

Certification Requirements for Research at NSAC

(This form is to be completed prior to the initiation of a new research project; upon the approval of a new research grant or contract; or at the time of your request for a new research account.)

Project Title	
Name of Researcher	
Account Number (Internal Use)	

NSAC is responsible for ensuring that proper certification procedures are followed for research involving animals, human subjects and/or biohazards and that funds are only released once certification has been obtained. The NSAC Research & Graduate Studies (RGS) Office must receive documentation showing that certification requirements have been met prior to the release of research funds. To verify that certification requirements have been met, please answer the following questions, and sign and return the completed form with any required documentation to the NSAC RGS Office:

Does the research involve the following?			If you answered YES to any one of the items listed in column #1, please attach the following corresponding documentation to this form.
	Yes	No	Processes for obtaining NSAC Certification Requirements for Research listed below are described on the following page.
Humans	<input type="checkbox"/>	<input type="checkbox"/>	<p><i>Approval in Principle</i> of the NSAC Research Ethics Board (REB) if research with human subjects is to start at a point in the future (e.g., future fiscal year) and partial release of funds is required.</p> <p>Approval of REB through full submission process if research with human subjects is to begin immediately.</p>
Animals (Vertebrates)	<input type="checkbox"/>	<input type="checkbox"/>	<p><i>Approval in Principle</i> of the NSAC Animal Care and Use Committee (ACUC) if research with animals is to start at a point in the future (e.g., future fiscal year) and partial release of funds is required.</p> <p>Approval of ACUC through full submission process if research with animals is to begin immediately.</p>
Radioactive Materials	<input type="checkbox"/>	<input type="checkbox"/>	A statement from the Radiation Safety Officer confirming that the research will comply with all Canadian Nuclear Safety Commission (CNSC) regulations, recommended procedures, and safety precautions governing the use of such materials in Canada.
Human Pluripotent Stem Cells	<input type="checkbox"/>	<input type="checkbox"/>	A statement confirming that research using human pluripotent stem cells conforms to the following guidelines: Human pluripotent stem cell research: Guidelines for CIHR-funded research (2002)
Biosafety Hazards			<p>A statement from the Biosafety Officer at the NSAC that the laboratory procedures being used comply with Health Canada's Laboratory Biosafety Guidelines 3rd ed. 2004.</p> <p>Approval in Principle of the Biosafety Officer at NSAC if research with biohazards is to start at a point in the future (e.g., future fiscal year) and partial release of funds is required. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Approval of Biosafety Officer through full submission process if research with biohazards is to begin immediately. Yes <input type="checkbox"/> No <input type="checkbox"/></p>
Infectious agents of animals (e.g. bacteria, viruses, prions, fungi, parasites)	<input type="checkbox"/>	<input type="checkbox"/>	
Infectious agents of plants (e.g. bacteria, viruses, viroids, fungi)	<input type="checkbox"/>	<input type="checkbox"/>	
Recombinant DNA	<input type="checkbox"/>	<input type="checkbox"/>	
Cell lines	<input type="checkbox"/>	<input type="checkbox"/>	
Microbial toxins	<input type="checkbox"/>	<input type="checkbox"/>	

Date

Signature of Researcher

Processes for NSAC Certification Requirements for Research

Research Involving Human Subjects

NSAC requires a review of the ethical acceptability of research involving human experimentation. Researchers must apply the ethical principles and the articles of the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans. This applies to research that is funded or not funded. It applies to research that involves questionnaires, surveys, interviews and focus groups as well as clinical trial research, etc. Researchers must obtain appropriate certification indicating that research involving human subjects has been reviewed and has received the required approval.

Funds may be released to researchers only after the NSAC Research Ethics Board (REB) has approved the research and documentation certifying approval has been received by the RGS Office. If the research involving human subjects is to take place immediately, full REB approval following REB policy and submission guidelines is required before funding will be released. If the research activities involving human subjects will take place in Year 2 or 3 of a research program (future fiscal years) but funding is needed to prepare for the research activities e.g. hiring an RA, approval 'in principle' is required by the REB before funding is released, and then before the research activity begins, REB approval for the project is required. To have funds released on a pro-rated basis prior to full REB approval of the research, researchers must submit their original research proposal (sent to the funding agency) to the REB and the REB will review it for 'approval in principle'. The REB will request additional information if the proposal itself does not contain sufficient information to assess it for 'approval in principle'. Thus, for research programs involving human subjects at a future date from the start date of the award/grant, a two-stage REB approval process will be required: Submission of the research program requesting 'approval in principle' followed by a full REB submission(s) requesting approval of the research.

Processes, procedures and forms for REB approval can be found on the NSAC web site at: <http://www.nsac.ca/research/researchers/ethics.asp>. Researchers are encouraged to contact **Lauranne Sanderson, Chair NSAC REB**, for additional information.

Documentation certifying that the research complies with the Tri-Council Policy Statement will be kept in the researcher's account file at the RGS Office. The research must maintain REB approval for the duration of the project. If, during the course of a grant, the research changes enough to require certification, NSAC Research and Graduate Studies Office must be informed promptly and the appropriate certification must be obtained and forwarded to the RGS Office.

Research Requiring the Use of Animals

Researchers who use animals in their research – any vertebrates and certain invertebrates, in particular, cephalopods (octopi and squid) – must adhere to the policies and guidelines of the Canadian Council on Animal Care (CCAC) as published in the two-volume Guide to the Care and Use of Experimental Animals, which can be obtained from the Chair of Animal Care and Use Committee (ACUC) at NSAC or from:

Canadian Council on Animal Care
350 Albert Street
Suite 315
Ottawa, Ontario
K1R 1B1

Guidelines and other information can also be found on the CCAC Web site.

Researchers must obtain certification from the NSAC ACUC that the experimental procedures

proposed have been approved and that the care and treatment of animals is in accordance with the principles outlined in the CCAC guide. For additional information on the NSAC ACUC, visit their web page at: <http://www.nsac.ca/pas/animalcare/default.asp>.

Funds may be released to researchers only after the NSAC ACUC has approved the research and documentation certifying approval has been received by the RGS Office. If the research involving animals is to take place immediately, full ACUC approval following ACUC policy and submission guidelines is required before funding will be released. If the research activities involving animals will take place in Year 2 or 3 of a research program (future fiscal years) but funding is needed to prepare for the research activities, approval 'in principle' is required by the ACUC before funding is released, and then before the research activity begins, ACUC approval for the project is required. Thus, for research programs involving animals at a future date from the start date of the award/grant, a two-stage ACUC approval process will be required: Submission of the research program requesting 'approval in principle' followed by a full ACUC submission(s) requesting approval of the research.

Documentation certifying that the research complies with CCAC policies and guidelines will be kept in the researcher's account file at the RGS Office. The research must maintain ACUC approval for the duration of the project.

If, during the course of a grant, the research changes enough to require certification, the NSAC RGS Office must be informed promptly and the appropriate certification must be obtained and forwarded to the RGS Office.

Research Involving Biosafety Hazards

Researchers who are conducting, or propose to conduct, research involving biosafety hazards must adhere to the standards outlined in the Laboratory Biosafety Guidelines 3rd ed. 2004, which can be obtained in electronic copy from **Dr. Glenn Stratton, NSAC Biosafety Officer** or from:

Office of Biosafety
Population and Public Health Branch
Health Canada
Ottawa, Ontario
K1A 0L2

Telephone: (613) 957-1779
Facsimile: (613) 941-0596
Internet address: www.hc-sc.gc.ca

Researchers must obtain certification from **Dr. Glenn Stratton, NSAC Biosafety Officer**, Department of Environmental Science, that the laboratory procedures being used comply with the safety precautions necessary for the level of containment required by the research. Researchers who are proposing to work with biosafety hazards are asked to contact Dr. Stratton for specific details regarding the approval process as certificates are customized for each research project. In an attempt to streamline the approval process, researchers may send their approved research proposal to Dr. Stratton for consideration. No additional forms are required.

Funds may be released to researchers only after the NSAC Biosafety Officer has approved the research and documentation certifying approval has been received by the RGS Office. If the research involving biohazards is to take place immediately, full approval of the Biosafety Officer is required before funding will be released. If the research activities involving biohazards will take place in Year 2 or 3 of a research program (future fiscal years) but funding is needed to prepare for the research activities, approval 'in principle' is required by the Biosafety Officer before funding is released, and then before the research activity begins, the approval of the Biosafety Officer for the project is required. Thus, for

research programs involving biohazards at a future date from the start date of the award/grant, a two-stage biosafety approval process will be required: Submission of the research program requesting 'approval in principle' followed by a full submission(s) requesting approval of the research. If, during the course of a grant, the research changes enough to require new or modified certification, the NSAC RGS Office must be informed promptly and the appropriate certification must be obtained and forwarded to the RGS Office.

Research must comply with federal, provincial and municipal requirements for disposal of hazardous materials, chemical and biological wastes and for their use in the workplace.

Research Involving Radioactive Materials

Researchers carrying out research using radioactive materials must comply with all Canadian Nuclear Safety Commission (CNSC) regulations, recommended procedures, and safety precautions governing the use of such materials in Canada. This information is available on CNSC's Web site, or by calling 1-800-668-5284.

Contact Dr. Robin Robinson, Radiation Safety Officer, or Anne LeLacheur, Site Radiation Safety Officer, in the NSAC Department of Environmental Sciences to obtain approval for using radioactive materials on campus and for the following documents:

- List of requirements when using Radioactive compounds;
- Application for Internal Permit for Acquisition and use of Radioactive Materials; or
- Application for Internal Permit for use of Radioisotope Using Animals.

Research Activities Having Potential Effects on the Environment

NSAC expects all researchers to comply with all provincial and federal government regulations (e.g., Canadian Environmental Assessment Act (CEAA)] pertaining to environmental assessment. CEAA law requires that federal departments and agencies carry out environmental assessments, if needed, to ensure that the projects they fund are not likely to cause significant adverse environmental effects.

If any of the research activities described in the proposal take place outdoors or involve an activity that requires a permit, licence or approval under any federal law, the researcher must ensure that research complies with the CEAA. Researchers must advise NSAC RGS Office promptly and provide appropriate certification, if, during the course of the research, the nature of the research activities change substantially and may result in adverse effects on the environment.

Researchers are responsible for ensuring that research assistants and laboratory personnel are aware of any hazards (e.g., handling of chemicals, diving, etc.) that may be encountered in the course of the research. Personnel must be adequately trained, and appropriate protective procedures must be enforced.

Integrity and Scholarship

All researchers at NSAC are expected to be committed to the highest standards of integrity in research and scholarship. Researchers are responsible for upholding the principles of research and scholarship as outlined in the Tri-Council Policy Statement: Integrity in Research and Scholarship (http://www.nserc.gc.ca/sf_e.asp?nav=sfnv&lbi=p9).