the Director of the ORE within 30 working days of the reconsideration and the Director will notify the REAB of the request for appeal.

5.8.4 Both the researcher and a representative from the REB whose decision is being appealed shall be granted the opportunity to address the REAB, but neither shall be present when the REAB makes its final decision.

5.8.5 The decisions of the REAB are final and binding in all respects for any appeal lodged against a decision of the REB and may include approving, rejecting, or requesting modifications to the Research project.