



### 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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### *Thesis Submissions*

The procedure for documentation of ethics approval to the Library when submitting a thesis has been changed. A “Thesis Letter” from the Office of Research Ethics (ORE) is no longer required. Students must now submit a copy of the original ORE letter of approval for the project. When a student is a collaborator in a project the approval letter to the Principal Investigator (PI) will show the student as a collaborator. It is important that all

### *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

### *Use of Secondary Data*

Secondary data means the data has already been collected as part of another project. In general the use of that data requires that the original information given to the participants and their consent was consistent with the way in which secondary use of the data is to be used. Therefore, if a Principal Investigator (PI) thinks the data may be used in the future by other PIs, with permission of the original PI, the information document and informed consent documents should be constructed to anticipate that possible future use.

### *Protection of Employees*

Many projects involve the interview of employees of companies or agencies. If the interviews involve questions about the policy or administrative procedures or sensitive matters the researcher has two options shown in Form 1. The researcher must seek the approval from the company or agency. If approvals are received, or if approvals have not been sought or have not been received from employers, for the interview of employees, that information should be in the Information Document (Form 5) and the Consent Form (Form 2). This REB policy is to protect participants from negative effects on their employment as the result of the interviews.

### *CIHR Guidelines For Assurance of Privacy and Security*

CIHR, with the advice of its Privacy Advisory Committee, has developed draft Best Practice Guidelines for addressing privacy, confidentiality and security concerns in the design, conduct and evaluation of health research. These can be found at <http://www.cihr-irsc.gc.ca/e/22085.html>

## *Educational Seminars*

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

## *Ethics Presentations*

Powerpoint presentations are available on disk for instructors or students who wish copies. Currently the presentations available on a single disk are:

Instructions for Application  
TriCouncil Policy  
SFU Ethics Policy  
Application Tips

## *Directed Studies Courses*

The Research Ethics Board passed the following motion at its March 2003 meeting:  
“That all Directed Studies Courses involving human subjects must be submitted for individual review each time the course is to be offered”

## *Post Doctoral Fellows*

Post Doctoral Fellows whose fellowship payments are scheduled to begin prior to seeking Ethics approval for work with human subjects, are asked to declare their understanding of the requirement for Ethics approval using the Declaration of Intent form that can be accessed at [www.sfu.ca/~dore/](http://www.sfu.ca/~dore/).

## *Amendments To Projects*

In order to make changes to approved applications a request for an amendment must be made to the Office of Research Ethics by email to [dore@sfu.ca](mailto:dore@sfu.ca). The addition of collaborators or funding sources need to be included as amendments. If students are added as collaborators by a PI who is a student the student's supervisor must approve. When amendments are requested they should be in point form with an explanation for each amendment.

## *Research That Requires Review*

All research involving living human subjects, human remains, cadavers, tissues, biological fluids, embryos, or foetuses is reviewed by the Director of Research Ethics (DORE). If the research is designated Minimal Risk, the DORE may approve the application subject to ratification of the Research Ethics Board (REB) at its monthly meeting. Approval by the DORE may be subject to modification when it is reviewed by the REB for ratification at its monthly meeting. Research approved by the DORE may proceed unless there has been a change required by the REB. Research requiring ethics approval includes information that is collected through intervention or interaction with a living individual (e.g., interviews, questionnaires, observations taken that are noticeable by the individual), secondary sources/non-public sources (e.g., interviews about a living individual, company personnel records, student records collected by an educational institution), and identifiable private information about a living individual.

Research about a living individual, based exclusively on publicly available information, documents, records, works, performances, actuarial materials, or third party interviews, is not required to undergo research ethics review. However, such research requires ethics review if the subject is approached directly for interviews or for access to private papers. See Exclusions on next page.

All course-based research assignments involving living human subjects require ethics review and approval either through application to the ORE or as part of the protocols that have been approved for the course.

If the research is designated by the DORE as Non-Minimal Risk the application must be approved by the Research Ethics Board before research is initiated.

## *Exclusions from SFU Ethics Approvals*

Certain classes of research involving human subjects are excluded from the requirement of ethics review by the Research Ethics Board at SFU: Research conducted by a member of the academic staff as an ***Outside Professional Activity*** (see also SFU Policy A30.04) or by other employees or students, as long as the research data are not collected by asserting connection or affiliation with Simon Fraser University, and the results are not disseminated in the public domain indicating association with Simon Fraser University, and the research is not conducted at Simon Fraser University or uses Simon Fraser University resources. Research undertaken by students outside the auspices of Simon Fraser University and/or its academic programs (e.g., students on co-op or work terms outside the University) that does not require Simon Fraser University resources and is not directly supervised by Simon Fraser University faculty.

## *Forum on Science and Ethics*

The Forum, held at the Wosk Centre for Dialogue on April 28-29 proved to be a meeting of the minds in the very best sense. The venue and the format enabled participants to cross disciplinary, occupational and social boundaries to discuss ethical choices in public policy. The Conference was well attended and simulcast worldwide. DVD's of the conference are now being prepared and will be available upon request. If you are interested in a DVD contact: [hal\\_weinberg@sfu.ca](mailto:hal_weinberg@sfu.ca).

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## *Personal Information Protection British Columbia Act (PIPA)*

The fundamental purpose of PIPA is to ensure that no organization collects, uses or discloses personal information about individuals without that individual's informed consent. PIPA contains a number of exceptions to this principle. PIPA is not grandfathered and applies to the use and disclosure of personal information that was collected before January 1, 2004, when the legislation was enacted. "Personal information" is defined very broadly as any information about an identifiable individual in any medium and is not restricted to recorded information. It includes internal information about employees as well as external information that falls within the definition of client lists, health information, gender, age, work histories, opinions, name of children and more.

If the purpose of the information collection changes, a new consent must be obtained. PIPA permits the use of an opt-out "check the box" consent procedure for information of lower sensitivity. An individual may withdraw consent on giving reasonable notice.

This is a new act and the way it will impact on research, especially research that requires the collection and use of health data or other data that will be available on a database is still uncertain. "Organization" is defined in the act as "including an association, partnership, a person and a trade union". It is not clear yet how the act applies to research however if an SFU ethics application includes the use of third parties to collect electronic data, the ORE has required that the third parties identify their relationship to PIPA. It is important that whenever personal information is introduced into a database, or information for research is acquired through a database, that consideration of whether PIPA applies be made when applying for ethics approval.

## *Application Procedure*

Note: Electronic applications are required and paper copy will not be accepted except under unusual circumstances.

1. Applicants send an email to the Office of Research Ethics (dore@sfu.ca) requesting a code for the purpose of accessing on-line forms. Include a project title, your name, department or school within SFU, and if applicable, your supervisor's name and short form e-mail address (dore@sfu.ca, not jane\_dore@sfu.ca).

2. The Office of Research Ethics answers your email with a code and the web site address of the forms.

3. After completion of each form it is submitted as shown on each form.

4. When you have completed all forms that are to be submitted you send an email to dore@sfu.ca with the title and THE PASSWORD ASSIGNED TO YOU indicating that the electronic application is complete.

5. After the application has been reviewed the disposition of the application will be sent to your email address in pdf format.

6. If students are applying for ethics approval the student's supervisor will be sent Form 1 and disposition of the application by email and asked to confirm that he or she has approved the application.

7. The Office of Research Ethics will close web access to your form.

8. An approval letter will be sent by Campus Mail.

## *Research Ethics Board*

### **Faculty Members:**

Dr. Bruce Whittlesea (Chair), *Psychology*  
Dr. Charles Krieger, M.D., *Kinesiology*  
Dr. Steven Kates, *Business Administration*  
Dr. Lynne Quarmby, *Molecular Biology*  
Dr. John Mc Donald, *Psychology*  
Vacant

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

Dr. Adrienne Drobnies, *Science*  
Dr. Felix Breden, *Biological Sciences*  
Dr. Maureen Hoskyn, *Education*

### **Student Members:**

Mr. Spencer McGrath, *Molecular Biology*

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

Ms. Lynne Kennedy  
Mr. William (Bill) Melville

## *Office of Research Ethics*

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### ORE News

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