



# Research Ethics Board

## REB Guidance and Information Document

<b>Document Number</b>	<b>REB.INFO.401</b>
<b>Title</b>	Faculty and Staff Submission Process
<b>Effective Date</b>	April 2022
<b>Next Review</b>	2027
<b>Next Administrative Review</b>	2024

### 1) Purpose

This document will provide faculty and staff researchers at Mount Saint Vincent University (MSVU) information on how to submit a research ethics application, the review process and any post-approval requirements of the researcher.

### 2) Definitions

a) See the MSVU **REB Glossary of Terms (REB.INFO.001)**

### 3) Notice to Researchers

The information in this document is for information and guidance purposes only. Each research study poses unique properties and/or situations that may require additional or different guidance than what is presented in this document. The information in this document is meant to provide general situational advice and does not constitute research ethics compliance in absolute form. If you have any questions, please contact [ethics@msvu.ca](mailto:ethics@msvu.ca).

### 4) Guidance/Information/Procedures

#### a) Initial Application

- i) Researchers are asked to submit the application electronically only to [ethics@msvu.ca](mailto:ethics@msvu.ca)
- ii) Please note that recruitment and data collection may not begin until a certificate of Research Ethics Clearance has been issued.
- iii) Researchers may only use letters and/or numbers for file names and refrain from using any special characters (e.g., #; &; etc.).
- iv) All documents must be clearly labeled and reflect how they are referenced in the application.
- v) Note - a maximum of 2 attachments are permitted for submission– the application (1) and the combined appendices (2)
- vi) Application packages shall only be accepted in the form of Word documents (\*.doc or \*.docx) or Portable Document Format (\*.pdf)
- vii) **Applications will be triaged and reviewers will be assigned.**
- viii) Upon review of the application, the reviewers will provide recommendations to the Chair (please see **REB.SOP.403 – Review Decisions**)

**b) Revisions and Clarifications**

- i) Reviewers' comments will be sent to the principal investigator (PI).
- ii) Revisions/clarifications shall be sent electronically to [ethics@msvu.ca](mailto:ethics@msvu.ca) within 14 days.
- iii) Researchers should ensure that revisions/clarifications have the following format:
  - (1) Revised Application
    - (a) Ensure that revisions are clearly highlighted using track changes, or in yellow and that deletions are crossed out
    - (b) Ensure that the new version number or new date of submission is updated in the document title
  - (2) Appendices
    - (a) Submit **all** appendices, not just those that require modifications
    - (b) Ensure that revisions are clearly highlighted using track changes, or in yellow and that deletions are crossed out
    - (c) Ensure that the new version number or new date of submission is updated in the document title
- iv) The revised submission will normally be returned to the original reviewers.
- v) Upon review of the revised application package, the reviewers will provide recommendations to the Chair (please see **REB.SOP.403 – Review Decisions**)

**c) Research Ethics Clearance**

- i) When an application package is cleared by the REB, a **Certificate of Research Ethics Clearance** will be sent electronically to the PI
- ii) Certificates of Ethics Clearance are valid for **one** (1) year only and are subject to post approval monitoring and additional requirements (see REB.SOP.404).
- iii) Ethics clearance may be renewed for up to an additional four (4) years, at which time the file must be closed and if the research is ongoing, a new application must be submitted for delegated review.

**d) Post Approval Requirements**

- i) **Researchers are reminded of the following post approval requirements**

<b>Modification to Protocol</b>	Any changes to approved protocol must be reviewed <u>and</u> approved by the UREB <b>prior</b> to their implementation. <b>Form: REB.FORM.002</b> <b>Info: REB.SOP.404</b> <b>Policy: REB.POL.003</b>
<b>Changes to Research Personnel</b>	Any changes to approved persons with access to research data must be reported to the UREB immediately. <b>Form: REB.FORM.002</b> <b>Info: REB.SOP.404</b> <b>Policy: REB.POL.003</b>
<b>Annual Renewal</b>	Annual renewals are contingent upon an annual report submitted to the UREB <b>prior</b> to the expiry date as listed above. You may renew up to four times, at which point the file must be closed and a new application submitted for review. <b>Form: REB.FORM.003</b> <b>Info: REB.SOP.405</b> <b>Policy: REB.POL.003</b>
<b>Final Report</b>	A final report is due on or before the expiry date. <b>Form: REB.FORM.004</b>

	<b>Info: REB.SOP.406</b> <b>Policy: REB.POL.003</b>
<b>Privacy Breach</b>	Researchers must inform the UREB immediately and submit the Privacy Breach form. The breach will be investigated by the REB and the FOIPOP Officer. <b>Form: REB.FORM.015</b>
<b>Unanticipated Research Event</b>	Researchers must inform the UREB immediately and submit a report to the UREB within seven (7) working days of the event. <b>Form: REB.FORM.008</b> <b>Info: REB.SOP.404</b> <b>Policy: REB.POL.003</b>
<b>Adverse Research Event</b>	Researchers must inform the UREB immediately and submit a report to the UREB within two (2) working days of the event. <b>Form: REB.FORM.007</b> <b>Info: REB.SOP.404</b> <b>Policy: REB.POL.003</b>

### 5) Compliance Notes

- a) Failure to submit timely research ethics reports is considered to be a violation of the University's Ethics Compliance Policy (REB.POL.003) and the Policy on Integrity in Research and Scholarship.
- b) Researchers with outstanding files (principal investigator, co-investigator or supervisor) will not have new applications or changes considered by the UREB. If the research is funded, Financial Services will be advised that the research ethics clearance is no longer valid and the account may be suspended.

### 6) Acknowledgements

- n/a

### 7) Modification History

INFO Number & Version	Key Changes	Effective Date
REB.INFO.401	Converted to a guidance document, new document # (formerly REB.SOP.148) and now REB.INFO.401. Revised to reflect current policy and practice; streamlined to fit the new guidance template	March 2022
REB.SOP.148	Original Version	June 2013

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