



## EMILY CARR UNIVERSITY RESEARCH ETHICS BOARD (ECU-REB)

### ECU-REB Standard Operating Procedures

<b>SECTION 100</b>	<b>Operations of the ECU-REB</b>
RESPONSIBILITY FOR EXECUTING THIS POLICY:	Director of Research, Members of ECU-REB, Research Ethics Board Coordinator
APPROVAL AUTHORITY:	Director of Research
EFFECTIVE DATE:	June 17 2014
SUPERCEDES SOP DATED:	

#### Purpose

The purpose of **Section 100 Operations of the ECU-REB** is to describe in detail the regular operations of the ECU-REB in order to promote continuity of service. These specific procedures describe the standards of actions and resources required to provide the services of research ethics review to the standards outlined in Emily Carr University 5.1.2 Procedures.

#### SOP 101 – SOP Management

- ECU-REB SOPs will be reviewed and modified accordingly on an annual basis, or as need arises, by the ECU-REB Policy and Procedure Committee.
- Once approved by the ECU-REB Policy and Procedure Committee and the Director of Research, they will be posted on the ECU-REB web pages.

#### SOP 102 – ECU-REB Membership

- The ECU-REB Chair will:
  - Call and preside over all of the review meetings of the ECU-REB, as provided for in university procedures and in the TCPS2.
  - Manage the delegated review process.
  - Act as a resource for ECU-REB members including the provision of an orientation interview with new members, upon request.
  - Maintain a liaison between the ECU-REB and the University Senate.
  - Perform such other duties as determined by the ECU-REB.
  - Be a spokesperson and representative of the ECU-REB.
  - Participate in the ECU-REB Policy & Planning Committee.
  - For the duration of the Chair's term, he/she will have use of a private and secure office. He/she will be provided with one course release per semester for the length of their term.



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- The ECU-REB Vice Chair will:
  - Fulfill the duties of the Chair in his/her absence.
  - Assist the Chair in the performance of his/her duties.
  - Be a spokesperson and representative of the ECU-REB.
  - Participate in the ECU-REB Policy & Planning Committee meetings.
  - For the duration of the Vice Chair's term, he/she will have use of a private and secure office. He/she will be provided with adequate time to perform the work of ECU-REB.
- The ECU-REB Members will:
  - Serve renewable three-year terms beginning on August 1 and ending on July 31 of the respective years.
  - Inform the Chair or Coordinator of expected absences in advance of regular review meetings. If they are expected to miss 2 or more consecutive meetings (as a result of sabbatical or educational leave or for other reasons), the Director of Research will attempt to find temporary replacement reviewers.
  - If appointed to fill unexpected mid-term vacancies, the temporarily appointed member will serve no more than the remainder of the academic year.
- At the discretion of the President, the Director of Research will issue a letter of appointment to new board members (**TEMPLATE 102.2 Board Member Appointment**). For internal members, a copy of the letter will be circulated to the Director, Human Relations, Emily Carr University.
- ECU-REB Members will sign **FORM 102.1 Board Member Declaration** on an annual basis. The Coordinator will request the declaration from new members upon their appointment, and annually at the first review meeting of the university calendar.
- ECU-REB Members will ensure that the ECU-REB Office has current information including their contact information and qualifications. The Coordinator will request and file the following information from new members upon their appointment, and from returning members before the first review meeting of the university calendar:
  - Current contact information
  - A current CV
  - TCPS2: CORE certificates or equivalent
  - Signed FORM 102.1 Board Member Declaration



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- Board Members who conclude their terms of office will receive a letter of acknowledgement (**TEMPLATE 102.3 Board Member Acknowledgement**). For internal members, a copy of the letter will be circulated to the Director of Human Relations.
- The orientation for new ECU-REB Members will include:
  - Guest attendance at a review meeting of the ECU-REB to observe the proceedings but not to participate in the reviews.
  - TCPS2: CORE (on-line tutorial) Certification.
  - Close reading of all of the Emily Carr University Policies and Procedures concerning educational research (5.1 – 5.2) and the Tri-Council Policy Statement on Ethical Conduct for Research involving Humans (TCPS2), in particular Chapters 1 – 10.
  - An orientation meeting with the Coordinator in the ECU-REB Office. This meeting will include a brief review of these SOPs.
  - An optional meeting with the ECU-REB Chair or Vice-Chair.

### SOP 103 – ECU-REB Administration and Staff

- The Director of Research will act as the Administrative Liaison to the ECU-REB. To that end he/she will:
  - Provide institutional support to the ECU-REB, including providing research ethics educational opportunities for researchers and participants.
  - Consult annually with the ECU-REB to identify the membership expertise it requires to fulfill its mandate and ensure that its membership complies with the relevant requirements. Based on this consultation, recommend any changes to the ECU-REB to the President for review and approval.
  - The Director, Research may appoint additional members in order to replace regular members who are absent or who resign during their term.
  - Manage the formal Appeal Process with the UBC BREB as outlined in the agreement with UBC. This includes the assembling of the documents (including the initial application and review; documentation of the Chair's consultation process; and a statement of alleged procedural grounds for appeal) and submitting them to the appeal board within ten working days of the complaint.
  - Provide to researchers information about risk analysis with respect to the law, or arrange for the provision of legal resources for situations involving legal concerns, that are beyond the scope of the ECU-REB.



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- Manage the Investigation and response processes for breaches of integrity in Research and Scholarship as directed in ECU 5.1.1.
- Be a spokesperson and representative of the ECU-REB.
- Participate in the ECU-REB Policy & Planning Committee meetings.
- The Research Ethics Board Coordinator (Coordinator) will support the ECU-REB Office in compliance with **Job Description – Research Ethics Board Coordinator**.
- In addition, the Coordinator will:
  - Participate in the ECU-REB Policy & Planning Committee meetings.

### SOP 104 – ECU-REB Office & File Storage

- The ECU-REB Office will be open during the working hours of the Coordinator. Office hours will be noted on the Emily Carr University hosted calendar and on the ECU-REB web site.
- The ECU-REB Office will securely store confidential files. Electronic equipment will be secured with a password and cabinets containing files will be locked. The location of storage cabinet keys and electronic device passwords will be made available to the Director of Research and the Manager of Research Services. ECU-REB Office equipment and cabinets containing files will be locked whenever the Coordinator is not present.
- Filing Procedure for Applications to the ECU-REB:
  - Upon initiation of an ethics application, the application will be assigned a file number based on the date of initiation and its number in the sequence of files initiated on that date: YYYYMMDD##. The numbers of project-based applications will be highlighted in yellow. The numbers of external projects will be highlighted in blue. The number of course-based files will not be highlighted.
  - Active files will be maintained in both paper and electronic formats until the file closure at the completion of participant research.
  - Active paper files will be housed in a locked cabinet in the ECU-REB Office, by order of file number.
  - Closure of an ECU-REB file requires a signed copy of **FORM 204.3 Research Ethics Completion**. Confidential materials concerning the project such as signed consent forms and confidential data may be added to the file at the time of completion.



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- At the time of file closure, paper files will be scanned and then destroyed using the confidential document disposal service contracted by the Office of the Director of Research.
- The electronic file will be added to existing electronic documents in each project's folders. Once complete, these folders will be stored in the Research Ethics folder of the Research Department folders on the Emily Carr University server. Access to this folder is restricted to the Director of Research and the Research Ethics Board Coordinator.
- After the file's closure, researchers who are listed as applicants will be provided with the contents upon written request to the ECU-REB Office.
- Formal responses to applicants will be provided in paper and electronic format. The signed, original versions will be sent to the listed investigators. The electronic versions (pdf) will be provided by email to:
  - The listed investigators,
  - The Emily Carr University Deans who supervise the investigators,
  - The Director of Research, and
  - The ECU-REB member who has chaired the review.
- Other files maintained by the ECU-REB will include:
  - ECU-REB Activity Reports
    - **SPREADSHEET 104.1 ECU-REB Activity**
    - **SPREADSHEET 104.2 Active Files**
    - Research Ethics Board Coordinator Reports
  - ECU-REB Meeting Minutes
    - ECU-REB Review Meeting Minutes and Support Materials
    - ECU-REB Policy & Planning Proceedings and Support Materials
    - ECU-REB Other Meetings Reports
  - ECU-REB Presentations, Reports and Publications
    - Annual ECU-REB Reports (formerly "Senate Reports")
    - Other Presentations and Reports
    - ECU-REB Publications
  - ECU-REB Member Files
    - **SPREADSHEET 104.3 ECU-REB Member Activity**
- The files listed above will be maintained in electronic format on the Research Ethics folder of the Research Department folders on the Emily Carr University server.



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- The Coordinator will maintain the Emily Carr University administrative access to the TCPS2:CORE website. (This access is available by request from the Director of Research to the Webmaster of <http://tcps2core.ca/>.)

### SOP 105 – ECU-REB Meetings

- The regular meetings of the ECU-REB are as follows:
  - ECU-REB Review meetings, including members of the ECU-REB and staff; 3-5 times yearly.
  - ECU-REB Policy & Planning Committee meetings, including the Chair, Vice Chair, Administrative Liaison, and Coordinator, once monthly.
  - Chair and staff meetings, including the ECU-REB Chair and Coordinator, once weekly except on weeks of the Policy & Planning meeting.
- ECU-REB Review Meeting dates and deadlines will be determined by the ECU-REB Policy & Planning Committee, in consultation with members, at least one month in advance of the start of the University Calendar. They will be circulated to board members and applicants by way of the ECU-REB web pages, Faculty Handbook, and other communications within the University community.
- The ECU-REB Chair and Coordinator will determine ECU-REB Review meeting agendas. The Coordinator will circulate the Review Meeting Agenda and materials (including the files for review) at least 1 week in advance of the review meeting.
- Minutes of ECU-REB Review meetings will be recorded and circulated by the Coordinator. Circulation of the minutes is restricted to ECU-REB Members and the Director of Research.
- ECU-REB Review meetings that are scheduled to be over 3 hours will include a catered light meal. The Coordinator will order catering, as well as other appropriate reception items like cards, gifts, and flowers, in consultation with the Research Office Manager.
- Monthly ECU-REB Policy & Planning Committee meeting dates will be determined by the availability of the committee members.