

researchers throughout the life cycle of a research. The REB maintains a master file of the original as well as all subsequent project intention(s). Researchers maintain a copy of their research plans and are encouraged to use version numbers that make clear to research participants, the REB and researchers which version of a plan is being discussed, has received clearance, and which version of a plan is a new request. This type of practice enables review work to run both sufficiently and smoothly.

4. Demonstration of the Current Research Plan

The REB provides review service throughout the life cycle of the research.

In order for the REB to provide review service, researchers demonstrate the full currently known research plan via request forms (Form 1/Form 1 C). Forms request the sufficient information needed for the purposes of REB review. What information is required for REB review in Canada is updated from time to time. Researchers must use the most recent version of the request forms directly from the REB website. This ensures that the most up-to-date request form is filled for review work.

This plan will serve as the research record to be later used for communication with research participants, researchers and routinely referenced when researchers request changes to a cleared plan whenever new plans emerge. An REB review considers the ethical relevance of the current research plan as demonstrated.

The design of the research plan is at the liberty of researchers and is outside of an

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5. Types of REB Review

5.1. Initial REB Review

5.1.1. Request for Exemption Review

Exemption review results tell researchers, either: a) that according to the TCPS 2 (2022), the current plan is not deemed "research" with human participants; or b) that the current plan needs to be submitted for Initial REB Review via a Request for Exemption Review form.

5.1.2. Form 1: Application for Research Ethics Clearance for Research Involving Humans

Initial review clearances of the current research plan tells researchers, "Recruitment of research participants may now begin with a ready informed consent process." Subsequent changes to this version of the research plan, to include any changes to research material(s), receive REB review via a Change to a Cleared Research Report.

5.1.3. Form 1 C: Application for Research Ethics Clearance for Research Involving Humans with Current Clearance by Another Canadian REB

Initial local review clearances of the current local research plan tell researchers, "Until the other Canadian REB clearance is in place, recruitment of research participants for the SMU-affiliate may begin." Evidence of the current external clearance to the SMU REB is required. When no external clearance exists or external clearance ceases to exist, the SMU REB becomes the primary review Board and a request for Initial REB Review via a Form 1 is required.

5.2. Continuing REB Review

5.2.1. New Information and Unanticipated Issues Report

Continuing review clearances of a new information and unanticipated issues report tell researchers, "This is currently the best way to proceed in light of the new information or event." Some or no alternations may be needed to the research plan moving forward but a discussion is needed.

5.2.2. Change to a Cleared Research Report

Continuing review clearances for changes to a cleared research plan tell researchers, "research with participants may continue with the newly demonstrated additions".

5.2.3. Annual Status Report

Continuing review clearance of an annual status report tell researchers, "The original research ethics clearance period is extended and the research holds clearance for another full year as specified." The research ethics clearance automatically expires unless a request for review is submitted on time.

When the prior REB clearance was provided by another Canadian Reb (other than the home SMU REB) the document evidencing the current research ethics clearance by the other Canadian REB must accompany the Annual Status Report. The home SMU REB will work in accordance with the present clearance period.

When no external clearance exists or external clearance ceases to exist, the SMU REB becomes the primary review Board and a request for Initial REB Review via a Form 1 is required.

5.2.4. End of Study Report

Continuing review clearance of an end of study report tell researchers, "The research has completed in a manner that aligns with the promises that have been made to participants." The end of study report review is the end stage for REB review requirement.

6. REB Review Criteria

The duty is to provide research participants with full information and transparency about the currently known research plan. The consent process must be comprehensive and meaningful to the particular research participant(s) to whom the invitation to take part in the research is extended. These are requirements of the TCPS 2, 2022, Article 3.2. Consent Shall Be Informed, the University and the REB.

The REB maintains a master file for the research and serves as a contact to research participants as designated by the TCPS and by researchers during the course of the consenting process. In order for the REB to be situated as a proper contact, the REB will

review work. The REB does not retain copies of partial and incomplete requests or compile requests when submitted in a piecemeal fashion. This accomplishes that correct versions of documents are undergoing review work as directly intended by the requestor(s).

- 6.6. The request is sent only using PDF and Word. External folders, compressed folders, cloud folders and scanned document are not accepted. This practice protects

MEW opinion arrives to researchers in the format of an email directly from MEW conveying the result of the review. This is the communication to send along to the SMU REB together with the review request. Researchers hear back from MEW about these type of questions quite quickly. In large part, the review involves matters surrounding collective knowledge, demographic capture, its extend and its types. When MEW clearance is applicable, evidence of clearance is required in order for the SMU REB to register a request for review work.

- 6.13. Required research clearances from external school/hospital/agency/REB body relating to multi-jurisdictional/international research, police, Navy, First Nations,

- 6.18. Research instruments such as screening, demographic, survey, focus group guide, auditory/visual stimuli, individual or group interview plans, supplementary tables or figures, interview questions, and as relevant to the particular research; are attached.

A helpful way to think about this is that all materials that research participants are proposed to be exposed to, and all relating research plans relating the study plan must undergo REB review.

- 6.19. Feedback/debriefing materials such as letters, scripts to participants and

- 6.20. SMU- affiliated researcher(s) sign the request for Initial REB review. The signatures are personal signatures. An accepted signature is electronic but is personally drawn. Auto-generated signatures generated by the system in not accepted.

- 6.21. Some request for Continuing REB Review may require the submission of a new Form 1- Application for Research Ethics Clearance for Research Involving Humans for Initial REB Review when prompted by the newest version of the TCPS. In such cases, the TCPS has significantly changed and the record on file does not contain sufficient information for the current REB review at the time of the incoming request.

These instances may involve a routine Annual Status Report, Request for Change to between institutions or other circumstances researchers may plan or experience wherein the former Board 1 (external REB) oversight duties are transferred to the SMU REB thereby a current REB clearance from a former REB is no longer available to the researcher for a study.

- 6.22. The REB is responsible for maintaining and disseminating review requirement information to researchers. Researchers are notified whenever additional information or request forms are necessary for a REB review and are encouraged to contact the REB with preparation questions. The REB reserves the right to delay consideration of requests that lack information critical to the REB review work.

It is common that the first work together with the REB is discussing the contents of the proposal submission versus discussing the ethical evaluation of the proposal. The REB will follow up with the Principal Investigator/Faculty Supervisor to request the required information for inclusion for REB review work. Only completed requests are considered for delegated and full Board review work.

- 6.23. Not all browsers are compatible with fillable PDF forms. Depending on the browser applicants are using, they may see different results when attempting to complete a fillable PDF because of the built-in PDF viewer. Adobe Reader is the only program that will allows work with the form properly. This way, user and reader will be able to access the information on the form. Mac and Chrome users should not use

Preview. Applicants should save the form (PDF format) to drive or location on their computer by right clicking the PDF and select Save as or Save page as . After the form is completed, applicants should save the final version of the file to their computers to allow later access and editing, should applicants need, (See 6.22.)

- 6.24. The technical contact for the REB is the Software and Application Support Lab (SAS) at sas@smu.ca. The REB does not serve as a technical contact. The REB and researchers work directly with the lab for skill learning and station related support. The SAS lab provides and cowrites directives provided to researchers and flags any technical issues to the REB.

REB review request forms are regular Adobe Reader that is opened by regular Adobe Reader and is updated by the University automatically on all SMU outcally S1.0Sm0 g0 G(6)11(c)3

