

SURVEY A

GOVERNANCE ISSUES
RELATED TO ETHICS REVIEW PROCESSES IN HUMAN RESEARCH

TO BE FILLED OUT BY ADMINISTRATION

1. Does your institution have an ethics policy for human research?

No

Yes

If yes, please attach a copy or provide the web link.

1.1 Who approved this ethics policy for human research?

Board of Governors

Senate

Administration

Other (please specify) _____

2. From whom does (do) the REB(s) derive their (its) authority?

Senate

Board of Governors

Other (Please explain) _____

3. Identify the administrative office that has overall responsibility for ethics review processes related to human research.

4. Does your institution have a single REB?

No

Yes

If yes, please go to Question 9.

5. Please provide the names of all institutional REBs.

6. What is the organizational structure for the REBs?

Several REBs report to a central committee.

All institutional REBs are independent from each other.

Other (Please explain) _____

7. How is the workload distributed among the different REBs? Please describe.

8. Are research projects ever reviewed by more than one institutional REB?

- No
 Yes If yes, describe under what circumstances.

9. Can administration overrule a decision of the REB?

- No
 Yes If yes, how frequently has this happened in the last year?

Please reference the institutional policy that deals with this issue.

10. What is the mandate of the REBs in your institution? **Please check all that apply.**

- Human research
 Animal
 Environmental ethics
 Other (please specify) _____

11. Please indicate any types of human participant research, which is not reviewed by an institution-based REB.

- Undergraduate research
 Case studies
 Chart review
 Stem cells
 Use of National and provincial databases
 Adjunct faculty research
 Research partnerships where a faculty member is not the Principal Investigator (PI) and the research is reviewed by another institution
 Research with partners where there are institutionally approved collaborative research review agreements
 Other (please specify) _____

12. What is the process used by the REB for determining whether research is deemed to be minimal risk? (If applicable, cite specific sections of the institutional policy).

- Standard institutional policy for REBs _____
 Determined at the REB level
 Other (please explain) _____

13. How are expedited reviews for research deemed to be of minimal risk handled? (If applicable, cite specific sections of the institutional policy).

14. Does your institution, have departmental ethics review committees for human research?

- No If no, proceed to Question 17
 Yes If yes, what kinds of research projects do the department ethics committees review?

- Undergraduate research
 Class research projects
 Other (Please explain.) _____

15. Does your institution have on file department level guidelines for ethics reviews?

- Some department level guidelines
 All department level guidelines
 No, if no, do you have a plan for obtaining these department ethics review guidelines? _____

16. Does the REB produce an annual report? Who receives the annual reports from the department ethics reviews? Please attach a copy of the most recent report.

17. Is there an institutional policy on non-compliance?

- No
 Yes If yes, what are the potential consequences to the investigator for non-compliance? **Please check all that apply.**

- No consequence
 Internal funds suspended
 Specific research project is cancelled
 Disciplinary action taken
 Problem referred to REB
 Other (Please explain.) _____

18. Does your institution give REBs any formal duty to conduct or participate in formal inquiries concerning allegations of breaches in scientific integrity?

- No
 Yes

19. Do your REBs conduct ethics reviews for individuals or organizations not affiliated with the institution?

- No If No, proceed to question 22.
 Yes

20. What criteria does the institution use in determining whether to carry out ethics reviews for individuals or organizations not affiliated with the institution? (If applicable, cite specific sections of the institutional policy.)

21. Is the institution compensated financially for conducting the ethics reviews for individuals or organizations not affiliated with the institution?

- No
 Yes

22. Does your institution have a policy on continuing review/monitoring of REB-approved research?

- Yes If yes, please attach a copy or a web link if the policy is separate from the ethics review policy

- No If no, please describe your institution's plans to develop a continuing review/monitoring process.

23. Are there particular issues related to ethics reviews of human research that you are interested in discussing with the Site-Visit Team?

24. Do you have any reflections on the institutional process in the implementation of the *Tri-Council Policy Statement (TCPS)* that may be of interest to discuss with the Site-Visit Team?

Signed _____

Title _____

Institution _____

THANK YOU
WE LOOK FORWARD TO THE SITE VISIT