



### Electronic Submissions Of Applications

[www.sfu.ca/~dore/](http://www.sfu.ca/~dore/)

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Office of Research Ethics

[www.sfu.ca/vp-research/ethics](http://www.sfu.ca/vp-research/ethics)

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SFU Policy R20.01: Ethics Review of Research Involving Human Subjects

[www.sfu.ca/policies/research/R20-01.htm](http://www.sfu.ca/policies/research/R20-01.htm)

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### *Deadlines For Course Applications*

Applications for the approval of courses as a "Research Ethics Board Approved Course" under Policy R20.01-6.3 is:

Summer Semester	April 1
Fall Semester	August 1
Spring Semester	December 1

### *Presentations*

If you would like the Office of Research Ethics to give a talk to students or Departments about, policy or process, or discuss specific issues, please email the request to [dore@sfu.ca](mailto:dore@sfu.ca).

Powerpoint presentations are available on disk for instructors or students who wish copies. Contact [dore@sfu.ca](mailto:dore@sfu.ca) for access to the disks or access the web site: <http://www.sfu.ca/vp-research/ethics/education/index.html>.

### *Revisions of Ethics Policy*

Policy R20.01 requires that there be a review of the Policy 3 years after its implementation and, in accordance with that requirement, the the Senate is now in the process of that review. Revisions to the Policy are expected to be ready before September of 2006.

### *Thesis Using Human Research Requires Ethics Approval*

The Research Ethics Board considers all Master's and Ph.D. students to be the Principal Investigator of the research project that results in the thesis, and as such requires ethics approval.

If a student is a collaborator on a project of their Supervisor, and their Supervisor's project has received ethics approval, the student must nevertheless apply for approval of the thesis protocol. In addition, the title for the thesis must be unique and not the same title as the project in which they are collaborating. Each thesis must have a unique title.

If a Ph.D. or Master's student is acquiring data for their thesis, as part of a course that has received ethics approval, the thesis must receive ethics approval.

### *A New Database and Website*

The Ethics Database is being changed from Filemaker to 4th Dimension. This change will allow a more sophisticated relational interaction of elements of each file and a reporting structure that will be more easily formatted. Access to the ethics web forms remains the same.

A new web site has been developed, however, access to the site has not been changed. The web site can be accessed by: <http://www.sfu.ca/vpresearch/ethics>.

## *Multiple Funding of The Same Project*

If a project is funded from multiple sources, and the protocol is approved by each of the funding sources, each source needs to be listed. If the title that the funding sources approved is different from the title of the research project, and the protocol is the same, the title of each funding source must be listed on the application where grants are identified in the application.

If the title approved by the funding sources is different from the title of the project then the researcher is required to confirm that the protocols for each title are the same. This information is conveyed to the Office of Research Services for the release of funds from each of the funding sources, and report to the granting agencies when required.

The Tri-Council requires a report of which projects are monitored and the status of the project. Monitoring forms are sent out annually only for the project that has received ethics approval and not for multiple projects that may be listed as being funded by different sources and with different titles.

## *Debriefing of Participants*

In some studies initial deception or partial deception is a necessary element in the study. In such cases a debriefing statement is required after the data has been collected from the participant. The debriefing must give the participants the actual goals of the study and the intended use of the data. After debriefing the participant they must have the option of withdrawing initial consent or reaffirming original consent. In addition, the nature of the study may have resulted in anxiety or stress and the debriefing should give the participant contacts and procedures or appropriate referrals for treatment of the consequences of the study.

## *Adverse Events*

The following is an internal policy adopted by the Research Ethics Board.

### Adverse Events Related To Health And Safety

1. All adverse events must be reported to the Office of Research Ethics within 5 days of the event.
2. If the adverse event is related to Health and Safety of a participant, the project will be suspended by the Director of the Office of Research Ethics.
3. The Principal Investigator has the prerogative to directly inform the medical expert who is a member or consultant of the REB, of the adverse event, and ask the medical expert to allow for continuation of the project. The medical expert will have the right to make a preemptory judgment to allow the protocol to continue when the investigation process indicated, as shown in points 4, 5 and 6 (below) is underway.
4. The Adverse Events Form and relevant reports will be sent to:
  - (a) the Manager, Risk Management and Insurance.
  - (b) the Office of Occupational Health and Safety for events related to provisions of the Workman's Compensation Board.
5. A report from (a) or (b) will be sent to the VP Research and copied to the REB.
6. The VP Research shall determine if the project shall be resumed.

### Adverse Events Not Related to Health And Safety

1. The REB Chair shall receive notice of the adverse event within 5 days after the REB receives the report.
2. The REB Chair may temporarily suspend the project.
3. The REB Chair shall notify the REB of the adverse event and make a recommendation to the REB.

## *The use of lotteries for the payment of participants*

The Tri-Council's Policy is that lottery payments cannot be charged to grant accounts. The Research Ethics Board of SFU policy is that lottery payments are acceptable up to an amount of \$500.00. Therefore, if a researcher is intending to use a lottery in a research project, and that project is supported by one of the Tri-Council grants it is advisable for the investigator who holds the grant to contact the granting agency about their intended use of grant funds for the payment of lotteries to receive from the granting agency the way in which those expenses can be charged to the grant.

## *The Use of Secondary Data*

Data previously collected as part of another study may be used as part of a new study. Frequently data is acquired from other agencies or researchers and the study that uses that data may be using it in ways that were not anticipated when participants contributed the data. In such cases the REB has required that the new use of data is consistent with the way participants expected it to be used when they gave consent. If the data is to be used in a clearly different way the REB requires that the participants be contacted for their approval if the original study included in the consent protocol the approval for future contact.

If the data is completely anonymous such that individuals or, in some cases communities, cannot be identified the REB may approve the use of secondary data. That approval is considered on a case-by-case basis.

The Director of the Office of Research Ethics can approve the use of secondary data if the project is designated minimal risk. That approval allows the project to begin but, as with other minimal risk projects, the protocol must be ratified by the REB at its monthly meetings.

## *The Use of Focus Groups*

If focus groups are used and the researcher has assured the participants of confidentiality the researcher is required to include in their consent protocol a statement similar to or the same as the following:

“By consenting to participate in the focus group you confirm that any information you encounter will be kept confidential and not revealed to parties outside the focus group”

## *Monitoring Requirements*

The Office of Research Ethics is required by the Tri-Council to annually monitor all projects. Monitoring forms are sent out on the annual anniversary of each approval date and must be returned within one month. The Office of Research Services (ORS) must receive from the Office of Research Ethics (ORE) confirmation that a satisfactory monitoring of the project has been completed for that year. If that confirmation is not received by the ORS the Tri-Council requires that the funding for that project be suspended. The Tri-Council also requires that approval for the project be suspended. These procedures are applied to all projects whether they are funded by Tri-Council or not.

The ORE is required each year to report to the REB which projects have been suspended. It is therefore of utmost importance that monitoring forms be returned expeditiously and, if for some reason that is not possible, the researcher should contact the ORE ([dore@sfu.ca](mailto:dore@sfu.ca)).

## *Clarification of Genome B.C. Ethics Recommendations*

When discussing ethics policies of Genome BC the term “we recommend” was used. This is to clarify that the recommendations were by the Ethics Committee of Genome BC and not by the SFU Office of Research Ethics.

## *Policies to keep in mind when making an application:*

1. Amendments to applications requested by students who are principal investigators must include approval of the student's supervisor. Supervisors may send approval to [dore@sfu.ca](mailto:dore@sfu.ca). Applications are not complete until the supervisor's approval is received.
2. Progress report forms are sent to the Principal Investigator every 12 months after approval until the project is complete. The reports must be returned expeditiously. If the reports are not returned within one month, ethics approval may be suspended, depending on the circumstances.
3. If a request for a code for an ethics application has been requested and the application has not been completed within one month, the Office of Research Ethics sends a "warning" email to the Applicant and, where appropriate, the Supervisor. If after three months the application remains incomplete the application is closed, unless there is a specific request to keep it open. Once the application has been closed a new application must be initiated.
4. After Course applications have been approved the application is considered a public document.
5. If the project includes the interview of employees, with respect to policy or practise of their employers, the REB requires that the participants know whether or not the participant's employer has been contacted for approval of the interview. This is to protect the participant.

## *Research Ethics Board*

### **Faculty Members:**

Dr. Bruce Whittlesea, Chair, *Psychology*  
Dr. Steven Kates, *Business Administration*  
Dr. Joan Hu, *Statistics and Actuarial Sciences*  
Dr. John McDonald, *Psychology*  
Dr. Margaret MacDonald, *Education*  
Dr. Julien Sommers, *Faculty of Health Sciences*  
(Vacancy in Applied Sciences)

### **University Community at Large:**

Dr. Felix Breden, *Biological Sciences*  
Dr. Maureen Hoskyn, *Education*  
Ms. Sandra Wong, *Library*

### **Student Members:**

Mr. Sasha Uhlman, *Faculty of Health Sciences*

### **Members from Outside the University:**

Ms. Margit Nance  
Mr. William Melville

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ORE News is a publication of the Office of Research Ethics, Vice-President Research, Simon Fraser University, Burnaby, B.C., Canada, V5A 1S6. 604 291 5719, fax: 604 268 6785.