



# ORE News

Simon Fraser University  
Office of Research Ethics

Balancing Research  
With Ethical  
Considerations

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Electronic Applications

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

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

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## Educational 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).

Vol. 5 No. 2

## New Conflict of Interest Policy

The Senate has now approved a new  
Conflict of Interest Policy and related  
administrative procedures for reporting  
conflict of interest.

SFU Policy GP 37 Definition of Conflict of  
Interest:

1.1 Conflicts of interest are real, perceived  
or potential situations in which an impartial  
observer might reasonably question  
whether actions or decisions taken by  
the Member on behalf of the University  
are influenced by considerations of  
private interest to the disadvantage of  
the University. In the research context,  
a conflict of interest includes a situation  
where financial or other personal  
considerations may compromise, or have  
the appearance of compromising, an  
investigator's professional judgment in  
conducting or reporting research.

1.2 Where the research involves the use  
of human subjects, the Research Ethics  
Board will review the real or potential  
conflict of interest and determine whether  
a conflict of interest exists and, if so,  
whether it may be managed or must be  
disallowed.

1.3 Where the research does not involve  
the use of human subjects, the Research  
Ethics Board will refer the disclosure to  
the research applicant's supervisor, who  
will review the real or potential conflict of  
interest and determine whether a conflict  
of interest exists and, if so, whether it will  
be managed or must be disallowed.

## *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.

## *Notification of Completion*

Researchers must notify the Office of Research Ethics ([dore@sfu.ca](mailto:dore@sfu.ca)) when the data collection part of the protocol has been completed. Please insure that the application number is included.

## *Research Ethics Board*

### **Faculty Members:**

Dr. Jerry Sheppard, *Business Administration*  
Dr. Robert Young, *Chemistry*  
Dr. Joseph Taylor, *History*  
Dr. Margaret MacDonald, *Education*  
Dr. Julian Somers, *Health Sciences*  
Dr. Ted Kirkpatrick, *Computing Science*  
Dr. Simon Verdun-Jones, *Criminology*

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

Dr. Felix Breden, Chair, *Biological Sciences*  
Dr. Maureen Hoskyn, Vice-Chair, *Education*  
Dr. Beverly Neufeld, *Arts and Social Sci.*

### **Student Members:**

Alex Hemingway

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

Ms. Margit Nance  
Dr. Laurence Turner

## *Office of Research Ethics*

### **Hal Weinberg, Ph.D.**

Director, Office of Research Ethics  
778 782 6593  
[hal\\_weinberg@sfu.ca](mailto:hal_weinberg@sfu.ca)

### **Barb Ralph**

Ethics Officer  
778 782 3447  
[barb\\_ralph@sfu.ca](mailto:barb_ralph@sfu.ca)

### **Janet Yule**

Ethics Assistant  
778 782 5719  
[janet\\_yule@sfu.ca](mailto:janet_yule@sfu.ca)  
Fax: 778 782 6785

### **Catherine Young**

Office Assistant  
[research\\_office@sfu.ca](mailto:research_office@sfu.ca)  
778 782 5326

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# Research Ethics Oversight In Canada

## Call For Public Consultation

The consultation will be open from August 15, 2007 to November 30, 2007. All submissions must be sent electronically to the Sponsors' Table Secretariat at [secretariat@hrppc-pphrc.ca](mailto:secretariat@hrppc-pphrc.ca).

### 2.1 Sponsors' Table for Human Research Participant Protection in Canada

On June 21-22, 2005 the NCEHR convened a workshop of 54 stakeholders for the purpose of reviewing and responding to the penultimate draft of "Promoting Ethical Research with Humans" – the Report of the Task Force for the Development of an Accreditation System for Human Research Protection Programs. In response to the outcome of this workshop, a meeting was organized on September 16, 2005 by the Royal College of Physicians and Surgeons which involved the College, the Association of Universities and Colleges in Canada (AUCC), Health Canada and the three Canadian federal research granting agencies (CIHR, SSHRC, and NSERC). At this meeting, of what has become known as the 'Sponsors' Table', it was agreed that, it would be useful to establish an expert committee to look into a range of governance models for the oversight of ethics in human research and to explore issues including implementation and funding.

Before the Sponsors' Table organizations formally consider the contents and recommendations of the Experts Committee's report, they wish to consult with each members' constituent groups and/or stakeholders and other interested parties on its content as well as on other pertinent issues. The Sponsors' Table has identified six questions which provide a broad framework for this consultation process. It is important to be clear that the Sponsors' Table organizations are not endorsing the contents or recommendations of the Experts Committee's report at this time.

The Council should have a Board of Directors of up to 15 individuals appointed for their expertise relevant to the conduct and oversight of research involving humans. They should serve as individuals and not as representatives of specific organizations.

The Board of Directors would be directly accountable to a body of Members whose function would be analogous to those of shareholders under the Canada Corporations Act. They would appoint the Board of Directors, appoint the auditor of the Council, and periodically receive reports and financial statements of the Council.

The Office of the Executive Director should include the normal leadership and operational duties of such a position including the quality assurance for the Council itself. The Committee is of the view that the Council should adopt quality assurance principles which will allow it to evolve and quickly adapt to the needs and concerns of all of the relevant stakeholders.

The Committee considers it important, in the interests of achieving maximum coherence, that the functions of policy development, education, standard setting, and accreditation should all be vested in the same organization. The Council should be responsible for the development and interpretation of the Canadian policy statement as well as other Canadian policies for research involving humans focusing on the protection of human participants.

The Council should provide the leadership for the development of a Canadian education strategy that would identify the needs of the research community and the public in terms of research ethics.

The Committee recommends an oversight system which includes the accreditation of organizations that conduct or review research with humans.

The committee that was established consists of :

1. Mr. Arthur Kroeger, Chair the Committee.  
Professor John R.G. Challis, VP Research and Associate Provost, University of Toronto
2. Dr. Karen Cohen, Associate Executive Director, Canadian Psychological Association
3. Mr. Jack Corman, President/Secretary, Institutional Review Board (IRB) Services Inc.
4. Me. Pierre Deschamps, Avocat, Faculty de droit, L'University McGill
5. Dr. Jocelyn Downie, Canada Research Chair in Health Law and Policy, Dalhousie University
6. Dr. Serge Gauthier, Chair, Faculty of Medicine Ethics Institutional Review Board, McGill University
7. Ms. Patricia Lindley, Director, Office of Research Ethics Administration, Dalhousie University
8. Dr. Deborah C. Poff, Professor of Philosophy and Political Science, University of Northern British Columbia
9. Dr. Dorothy Pringle, Professor of Nursing, University of Toronto
10. Dr. Vincent Sacco, Professor, Department of Sociology, Queen's University
11. Dr. Hal Weinberg, Director, Office of Research Ethics, Simon Fraser University

The following questions are provided to guide you in forming your response to the report.

Please feel free to comment and not limit your reply to these questions by contacting [secretariat@hrppc-pphrc.ca](mailto:secretariat@hrppc-pphrc.ca).

How well is the Canadian system for the protection of human research participants currently functioning?

What are some of the most pressing concerns or challenges? What elements are working best?

Is there need for improvements in the system? If yes, for what reasons? What are the most pressing aspects of this need (policy, standards, education, monitoring, accreditation, sanctions, other)?

What might be some of the consequences if the status quo remains in place (e.g., for multi-jurisdictional research, policy harmonization, education, and participant protection)?

How would you assess the arguments and recommendations of the report Moving Ahead, in particular, that an independent organization be created with the three primary functions of policy, education, and accreditation?

What would be the impact (positive and/or negative, including financial) on you and/or your organization were an organization similar to the one proposed in the report Moving Ahead be established? Are there alternative courses of action that you would recommend?

Looking at what could be done right now, or in the near future, what specific actions would you recommend to improve the protection of human research participants?

Who should pay for what share of the financial costs in any change to the system (e.g., policy, education, accreditation as cost recovery)? In the short to medium term during a potential transition? In the longer term?

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## Use of E-mail Lists

Researchers intending to use e-mail lists to recruit participants or collect data must obtain permission from the 'owner' of that list approving the use of it for the purposes of the proposed research.

## Certification of Equipment

It is the responsibility of the researcher to ensure that equipment used for the collection of data has received the appropriate certification. Advice on certification requirements can be received by contact with the Environmental Health & Safety Office, Simon Fraser University.