

FGS Ethics & Proposal Review Process

– A Quick Guide for Students, Faculty & Staff

KEY ROLES

■ = COMMITTEE ■ = FGS* ■ = GPA* ■ = GPD* ■ = ORE* ■ = STUDENT ■ = SUPERVISOR

*Faculty of Graduate Studies, Graduate Program Assistant, Graduate Program Director, Office of Research Ethics

1. Getting Started – The Role of the Student

The delegated ethics review process begins with the student, who identifies a proposed area of inquiry and, in communication with their supervisor and supervisory committee, ensures the proposal articulates the goals, questions, methodology, and engagement with existing literature.

2. Putting the Pieces Together – The Role of the Student

A complete proposal demonstrates that all programmatic and FGS criteria are met by answering **all** relevant questions on the TD1¹, TD2², and risk assessment forms³. These will necessarily require consultation with the supervisor/supervisory committee to discuss the level of risk and develop strategies for managing consent, harm mitigation, and conflicts of interest.

More details about TD1¹ - Thesis and Dissertation Proposal Form...

- › This form is required for all research proposals and lists the additional documents to complete based on which of the seven (7) types of research the proposal falls under. Consult the Office of Research Ethics (ORE)⁴ for clarification and advice as needed.

3. The Role of the Supervisor

The supervisor meets with the student to guide and oversee the compilation of the required components in developing the proposal. Supervisors must work one-on-one with the student to craft the TD forms and dedicate careful attention to ethical issues to avoid protocols being returned with questions from the ORE.

By signing the TD1¹ form, the supervisor confirms that:

- › the proposal methodology and related ethics forms are congruent and meet programmatic expectations, the project is of appropriate scope, and that the proposed research is approved by the committee through discussion and
- › all necessary appendices are accurate and attached and dates agree with the student's research (for example, Human Participant Review Committee (HPRC)⁵ forms and Animal Care and Biosafety protocols).

4. The Role of the Supervisory Committee

The committee discusses all aspects of the student's proposed area of inquiry including scope, goals, and methods. It is best practice for all committee members to discuss the proposal with the student in a committee meeting. All members must see and approve the proposal.

Committee members' names are **always** required on the TD1¹ form. If the supervisor selects the attestation box, indicating that all committee members have seen and approved the proposal, committee members' signatures are not required. If this box is not selected, committee members must also sign the TD1¹ form.

5. The Role of the Graduate Program Director (GPD)

By signing the TD1¹ form, the GPD confirms:

- › the proposal meets programmatic and FGS requirements for a quality proposal,
- › the research type (A-D) selected on the TD1¹ form matches the project described in the proposal,

- › that the supervisor and supervisory committee have reviewed and recommended the proposal for approval.

*The GPD is not the primary advisor to the student on the specifics of the ethics review and requirements.

6. The Role of the Graduate Program Assistant (GPA)

The GPA plays an important role in ensuring the Proposal and Ethics are not returned for additional work at a later stage in the delegated ethics review process by:

- › ensuring all signatures and dates are present in the appropriate places OR e-mail confirmation is appended,
- › checking Graduate Event Module (GEM) to ensure committee members listed on the TD1¹ form are the same as those on file for the student and that each member is appointed to FGS,
- › submitting a Supervisory Committee Approval form with the package if there is a discrepancy between GEM and the committee as reflected on the TD1¹ form.

7. Review by Faculty of Graduate Studies' Research Officers

FGS Research Officers (RO) review the full proposal (TD forms and associated appendices including necessary approvals from external institutions) and include direction for the student. ROs will communicate with the student if aspects are missing or unclear, as the file must be complete before it is reviewed by FGS Associate Deans (AD).

8. Review by Faculty of Graduate Studies' Associate Deans

FGS ADs review proposals ensuring they meet FGS minimum requirements. In providing feedback, they specifically look for congruence between the type of research and the methodology indicated in the proposal and on the TD1¹ and TD2² forms.

9. Final Review by the Office of Research Ethics

Upon arrival at the ORE, their Research Officer and Chair of the HPRC will review the protocol and communicate directly with the student where changes or additional information is required. Once approved, the ORE will issue a Certificate of Approval to the student, graduate program, and FGS.

10. Congratulations! Now your research begins...

Students must remain registered active (full- or part-time) while data collection is undertaken. Revised ethics paperwork is required should changes to research methodology arise during the research process. Remember, support is just an email away! Contact an RO at FGSRO@YORKU.CA.

RESOURCES

1. **TD1** – [Thesis and Dissertation Proposal Form](#)
2. **TD2** – [Research Ethics Protocol Form for Graduate Student Thesis, Dissertation or Pilot Project](#)
3. [Risk Assessment Forms](#)
4. [Office of Research Ethics](#)
5. [Human Participant Review Committee Protocol Instructions](#)
6. [Informed Consent Form Template](#)
7. [Research Ethics Board Checklist for Researchers: Research Involving Indigenous People](#)
8. **TCPS 2** – [CORE-2022 \(Course on Research Ethics\)](#)
9. **TD4** – [Statement of Relationship Between Proposal and an Existing HPRC-Approved Project](#)

FGS Delegated Ethics Review

– Who Does What?



The Student

Conceive the inquiry project, propose its scope and methods, meet with supervisory committee to revise and finalize, complete TD1 and TD2 & Risk Assessment forms in consultation with supervisor.



The Supervisor

Assist student to develop proposal and ethics forms, ensure input and direction from committee, determine risks, sign off on proposal.



The GPD

Graduate Program Director

Reviews and signs proposal, ensuring it meets programmatic requirements, reviews TD forms ensuring congruence.



The GPA

Graduate Program Assistant

Ensures signatures and dates are present, checks Graduate Event Module for congruence with TD1, submits to FGS.

Timeline for Delegated Ethics Review Process

This timeline assumes...

- It will take **3 months** for the student, supervisory committee, and graduate program to prepare a file to send to FGS.
- FGS recommends students initiate this process *at least 22 weeks or 5 months* BEFORE they intend to **BEGIN** research.

