

CTO **STREAM**

The logo graphic consists of several overlapping, curved lines in shades of blue and green, flowing from the left towards the right, creating a sense of movement and a stream.

Ethics Approval Expiry Date, Ethics Approval Status And Continuing Review (REBs)

CTO Helpdesk:
support.ctontario.ca

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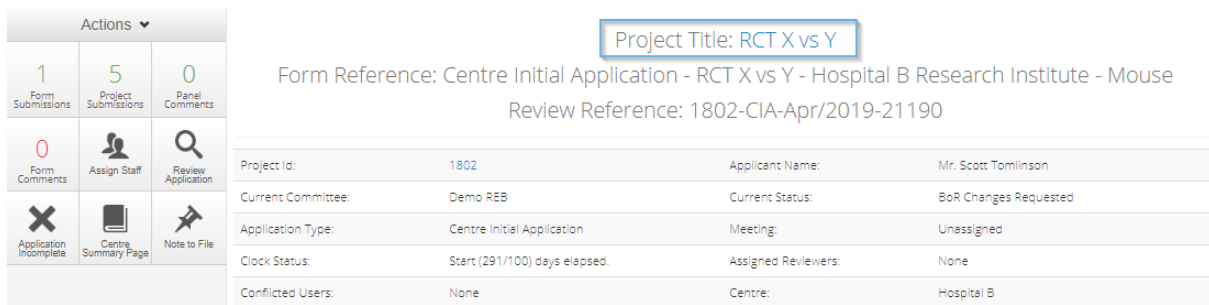
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1) Study Status and Provincial Expiry Date

The REB of Record can view the complete list of statuses and expiry dates for the study and all research sites by accessing the Centres Tab in the Project View. The REB of Record will also be able to see which research sites are working on their initial application before the application is submitted. These sites will appear in the Centres Tab with a Centre status of “Pending”.

1.1 Accessing the Centres Tab

- The Centres Tab is where the REB Staff can go to view the study expiry date and status of research ethics approval for the overall project (“Provincial” centre) and each participating site.
- To access the Centres Tab, click on the Project Title (*Figure 1*) displayed at the top of the Submission Timeline Page of any application submitted for the project. Clicking on the Project Title will direct users to the **Project Overview Page** (which is where the Centres Tab is located).



Form Reference: Centre Initial Application - RCT X vs Y - Hospital B Research Institute - Mouse		Review Reference: 1802-CIA-Apr/2019-21190	
Project Id:	1802	Applicant Name:	Mr. Scott Tomlinson
Current Committee:	Demo REB	Current Status:	BoR Changes Requested
Application Type:	Centre Initial Application	Meeting:	Unassigned
Clock Status:	Start (291/100) days elapsed.	Assigned Reviewers:	None
Conflicted Users:	None	Centre:	Hospital B

Figure 1

- Once on the Project Overview page, click the Centres Tab (Figure 2) to view the expiry date and status of ethics approval for the overall study, which is displayed in the row which that has “Provincial” as the centre name. The status of ethics approval for each participating site is also displayed, in the row that contains the name of that site.

Tip: Each project in CTO Stream has a single expiry date that is shared by all participating sites.



The Provincial centre represents the status of ethics approval for the study in CTO Stream. If Provincial ethics approval has expired, approval for all sites has expired.

Centre Name	Status	Expiry Date	Contact
Hospital B	Active	21/Jan/2021	Dr. Pascal Siakam
Hospital A	Active	21/Jan/2021	Dr. Derrick White
Provincial	Active	21/Jan/2021	Dr. Derrick White

Figure 2

1.2 Study Status

When the Provincial study team submits the Provincial Initial Application (PIA), the status of the **Provincial** centre (overall study status) displayed in the Centres Tab will show as “Pending”. Immediately upon receiving approval from the REB, this status will automatically update to become “Active”. If a lapse in ethics approval ever occurs for the study, the status of the **Provincial centre** will automatically update to “Expired” (*Figure 3*).

Once the REB approves the Provincial Study Closure (PSC) application for the study, the Provincial status will change to “Completed”.

In some circumstances the REB of Record may need to suspend or prematurely terminate ethics approval for a study which changes the Provincial status shown in the Centres tab to change to “Suspended” or “Terminated”, respectively.

A Centre where ethics approval has lapsed will show a status of “Expired”

Centre Name	Status	Expiry Date	Contact
Provincial	Active	21/Jan/2021	Dr. Derrick White
Hospital A	Active	21/Jan/2021	Dr. Derrick White
Hospital B	Expired	21/Jan/2021	Dr. Pascal Siakam

Figure 3

1.3 Setting the Provincial Expiry Date

The REB is required to set the expiry date for a study, before issuing the PIA approval letter or before issuing the approval letter for a Provincial Continuing Review (PCR) application. Setting the expiry date is one step in the REB review workflow which staff must complete when processing either type of application (PIA or PCR).

1.4 Correcting the Provincial Expiry Date

If the incorrect expiry date was set during the approval of a PIA or PCR (i.e., was an error in the date selected), it can be corrected manually by going to the [Centres Tab](#) and clicking on the expiry date of the “Provincial” centre (*Figure 4*). A pop-up window will appear where a new expiry date can be entered.

Tip: *If the Provincial ethics approval has expired and needs to be corrected (e.g., it should still be active but the error in the expiry date caused it to expire), you must also change the “Centre Status” to “Active” for the “Provincial” centre (and any other centres affected).*

Manually correcting the expiry date for one site does not automatically update the expiry date for other participating sites. The REB may need to revise the status and expiry date of each site if a correction was made to the Provincial expiry date. If Provincial approval has lapsed, approval for any participating sites will automatically lapse as well. Once the Provincial study status is corrected, the Centre Status must be manually updated for all applicable centres.

When an expiry date has been corrected, the REB approval letter(s) may need to be re-issued. This is because approval letters in CTO Stream will populate the expiry date based on the date listed within the Centres Tab.

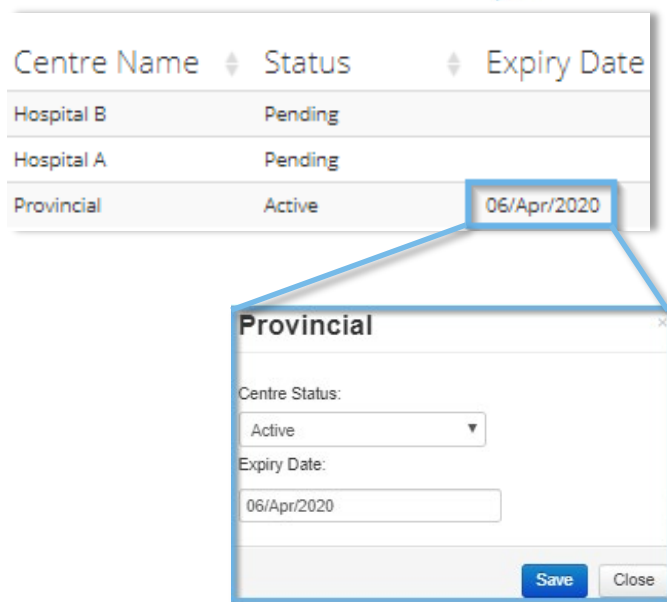


Figure 4

1.5 Study Completion

Once the study has been completed at the site and ethics approval is no longer required, each site must submit a Centre Study Closure (CSC) application. Once all sites have submitted their respective CSC applications, the Provincial study team must submit the Provincial Study Closure (PSC) to close the overall study file in CTO Stream.

Once the PSC form is reviewed by the REB and the approval/acknowledgement letter has been issued, the study status will automatically update to “Completed”.

Tip: REBs must ensure the CSC applications for all sites have been approved or acknowledged prior to approving or acknowledging the PSC submission. When the REB receives a PSC application to close out the study, it is recommended the REB verify that a CSC application for each site has been processed before continuing to review the PSC application.

1.6 Suspension of Provincial Ethics Approval

If necessary, the REB of Record can suspend the ethics approval for a study, which automatically updates the Provincial status and the status of each participating site to “Suspended”. The Provincial research team and all participating sites are notified by email of the suspension, along with the institutional representative at each participating site.

Suspending ethics approval for the study:

- a) Navigate to the submission timeline of the PIA for the study and click the ‘Provincial Suspend’ Action Menu button (Figure 5).

- b) A pop-up window will open containing a template letter. REB Staff should revise the letter to ensure that the details of this letter correctly reflect the situation, including specifying what research activities should cease as applicable and what is required of the research team in order to resolve/address the suspension. Click the green 'Suspend Ethics Approval' button at the bottom of the pop-up window to send the letter.
- c) Once the suspension letter is sent, the Provincial status and status of all participating sites will automatically update to "Suspended" in the Centres tab. Both Provincial and Centre research teams are notified of the suspension via email, in addition to the Institutional Representatives of each institution.

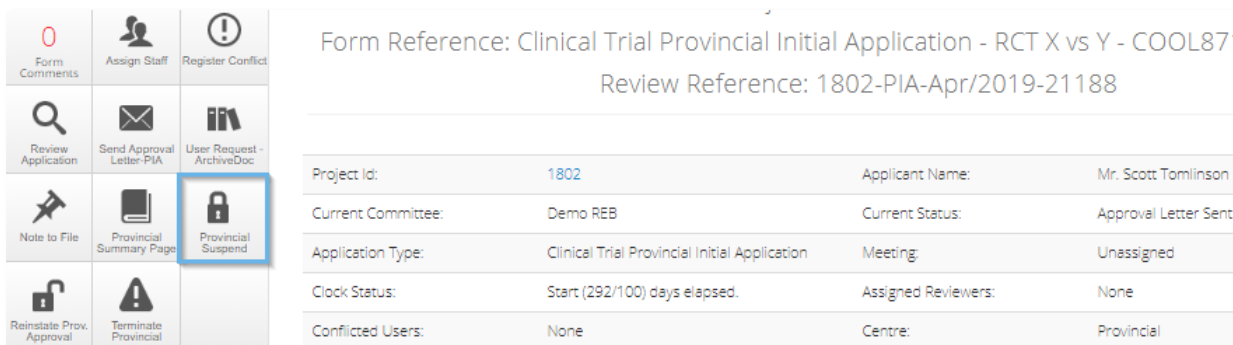


Figure 5

Tip: The 'Provincial Suspend' button appears in the Action Menu following REB approval of the PIA and remains visible from that point forward.

1.7 Reinstating Provincial Ethics Approval After Suspension

Once the research team has resolved the matter to the REB's satisfaction (i.e., by submitting and receiving REB approval of the required form or materials as applicable to the situation), ethics approval can be reinstated by the REB of Record.

Re-instating Provincial Ethics Approval:

- a) From the submission timeline of the PIA for the study, click the 'Reinstate Prov. Approval' button from the Action Menu (Figure 6) on the left-hand side of the page.
- b) A pop-up window containing the REB letter template for reinstating Provincial ethics approval, will appear on-screen. REB staff should modify the template accordingly and ensure the details of the letter correctly reflect the situation at hand. Once the letter is complete, press the green 'Reinstate Prov. Approval' button at the bottom right of the window to send the letter.
- c) Once the letter is sent, the Provincial status in the Centres tab changes to "Active". Steps a and b above must also be repeated for each approved CIA, in order to restore the status of each participating site to "Active".

Tip: The 'Reinstate Prov. Approval' button appears in the Action Menu following REB approval of the PIA and remains visible from that point forward.

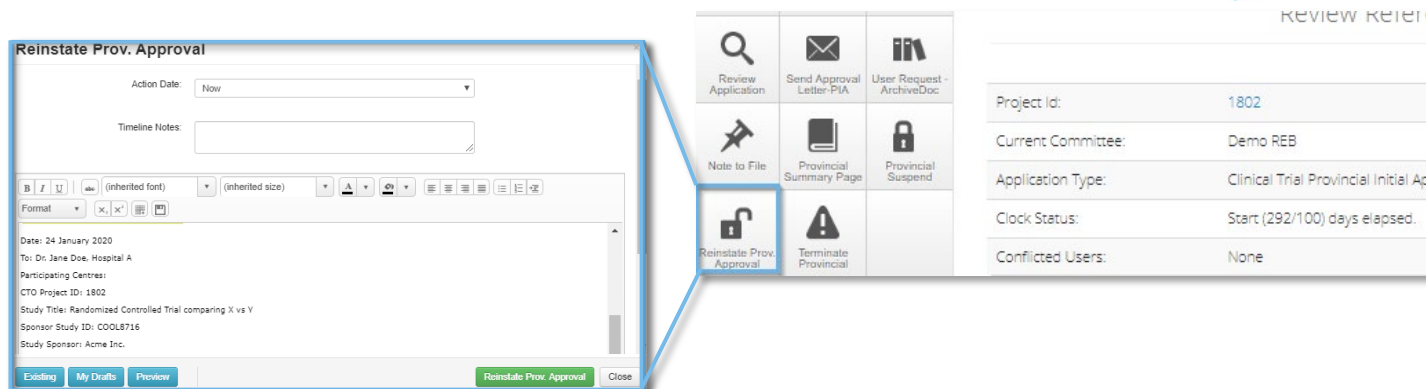


Figure 6

1.8 Termination of Provincial Ethics Approval

Study-wide ethics approval can be terminated by the REB of Record in CTO Stream; doing so will automatically update the status of the Provincial and all Centres to “Terminated”. The Provincial research team and all participating sites are notified by email of the termination (along with the institutional representative at each participating site).

Please note that Terminating a study is different than a routine study closure or completion of a study. In this case termination refers to the cessation of ethics approval by the REB of Record, in the absence of a request to do so from the study team/sponsor. For example, the REB may decide to terminate ethics approval in cases where an applicant has been unresponsive to repeated queries from the REB.

Tip: Terminating a study in CTO Stream is permanent; a terminated study cannot be ‘un-terminated’.

Terminating Ethics Approval for a Study:

- From the submission timeline of the PIA for the study you wish to terminate, click the ‘Terminate Provincial’ button from the Action menu (Figure 7).
- A pop-up window will open containing a template letter. REB staff should modify the template accordingly and ensure that the details of the letter correctly reflect the situation.
- Once the letter is sent, the study status and that of each participating site will automatically update to “Terminated”. The Provincial and Centre research teams are notified via email along with their institution representative.

Tip: The ‘Terminate Provincial’ button appears in the Action Menu following REB approval of the PIA and remains visible from that point forward.



Figure 7

2) Centre Expiry Date and Status

2.1 Centre Expiry Date

The ethics approval expiry date of any participating site for a study in CTO Stream is the same as the Provincial (overall) ethics expiry date, regardless of when the site was initially approved to join the study. **This means that a research site may be required to submit their first Centre Continuing Review (CCR) form less than a year from when they received initial REB approval.** As each CIA is approved, the ethics expiry date is automatically populated in CTO Stream (to match the Provincial ethics expiry date).

If a site has a lapse in ethics approval (i.e., the Continuing Review approval letter for the site has not been issued prior to the expiry date), the Centre status will automatically change to “Expired”, allowing the REB to easily identify which sites have lapsed. Once the REB approval letter for the expired site’s CCR submission has been issued, the expiry date will be automatically updated to “Active”.

2.2 Centre Status

The Centre Status of a participating site represents the status of ethics approval at the site. Immediately upon creation of a CIA, the status of the site in the Centres tab will be “Pending”. Once the REB approval letter for the CIA is issued, the centre’s status automatically updates to “Active”.

If there is a lapse in the site’s ethics approval (e.g., if the REB approval letter has not been sent for the CCR application prior to the centre ethics approval expiry date), the centre’s status will automatically be updated to “Expired”.

2.3 Centre Completion

When a participating site has completed all study activity and no longer requires ethics approval for their site, the research team is required to submit a CSC to the REB. This must be completed by all sites before the study can be closed-out in CTO Stream. Once the REB approval or acknowledged letter is issued, the Centre status will update to “Completed”.

2.4 Suspension of Centre Ethics Approval

The REB can suspend ethics approval for a specific site if necessary, using the ‘Centre Suspend’ button from the Action Menu, while on the submission timeline of the CIA for an approved site. The research team members at the site are notified by email of the suspension, along with the institutional representative at the site.

Suspending ethics approval for a centre:

- a) Navigate to the submission timeline of the CIA of the site you wish to suspend ethics approval for, then click the ‘Centre Suspend’ button (*Figure 8*).
- b) A pop-up window will open containing a template letter. REB Staff should revise the letter to ensure that the details of this letter correctly reflect the situation (including specifying what research activities must cease) and what the investigator is required to do in order to resolve/address the suspension. Click the green ‘Suspend Ethics Approval’ button at the bottom of the pop-up window to send the letter.
- c) Once the suspension letter is issued for a site, the status of the site will automatically update to “Suspended” and members of the research team and institution representative(s) at the site are notified via email.

Tip: The ‘Centre Suspend’ button appears in the Action Menu following REB approval of the CIA for the site and remains visible from that point forward.

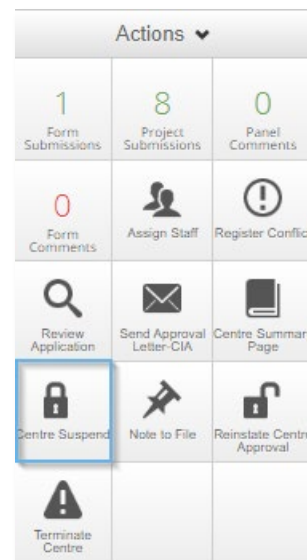


Figure 8

2.5 Reinstating Centre Ethics Approval After Suspension:

Once the research team has resolved the matter to the REB’s satisfaction (e.g., by submission and approval of the material required by the REB or as applicable to the situation), centre ethics approval can be reinstated.

- a) Navigate to the submission timeline of the CIA for the site that is to have ethics approval re-instated and press the ‘Reinstate Centre Approval’ button from the Action Menu on the left-hand side of the page (*Figure 9*).
- b) A pop-up window containing the REB letter template for reinstating centre ethics approval will appear on-screen. REB Staff should modify the template accordingly and ensure that the details of the letter correctly reflect the situation at hand. Once the letter is complete, press the green ‘Reinstate Centre Approval’ button at the bottom right of the window to send the letter.
- c) Once the letter is sent, the Centre status will automatically update to “Active”.

Tip: The ‘Reinstate Centre Approval’ button appears in the Action Menu following REB approval of the CIA and remains visible from that point forward.

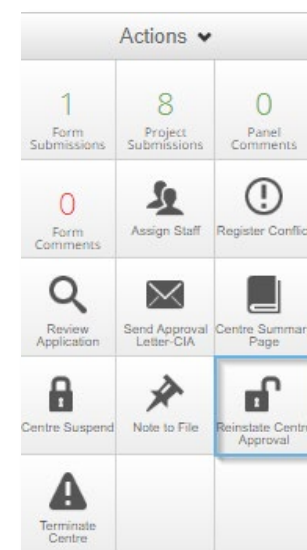


Figure 9

Once the matter leading to suspension has been resolved/addressed to the REB of Record’s satisfaction, the REB will follow the above steps as appropriate to the scenario. There are no additional system requirements nor does CTO Stream require applicants to complete a form in order to have a suspension lifted).

2.6 Termination of Centre Ethics Approval

Ethics approval for a participating site can be terminated by the REB of Record in CTO Stream, if required. Doing so will automatically update the status of the Centre to “Terminated”. If this does occur, the research team and centre institutional representative(s) are notified of the termination via email.

Tip: *The termination of ethics approval is not the same thing as a routine study closure/completion of a study at a site. Terminating a site in CTO Stream is permanent; a terminated site cannot be ‘un-terminated’.*

In this case, termination refers to the cessation of ethics approval by the REB of Record, in the absence of a request to do so from the study team/sponsor.

Terminating Ethics Approval for a Site:

- a) Navigate to the submission timeline of the CIA for the site that is to have ethics approval terminated and press the ‘Terminate Centre’ button found in the Action Menu on the left-hand side of the page (Figure 10).
- b) A pop-up window will open containing template letter. REB Staff should revise the letter to ensure that the details of the letter correctly reflect the situation.
- c) Once the letter is sent, the Centre status will automatically update to “Terminated”. The research team is notified via email along with their institution representative.

Tip: *The ‘Terminate Centre’ button appears in the Action Menu following REB approval of the CIA and remains visible from that point forward.*

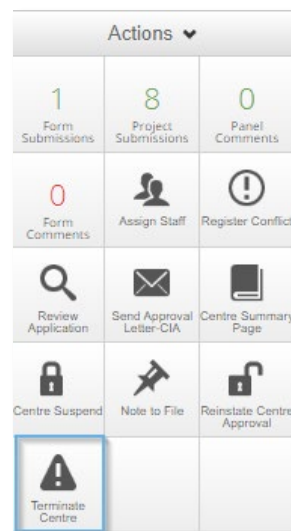


Figure 10

3) Continuing Review

When the ethics expiry date for a study is approaching, the REB of Record can expect to receive a PCR submission from the Provincial study team to renew ethics approval for the overall study, as well as a CCR submission from each site for renewal of ethics approval at their centre. The CTO Stream system has been configured to allow the submission of CCR forms independently of the PCR form. Therefore, CCR forms can be submitted to the REB of Record either before or after the Provincial study team has submitted the PCR. This ensures that all sites can complete and obtain sign-off on their own CCR forms on time without having to wait for submission of the PCR.

Research teams are instructed to submit the PCR and CCR applications to the REB before the submission deadline of the applicable full-board meeting date (although the CCR applications generally undergo delegated review). This is to ensure the REB of Record will have access to all centre information when reviewing the study-wide (Provincial) information and is able to send the applications to a full-board meeting if required.

Tip: *The REB of Record must process and approve the PCR application for the study before approving any of the CCR applications submitted by the participating sites. When each CCR application is approved, the ethics approval expiry date will automatically update to match the updated Provincial expiry date.*

3.1 Continuing Review Reminders

Research team members with the “Provincial Applicant”, “Provincial Co-Applicant”, “Provincial Study Staff” or “Sponsor/CRO ” roles in CTO Stream are sent continuing review reminders via email at 45, 30 and 15 days prior to the ethics approval expiry date for the study.

Similarly, research team members with the “Centre Principal Investigator”, “Centre Co-Investigator”, or “Centre Study Staff” roles are sent a reminder at 45, 30 and 15 days prior to the ethics expiry date.

Tip: Each site’s expiry date is the same as the Provincial ethics expiry date.

3.2 Lapse/Expiration

A lapse occurs in CTO Stream when the continuing ethics approval letter (Provincial or Centre) has not been sent prior to the ethics approval expiry date. This means that the REB approval letter for the CCR application at each participating site must be issued before the study expiry date, otherwise the ethics approval at the site will lapse. If the REB approval letter for the PCR has not been issued before the Provincial expiry date, then overall Provincial ethics approval for the study will have lapsed and the ethics approval for all research sites is automatically considered to have lapsed as well. The CCR forms should not be approved until the PCR form has been approved by the REB of Record. If a lapse in ethics approval does occur, the Provincial and/or Centre status is automatically updated to “Expired”.

The Provincial Applicant, Sponsor/CRO and Provincial study staff (all Provincial- level applicant roles) are automatically notified of a lapse in ethics approval via email. If a participating site has a lapse in ethics approval, the Principal Investigator, Co-Investigator, Centre Study Staff, Department Head and Institutional Representative(s) are all automatically notified via email. The notification instructs researchers to cease all research-related activities (as applicable) including the enrollment of new participants, and to notify the REB of Record (via Correspondence) if there is a need to continue the research intervention to ensure the rights, safety or well-being of participants enrolled prior to the lapse in approval.

If the Provincial or centre ethics approval remains expired for longer than 10 days, a second email notification is sent (The REB of Record operations personnel is blind copied on both of these email notifications).

3.3 Reinstating ethics approval following a lapse

To resolve a lapse in ethics approval within CTO Stream, the Provincial Applicant/Principle Investigator must submit a PCR/CCR form for review and approval by the REB of Record.

Provincial ethics approval following a lapse

Prior to issuing the REB approval letter for the PCR, the REB of Record must update the Provincial expiry date. The steps outlined in [Section 1.4 – Correcting the Provincial Expiry Date](#) can be followed to re-set the Provincial ethics expiry date. Once the PCR approval letter is issued, the study status will automatically update to “Active”.

Tip: Approval of the PCR form following the lapse does not automatically update each centre’s expiry date/status. The REB will need to ensure each site has submitted their own CCR application. Once the REB approves the CCR application(s), the expiry date/status of the site will automatically be reinstated.

Centre ethics approval following a lapse

Once the REB approval letter is issued for the CCR form, the centre’s expiry date will automatically update to match the Provincial expiry date, and the centre’s status will update to “Active”.

3.4 Documenting the Duration of a Lapse in Ethics Approval

When issuing the letter to reinstate ethics approval (i.e., following a lapse or suspension), REB staff should revise the template letter (if applicable and in accordance with their SOPs) to reflect the duration of the lapse in ethics approval (the lapse period).