



University
of Windsor

RESUMPTION OF RESEARCH FRAMEWORK

Prepared by: Research Planning Working Group

Approved by: Executive Pandemic Committee

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Research Planning Working Group Composition

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Introduction

A framework to support the resumption of all research activities is necessary on campus as the University of Windsor transitions out of the current ‘essential’ services model. The resumption of research at the University of Windsor will be guided by the key principle of protecting the health and safety of our community and the communities in which we undertake research. It will be guided by the advice of local public health officials, and by the legislation and guidance of both the Province of Ontario and the Government of Canada.

In order to facilitate the orderly reopening of the University of Windsor research facilities and on-site access under the rapidly evolving conditions associated with the COVID-19 pandemic, a process has been developed, and is outlined in this document to guide the request and approval of applications to resume research. This process involves the Department Heads, Deans (or their designates), and the Office of the Vice-President Research and Innovation. The Research Safety Committee (RSC) will also play an important role in assessing the request to resume research and related health and safety plans, including physical distancing plans.

The summary below outlines the phased-in plan for resumption of all research activities, including access to research facilities, research labs, field work, animal care and research involving human participants. It is important to note that research activities that do not require access to research facilities or in-person research with human participants have been able to continue through the University’s move to essential services. This framework and recommendations have been developed to support the recommendations of the Research Planning Working Group and have been approved by the Provost’s Council and the Executive Pandemic Committee.

Phase	Description/Guiding Principles	Activities
Phase 0	Essential Services Only - Limit and minimize the total number of staff, faculty and trainees accessing campus and performing research outdoors	Only essential research activities that ensure safety and protection of items such as sensitive equipment, maintenance of cells, animals, breeding colonies, or tissues. No active lab or field-based research may take place. All active experiments being conducted must be ramped down safely during an Essential Services Only model.

		-Non face-to-face (F2F) activities that can be conducted at home and/or using on-line internet resources are allowed to take place
Phase 1	Critical Research and Essential Services - Limit research space and total number of staff, faculty and trainees necessary to achieve activities related to critical research and essential services	Critical and/or COVID-19 related research activities that require access to lab- or field-based research facilities as recommended by the Department Head or Associate Dean, Dean, reviewed by the Research Safety Committee and with final authorization resting with the VPRI. -Only proposals with the highest ranking, i.e. Phase 1 Critical Research, as specified in the Critical Research Assessment Tool (see Appendix C) will be considered during this Phase Designation.
Phase 2	Critical/COVID-19/Time-Sensitive Research - Limit research space and total number of staff, faculty and trainees on campus necessary to achieve time-sensitive, critical research and essential services with a Phase 1 or 2 ranking and in accordance with Faculty Zone and Flow Analysis capacity limits.	Research activities expanded beyond Phase 1 to include increased number of lab-or field-based projects following the same approval process as Phase 1 research. -Only proposals ranked as Phase 1 or Phase 2 critical research, as specified in the Critical Assessment Tool will be considered. -at the moderate ranking as specified in the Critical Research Assessment Tool
Phase 3	Resumption of Field- and Lab-based research and re-opening of Research Facilities as can be accommodated to achieve full resource capacity limits under the Faculty Zone and Flow Analysis.	Research facilities and labs are re-opened, as constrained by appropriate physical distancing and safety measures. -Proposals ranked at Phase 1, 2 and 3 critical research as specified in the Critical Research Assessment Tool will be considered. -Research involving Human Participants may be considered on an exception basis, please refer to Appendix 'F' for the Framework for Research involving Human Participants.
Phase 4	Resumption of Normal Research Activities	All research activities return to normal state, including all in-person research with human participants

Research Priority Timelines

As stated above, opening of the University of Windsor's research facilities and on-site access will be initiated through research priority timelines in order to ensure a safe and measured resumption of research. Facilities will be opened in priority order from immediate priority to long term priority, in a manner which ensures the safety of researchers, students, staff, and the communities in which the research is undertaken.¹ Each Phase is associated with specific requirements for space utilization, physical distancing, cleaning, PPE, travel and passive screening.

To assist in the review and determination of the Phase and criticality of requests for resumption of research, a rubric has been prepared to assist Department Heads and Deans in their assessments of each request, and the Critical Research Assessment Tool is reflected in Appendix C.

Phase 0: Only essential research activities undertaken to ensure safety and protection of research infrastructure:

- On-going regular care, feeding, conditioning or inspections (e.g., maintenance of cells, animals, breeding colonies, or tissues) to ensure the continuity of a research program;
- Inspection and maintenance of sensitive equipment to ensure the continuity of a research program;
- The total number of individuals and the total amount of space accessed on campus is minimized as much as possible.

Phase 1: Research requiring immediate field or lab-based research for research projects assessed as Phase 1 Critical Research using the Critical Research Assessment Tool. Categories of critical research may include:

- Research related to SARS-CoV-2/COVID-19 that cannot be undertaken remotely;
- Research in which delay and resumption will have direct impacts on the ability of the community to provision essential services including health services to the public;
- Long running research/field research in which a serious loss of research material, data, or equipment could occur if the work was disrupted, is at a critical stage or close to an end point;
- Research required to meet a contract deadline with an industrial or government partner that cannot be renegotiated, where failure to complete would irrevocably harm the relationship with that partner;
- Research that, if paused, would negatively impact the ability of a graduate student to complete program requirements within the next three months and requires minimal on-site work/time to complete;

¹ <https://www.queensu.ca/vpr/covid-19/research-facility-start-and-requests-site-access>

Phase 2: Research requiring immediate field or lab-based research for research deemed to be time-sensitive and required to minimize negative impacts as assessed using the Critical Research Assessment Tool.

- At commencement of Phase 2, each Faculty will have conducted a Zone and Flow analysis of their on-campus resources that characterizes the total space available for research within their unit and the total number of research personnel that can be accommodated in that space within a given time, in conjunction with consideration of the building's common areas (i.e. washrooms, staircases, elevators, etc.);
 - At the minimum, a Zone and Flow analysis must be completed for the department for which the proposed activity is to take place;
 - The Zone and Flow analysis must provide recommended capacity limits for each Institutional Phase designation. These capacity limits increase with progressive Phases to 100% for Phase 3;
- Research that, if paused, would negatively impact the ability of a student to complete program requirements as specified by advisory committee and supervisor;
- Considering funded research and agencies and flexibility to extend timelines related to COVID-19 closures.

Phase 3: Research not deemed to be critical or time sensitive, but where the inability to resume research will negatively impact faculty and student research within the academic year.

- Phase 3 research activity will increase the number of projects and personnel associated with approved research activities to achieve physical distancing capacity limits of campus buildings and resources consistent with the Zone and Flow analysis;
- New and early stage projects and experimental directions;
- Research that is being/can be undertaken remotely due to the nature of the research is to continue to be done remotely wherever possible;
- All projects are still under COVID restrictions and are required to follow all safety and physical distancing protocol.
- Research involving Human Participants may be considered on an exception basis, please refer to Appendix 'F' for the Framework for Research involving Human Participants.

Phase 4: Research resumes to normal activities.

- All research facilities and labs have re-opened;
- All research conducted with (in-person) human participants (and not previously deemed as critical or time-sensitive) is able to resume.

Resumption of Research Process

In order to facilitate the orderly and phased in reopening of the University of Windsor research facilities and on-site access under the rapidly evolving conditions associated with the COVID-19 pandemic, a process is being developed to guide the request and approval of applications to resume research, which involves the Department Heads, Deans (or their designates), and the Office of the Vice-President Research and Innovation. The Research Safety Committee (RSC) will also play an important role in assessing the request to resume research and related health and safety and physical distancing plans.

The application to resume critical and time-sensitive must be completed for each project and is not intended as a blanket research approval for all research being conducted by a faculty member or a research lab. All individual research projects and associated personnel and services are required to be approved before they are authorized to commence.

To assist in the review and determination of the Phase and criticality of requests for resumption of research, a rubric, the Critical Research Assessment Tool has been prepared to assist Department Heads and Deans in their assessments of each request (Appendix C). The Phase of resumption activities at the University will be directed by the President and will be aligned with the recommendations from the Province and Public Health.

Phase 1, 2, and 3 research will be approved on a case-by-case basis and will require a completed Request to Resume Research Form (see Appendix A) and the Research Safety Committee Annex Form that will outline the project's health and safety protocols (see Appendix B). Prior to the resumption of Phase 3 research, a clear timeline will need to be defined for the submission and approval of applications that prioritizes research required for the completion of graduate student research and the submission of theses and dissertations.

In the Request to Resume Research applications for Phase 1, Phase 2 and Phase 3 research, it is the responsibility of the faculty member to clearly define how the research meets the criteria for critical and time-sensitive research. The application must be accompanied by Risk Acknowledgement Forms for both the Principal Investigator and Students and/or other research personnel (see Appendix D and E respectively) to be completed by all participating Faculty, Staff, Students and Research Personnel. In addition, faculty will be required to submit a clearly defined health and safety plan within each request for research resumption application which will include:

- Detailed description of physical distancing protocol to be followed
- Detailed description of cleaning and disinfectant procedures
- Handwashing protocols that will be required by all research personnel
- Description of PPE required by research personnel, and whether that PPE is already in possession or to be purchased
- A schedule of research personnel within the laboratory taking into consideration other research projects already approved to take place in that lab including entry and exit procedures, and appropriate traffic flow directions
- Procedures for passive COVID-19 screening
- Plans for logging the time-in and time-out for all members of the research team

- Approval from community groups and detailed description of travel and safe protocols including numbers and schedules
- Emergency plan

Implications for Non-Compliance

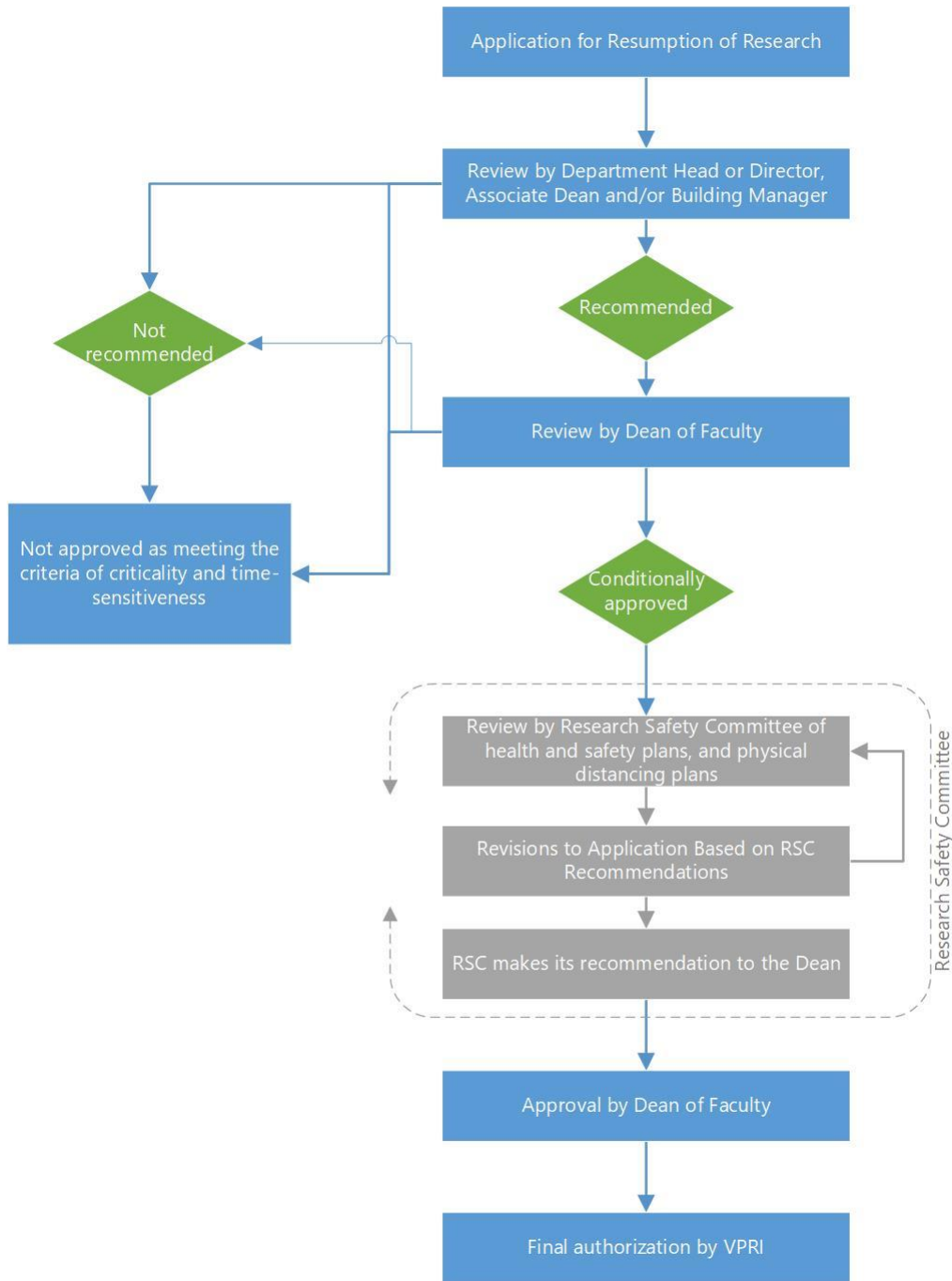
Deans, Associate Deans and Department Heads, or their delegates, will be asked to conduct Spot Checks/Safety Audits through Phase 0-3 to ensure that approved research is being conducted in compliance with the health and safety plans and physical distancing protocols outlined in the submission to resume research are being followed. Should there be any violations of the safety plans and/or physical distancing plans, access to the research labs and facilities may be removed and will not be reinstated until Phase 4.

Self-auditing is also recommended to be conducted by faculty in conjunction with Department Heads, Associate Dean, Building Managers or technicians (where available).

Points for Further Consideration

- Library – curbside pick-up, or access to Racer - to be considered to support research activities that can continue remotely but require library resources
 - On-campus resource and Zone and Flow Analysis requires further consideration while maintaining access to common building facilities such as the Library
- Need to ensure support is available from the Chemical Control Centre (CCC) and relevant departmental stockrooms
- Support for Faculties and Departments in developing Zone and Flow analyses of their respective buildings
- How will potential resumption of classes in the fall impact the resumption of research activities?
 - Running of labs for classes vs. the running of labs for research?
- Issues related to non-compliance of safety plans and additional considerations:
 - Cost implication, should be considered, including hiring (on contract) of additional Research Safety Personnel to support the safe resumption of all research activities and conducting spot audits;
 - Who is responsible for revoking approvals, still requiring overarching principle of health and safety to be the priority that must be adhered to (is it Health & Safety, the President, the VPRI, the Dean, need to determine);
 - Should consider defining the process for revocation of approval.
- Ensure that standards are being held consistently across all Faculties and cross checking to ensure equitable access to research and resources

Flow Chart for Approval Process for the Resumption of Research



Appendices

Appendix “A” – Request for Resumption of Research Form

Application for Critical and/or Time-Sensitive Research Designation

Principal Investigator Information	
Name:	
Department:	Faculty:
Cell Phone (for emergency contact):	Email:
Contact Information for Other Team Members Who Will Participate in the Research Include: Name; Department/School; Cell Phone (or other means of emergency contact); Email; Status (faculty/graduate student/staff) (Ex: Name, Program, Phone #; Email: Position)	
1.	
2.	
Title of Project or Description of Research Activity:	
Start Date:	End Date:
Provide a rationale for requesting an exemption by briefly addressing the time sensitivity, or critical nature of the research:	
Does the proposed activity involve a breach of physical distancing between two or more individuals performing on-campus or off campus activities related to this project ? (Yes or No): A Breach in Physical Distancing is defined to occur when two or more individuals come into close proximity (< 2 m distance from one another) in a manner that is unplanned, not regulated and/or without use of an appropriate barrier or personal protective equipment apart from the distancing and safety measures defined in this proposal.	
Does your project require you or any personnel identified in this proposal to interact with other people including occupying the same laboratory or other room within a building at the same time in	

a planned way? How many will occupy a space at a time? What measures will be taken to ensure that Breach in Physical Distancing does not take place?

Does your project involve work including field work off campus? (Yes or No): If Yes, please provide further details:

Does your project occur in an outside community? If yes do you have permission from the community to access the area under current travel restrictions with COVID-19?

Is travel required? If yes, please indicate your travel, accommodation and food preparation plans? Note that RSC safety protocols will request that you outline how physical distancing will be maintained during travel.

Location (building and room # for on-campus work or town/facility for off-campus research) where research will occur:

Have you consulted with your Department Head and Dean to determine if a Faculty Space/Flow plan has been completed for on-campus activities you are proposing? (Yes or No):

Are the laboratory or common areas in buildings that you and personnel will be accessing shared with other groups engaged in on-going essential and approved critical research? If so please consult with your department head to identify them and the building locations where shared usage will take place.

Have you consulted with your Department Head and Dean about use of scheduling tools used to address capacity limits of buildings under the COVID-19 Space-Flow Plans? If no such scheduling tools are available, how will you work with your Department Head/Colleagues to coordinate this?

Does the proposed activity have a time sensitivity consideration that may for example include infrequent or cyclic phenomena that if not studied in the next few months would not likely to be repeated or does this project to take advantage of a rare or unusual opportunity for research that otherwise could not take place? Please specify with detail the time urgency related to this and your rationale.

Does the proposed activity have a time sensitivity consideration whereby delay in start of the research will have significant impact on partners causing them economic or other harm?

Does delay of the proposed activity due to COVID-19 closure interfere with funding timelines and deliverables related to approved University of Windsor research agreements and contracts? If yes, please provide documentation that you have consulted with your funder to confirm that no extension of timelines and/or funding will be made or renegotiated under your agreement in relation to the COVID-19 closure.

Does the proposed activity directly address priority work with immediate outcomes concerning: COVID-19 Research, ability of partners to deliver health care and/or essential services to the public?

Does the proposed activity have a time sensitivity component whereby delay in start of research will cause significant delay in ability of a graduate student to complete their thesis? *We ask faculty and advisory committees to consider accommodations about expected research productivity for theses written during COVID-19. Students that require only a small amount of effort to complete thesis requirements are prioritized. Please give details about the extent of data gathering necessary and timelines of this activity.*

Does the proposed activity involve undergraduate students? If yes, please verify with your dean if such activity is allowable under faculty guidelines for trainees involved in research during COVID-19 restrictions.

Does your project involve animals that will require care in the Animal Care Facility?

Does your project involve chemical control or other services on- and off-campus? (Also consider library curb-side pickup requests, emergency services for spill responses, boarder brokering services etc.)

Please provide Certificates/Approvals number and date of approval for relevant activities (Ethics; Animal Care; Biohazard, Radiation, Laser Use):

Are you currently performing on-campus or field research under an approved Critical Research project? If yes, please refer to the approved project title and total number of personnel associated with these activities.

Beyond the current proposal, do you anticipate applying for additional research activities during the current Institutional COVID-19 Phase designation? If so, approximately how many personnel are anticipated to be involved in future Critical Research proposals? This information is requested to help Departments and Faculty with Zone and Flow analysis capacity planning.

Please fill out the Research Safety Protocol Appendix that specifies additional COVID-19 safety protocols and procedures that will be adopted as part of the implementation of this activity.

<i>Approvals</i>
Recommendation by Department Head/Director/Associate Dean (if applicable) and date approved:
Recommendation by Building Manager (if applicable) and date approved:
Designation of Research as Critical by Dean (or designate) and date approved:
Dean (or designate) recommendation of the COVID-19 Phase Designation this Activity Belongs to: (0-4)
Recommendation by the Research Safety Committee (RSC) and date approved:
Approval by Dean (or designate) and date approved:
Authorization by Vice President Research and Innovation and date approved:

Appendix "B" – RSC Research Considerations Appendix

Research Considerations Appendix - *must be completed and submitted with the Request for Resumption of Research in Appendix A*

In combination with your completed “*Application for Critical or Time Sensitive Resumption of Research Designation*” above, please outline your research-related procedures regarding each topic below.

These forms are to be submitted together to your Head and/or Director who will send their recommendation to the Associate Dean of Graduate Affairs and Research (where applicable), who will in turn submit it to the Research Safety Committee and VPRI for final approval.

PI name:

Project title:

Rooms:

All UWindsor staff, faculty, students and campus community are expected to and have the responsibility to follow the guidance of public health which include:

- **regularly and thoroughly clean your hands;**
- **avoid touching your eyes, nose and mouth;**
- **physical distance and stay 2 meters or 6 feet away from others;**
- **follow good respiratory hygiene; and**
- **stay home and self-isolate even with minor symptoms such as cough, headache and/or mild fever, until you recover.**

Passive Screening: Ontario recommends use of passive screening procedures (signs) that remind individuals about a) need for maintaining physical distance; b) need for individuals to self-screen and refrain from entering the premise when positive symptoms of respiratory infection are detected; c) need for individuals to engage in regular hand hygiene and cough etiquette.

Log in/log out procedures: It is important that the University of Windsor retain records of contact information for all people working on campus during the COVID-19 Closures. It is also important that log books be kept and filled out to identify who is in the building, room #, time in and time out. Please identify how you will collect and store this information.

1. Physical Distancing

- How will physical distancing be managed in a lab with more than one worker?

- i. Breach of physical distancing is defined when two or more individuals come into close proximity (< 2m) in a manner that is unplanned, uncontrolled, without protective barriers and is not timed to ensure brevity in duration of the encounter.
- Do the locations of workstations in the lab support physical distancing? Please refer to the Zone and Flow analysis plan (if available) designated by your Faculty.
- How will scheduling take place to ensure minimum number of people in labs at one time? Please specify days/times when the lab will be used. Please refer to time and space scheduling tools developed by your Department and Faculty (if available).
- Work Alone procedures should be established, documented, and included in emergency plans. (Campus police is one possible resource).

2. Cleaning and Disinfectant procedures

- Clearly outline procedures including type of cleaning agent used. (Ontario Guidelines Specify Cleaning Agent – Degreaser followed by Disinfection Solution)
- Please specify contact disinfectant time and disposal procedure.

3. Hand washing protocols

- Please describe the location for handwashing for workers before and after entering lab space and for before and after donning PPE.

4. PPE

- What PPE will be donned to protect the worker?
- Will masks be worn? If so, what type and provide rationale for use and decontamination/cleaning procedures if masks will be reused?

Please note that if N95 respirators are specified this will requires additional information by provided about how these resources will be obtained and re-supplied and documentation that personnel using N95 filters have been fit tested.

5. Entry & Exit Procedures

- Please indicate plans for staggered entry/exit referring to the Zone and Flow analysis (if available)
- Appropriate signage should be posted and placed on laboratory doors to indicate if room is occupied/not occupied, and when work is being conducted.
- Please describe plans to establish flow of traffic to limit crossing paths within the identified rooms in which activity is to take place
- Please provide methods that will be used to maintain entry & exit log books (sign in/sign out date and time).

6. Shared Lab Space

The sharing of common areas or offices is discouraged, and personnel should only be coming in to use the lab for necessary work and then leaving. There should be clear communication to lab personnel and other lab occupants on the activities being conducted and any additional precautions or procedures that may be required.

- Please describe plans to coordinate with other groups/researchers. Please refer to Departmental or Faculty time and space scheduling tools (if available)
- Could the shared lab space you are working in exceed 5 people at any one time, and how will this be mitigated?

7. COVID-19 Screening

- What steps will be put in place to ensure workers are not experiencing any signs or symptoms of COVID-19?
- what reporting mechanism will be put in place and how will records be retained?
- What are the protocols and reporting structures for those who do show signs or symptoms?
- If physical distancing cannot be avoided in some situations, what measures will be taken to protect the workers?

8. Sample Collection

- How are samples collected, transported, and stored?
- What are the procedures to eliminate potential contact contamination?
- Please describe how secondary containers and disinfectants will be used.

9. Emergency Plan

- Emergency Lab equipment should be inspected and/or tested prior to the onset of work. ex. Fume hoods, eyewash stations, safety showers, biological safety cabinets, hose connection, first aid kits. Please describe your inspection procedure and logs?
- What is the emergency plan in the event of an accident or spill within the lab?
- What reporting mechanisms are in place?
- What are the clean up/spill procedures?
- Are their safety check-ins (e.g. PI – check in), and how will these be implemented?

10. Travel

- Are there any restrictions locally, provincially, federally or globally in the area you will be travelling? If yes, what measures are in place to ensure those restrictions are met?
- Will others be travelling with you? If yes, how will physical distancing be maintained?

11. Security

- How is the laboratory being secured?
- What steps will be taken in the event of loss or theft of product or potential breach of security?
- Facility Services should be advised of activities across campus to ensure resources are allocated appropriately.
- Is any infrastructure being used off-campus during COVID-19 closure? Has it been insured by the University of Windsor against damage, loss and liability?

12. Personnel

- Training records and waivers should be kept by Supervisor/PI.
- Please describe the process, if applicable, for communicating to students/lab personnel their rights, reporting structures, and safety procedures.

13. Extras:

Please use this space to describe anything not included in the items above, but that is relevant to your current research. (Only this section #13 is optional).

Appendix "C" – Critical Research Assessment Tool

**Critical Research Subcommittee's Assessment Tool for Designation of Critical Research
During the COVID-19 Closure
May 20, 2020**

Committee Members: Amy Davie; Ken Drouillard, Brent Lee; Cheri McGowan, Suzanne McMurphy, Dan Mennill, Heather Pratt, Michael Siu, Patti Weir

The Critical Research Subcommittee was tasked with generating a “Critical Research Designation” decision-making tool to aid Department Heads, Faculty Deans and Associate Deans. This tool will aid the leadership team in their decision making about designating a submitted proposal to resume research activity during COVID-19 closure as “Critical Research” as described in the Flow Chart For Proposed Process for the Resumption of Research reported in the University of Windsor Framework for Resumption of Research document.

Designation of proposed research activities as “Critical Research” is required by the Faculty Dean before proposals are referred to the Research Safety Committee (RSC) for review of safety protocols. Following RSC endorsement, proposals are forwarded back to the Dean for any needed revision and then onto the Vice President of Innovation and Research (VPRI) for final approval. A designation of Critical Research is further tied to the current status of the institutional Phase within the COVID-19 shutdown defined by the University of Windsor Framework for Resumption of Research, a living document updated regularly as the COVID-19 situation changes. Activities permitted under COVID-19 closure follow a Phased process as dictated by Provincial restrictions and the current institutional status established by the Pandemic Planning Committee. Under stage 0, only essential activities and research occurring at home and/or using on-line internet resources are allowed to occur. Approved Critical Research projects are allowed to take place on campus and off-campus under Phases 1-3 with degree of restrictiveness of activities and total project numbers decreasing with increase in phase status. Any research involving human participants can only occur under Phase 4 designation. Phase 4 defines the removal of COVID-19 conditions regarding institutional operation allowing for resumption of normal institutional practices at the direction of the University President.

The criticality of research should account for several aspects of the proposed research activity being evaluated. This includes urgency and time sensitiveness of the research, impact of research on collaborators, funding agency timelines and deliverables, impact on physical and economic health of the community and contribution to student training. The above activity attributes should be balanced against additional risks related to implementing the proposed activities as it relates to the total number of personnel required to meet project needs, their ability to maintain physical distancing given resource constraints of laboratory space or field work activities (1 person/120 ft² or 1 person/11 m²), availability of requested space and resource use given on-going activities of approved research, need for essential services (e.g. CCC and other services) and external services (service technicians from companies etc.) required for delivery of consumables and supplies, maintenance and calibration of equipment, emergency response, access to public space for off campus field work and other concerns as assessed and identified by the Departmental Head/Director and Deans regarding the ability to perform the work under required restrictions related to COVID-19 closure.

The Phase designation of the institution further informs the degree to which on-campus facilities are available to support approved Essential and Critical Research. Under Phase 0, a maximum risk adverse model is applied to minimize as much as possible the total number of individuals accessing the campus or performing off-campus (non-home based) research while also minimizing the total

number of buildings and rooms being accessed on the campus. As the Phase category progresses, as determined by the Office of the Vice-President, Research and Innovation, larger numbers of personnel and building/room resources on campus may be accessed in support of approved essential and critical designated research.

The Department Head and Deans are asked to use the following questions and rubrics to help their assessment for designating a submitted proposal as Critical Research.

Please consider all of the screening questions below in conjunction with the current COVID-19 Phase designation of the University of Windsor while making your decision.

1. Is the proposed research activity compatible with allowable activities outlined under the COVID-19 phase designation as articulated in the most current version of University of Windsor Framework for Resumption of Research and given the current COVID-19 Phase Status Identified by the Pandemic Committee? (Yes/No)
 - 1a. Yes. Go to Question 2.
 - 1b. No. Is the proposed research activity compatible with allowable activities outlined in a different COVID-19 phase? If so, indicate which phase the proposed activities would be allowed under.

2. Does the proposed research require face to face contact with other individuals? (Yes/No)
 - 2a. Yes. The proposed activity should not be allowed to take place until Phase 3.
 - 2b. No. Go to Question 3.
3. Does the proposed research involve work off campus? (Yes/No)
 - 3a. No. Go to question 4.
 - 3b. Yes. Are proposed off-campus activities available under local and provincial COVID-19 restrictions? (Yes/No)
 - 3 c. No. Researcher needs to demonstrate local and/or provincial permission to access the area in question before activity can take place.
 - 3 d. Yes. Go to Question 4.
4. Has the Department and Faculty completed a Zone and Flow Analysis of campus resources with estimates of how many personnel could be accommodated in the building(s) including entries and exits, washrooms, stairwells, elevators and common areas where the proposed research activity is to take place while maintaining physical distancing requirements?
 - 4a. Yes. Go to Question 5.

- 4b. No. For Phase 1 activities it is generally assumed that the limited number of projects considered make this criteria less important. For Phase 2 and above a Faculty Zone and Flow Analysis of the building where proposed activity is to occur should be completed. Zone and Flow Analysis Plans should provide capacity limit recommendations tied to the Phase designation of the institution.
5. Can the requested number of personnel, access to specialized research space and other space needs be reasonably accommodated in the Faculty Zone and Flow Analysis Plan given existing approved activities occurring in the same building/areas under Essential and Critical Research?
- 5a. Yes. Go to Question 6.
- 5b. Maybe. Identify the concerns and possible accommodations that would enable the proposed research to take place while maintain safe working conditions. Consider the following options:
- Time Staggered Scheduling between groups and how this will be implemented
 - Secure additional space or resources from other campus resources
 - Other
- 5c. No. After completion of the remainder of the survey, does the urgency and need of this research necessitate reevaluating an existing approved research activity to enable accommodation of the present application? If Yes then Decanal and consultation with the VPIR about the right process should be performed. If no the research activity should not be designated as Critical.
6. If the proposed activities are approved, approximately what proportion of campus resources within the Faculty Zone and Flow Analysis Plan will remain available for new proposals moving forward?
- 6a. Plenty of Resources to Remain for New Proposals. Proceed to Question 7.
- 6b. Resources are approaching capacity for approved activities but could be extended through additional scheduling solutions. Consider these implications in your assessment.
- 6c. Resources are approaching capacity for approved activities but some approved critical research will be ending and will free up resources for future research activity proposals.
- 6d. After approving this project, physical resources will be fully occupied as defined by the Faculty Flow/Space Plan.
7. Fill out the table answering each question as it pertains to the Urgency and Need of the proposed activity. High scores imply high Need/Urgency. Suggested score minimums tied to the institutional phase designation are provided at the bottom of the Table.

Category	Urgency/Impact Score: Low (1), Med (2), High (3)
<p>Urgency and Time Sensitiveness Points to Consider for this ranking:</p> <ul style="list-style-type: none"> -Infrequency or cyclic nature of observation that requires samples be taken during a specific window of time not likely to be repeated in the next 3 months -Ability to take advantage of rare or unusual opportunity for research that otherwise could not take place outside of the time window of proposed activities 	
<p>Impact on Collaborators Points to Consider for this ranking:</p> <ul style="list-style-type: none"> -Will partners associated with funded research be compromised by further delay in research activities over the next 3 months? Compromise can consider impacts to organizational competitiveness and/or economic viability if research is delayed beyond deliverable milestones agreed to in research agreement. 	
<p>Funding Agencies Timelines and Deliverables Points to Consider for this ranking:</p> <ul style="list-style-type: none"> -Has the PI contacted the funder to determine if extensions to funded research are possible or not? Consider whether funding itself will be extended or if timelines will be extended. No possible extension should be given a score of 3, extension of timeline without funding 2, extension of funding and timeline a value of 1. 	
<p>Impact on Physical and Economic Health of Community Points to Consider for this ranking:</p> <ul style="list-style-type: none"> -Is the research directly related to the COVID-19 Pandemic? (Score 3) -Would delay in research activities impact ability of the community/partners to deliver health services? (Score 2-3 dependent on urgency) -Would delay in research activities result in direct economic losses to the community? (Score 2-3 dependent on economic impact) -Would delay in research activities compromise planned restoration activities e.g. habitat restoration or economic development? (Score 2-3 dependent on likelihood actual threat of deal) 	
<p>Number of Personnel and Contribution to Student Training Points to Consider for this ranking:</p> <ul style="list-style-type: none"> -The need for research activities to <i>complete</i> graduate thesis-research requirements. Faculty should justify that student thesis research completed to date cannot be used to complete a thesis under accommodations as recommended by Graduate Studies and advised by the student advisory committee. Consideration on scoring should be made based on what fraction of thesis work is completed and how much additional activity will be needed to 	

<p>achieve the minimum requirements to defend a thesis. A score of 3 is given for low amounts of activity required towards completion of thesis requirements; 2 for moderate activity and 1 for projects at the beginning of data collection.</p> <p>-Projects with minimum # personnel that include only faculty or one staff, PDF or RA should be given a score of 3. Reduced scores for larger number of personnel participating in research. Score of 1 for groups of 3 or more.</p>	
Total Score:	

Suggested Key: Phase 1 Minimum Score: 9; Phase 2 Minimum Score: 7; Below 7 = Phase 3

8. Does the proposed research activity involve Undergraduate student participation?
 - 8a. Yes. Are undergraduates allowed to perform research under COVID-19 restriction bases on the rules outlined within the Faculty? If “No”, then the project should not move forward or the researcher should be requested to remove unsuitable personnel from their proposal.
 - 8b. No. Go to Question 9.

9. Does the proposed research activity require additional needs for services and support at the University of Windsor? (Yes/No)

Please Consider the following:

 - Additional staffing and resources from CCC, Facility Services, Delivery Services, Border Brokerage Requests related to supply of consumables and materials?
 - Additional staffing and resource needs relate to Emergency Services including external agencies (i.e. coast guard/search rescue services for field work), CCC staff needed for Spills Response related to use of dangerous chemicals, radioactive materials, biosafety or lasers?
 - Additional staffing and resource needs in support of animal studies in animal care facilities or in the husbandry and care of non-vertebrate living specimens.
 - Additional staffing resources from Leddy Library or other central services on campus
 - Other _____

10. Does the proposed research activity require individuals from different organizations to come onto campus?
 - 10a. No. Go to Question 11.
 - 10b. Yes. Please Consider the following elements in your assessment of risks related to the project:
 - If face-to-face meetings are required, this will require Phase 4 designation.

- Will technicians from companies need to come to campus to install, maintain, certify or repair infrastructure? How will they be given access while maintaining physical distancing? Are they appropriately insured for this work? (Please consult with VPRI's office on insurance requirements for companies performing work on campus during COVID-19 restrictions). How long and what areas will they be given access to? How will the scheduling of the work be completed?

11. Do you have any additional concerns regarding recommending this research activities designation that may be brought to the Dean and/or VPRI's attention?

Please specify below or in an attached letter with this survey.

Based on your answers to Questions 1-11 do you recommend the proposed research activity be designated as Critical? (Yes/No):

If Yes. What COVID-19 Phase most appropriately reflects the stated activities? (0-3):

(Note, that the COVID-19 Phase Rating will be attached to each "Request for Resumption of Research" proposal in case of reversion of the active COVID-19 Status as Assessed by the Pandemic Planning Group)

If No. Projects denied Critical Status can be re-assessed after a change in the COVID-19 Phase as Assessed by the Executive Pandemic Committee. Please re-evaluate questions 4-6 in light of the re-submission of a proposed project.

Signature: _____ Department/Faculty: _____

Department Head/Associate Dean: _____ Date: _____

Signature: _____ Date: _____
Dean

Appendix “D” – Risk Acknowledgment Form – Principal Investigator

RISK ACKNOWLEDGEMENT – PRINCIPAL INVESTIGATOR

We/I, the researchers _____ in relation to the carrying on of research project(s) _____. Do hereby acknowledge that, the safety plans, protocols, procedures and documents created by we/I have been reviewed and approved by the University of Windsor.

We/I agree and acknowledge that we/I am aware of the risks of conducting work in relation to the above stated research project(s), especially in relation to the current COVID-19 emergency. We/I acknowledge and agree that we/I are responsible for ensuring implementation and compliance with these plans and procedures.

We/I agree and acknowledge that we/I have communicated all the approved safety plans, protocols, procedures and documents to the participants involved and that such participants are aware and have been informed that they may refuse to participate or determine to terminate their participation after conducting any of the research. We/I agree that there will be no repercussions to any participants on their decision to continue or terminate their involvement with the above stated research project(s).

We/I agree and acknowledge that the approved research activities will adhere to the safety plans and physical distancing plans as submitted for approval, and that in the event there is any breach in these safety plans, that approval of research activities may be revoked and not reinstated until all campus research activities have resumed (i.e. Phase 4).

IN WITNESS WHEREOF, the parties hereto have hereunto executed this Acknowledgement as of the effective date stated above.

DATED at Windsor, this day of , 2020.

INPUT NAME and ROLE

INPUT NAME and ROLE

Note: Upon completion of this form, please return the fully signed copy to the Research Safety Committee and keep a copy on file in your lab’s safety binder.

Appendix “E” – Risk Acknowledgement Form – Risk Acknowledgement Form – Student and/or Research Personnel

**RISK ACKNOWLEDGEMENT
STUDENT AND/OR RESEARCH PERSONNEL**

This Acknowledgement made on the _____ day of _____, 2020. I, _____ a participant and in relation to the carrying on of research project(s) _____. Do hereby acknowledge that, I have received, been informed, understand and will comply and adhere with any and all safety plans, procedures communicated to me by the principal investigator, supervisor or my superior, for the safe conduct of the above research project(s).

I agree and acknowledge that I am aware of the risks of conducting work in relation to the above stated research project(s), especially in relation to the current COVID-19 emergency.

As a participant, I am aware that if at any time, I feel that the risks have increased or circumstances have changed that I may terminate my contribution to the research project(s) and will advise my principal investigator, supervisor or my superior that I cannot conduct any further contributions until such risks or circumstances have changed that I may safely conduct the research. There will be no repercussions on my decision to continue or terminate my involvement with the above stated research project(s).

IN WITNESS WHEREOF, the parties hereto have hereunto executed this Acknowledgement as of the effective date stated above.

The Principal Investigator leading the research study has reviewed the safety plan with me.

No Yes

DATED at Windsor, this _____ day of _____, 2020.

INPUT NAME and ROLE

Note to Supervisor: Upon completion of this form, please return the fully signed copy to the Research Safety Committee and keep a copy on file in your lab’s safety binder.

Appendix “F” – University of Windsor Research Ethics Board Research with human participants under COVID19 restrictions

On June 1, 2020 the University of Windsor implemented *The Resumption of Research Framework* to guide a phased approach to resuming research:

https://www.uwindsor.ca/vp-research/sites/uwindsor.ca/vp-research/files/uwindsor_framework_for_resumption_of_research_may_29_2020_final.pdf

Under the *Resumption of Research Framework*, in-person face-to-face research with human participants is suspended until Research Phase 4. This document, ***Research with human participants under COVID19 restrictions*** outlines the process for researchers who wish to seek an exception to this stipulation and resume, or initiate, research with human participants that includes in-person, face-to-face data collection with planned, controlled and time-limited breach of physical distancing during Research Phase 2 or Phase 3.

Reminder:

- Research conducted with human participants that does not require in-person face-to-face data collection and can be conducted virtually/on-line, **MAY CONTINUE** and is **NOT** suspended. Researchers are encouraged to conduct research virtually/on-line to the fullest extent possible.
- The University of Windsor REB is accepting and reviewing all new application submissions and will *conditionally clear* applications even if the research is not intended to be undertaken at this time due to COVID-19 restrictions. This continuance of review is to prevent a backlog of submissions once COVID-19 restrictions are removed.

Requesting an exception to the *Resumption of Research Framework* stipulation that face-to-face research can only be resumed in Research Phase IV

If you wish to resume previous research or conduct new research that involves in-person face-to-face research with planned, controlled and time-limited breach of physical distancing – please note the following:

Research Phase 2: Research that is *COVID-19 related, time-sensitive and essential* requiring in-person face-to-face and planned, controlled and time limited breach of physical distancing can be approved as an exception to the guidelines in the *Resumption of Research Framework*.

Research Phase 3: Research that is COVID-19 or Non-COVID-19 research with human participants that cannot be conducted virtually/on-line and requires in-person, face-to-face and planned, controlled and time-limited breach of physical distancing data collection can be considered for an exception to the guidelines under *The Resumption of Research Framework* on a case-by-case basis.

Considerations

Guidelines from the Panel on Research Ethics

Researchers are encouraged to consult the interpretations by the Panel on Research Ethics in applying the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans, TCPS 2 (2018)* during the current COVID-19 public emergency. The link to the interpretation can be found here: https://ethics.gc.ca/eng/nr-cp_2020-09-02.html

On-campus research

Research that brings human participants onto campus to engage in data collection procedures, whether students or community members, must follow all safety protocols required of individuals coming onto campus. For the requirements for coming onto campus, please see: <https://www.uwindsor.ca/returntocampus/336/before-going-to-campus>

Field research

Research to be conducted off-campus with human participants must follow all health and safety guidelines required by the location in which the research is taking place. The researchers must obtain RSC approval for the health and safety measures and provide the REB with the information listed below.

Students

Students who are approved to be on campus as research assistants, attending courses, or other reasons, cannot be assumed to be recruited as research participants. Researchers who intend to recruit students for in-person face-to-face studies must ensure that recruitment and consent procedures reinforce voluntary participation and are free from undue influence. This may require modifications to recruitment procedures such as using someone not involved in the research or a third party to assist with recruitment. The REB reminds instructors that they may not recruit students in their courses for their research projects unless previously cleared by the REB. Furthermore, in addition to the mandatory “Risk Acknowledgement Form” required of student research team members within the Framework, faculty researchers must also reinforce that their participation is voluntary and is free from undue influence.

Vulnerable Populations

Research that involves visiting or direct contact with vulnerable populations or communities *will not resume at this time*. Please note that all virtual/on-line research can continue if there is no direct in-person face-to-face contact with participants.

Process for applying for an Exception for in-person face-to-face research with planned, controlled and time-limited breach of physical distancing research with human participants

Exceptions for *previously REB-cleared* research

Researchers wanting to resume face-to-face in-person data collection under a previously REB-cleared application must submit a Request to Revise (<https://www.uwindsor.ca/research-ethics-board/298/forms>) to the REB that includes the following information:

- 1) Resumption of Research Phase 2 or 3 Form (<https://www.uwindsor.ca/vp-research/353/covid-19-research-and-innovation-guidance>) whichever is applicable and approved by the Faculty Dean/Department Head.
- 2) Research Safety Committee (RSC) application and documentation of their approval of the health and safety measures and necessary PPE for the conduct of the research. Please note that the Vice-President, Research and Innovation (VPRI) has the final approval for all research resumption and the VPRI's authorization must be sought upon receiving REB conditional clearance—see note below.
- 3) Description of modifications to the research protocol--specifically:
 - a. Information provided to participants on complying with campus requirements to arrive and depart from the research site;
 - b. Modification of procedures to comply with health and safety expectations of RSC;
 - c. Modifications to the consent process and confidentiality based on record-keeping or contact tracing information;
 - d. Other modifications that may be necessary to address issues related to COVID-19 situation.
- 4) Description of revised risks and mitigation strategies including RSC health and safety requirements and necessary PPE.
- 5) Modifications to the consent process and form which include any revised procedures, risks and protection for the participant, and any other information necessary for an individual to make an informed choice regarding participation in the research study.
- 6) List the location, and *anticipated* days and times for data collection. Please update the REB and RSC as dates and times are confirmed and revised as the study progresses. This is to assist the researcher should any questions arise on REB clearance or compliance with RSC approved health and safety procedures.

Upon receiving the above information, the REB will review and provide conditional ethics clearance. Researchers must then seek final authorization from the VPRI for the exception.

Exceptions for *new research* submissions

New REB application submissions in which the Principal Investigator intends to submit a Request for an Exception to conduct research that includes in-person face-to-face data collection with planned, controlled and time-limited breach of physical distancing, must include the information listed above in items 1-6 with the new application. **The REB will provide conditional clearance; final authorization for any new research requiring an exception must be sought and issued by the VPRI as noted above.**

Researchers submitting applications that include in-person face-to-face data collection who are not sure if they will seek an exception, may submit their application to the REB for conditional

clearance. Should the researchers decide later to seek an exception, they may follow the instructions under Exceptions for previously REB-cleared research.

Timelines for review

Timelines may be longer than normal given the volume of applications and remote working environment. The REB is prioritizing COVID-19 related research and Requests to Revise to modify procedures to collect data virtually/on-line.

The REB continues to review research applications assessed as minimal risk through the Delegated Review Committee which meets weekly. Applications assessed as having greater than minimal risk are reviewed monthly at the Full Board level and biomedical applications are reviewed monthly by the Biomedical Board. COVID-19 related research undergoes rapid review by select members from the Full Board or through a subcommittee of the Biomedical Board. Administrative research, secondary use of data, requests to revise, and all other queries continue to be reviewed daily at the Executive level.

