

Procedures: Human Research Ethics**SOP 106 Signatory Authority****Associated Policy**

Human Research Ethics Policy AR-03

Procedure Holder

Associate Vice President Research

Executive Lead

Research Services

Approval Authority

President

Original Date

Replaces AR-03 procedures (May 2009, Oct. 2014)

Effective Date

July 2022

1.0 PURPOSE

This purpose of this standard operating procedure (SOP) is to describe who has the authority to sign documents on behalf of the Research Ethics Board (REB) and describes the responsibilities of such individuals, and the circumstances under which signing authority may be delegated.

2.0 SCOPE

This SOP pertains to Yukon University REB that reviews human participant research in compliance with applicable regulations and guidelines.

3.0 RESPONSIBILITIES

All REB members, the REB Co-Chairs and Research Ethics Coordinator are responsible for ensuring that the requirements of this SOP are met.

4.0 DEFINITIONS

See Glossary of Terms.

5.0 PROCEDURE

The REB Co-Chairs or designee is authorized to sign any and all documents related to REB review and approval of research projects involving human participants, which have been reviewed and approved pursuant to REB policies and procedures, and upon decision of the REB. If the task of signing is delegated to a qualified individual or individuals, the responsibility for oversight remains with the REB Co-Chairs. Implementation shall be the responsibility of the REB Co-Chairs and the Research Ethics Coordinator.

REBs are accountable for their activities and decisions, and appropriate controls must be applied to ensure that documentation related to REB review and approval of research are signed by a person or persons having the appropriate authority to do so. Documentation includes both hard copy and electronic formats. Signing may be done with ink, e-signature or scanned signature, as per REB and YukonU policies and procedures.

5.1 Delegation of Signing Authority

- 5.1.1** Authorization to sign documents not described in this procedure may be made by the REB Co-Chairs
- 5.1.2** The REB Co-Chairs or designee may delegate signing authority for documents related to REB review and approval;
- 5.1.3** The REB Co-Chairs or designee may only delegate signing authority to REB members or REB Office Personnel with the skill and knowledge necessary for the effective exercise of the authority;
- 5.1.4** The REB Co-Chairs or designee may not delegate their signing authority to ad hoc advisors or to independent contractors;
- 5.1.5** The REB Co-Chairs or designee should clearly define the parameters of the delegated authority;
- 5.1.6** The REB Co-Chairs or designee may delegate signing authority indefinitely or for defined periods of time (e.g., for absences);
- 5.1.7** Delegation of signing authority must be documented and retained.

5.2 REB Reviews, Decisions and Other Correspondence with the Researcher

- 5.2.1** For each submission reviewed at a Full Board meeting, the responsible REB Office Personnel records the decision made by the Full Board;
- 5.2.2** Communication of the REB decision made at a Full Board meeting must be reviewed and authorized by the REB Co-Chairs or designee or as otherwise delegated by the REB Co-Chairs or designee;
- 5.2.3** For each submission that undergoes delegated review, the reviewer's decision is documented;
- 5.2.4** Once a final decision is documented by the REB Co-Chairs or designee, the Research Ethics Coordinator may issue the decision or letter;

- 5.2.5 Certificates of approval are issued by the Research Ethics Coordinator, subsequent to approval being signed by the REB Co-Chairs or designate.
- 5.2.6 All activities are documented in the research file, which may be physical or electronic;
- 5.2.7 Any letters, memos, or emails between the REB and Researchers that provide information concerning the review of research (e.g., requests for consent form changes, requests for additional information) and that do not imply or appear to imply approval of the research, may be issued as per delegated signing authority;
- 5.2.8 All reviews, actions, decisions and signatures (where applicable) are filed within the research file;
- 5.2.9 All correspondence and communication between the REB and Principal Investigator is coordinated through the Research Ethics Office and is retained in the research file.

5.3 Correspondence with External Agencies

- 5.3.1 The responsible Organizational Official or the REB Co-Chairs or designee signs all correspondence with agencies of the federal government (Health Canada, OHRP, FDA) and with all funding agencies and/or sponsors.

6.0 REFERENCES

See References.

7.0 REVISION HISTORY

| SOP Code | Effective Date | Summary of Changes |
|----------|----------------|---|
| SOP 106 | July 2022 | YukonU version adapted from the N2/CAREB SOP 106.003 (October 8, 2019) and CAREB SOP 106.001 (2021) |
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