

# Office of Research Services

SSHRC Standard Research Grant Program  
Developing a Successful Proposal  
Tuesday, June 2, 2009

# Research Ethics

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# Research Ethics Policies and Guidelines



- Research Involving Human Participants:
  - York University Senate Policy: Ethics Review Process for Research Involving Human Participants
  - Tri-Council Policy Statement: Ethical Conduct for Research Involving Human Participants
- Research Involving Animals
  - Canadian Council on Animal Care Guidelines for the Care and Use of Experimental Animals
- Research Involving Biological Agents/Biohazardous Materials:
  - Health Canada: Laboratory Biosafety Guidelines 3rd edition
  - Containment Standards for Veterinary Facilities

## When Is Research Ethics Review Required?



Research ethics review is required for **ALL\*\*** research involving human subjects, animals and biohazardous materials including:

- Research that is funded or non-funded
- Research conducted by faculty, staff or students
  - Includes adjunct, contract, visiting fellows
- Research that is undertaken off-campus:
- Research previously approved at another institution (e.g. transferred research)

\*\* with some exceptions

## Example(s) of Research that ARE Subject to Ethics Review:



- Collection of information through any interaction with a living person
- Secondary use of data previously collected from human subjects
- Use of identifiable private information about an individual
- Research involving human remains, cadavers, human organs, tissues and biological fluids, embryos or fetuses

## Examples of Research NOT subject to review:



- Research about a living individual involved in the public arena, based on publicly available materials
- Quality assurance studies, performance reviews or testing within normal educational requirements are not subject to ethics review.
- Practica are generally not subject to ethics review.
- Research conducted using secondary analysis of datasets or coded samples - **identity of subjects unknown**

## Ethics Review for Research Involving Human Subjects – What to Submit to the Committee



Researchers must submit the following:

1. HPRC protocol
  - Signed original plus 6 hard copies
2. Attendant documents (as required):
  - Informed Consent documents (written; verbal scripts)
  - Sample Questions (survey, questionnaire)
  - Other

Protocol packages should be submitted to:

Human Participants Review Committee (HPRC) c/o  
Ethics Review Co-ordinator  
Office of Research Ethics  
309 York Lanes

Forms are available on the Research website at: [www.research.yorku.ca](http://www.research.yorku.ca)

## Protocol Review and Approval: Important Points



- Ethics approval is NOT required at the application stage for Tri-council grants\*\*
- However, once the award is granted, ethics approval is required before a research account can be created.
- Research activities cannot commence without ethics approval.
- Full reviews are processed weekly
  - Protocols received each week by Thursday 5pm will be circulated to the committee on the following Monday
  - 20 working days to process
- Expedited and/or administrative reviews are available in limited circumstances
- Approvals are granted for a 3 year period, *subject to annual renewals*
  - Ethics approval certificates MUST be renewed annually

## Ethics Review – Research Involving Animals and/or Biological/Biohazardous Materials



- **Research Involving Animals:**

Submit the following to the Chair, ACC

**c/o Vivaria Supervisor room 338 BSB:**

- ACC Protocol Form (Original)
- ACC Field Protocol Form (As required; original)
- Amendment to /renewal of protocol forms

- **Research Involving Biological/ Biohazardous Materials:**

Submit the following document(s) to the Chair, ACoBS

**c/o Biosafety Officer EOB room C42:**

- ACoBS Protocol Form (Original)
- Attendant documents as required (e.g. Radiation safety)
- Amendment to/renewal of protocol forms

Forms are available on the Research website at:

[www.research.yorku.ca/research](http://www.research.yorku.ca/research)

## Ethics Approval and Researcher Responsibilities



To ensure continued compliance with the relevant ethics guidelines, once ethics approval is in place, Principal Investigators/Researchers conducting research involving humans, animals and/or biological agents are responsible for the following:

- Annual Renewals – multi year projects
- Amendment approval(s)
- Incident reports
- Security and Maintenance of research materials
- Other

# The Research Website



The York Research website ([www.research.yorku.ca](http://www.research.yorku.ca)) has everything you need to complete ethics review and approval processes. For your reference and use, the following ethics related documents and/or forms are available online:

- Ethics Review Guidelines
- HPRC protocol (research involving human participants)
- Informed Consent Form Template
- TCPS On-line tutorial
- Applications for Renewal of Approval
- Applications for Approval of Amendment to Protocol
- ACC protocols (research involving animals)
- ACoBS protocol (research involving biological agents)

# Office of Research Ethics



Should you have any questions about matters relating to research ethics, please contact:

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# Office of Research Services

Information Session  
SSHRC Standard Research Grant Program  
Tuesday, June 2, 2009

## Internal Process



- ORS checklist
- ORS Early Submission Grant
- Review of draft by FROs
- First-time applicants are encouraged to submit earlier
- Applications are reviewed in order that they are received
- After deadline date, does not receive the same level of attention
- You will be notified by email of exact internal deadline dates

## On-line forms



- We suggest getting familiar with the on-line forms before you begin preparing your application.
- You can begin working on the CV in advance of preparing the research proposal.
- At ORS, we can't complete your forms, but can provide you with assistance.
- Possible on-line submission this year

## Important things to consider



- DO NOT underestimate to time it takes to complete an SRG
- Obtain comments from your colleagues
- Revise, Revise, Revise

## The Standard Research Grants Competition is:



- one of the largest programs administered by SSHRC
- provides funding for up to \$100,000 per year or up to \$250,000 over three years
- intended to allow the individual researcher or teams of researchers to undertake a program of research which they themselves have identified as worthy of analysis

# SSHRC SRG Program Overview: Goals



- support curiosity and investigator-driven, peer reviewed research
- support a wide spectrum of research in the social sciences and humanities
- are the primary vehicle for funding investigator-driven research in the social sciences and humanities in Canada

## Objectives of the SRG



- Support high quality independent programs of research
- Provide opportunities for the training of future researchers
- Contribute to the development or elaboration of new theoretical or methodological approaches to research
- Maintain and develop vigorous disciplinary research activities
- Foster and develop vigorous collaborative, multidisciplinary research activities among researchers
- Assist in the communication of research results

## Eligibility



- **Affiliation with a Canadian post-secondary institution**
- **Submission of the Final Research Report**

# Key Parts of an SRG Application



- The Research Proposal
- The Budget
- CV - The Record of Research Achievement

# Summary of Proposed Research



- Maximum of one page
- In a few lines, clearly indicate the purpose, the objectives, the context as well as the impact of the proposed research
- Have a trusted colleague (preferably from another department) read the summary and check for clarity

# Detailed Research Proposal



- Maximum of six pages
- Includes the statement of objectives and theoretical framework and the research methodology
- A list of all references cited should be attached. There is no page limit for this list and it is considered to be in addition to the allowable six pages

# Communication of Results



- How will you disseminate your findings? How will you “mobilize” the new knowledge?
- Publications, conferences, seminars, course development, public lectures, website, CD Rom, etc.
- Contacts with potential “users”: policy-makers, social groups, business partners, licenses, patents, etc.
- Even if the intended result is a book, don’t talk about the book *per se*. Committees fund research, not book production.

# Research Team, Training of Students and previous output



- Maximum of four pages – to describe your research plan and previous output under the following sections

## Team Description



- In a team application, the role and contribution of each team member should be elaborated

# Training of Students



- Include students where possible in the research program
- The student involvement must be real – they must be able to contribute as well as learn
- Explain how they will benefit from participating in the research (e.g. presentation of papers)

# Previous and Ongoing Research Results



- Summarize the results of your recent and ongoing research grants
- Half page maximum for each grant

# Budget



- Two pieces to the budget:
  - Form
  - Text in the form of a budget justification

# Budget Justification



- Maximum two pages
- Present a reasonable and fully justified budget
- Check list of eligible and ineligible expenses
- Explain the role of students and the anticipated benefits to student training
- Clearly establish link between research objectives and budgetary items

# Attachments



- Request for Adjudication by Committee 15  
(maximum one page)
- Committees 10, 20 and 27 (Psychology and Health Studies) (maximum one page)
- Response to Previous Critiques (maximum one page)
- Exclusion of Potential Assessors (maximum one page)

# Presenting your Curriculum Vitae



- Follow the instructions on the application form
- Provide complete citations of published work
- Organize your publications in a clear and logical manner
- Avoid “inflating” your c.v.
- Demonstrate forcefully your productivity from previous grants
- Indicate the relative importance of scholarly journals
- Training of students
- Extenuating circumstances or career interruptions

## Be Fussy About the Details



- Use required fonts and margins
- Make sure your application is complete
- SSHRC will not put forward incomplete applications or those formatted incorrectly
- ORS will help to identify problems

# Adjudication of Your Grant



- **SSHRC program officers receive applications in November and determine reader A and B on each application**
- **Review Committee members receive binders of applications in December**
- **Through January and February review committee members read applications and receive periodic reports from external reviewers**
- **Preliminary scores are sent to Ottawa in late February, in advance of review committee meetings**
- **Review committees meet for a few days early in March**

## Review Committee Members



- Committee members normally have held an SRG in the past
- Committee members agree to be governed by strict conflict of interest guidelines
- Committee members are often happy to share their insights with their colleagues
- Membership listings are on the SSHRC website

## To which committee should you apply?



- In most cases, there will be a natural fit between your proposed program of research and an existing committee
- In some cases, your research may be appropriately directed to the interdisciplinary committee
- However, there are strict guidelines with respect to this and a justification is required as part of your application

## Choosing External Assessors



- You may **recommend up to three** external assessors.
- Normally, SSHRC will use **only one** of your suggested assessor, and contact another one taken from their own database.
- Committees are **not bound** by assessors comments.
- Pick someone who is well regarded and in tune with your approach.

# Evaluation Criteria for Record of Research Achievement



- Quality and significance of published work
- Originality and impact of previous research
- Demonstrated importance of other scholarly activities
- Relevance of dissemination to non-academics
- Significance of previous research
- Contribution to the training of future researchers
- Development of research partnerships (policy makers)

# Evaluation Criteria for Program of Research



- Originality
- Clarity of Objectives and Methodology
- Impact within and perhaps outside the Field
- Potential for Student Training
- Feasibility
- Necessity or at least Desirability of your work
- Innovation of Methodology
- Significance

## Scoring



- The record of research achievement is weighted 60% and the program of research is weighted 40%
- The exception to this is for new scholars
- For new scholars, the record of research achievement is weighted 40% and the research program is weighted 60% or can be a toss up for whichever part of the application is better
- The Assessors give both the record of research achievement and the research program a score out of 6 based on the above-mentioned criteria

## New Scholar Category



- Not have been the PI on any SRG, MCRI or Strategic Grant
- AND
- Have completed highest degree within five years before the deadline
- OR
- Have held tenure-track position for less than 5 years
- OR
- Have not held a tenure-track position
- OR
- Have had careers significantly interrupted or delayed for family reasons

## Dates to Remember



*October 1:* applications are due at ORS or to your Faculty Research Officer

*October 15:* applications must be postmarked on this date to be received by SSHRC

*Late March/Early April:* Results are sent to Research Services and then are disseminated to the applicant

*Late April:* SSHRC sends external assessors' reports to applicants

Please consider sharing....



...your reviewer and committee  
comments

- These help us refine our support  
and guidance

# Questions ?

