



University  
of Windsor

# RESUMPTION OF RESEARCH FRAMEWORK

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## Original 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. Updates are also implemented as Ontario enters Step Two in Reopening of the Province. 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, including episodes of tightening and relaxing restrictions, a process has been developed and updated as necessary to inform the request and approval of applications to resume research. This process involves Department Heads, Deans (or their designates), and the Office of the Vice-President, Research and Innovation. The Research Safety Committee (RSC) plays an important role in assessing the request to resume research and related health and safety plans, including physical distancing plans. The Research Ethics Board (REB) has partnered with RSC to ensure research with human participants aligns with current safety guidelines. Health and Safety establishes policy concerning safety procedures and conducts safety inspections to ensure compliance with safety plans. Facilities, in conjunction with Health and Safety, establishes the Zone and Flow Analysis which specifies building and room capacity ratings, floor markings, room capacity placards and security measures.

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. Research activities that do not need on-campus presence should continue to be conducted offsite. This framework and recommendations were developed to support the recommendations of the Research Planning Working Group and were approved by the Provost’s Council and the Executive Pandemic Committee in 2020. This document has recently been updated to support the Return to Campus in 2021.

Phase	Description/Guiding Principles	Activities
Phase 0	<p>Essential Services Only</p> <ul style="list-style-type: none"> <li>- Limit and minimize the total number of staff, faculty and trainees accessing campus and performing research outdoors</li> </ul>	<p>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.</p> <ul style="list-style-type: none"> <li>-Non face-to-face (F2F) activities that can be conducted at home and/or using on-line internet resources are allowed to take place.</li> </ul>
Phase 1	<p>Critical Research and Essential Services</p> <ul style="list-style-type: none"> <li>- Limit research space and total number of staff, faculty and trainees necessary to achieve activities related to critical research and essential services</li> </ul>	<p>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.</p> <ul style="list-style-type: none"> <li>-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. See also Appendix A and B for Research Resumption requests submitted by Faculty/Research PI's. Appendix H for request to revise of approved research projects.</li> </ul>

Phase 2	<p>Critical/COVID-19/Time-Sensitive Research</p> <ul style="list-style-type: none"> <li>- 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.</li> </ul>	<p>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.</p> <ul style="list-style-type: none"> <li>-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 (see Appendix C). See also Appendix A and B for Research Resumption requests submitted by Faculty/Research PI's. Appendix H for request to revise of approved research projects.</li> </ul>
Phase 3	<p>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.</p>	<p>Research facilities and labs are re-opened, as constrained by appropriate physical distancing and safety measures.</p> <ul style="list-style-type: none"> <li>-Proposals ranked at Phase 1, 2 and 3 critical research as specified in the Critical Research Assessment Tool will be considered (see Appendix C).</li> <li>-Research involving face-to-face interaction and in-person data collection with Human Participants will also be considered, please refer to Appendix 'I' for the Framework for Research involving Human Participants and additional documentation.</li> <li>-See also Appendix F for Research Resumption requests submitted by Faculty/Research PI's, Appendix G for Phase 3 Field/Off Campus Research Resumption Requests, Appendix H for request to revise of approved research projects. Appendix I for Research that Describes Planned Breach of Physical Distancing and Appendices J and K as Guidance documents for Breach of Physical Distancing &gt;15 minutes and for Hosting Visiting Students and Researchers</li> </ul>
Phase 3 Modified	<p>Phase 3 Modified has been designed during periods of heightened community</p>	<p>Researchers/PIs are asked to voluntarily restrain personnel accessing campus, Animal Care</p>

	<p>COVID-19 risks as designated by the Province including Designation of local COVID-19 Status Grey “lockdown” or Provincial “Emergency Stay at Home Orders”. Once Provincial orders are removed, Phase 3 “Normal” is re-established.</p>	<p>Facilities operate at reduced capacity, human participant research is suspended, central facilities move to a service only model and RSC suspends new projects and new personnel additions until Phase 3 Normal is listed. Strict room capacity limitations should be adhered to, i.e. reverting to the 200 sq ft/person room capacity metric.</p>
Phase 4	<p>Resumption of Normal Research Activities</p>	<p>All research activities return to normal state, including all in-person research with human participants</p>

## Research Priority Timelines

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;

**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 will also be considered, please refer to Appendix 'F' for the Framework for Research involving Human Participants and additional documentation.

**Phase 3 Modified:** Temporary modification of Phase 3 condition during period of enhanced COVID-19 Risk as designated by the Province during Emergency Stay at Home Orders or local Lock Down.

- Approved Phase 1, 2 and 3 projects may continue with additional restrictions in place as described below.
- Faculty/Researcher's are asked to exhibit voluntary restraint by limiting the number of personnel coming to campus. Each PI should target a 25% reduction in campus visitations.
- Human Participant research is suspended.
- Animal Care Facilities operate at reduced capacity.
- Central Facilities operate on a service only model.
- Research personnel training activities are suspended.
- RSC suspends vetting new project proposals and adding new personnel to approved projects.
  - Note special exemptions may be made for vetting new COVID-19 and Time Sensitive Research at the discretion of the VPRI
- Room Capacity ratings revert to original Zone and Flow analysis ratings based on 200 square foot/person metric.

**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, including episodes of tightening and relaxing restriction, a process has been developed and updated as necessary to inform the request and approval of applications to resume research, which involves Department Heads, Deans (or their designates), and the Office of the Vice-President, Research and Innovation. The Research Safety Committee (RSC) plays an important role in assessing the request to resume research and related health and safety and physical distancing plans.

The application to resume research activities on campus or in the field 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 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. Under Phase 3, research will be approved on a case-by-case basis and will require a completed Request to Resume Research Phase 3 Form (See Appendix F). Researchers with an approved Phase 3 Research Resumption Protocol should use Appendix G to apply for off-campus field work or they can submit Appendix F and G together if they don't already have a Phase 3 approved project. Research that requires planned Breach of Physical Distancing should fill out Appendix I and submit this form with Appendix F. Finally, alterations of RSC approved protocols (Phase 1, 2 or 3) can be made by completing Appendix.

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 can be resumed safely. 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

Approved COVID-19 Safety Protocols must be printed out and included in the laboratory safety binder in each lab.

### **Safety Spot Checks and Implications for Non-Compliance**

Health and Safety conducts randomized checks of compliance of safety protocols including ensuring all occupants have completed a self-screening survey, are practicing physical distancing, wear personal protective equipment (PPE), respect room capacity postings and follow laboratory specific safety protocols identified in the laboratory safety binder.

- Health and Safety spot checks follow a predetermined schedule informed by spatial coverage of different buildings and laboratories approved for research use, degree of research activity and number of personnel tied to individual safety plans.
- As part of the safety inspection program, the Safety Auditor provides documentation of their daily inspection plan for buildings/rooms inspected and safety outcomes including identification of any rooms checked that were not occupied at the time of inspection.
- All observations of non-compliance observed by the Health and Safety spot check must be documented along with corrective actions. Corrective actions taken should scale with the degree of threat as identified below.
- Individual non-compliance observations follow the chain of communication for reporting: Health and Safety, VPRI, Faculty Dean, Department Head/Director and faculty member who controls the space in which the non-conformance was identified.
- Aggregate reports of non-compliance observations are submitted to RSC arranged by non-compliance type and degree of hazard without identifying individuals involved so that such events can inform best practices and subsequent safety protocol vetting.

In addition to Health and Safety spot checks, Deans, Associate Deans and Department Heads, or their delegates, are asked to conduct Spot Checks/Safety Audits. Observations of non-conformance by these individuals should be accompanied by corrective actions scaled according to the degree of risk associated with the observation. Corrective actions and higher risk events (beyond those involving education followed by immediate return to compliance by individuals involved) should be documented and communicated to Health and Safety so that it can modify its inspection schedule and provide further follow up as deemed necessary. Major infractions should follow the same chain of command identified above. Minor infractions should lead to notification of the faculty member who controls the research space in which the observation was made and a request that the faculty member engage with their approved personnel about safety protocols and safety protocol training.

Self-auditing is also recommended to be conducted by faculty. Faculty observing non-conformance of research personnel in their space should take immediate corrective actions commensurate with the level of risk observed. They should provide additional training and education of policies and procedures outlined in their Laboratory Safety Manual. Major infractions and/or failure of individuals to immediately comply should result in documentation of the event and communication to the Department Head/Director, Dean and Health and Safety.

Corrective actions vary and are scaled according to the risk of identified hazards.

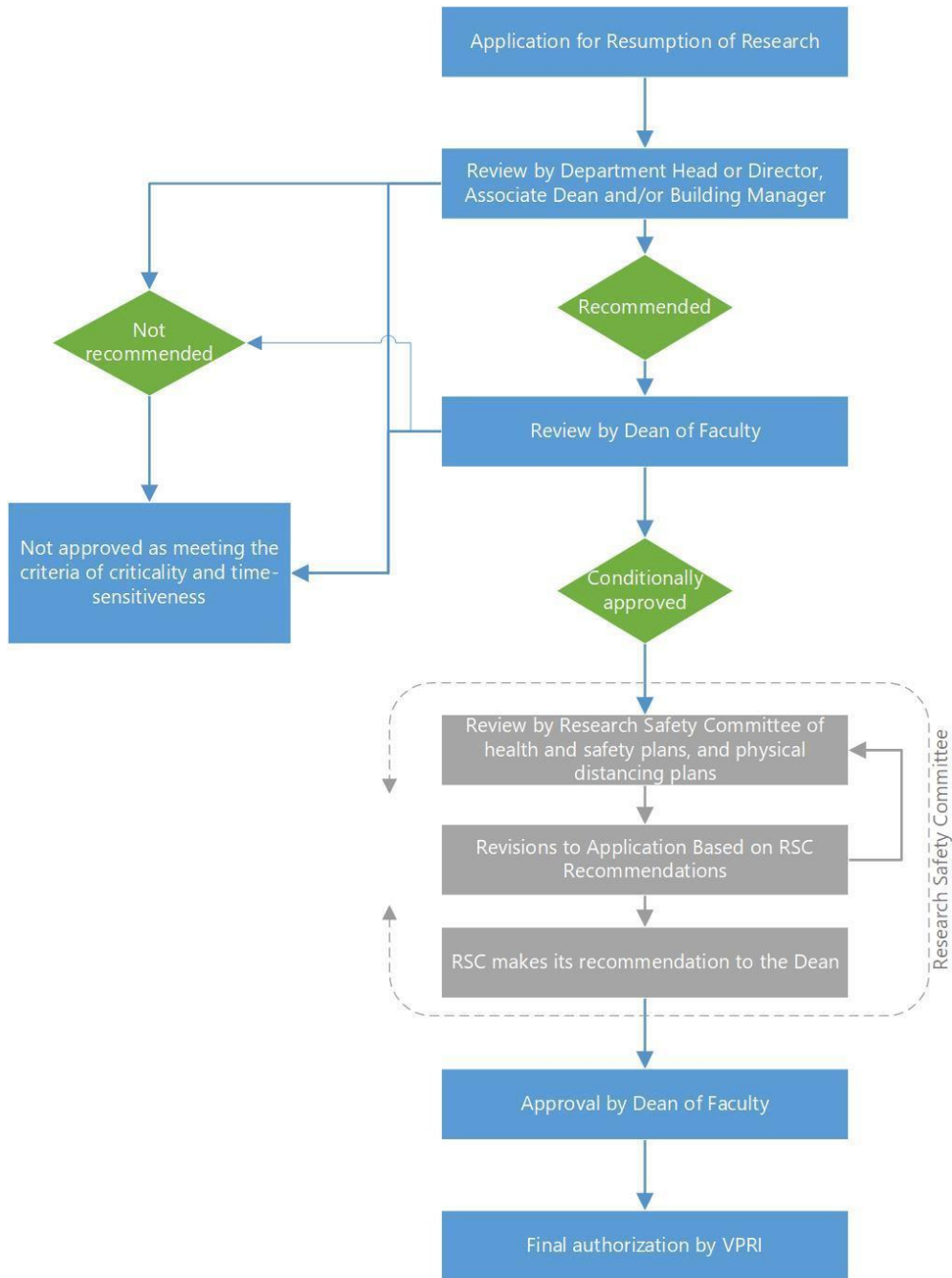
- Observed threats that present acute danger to occupants, e.g. witness of harassing behaviour, fire threats, gas/chemical leaks, tipping/trip hazards, other immediately identifiable threats with the potential to do harm, necessitate immediate containment of the problem or contact of emergency services including as required: Campus Police, CCC and/or other actions identified by UWindsor Safety Policies:
  - See Laboratory Safety Manual,
  - UW Harassment Policy,
  - Other applicable Safety Policy documents
- Individual refuses to comply with safety measure after being told to do so by Safety Inspector, Dean, Associate Dean, Department Head or faculty member. Safety Inspector or (other) contacts Campus Police to have individual removed from premise. Provides report of event and considers escalation of corrective actions as identified below.
- Repeated offences of same individual(s) or individuals from the same research laboratory group, refusal to comply with safety measure. Intervention by the Department Head and Dean with escalation of corrective activities as deemed fit. These may include among others as directed by the Dean and in more extreme cases agreed to by the VPRI:
  - require and document additional training activities of personnel involved;
  - increase rate of safety inspections of the research space
  - temporary or permanent removal individuals from approved personnel list on safety protocols and revoking of key fob access to building
  - reducing the capacity rating of rooms involved
  - require modification of an approved faculty safety protocol up to revoking or suspension of a safety protocol and preventing any access to the research space

### **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.
  - Zone and Flow Analysis provides the official documentation of room capacity ratings to ensure compliance with Local Health Unit, Provincial and Federal guidance. All approved safety protocols must adhere to posted room capacity ratings. Exemptions to room capacity ratings (usually temporary and under a planned circumstance) can be considered on a case by case basis with prior approval to Health and Safety. The Zone and Flow Analyses can also be updated in conjunction with changes to government guidance and through consultation with the Health Unit. Changes to Flow and Zone Analyses must be directed by the VPRI and completed by Facilities with oversight from Health and Safety. New room capacity ratings if altered from a change to the Flow and Zone analysis must be posted on rooms before the new capacity rating can be implemented.
  
- Adaptive Management of Best Practices in COVID-19 Safety Protocols. All researchers must adhere to the safety protocols outlined in their approved research resumption projects. However, it is acknowledged that during the pandemic, government guidance concerning public and institutional restrictions has undergone several cycles of both tightening and relaxing controls in conjunction with provincial and local community risk designation. RSC will take into consideration new best practices and guidance measures as they evolve. Researchers can seek changes to their safety protocols to meet these best practices by submitting a request to revise (RTR) of their approved projects (Appendix H). Such changes will be reviewed and vetted by RSC on a case by case basis and to ensure conformance for the current day best practices generated by the committee. Research protocols involving human participants requiring revisions will be reviewed by the REB upon approval from RSC.
- 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?
    - Ensure compatibility of safety standards related to training and research activities.
  
- 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

**This form should be used by faculty members whose Faculty Phase Designation is 1 or 2 or whose proposed research activity does not conform to Phase 3 Research Scope. Faculty members are encouraged to use Phase 3 Research Application Forms when their Faculty Phase Designation Status is at 3.**

<b>Principal Investigator Information</b>	
Name:	
Department:	Faculty:
Cell Phone (for emergency contact):	Email:
<b>Contact Information for Other Team Members Who Will Participate in the Research</b> <b>Include: Name; Department/School; Cell Phone (or other means of emergency contact);</b> <b>Email; Status (faculty/graduate student/staff)</b> (Ex: Name, Program, Phone #; Email: Position)	
1.	
2.	
<b>Title of Project or Description of Research Activity:</b>	
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). Breach of Physical Distancing can only be permitted if it is planned, controlled, uses appropriate personal protective equipment and is time limited. Breach of Physical distancing requires prior approval and inclusion in research safety protocols. If indicating Yes above, the PI is directed to fill out the Breach of Physical Distancing Appendix and include it with this application.

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 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? *If the Faculty Phase Designation is not in Phase 3, and/or the nature of the proposed project does not fit within a Phase 3 research scope (e.g. non-field off campus research) then safety protocols are vetted on a project by project basis and informed by the time sensitivity of the research itself.*

Does the proposed activity involve undergraduate students? If yes, please verify with your dean if such activity is allowable (e.g. some Faculties require undergraduate students be registered in research thesis/research experience course, internship, employed as a research assistant or other condition to participate in research activities).

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 (Biohazard, Radiation, Laser Use):

Does the proposed research require Ethics or Animal Care Approval? (Please note that Ethics and Animal Care have modified terms of reference under COVID-19 and special operational procedures. REB and ACC should be consulted to ensure that projects approved prior to COVID-19 are consistent with current operational protocols).

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.

*Approvals*

**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 Safety Protocol 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:**

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**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?

*Breach of physical distancing is defined when two or more individuals come into close proximity (< 2m). Breaches of physical distancing are not allowed without prior approval by research safety committee. Please fill out the Breach of Physical Distancing Appendix if there will be any planned breaches and submit it with this application.*

- 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 utilized to protect the worker? (UWindsor policy states that all research personnel must wear a face mask for entry and in common areas of buildings and a medical-grade 3-ply procedural mask and eye protection when more than one individual occupies the same research space). Please comment on provisioning of required PPE and availability to research personnel.

*Please note that if N95 respirators are available for research applications that require enhanced level of protection to aerosol contaminants, biosafety, some animal care situations, or used in conjunction with approved planned Breach of Physical Distancing involving more than 15 minutes contact time. Individuals requiring N95 respirators must have been fit-tested as arranged by CCC or certified fit-testing operator. N95 respirators can be requested from CCC following documentation of their required use in RSC-vetted safety protocols.*

#### 5. Entry & Exit Procedures

- Please refer to the Zone and Flow analysis (if available). If a Zone -and-Flow analysis has not yet been completed for on campus research space then consult with your Dean and Health and Safety regarding completion of a Zone-and-Flow analysis for the identified space.
- If the proposed activities will occur indoors at a location off-campus please refer to and append relevant COVID-19 Safety Documentation from the off-campus building manager/organization and letter of invitation from the external organization.
- 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 should be minimized as much as possible and must adhere to posted capacity ratings identified by the Zone-and-Flow Analysis. 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)
- Note temporary exceptions to the Zone-and-Flow Analysis Room Capacity rating may be sought by obtaining prior approval from Health and Safety and following any additional recommended safety protocols suggested.

## 7. COVID-19 Screening

- UWindsor Policy requires all individuals accessing campus to fill out the Safe Lancer App Covid-19 Self Screening Survey or paper-copy equivalent. Please indicate how you will monitor the use of this screening tool and, if the research will utilize other screening tools, such as those required by REB for human participants. Please describe how you will document and log this information for future referral if required.
- Please describe the protocols to be used and reporting procedures for those who do show signs or symptoms of COVID-19.

## 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 ft<sup>2</sup> or 1 person/11 m<sup>2</sup>), 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 proved at the bottom of the Table.

<b>Category</b>	Urgency/Impact Score: Low (1), Med (2), High (3)
<p><b>Urgency and Time Sensitiveness</b> Points to Consider for this ranking:</p> <ul style="list-style-type: none"> <li>-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</li> <li>-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</li> </ul>	
<p><b>Impact on Collaborators</b> Points to Consider for this ranking:</p> <ul style="list-style-type: none"> <li>-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.</li> </ul>	
<p><b>Funding Agencies Timelines and Deliverables</b> Points to Consider for this ranking:</p> <ul style="list-style-type: none"> <li>-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.</li> </ul>	
<p><b>Impact on Physical and Economic Health of Community</b> Points to Consider for this ranking:</p> <ul style="list-style-type: none"> <li>-Is the research directly related to the COVID-19 Pandemic? (Score 3)</li> <li>-Would delay in research activities impact ability of the community/partners to deliver health services? (Score 2-3 dependent on urgency)</li> <li>-Would delay in research activities result in direct economic losses to the community? (Score 2-3 dependent on economic impact)</li> <li>-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)</li> </ul>	
<p><b>Number of Personnel and Contribution to Student Training</b> Points to Consider for this ranking:</p> <ul style="list-style-type: none"> <li>-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</li> </ul>	

<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        , 2021.

\_\_\_\_\_  
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 \_\_\_\_\_, 2021.  
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 \_\_\_\_\_, 2021.

---

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” - Request for Resumption of Research Phase 3 Research Program Form

Please complete and submit the Plan to your Department Head/Director. Once approved, the Head/Director should forward the application to the Dean/Associate Dean. Once approved, Dean/Associate Dean should forward to the Research Safety Committee. After the Research Safety Committee approves, the Dean will give their final approval, followed by the VPRI’s authorization. The research can begin after receiving the VPRI’s authorization.

This form is to be completed by each faculty/researcher to document their lab’s health and safety plans (including capacity and physical distancing) to support resumption of research activities in Phase 3.

**Name of Faculty/Researcher:** \_\_\_\_\_

**Department:** \_\_\_\_\_

**Faculty:** \_\_\_\_\_

### General

**Building and room number(s) of lab:** \_\_\_\_\_

**Names of lab members who will need access to my lab:** \_\_\_\_\_  
\_\_\_\_\_

- I will be using dedicated lab space solely under my control.
- I will be using dedicated limited access lab space shared with another/other researchers. If so, please list the building and room numbers of shared space: \_\_\_\_\_
- I will be using multi-faculty shared facilities and common access areas (e.g. CORE or Central Facilities). If so, please list the building and room numbers for the multi-faculty shared facilities and common areas: \_\_\_\_\_
- In addition to the lab-based research described on this form, I wish to conduct field-based research in the coming months. For each field-based project, I acknowledge that I will complete a Resumption of Research Request form (used in Phases 1 and 2) and submit it to my Department Head / Director.

### **I declare the following:**

- 1) I and my research group will adhere to the room capacity limits posted on rooms as established by the Zone and Flow analysis, follow directional flow indicators and use marked room entrance and exits as posted.
- 2) I have \_\_\_\_ personnel (Y) who require access to lab facilities under my control and \_\_\_\_ personnel (Z) who will be accessing shared areas.
- 3) If the total personnel exceeds the total capacity across my approved rooms, my plan for ensuring physical distancing measures is met as follows:
  - (i) prioritize who is accessing my space based on research project needs and timelines;
  - (ii) scheduling who accesses the lab and types of tools that will be used.

### **Additionally, I declare the following:**

- I have discussed with members of my lab all health and safety requirements ([www.uwindsor.ca/returntocampus](http://www.uwindsor.ca/returntocampus)), as well as organized and coordinated their work schedules in their lab spaces to conform with these requirements.
- I have discussed with members of my lab that if any part of the research can be performed away from campus,

including computing, literature review, and writing of manuscripts or thesis, it should be done at home rather than on campus.

- I have instituted a system of everyday reporting to me that each member of my lab will enter their times in the lab and with whom they have come into contact during the time they are at the University; this information will be invaluable for contact-tracing, should this become necessary.
- I confirm that all members of my lab have been informed of their rights of opting not to be conducting research during the COVID-19 pandemic and that they are doing so on their own choosing. Each personnel will sign the acknowledgement form prior to commencing research.
- I confirm that I have established a plan with members of my lab to quickly scale back or suspend research activities, if so required by the University in accordance with Public Health directives.
- I will ensure that all lab members conform with health and safety protocols ([www.uwindsor.ca/returntocampus](http://www.uwindsor.ca/returntocampus)) and that they have access to personal protective equipment (PPE).
- I acknowledge that non-conformity or infraction may lead to the University revoking my research operation until the COVID-19 pandemic is over.

**I have reviewed the following with each member of my research team:**

- All personnel are to stay home if sick. If anyone is showing any symptoms of COVID-19, they are not to work, but rather self-isolate at home and consult their health-care providers. All members are to keep a log of each of their self-screening surveys and remit this information to myself once every week. They will also consult UWindsor’s “Health and Safety Guidelines for the Return to Campus” as well as associated documentation and forms on the UWindsor Website ([www.uwindsor.ca/returntocampus](http://www.uwindsor.ca/returntocampus)) once a week in order to be cognizant of the University’s latest updates.
- Strict hygiene measures, including avoiding touching the face, frequent handwashing, and good respiratory etiquette are to be followed. Handwashing should be performed on each entry and exit of a building or a lab.
- Straight observation of the lab area’s maximum capacity. Physical distancing (2-m separation) is to be followed.
- Masks must be worn in all common areas (including hallways, washrooms, etc.). Masks must also be worn in the lab when other personnel are present. A different mask should be worn in hallways and common areas than the mask that is donned in the lab.
- I am to be informed immediately, if there is suspicion of contravention to any of the above, so that corrective actions can be taken as soon as possible.

**Lab Space**

The approved/posted Health and Safety room capacity rating across all rooms being accessed is: \_\_\_\_\_

Please provide a sketch using the space below, or provide a printed figure, that details how you have arranged the work area of each lab member denoting physically distanced workspaces for each personnel. Note large pieces of equipment or obstructions in the lab that might reduce its capacity to hold the above number of personnel.

**Office Space and Common Areas**

- I acknowledge that I will be available physically or electronically (via email, messaging and/or other platforms) when experiments are ongoing for supervision and consultation should issues arise. I am also committed to provide timely supervision and perform periodic safety checks of ongoing research work being performed by lab members. Personnel who have shared office space will not be accessing their normal office for depositing personal items or for performing computing operations. Instead, a designated area for depositing personal items will be made available in the designated laboratory space.

- I acknowledge that common areas, such as eating areas and refrigerators used to store food, will not be used during the COVID-19 pandemic. My lab members will exit the building or go to Faculty designated area(s) in order to consume bagged lunches in a manner that observes physical distancing and all other health and safety requirements.
- I agree to follow the instructions provided by my Dean about where food can be consumed and where breaks can be taken.

**Physical Distancing**

The number of research team members (faculty, staff, students, etc.) who access spaces at any time must be minimized to ensure all individuals can continue to practice physical distancing. Describe how you have used the strategies below to minimize people within your lab.

**Include lab member names as appropriate.**

	<b>Strategy</b>	<b>Detailed description</b>
<input type="checkbox"/>	Shared electronic calendar available to facilitate coordination of schedules between personnel using the same space. <i>Identify specific methods e.g. Teams, One Drive, Google Calendar etc.</i>	
<input type="checkbox"/>	Shifts staggered	
<input type="checkbox"/>	Lunch and break times staggered	
<input type="checkbox"/>	Use of common equipment coordinated to avoid multiple people using at a given time	
<input type="checkbox"/>	Teams of personnel who will work at one time have been created to minimize the numbers of discrete contacts with different individuals and limit the impact in the event of a COVID positive case, while also minimizing working alone situations.	
<input type="checkbox"/>	Visual markings in labs have been added to indicate minimum physical distancing	
<input type="checkbox"/>	Equipment has been relocated where possible to support physical distancing requirements	
<input type="checkbox"/>	Workstations have been reconfigured to support physical distancing	
<input type="checkbox"/>	Workstations have been dedicated to one person at any given time	
<input type="checkbox"/>	Uni-directional workflow has been established within lab and labelled accordingly (i.e. one-way paths for movement within the space)	
<input type="checkbox"/>	Other (explain)	

If there are scenarios where working alone will be required, identify how these will be managed, ensuring that the lone worker will report at the start and end of each shift: \_\_\_\_\_

**Hand Washing and Sanitization**

	<b>Action</b>	<b>Comments/Description</b>
<input type="checkbox"/>	Handwashing soap and paper towels and/or an appropriate alcohol-based hand sanitizer (>60%) are available and supplies are adequate.	
<input type="checkbox"/>	Expectations for handwashing/sanitizing have been reviewed with personnel. <i>Describe expectations.</i>	
<input type="checkbox"/>	Disinfectant for use on equipment, tools and high-touch surfaces (e.g. faucets, door handles, bench/desktops, etc.) is available and supplies are adequate. <i>Indicate disinfectant(s) to be used.</i>	
<input type="checkbox"/>	Procedure developed and communicated to research team for sanitization of equipment and high-touch surfaces in the lab at the beginning of use and before the end of use on a given day, or before its use by another individual.	

Note: Building infrastructure external to the lab, including elevators, corridors, door handles and other high-touch surfaces, will be cleaned twice daily by custodial staff.

**Personal Protective Equipment**

	<b>Action</b>	<b>Comments/Description</b>
<input type="checkbox"/>	The lab maintains a supply of appropriate PPE for research activities.	
<input type="checkbox"/>	All members are aware of the locations of the PPE and have ready access to them.	

**Inability to Maintain Physical Distancing**

Are there scenarios where personnel will be unable to maintain a physical distance of 2 m?

Yes  No

If yes, describe:

What additional precautions, in addition to the wearing of non-medical masks, will be practiced to minimize inadvertent contradiction of physical distancing (if any):

**Other**

Please provide any additional information not captured in the above that you would like to share:

**Other Research-Related Requirements**

- I acknowledged that the full range of services desirable for research will not be available during the COVID-19 pandemic; however, the following will be required:
- My research personnel will need to order / receive shipment of supplies and consumables once every \_\_\_\_\_ week.
- My research team will need access to the following research facilities not covered above \_\_\_\_\_ once every \_\_\_\_\_ week.
- My research team will need access to the following offices and services that are not covered above:  
\_\_\_\_\_

**Research Resumption Plan submitted by:**

\_\_\_\_\_  
Faculty Name

\_\_\_\_\_  
Faculty Signature

**Approved by:**

\_\_\_\_\_  
Dean or Associate Dean Name

\_\_\_\_\_  
Dean or Associate Dean Signature

\_\_\_\_\_  
Research Safety Committee (RSC) Chair

\_\_\_\_\_  
RSC Chair Signature

**Final Approval by:**

\_\_\_\_\_  
Dean or Associate Dean Signature

\_\_\_\_\_  
Date

**Authorization by:**

\_\_\_\_\_  
VPRI Signature

\_\_\_\_\_  
Date

## Appendix “G” - Request for Resumption of Field Research Phase 3 Form

Please complete and submit the Plan to your Department Head/Director. Once approved, the Head/Director should forward the application to the Dean/Associate Dean. Once approved, Dean/Associate Dean should forward to the Research Safety Committee. After the Research Safety Committee approves, the Dean will give their final approval, followed by the VPRI’s authorization. The research can begin after receiving the VPRI’s authorization.

This form is to be completed by each faculty/researcher who wishes to engage in outdoor, off-campus research activities in support of an approved Phase 3 Research Resumption Program. The intention of this application is to facilitate low risk outdoor research activities that are free of breaches in physical distancing to make observations and collect data in conjunction with a PI’s Phase 3 research program. Off-campus activities that involve indoor work in a different institution, in-person human participant-based research, research that will require breach of physical distancing or travel outside of Canada should use the Phase 2 Research Resumption Application Process. Please use multiple applications of this form for different field teams engaged in different types of field activities.

### Section i: General Information

Name of Faculty/Researcher: \_\_\_\_\_

Department: \_\_\_\_\_

Faculty: \_\_\_\_\_ Approved Phase 3 Protocol #: \_\_\_\_\_  
(RSC Protocol Number)

### Section ii: Field Research Participants

#### **1) Names of lab members/personnel, and their respective role, who will engage in field work:**

*(The identified lab members should already be listed on your approved Phase 3 Research Resumption protocols, otherwise submit a Request-to-Revise form to add new members to your Phase 3 Research Program in conjunction with this application. Roles might be listed as “Principal Investigator” or “Graduate Researcher” or “Research technician”.)*

#### **2) Among personnel identified in Question 1, will there be separate groups or field teams that work independently of one another? Yes No (All Personnel Work Together)**

*(Where possible Field team membership should remain consistent so as to limit contact exposures across all personnel working*

*in a lab. Please list the field team memberships if you answered YES above.)*

**Section iii: Travel Information**

**3) Location(s) of proposed research activity:**

*(Please include all prospective nearest city/county, province, waterbody, park system ect to be visited as part of this*

*application).*

**4) Brief description of proposed field-based research activity:**

**5) Relative COVID-19 risk status of the area of proposed research activity.**

*(For travel within Windsor-Essex please indicate Windsor-Essex above; For travel within the Province of Ontario indicate its current Local Pandemic Colour-Status; For travel outside of Ontario indicate within Canada and provide the internet address to the nearest Health Unit or equivalent for the proposed study sites. Please also comment if there are travel restrictions, specific travel requirements (e.g. need for COVID-19 testing prior to air travel) or any other health restrictions or requirements (e.g. need for community notification or permission, ect) related to travel to the proposed to travel to location.*

**6) If travel occurs outside Windsor-Essex to a location with a higher Local Pandemic Risk Status the field team will be advised to self-isolate and will refrain from coming to campus for a period of 2 weeks after their return.**       Yes                       No

*(If No explain why not and counter measures taken such as COVID-19 testing used to shorten the isolation period).*

**7) Field work duration is:**       1 day or less                       Multiple days \_\_\_\_\_  
*(duration in days)*

**8) Method of Travel Involves: (Click all that apply)**

- Automobile       Taxi       Train       Airplane  
 Watercraft       ATV       Other \_\_\_\_\_

**9) Does travel involve multi-person occupancy in a vehicle(s):**       Yes       No

If yes, answer the following (8a -8d):

**9a) Number of occupants in a single vehicle/watercraft at a time (indicate all vehicle type(s) where multi-person occupancy will occur).**

**9b) Vehicle/watercraft size and spatial arrangement of occupants to maximize physical distancing**

**9c) Use of personal protective equipment (masks and eye protection) while present in vehicle(s)**

**9d) Other safety measures applied while multiple occupants are in vehicle(s), e.g. ventilation, turning off air-recirculation, etc. to limit COVID-19 exposures.**

**10) Field team members will keep a log of all places, dates/times stopped during travel to field location (gas stations, drive-through eateries etc..)**       Yes       N/A



**11) Field team members will stay at a hotel/motel for multi-day travel)**

- Yes  Not Applicable

*Please note that RSC does not recommend staying with family/friends or Airbnbs during the pandemic because they are not regulated for cleaning and sanitation in the same manner as commercial establishments. All overnight stays while on travel should be at a regulated accommodation establishment.*

**12) Field team members will stay at field site overnight(s) in shelters of type:**

- Tents  Trailer(s)  Field Station Housing  Other  
 Not Applicable

**Briefly explain how physical distancing will be maintained at on-site accommodations (e.g. separate shelters, kitchen access, eating areas ect.)**

**Section iv: Field Health and Safety Information**

**13) The proposed outdoor field work involves anticipated breach of physical of distance between team members. Breach of Physical distancing occurs when two or more individuals come into contact (<2 m distance) under circumstances where the contact is not pre-planned, controlled, monitored, having appropriate PPE and timed/logged by a senior personnel for each interaction.**

- Yes  No

*If Yes, then the PI should fill out a Phase 2 Research Resumption request instead of this form.*

**14) All field personnel will complete the Safe Lancer App when in the field and send the results to their PI.**

- Yes

**15) All field personnel will adopt a notification system with the PI or a designated Field Safety Coordinator to indicate date/time of entry into field and return from field location.**

- Yes

**15a) Please specify the contact person and contact information of the PI or Field Safety Coordinator.**

**16) Field teams will consume self packed lunches (for day trips) and keep lunches separated from other team members.**

- Yes  No  Not Applicable

**17) The PI has secured permission from land owners, park administrators ect. to access site(s)**

- Yes  No  Not Applicable

18) Field team members have been trained on field safety protocols prior to entering the field and senior field personnel will review major hazards, risks and emergency safety gear/communication devices with personnel (i.e. tool box chats) before entering the site.  Yes

19) Field team members have access to the following communication devices during field activities

Cell Phone       VHF Radio       Satellite Phone       Other \_\_\_\_\_

20) For sampling on or near water, the field team will consist of at least 2 individuals and appropriate safety items (waders, personal flotation devices, throw line) will be brought to location.

Yes       Not Applicable

21) For research on watercraft, the PI acknowledges that the research vessel has been recently inspected for seaworthiness and contains all of the legally required safety equipment.

Yes       Not Applicable

22) Field team members will use a procedural mask and eye protection for all field activities where more than one person is present outside at distances less than 2 m:  Yes

23) Field team members will adopt hand sanitization protocols before/after entering/exiting vehicles and regularly during field measurements:

Yes

24) Field team members will adopt safe sample transfer protocols and equipment disinfection to avoid breach of physical distancing when transferring equipment/samples between team members.

Yes       No (Provide details in text box below)       Not Applicable

**Section v: Required Permissions**

25) This research requires ethics or RSC safety certification (ACC, REB, Biosafety, Laser, Radiation Safety)

Yes       No

25a) If yes, identify all applicable approved ACC/REB or Safety Certificates or indicate if application is pending review :

26) This research will return samples to the University of Windsor  Yes       No

26a) Samples will be disinfected and labelled prior to storing on campus  Yes

**26b) Sample storage location (building, freezer area):**

**26c) For team members returning to self-isolation, how will samples and equipment be transferred to University of Windsor? Please identify safety measures taken.**

**27) Please identify any other issues related to health and safety pertaining to COVID-19 or other field safety procedures in place that have not been identified on this form.**

**28) If field personnel working at an on-site facility with their own COVID-19 safety protocols in place, please send a copy of their covid-19 guides or protocols to RSC with this application.**

**Phase 3 COVID-19 Field Work Safety Protocol Plan submitted by:**

\_\_\_\_\_  
Faculty Name

\_\_\_\_\_  
Faculty Signature

**Approved by:**

\_\_\_\_\_  
Department Chair

\_\_\_\_\_  
Dept. Chair Signature

\_\_\_\_\_  
Dean or Associate Dean Name

\_\_\_\_\_  
Dean or Associate Dean Signature

**Final Approval by:**

\_\_\_\_\_  
Dean or Associate Dean Signature

\_\_\_\_\_  
Date

**Authorization by:**

\_\_\_\_\_  
VPRI Signature

\_\_\_\_\_  
Date

**Appendix “H” - Request for Revise for Approves Research Safety Protocol (Phase 1, 2 or 3)**

**REQUEST TO REVISE Application for Approved Phase 1, 2 or 3 COVID-19 Safety Protocols  
Updated: July 1, 2021**

Please fill out this form, attach your previously approved RSC Phase 1, 2 or 3 Project with the highlighted changes and send to your Department Head and Dean. Please only describe the changes made to the previously approved safety protocol on this form.

If your request to revise entails major changes to the nature of your work or major changes to the approved safety appendix, then please fill out a new application and submit to your Department Head for approval.

<b>Principal Investigator Information</b>	
Name:	
Department:	Faculty:
Cell Phone (for emergency contact):	Email:
<b>Title of Project or Description of Research Activity:</b>	
<b>Please list the detailed information below of the information which you wish to revise:</b>	
<b>Personnel:</b>	
<b>Location:</b>	
<b>Start or end date:</b>	
<b>Additional details of changed protocols:</b> <i>Refer to RSC appendix/annex sections #1-13, identify which section is changing and a description of the revisions:</i>	

<p>Please attach the previously approved Application for Critical and/or Time-Sensitive Research and 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. Please highlight any changes made.</p>
<p><i>Approvals – please either sign or send via an email chain with all approvals.</i></p>
<p><b>Recommendation by Department Head/Director/Associate Dean (if applicable) and date approved:</b></p>
<p><b>Recommendation by Building Manager (if applicable) and date approved:</b></p>
<p><b>Approval by Dean (or designate) and date approved:</b></p>
<p><b>Recommendation by the Research Safety Committee (RSC) and date approved:</b></p>

## Appendix “I” - Breach of Physical Distancing Appendix

### Breach of Physical Distancing Protocols

Use this form if your protocol will require Breach of Physical Distancing during the implementation of your research. This form should accompany New COVID-19 Research Resumption Applications (Phase 2 or Phase 3 or Field Safety Forms) or a Request To Revise of an Approved RSC COVID-19 Protocol that will add Breach of Physical Distancing into the modified protocols.

**Breach of Physical Distancing** occurs when two or more individuals come in close contact (< 2 m) with one another. Breach of physical distancing should be avoided as much as possible. However, when breach of physical distancing is necessary to conduct research, RSC can approve breaches that are Planned, Controlled, Use Personal Protective Equipment (PPE) and are Time Limited.

- Planned
  - Breaches are scheduled ahead of time and all individuals involved in the planned breach are made aware of the safety procedures associated with the breach
- Controlled
  - One individual or an observer is given responsibility to manage the breach, ensure safety procedures are met, time the event and log the event
- Personal Protective Equipment
  - Each individual must have medical grade surgical mask and eye protection (safety glasses, safety goggles or face shield). Enhanced PPE may be required as an added safety measure when breaches exceed 15 minutes total duration.
- Time Limited
  - The maximum time of breach is determined before hand and the contact is discontinued after the pre-determined time. As a first principle, RSC requests that all planned breaches are limited to <15 minutes cumulatively experienced by an individual over 24 hours. Where breaches exceed 15 minutes, special safety procedures are required. See “Guidelines to mitigate COVID-19 Risks during planned breach of physical distancing exceeding 15 minutes” for further guidance.

For more information, please consult “*Guidelines to mitigated COVID-19 Risks during planned breach of physical distancing exceeding 15 minutes*”.

Please provide as many details as you can regarding planned Breach of Physical distancing in the spaces below.

#### **Section i: General Information**

Name of Faculty/Researcher: \_\_\_\_\_

Department: \_\_\_\_\_

Faculty: \_\_\_\_\_ Approved RSC Protocol #: \_\_\_\_\_  
(*RSC Protocol Number*)

#### **Section ii: Locations where Planned Breach will Occur**

Building: \_\_\_\_\_ Room(s) #: \_\_\_\_\_

Off Campus Location?  Yes  No

---

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**Section iii: What UW personnel will be involved in planned breaches?**

- Faculty     UW Staff     Post Doctoral Fellow     Graduate Student     Research Assistant  
 Undergraduate Student     Other \_\_\_\_\_

**1) Names of lab members/personnel who will be involved in planned Breach of Physical Distancing:**

*(The identified lab members must already be listed on your Research Resumption protocols, otherwise submit a Request-to-Revise form to add new members to your existing Research Program in conjunction with this application.)*

**2) Among the personnel identified in Question 1, or if using a 3<sup>rd</sup> party observer(s) not involved in the breach, who will given primary responsibility for observing and controlling the breach?**

**3) Will the maximum duration of the breach exceed 15 minutes?**     Yes     No

*The maximum duration refers to the total cumulative time of physical breach experienced by an individual over a 24 h period. \*\*\*Breach of Physical Distancing exceeding 15 minutes is considered High Risk, please consult “Guidelines to mitigated COVID-19 Risks during planned breach of physical distancing exceeding 15 minutes” for additional safety measures required when planned breaches exceed 15 minutes cumulative duration. If you indicate Yes, be sure to fill out Section ix of this appendix.*

**Section iv: Human Participants**

**4) Will planned Breaches involve human participants?**     Yes     No

*(If Yes fill out 3a-3j; if No proceed to Question 4)*

**4a) Cleared REB Protocol:** \_\_\_\_\_  In Development.

*(All research involving human participants must obtain Ethics clearance prior to implementation. If you are adding new protocols and safety conditions related to human participants with this form to an existing REB project, you must submit a request to revise your REB protocol after RSC approval of safety protocols). Please see the mandatory COVID19 consent amendment that must be used with all human participants involved in face-to-face in-person data collection which involves breach of physical distancing either on or off-campus. The form is attached to at the end of this appendix.*

**4b) How many participants in total will be recruited for the study?** \_\_\_\_\_



4c) How many participants (3e) will be involved in Breach of Physical Distancing? \_\_\_\_\_

4d) How many participants will access UW campus on a given day ? \_\_\_\_\_

4e) Where will the participants be recruited from?

- UW Faculty/Staff    UW Graduate Students    UW Undergraduate Students  
 Windsor-Essex Community    Other \_\_\_\_\_

4f) Are participants at special risk for COVID-19 transmission?    Yes    No

*I.e. based on age demographics, immunocompromised individuals or other features that make them more vulnerable compared to the general population?*

4g) How will participants be informed of safety procedures involving Breach of Physical Distancing?

*Briefly explain the approach to participant training*

4i) How will participants gain access to UW building?

*i.e. will participants be met at building entrance and guided to the research room? Will they be escorted out of the building afterwards?*

4i) What steps will be taken to ensure participants do not come in contact with one another prior to testing?

*i.e. will participants be scheduled at different times? Will there be waiting facilities to accommodate multiple participants? If so how will they be kept physically distanced, will this be monitored, what are the cleaning procedures for seats in waiting areas etc. Note that RSC encourages placing limits on the number of participants observed in a day in order to reduce cumulative duration of breach of physical distancing to research personnel.*

4j) How will PPE be provided to participants?

*The PI is responsible for dispersing required PPE to the participant. Please describe where and when the PPE will be dispersed, e.g. at the building entrance, prior to entry into the laboratory ect.*

**Section v: Planned Breaches**

**5) Describe the procedures associated with the planned physical distancing breaches and nature of between-individual interactions.**

*(Use this space to describe the main purpose of the planned breach, whether or not the individuals come into physical contact with one another and the major steps of the process).*

**6) Describe how you will schedule the planned breach of physical distancing events**

*How will individuals be notified of the planned breach beforehand? Will anybody else be notified ahead of time of the scheduled breach? E.g. PI notification in addition to research personnel controlling the breach, Faculty or central facility managers who have access to the shared space, Dept. Heads or other.*

**7) Describe how you will review safety procedures with individuals prior to initiating the breach event.**

**Section vi: Duration of Physical Distancing Breach**

**8) What is the maximum duration of planned breach of physical distancing experienced by any individual over a 24 h period? \_\_\_\_\_**

**9) Will all individuals identified in this document experience the maximum breach duration or only a subset?**

- Yes       Only a subset of individuals experience the max breach time

**10) How did you arrive at this duration(s) estimate?**

*Please outline any and all steps taken to minimize the total duration of breach of physical distancing.*

*What fraction of the listed personnel have breaches over 15 mins vs less than 15 minutes? Please list each personnel (or groups of), durations and efficiency steps taken.*

**Section vii: Controlling the Breach**

**10) How will the breach of physical distancing event be monitored?**

*A designated personnel in charge of monitoring the breach should ensure that safety procedures are being maintained, they should time the interaction and they should halt the interaction in case of failure to comply with safety or exceeding the maximum allowable time of the breach*

**11) How will each breach of physical distancing event be logged?**

*A logbook should be maintained to indicate date and time of breach event, individuals involved in the breach and total time of the breach. For breaches involving participants, additional measures protecting participant privacy information may be required as informed by the REB. Please add additional details to be logged for enhanced safety measures in cases of Breaches exceeding 15 minutes, e.g. logging of WECU community local statistics of Covid-19 7 day average case rates and RO <https://www.wechu.org/cv/local-update> as described in Section ix).*

**12) What is the intervention procedure should a breach of physical distancing event need to be terminated?**

Describe signalling procedures (e.g. timer alarm), visual signal by observer to break contact or other command

**Section viii: Personal Protective Equipment (PPE) and Hygiene Measures**

**13) What types of Personal Protective Equipment will be used by individuals involved in the breach?**

*(UW Health and Safety policy requires any individuals in a shared research space wear 3-ply medical grade mask and eye protection. Planned breaches <15 minutes can use this minimum PPE. Breaches exceeding 15 minutes should consider enhanced PPE as recommended by “Guidelines to mitigate COVID-19 Risks during planned breach of physical distancing exceeding 15 minutes”).*

**14) Will N95 Respirators or Equivalent Be Used?**       Yes       No

*(Note that individuals using N95 Respirators as required PPE MUST be fit tested. Fit testing can be pre-arranged through CCC or through a certified fit testing agency. Copies of documentation of fit testing completion should be held by the PI). See also Section IX for enhanced PPE measures used when Breach of Physical Distancing exceeds 15 minutes.*

**15) It is the PI’s responsibility to ensure access of all individuals to required PPE whether they are research personnel or participants.**       I Agree

**16) Individuals involved will practice hand sanitation prior to planned breach:**       Yes

**17) Touched items will be disinfected following the breach with approved disinfection agent:**       Yes

**Section ix: Enhanced Safety procedures**

Use this section to describe enhanced safety procedures for planned breach of physical distancing exceeding 15 minutes cumulative duration over a 24 h period. Please see “Guidelines to mitigate COVID-19 Risks during planned breach of physical distancing exceeding 15 minutes” for further guidance. The number of safety procedures implemented should scale with the duration of the planned physical breaches. Choose more than 1 moderate or a highly effective mitigation strategies as appropriate.

<b>Safety measure implemented</b> *Must pick more than 1 moderate and at least 1 highly effective strategy.	<b>Yes</b>	<b>Moderately Effective Measures Implemented</b>	<b>Yes</b>	<b>Highly Effective Measures Implemented</b>	<b>Description of Safety Measure Implementation</b>
<b>Restriction of Vocalization During Planned Breach</b>	<input type="checkbox"/>	<i>Individuals remain silent during breach of physical distancing. Vocalization only takes place when 2 m distant.</i>	<input type="checkbox"/>	n/a	
<b>Enhanced Air Flow of Room</b>	<input type="checkbox"/>	<i>The air exchange range in the room is tested by UW Technical staff to meet standards. The room has windows that can be opened and are opened during the day of planned breaches. Please explain details of air flow management below</i>	<input type="checkbox"/>	<i>Installation of HEPA air filters with sufficient duty cycle to accommodate testing room. Please provide details of consultation with UW staff regarding the types of filtration infrastructure involved and other details i.e. placement of filters etc.</i>	
<b>Enhanced PPE</b>	<input type="checkbox"/>	<i>One of two individuals wears an N95 respirator (or equivalent) and is fit tested, the other individual wears a surgical mask. Both individuals wear full face shields or safety goggles.</i>	<input type="checkbox"/>	<i>All individuals wear an N95 respirator (or equivalent), are fit tested and wear eye protection</i>	
<b>Verified vaccination status</b>	<input type="checkbox"/>	<i>Partial: All individuals have completed at one 1 dose or mixed 1 and full vaccination status among individuals. Documentation of vaccination status of UW personnel needs to follow UW policy for soliciting and housing private medical information. Documentation of participant vaccination status needs to follow REB protocols.</i>	<input type="checkbox"/>	<i>Full: All individuals have completed at full vaccination dose followed by 2 week period following the last dose. Documentation of vaccination status of UW personnel needs to follow UW policy for soliciting and housing private medical information. Documentation of participant vaccination status needs to follow REB protocols.</i>	

<b>Negative COVID-19 Test Results</b>	<input type="checkbox"/>	<i>All individuals involved in breach have received a negative COVID-19 test result within 3 days of the planned breach.</i>	<input type="checkbox"/>	<i>All individuals involved in breach have received a negative COVID-19 test result within 24 h of the planned breach.</i>	
<b>Covid risk</b>	<input type="checkbox"/>	<b>Low Community COVID Risk:</b> <i>The seven-day average incident rate of new cases is less than 40 cases and the RO is less than 1 on the day of the planned breach. The community COVID status should be logged in the breach log for the day of the event. The planned event should be cancelled if the low community risk standard is not met. Please refer to the WECHU website to document local case data: <a href="https://www.wechu.org/cv/local-updates">https://www.wechu.org/cv/local-updates</a> (See local dashboard screens: Cases by date (page 1 of 11) and Effective Reproduction Number of COVID-19 infection in Windsor and Essex County; Page 8 of 11).</i>	<input type="checkbox"/>	<b>Self-isolation of individuals prior to planned breach:</b> <i>All individuals involved in breach have self-isolated for two weeks prior to the planned breach of physical distancing</i>	

Other “effective” safety procedures implemented and not listed above:

**Breach of Physical Distancing Safety Appendix submitted by:**

\_\_\_\_\_  
Faculty Name

\_\_\_\_\_  
Faculty Signature

**Approved by:**

\_\_\_\_\_  
Department Chair

\_\_\_\_\_  
Dept. Chair Signature

\_\_\_\_\_  
Dean or Associate Dean Name

\_\_\_\_\_  
Dean or Associate Dean Signature

**Final Approval by:**

\_\_\_\_\_  
Dean or Associate Dean Signature

\_\_\_\_\_  
Date

**Authorization by:**

\_\_\_\_\_  
VPRI Signature

\_\_\_\_\_  
Date

## Consent Addendum for COVID-19 Risks and Procedures for In-Person Research at the University of Windsor

[NOTICE TO RESEARCHERS— Please note this is a supplemental consent form which contains information specifically related to COVID-19 for use with in-person, face to face data collection on campus that includes breach of physical distancing as defined by the Research Safety Committee (CHECK). Researchers must still provide the original informed consent cleared by the REB together with this supplemental form. For researchers who choose to screen for vaccination status, please see the additional screening question at the bottom of this form. **PLEASE DELETE THIS PARAGRAPH PRIOR TO SENDING THE CONSENT TO THE PARTICIPANT**]

### Title of Research Project:

You have already been invited to participate in a research study conducted at the University of Windsor and have given your consent to participate. This additional consent form is intended to bring your attention to important information related to the COVID-19 pandemic and risks associated with in-person participation in research. This form also informs you about the strategies that researchers will implement in this project to modify their procedures in light of the pandemic.

Due to the current global COVID-19 pandemic, Canadian public health authorities have strongly recommended that everyone (especially high-risk individuals or those in contact with high-risk individuals) take additional precautions. The University of Windsor is attempting to limit the risk of exposure to COVID-19 by using reasonable efforts to follow the health and safety guidelines recommended by the federal, provincial and local health authorities (<https://www.wechu.org/>). Nevertheless, there remains a risk that by coming onto the University of Windsor campus or any of the University of Windsor study sites, you may contract the virus that causes COVID-19.

You are reminded that your participation in this research is voluntary and you can withdraw from the research per the terms as set out in the main consent agreement for this research. Please feel free to ask questions and express any concerns as you read through the information in this form by contacting the individuals noted in the main consent form. **If you are feeling unwell or experiencing any potential COVID-19 symptoms, please do not come to campus and notify a member of the study team that you cannot attend.** Contact information can be found on the consent form that has been shared with you.

In order to help reduce the risk of spreading COVID-19, the University of Windsor is following Public Health Ontario directions in addition to taking the following safety precautions:

### What you will be asked to do:

- Complete the Safe Lancer Application or the on-line fillable document. On the day of your visit, no more than an hour before you come to campus, you must complete the Safe Lancer Application (<https://www.uwindsor.ca/campuspolice/safelancer>) or the on-line fillable document ([https://www.uwindsor.ca/returntocampus/sites/uwindsor.ca.returntocampus/files/0042\\_rtc\\_questionnaire\\_safe\\_lancer\\_-\\_final.pdf](https://www.uwindsor.ca/returntocampus/sites/uwindsor.ca.returntocampus/files/0042_rtc_questionnaire_safe_lancer_-_final.pdf)). **Once you have completed this activity, you must** forward the results to the researcher prior to arriving on campus. If you do not receive a positive confirmation, please contact the research team to reschedule your appointment. For further instructions on how to use the on-line applications, please see below.
- Wear PPE while at the study site: Wear the mask, face shield, goggles or any other personal protective equipment (PPE) provided by the researchers during the entire time you are at the study site. The face covering provided to you should fully cover your mouth and nose.
- Provide information on your vaccination status, if asked. The research team may ask you for your vaccination status if this is part of their approved screening protocol. If they do ask, they will want to know if you have had both vaccinations and the date of your last shot.

### What the researchers will do:

- Follow the guidance provided by the University of Windsor for conducting research on campus. All research team members will follow the University of Windsor COVID-19 Research and Innovation Guidance (<https://www.uwindsor.ca/vp-research/353/covid-19-research-and-innovation-guidance>).
- Wear PPE at all times during the data collection. All researchers and participants will be required to wear a 3-ply medical grade mask as well as a face shield or goggles if physical distancing cannot be maintained. These personal protective equipment (PPE) will be provided to you by the research team.
- Sanitize all surfaces. The research team will ensure that all surfaces and/or shared equipment will be sanitized between participants' appointments. The researchers will use disposable equipment as much as possible.
- Maintain physical distancing unless approved for close contact. All researchers and participants must maintain a physical distance between them of 2 metres or more, unless some study procedures require closer distance or contact (for example, taking saliva or blood samples), applying or fitting equipment, or other preparation for participation that requires close contact or touching. If 2 metres of distance is not possible, the study procedures will include additional



safety measures that were approved by the University of Windsor’s Research Safety Committee and cleared by the Research Ethics Board.

In addition to the above, the University of Windsor will be collecting personal contact information. The purpose of this information is to be retained and used only to follow up with you in cases where you may have been exposed to COVID-19 at the study site. Your contact information may be shared with public health authorities for the purpose of contact tracing. Contact information will be stored securely and separately from research data. Your information for contact tracing will be destroyed as soon as permitted by public health authorities (usually after 14 days).

The Government of Canada provides [information on COVID-19 risks and prevention](#) and on taking care of your [mental health during the COVID-19 pandemic](#).

You are asked to acknowledge and accept the information outlined above regarding the risks of COVID-19 exposure and the related safety measures that have been put in place. By signing this document, you confirm that you have read the information above and have had an opportunity to ask questions.

I acknowledge (check box if all of the following are true)

- I have completed the [Safe Lancer App](#) or the [on-line fillable document](#) prior to coming to campus and have forwarded the results to the researcher (if you need instructions for downloading the app or the fillable form, please see the instructions below).
- I am not experiencing any potential Covid-19 symptoms (e.g., fever, cough, trouble breathing);
- In the last 14 days, I have not travelled outside Canada or had close contact with anyone who has any of the symptoms listed above or a confirmed or presumed case of COVID-19.

**If requested:**

I acknowledge:

- I have received both vaccinations for COVID19
- My second vaccine was on (DATE): \_\_\_\_\_

I understand the COVID-19 information including risks and mitigation strategies and their limitations provided for the study. My questions have been answered to my satisfaction, and I agree to participate in this study. I have been given a copy of this form.

\_\_\_\_\_  
Name of Participant

\_\_\_\_\_  
Signature of Participant

\_\_\_\_\_  
Date

**Instructions for using the Safe Lancer App:**

Within an hour before arriving to the research site:

Step 1: On the Safe Lancer App main page click the “COVID-19 Updates & Self-Assessment”

Step 2: Click “Self-Assessment Tool”

Step 3: Click “Start Self-Assessment”. Read the questions carefully and answer “Yes” or “No” and click “Continue”.

Step 4: Confirm answers and submit.

Step 5: Upon completion of the screening questions, you must show confirmation, of a green badge to enter the research site. Click on the QR code and send via email to the researcher’s email listed on the consent form (To forward your badge, tap the QR code once. At the top of the badge screen, copy the URL link and paste it into an email to forward).

**If you do not have a phone or tablet to download the Safe Lancer App:**

On-line fillable self-assessment form:

Within an hour before arriving to the research site, download the self-assessment questionnaire using the following

link: [https://www.uwindsor.ca/returntocampus/sites/uwindsor.ca.returntocampus/files/0042\\_rtc\\_questionnaire\\_safe\\_lancer\\_-\\_final.pdf](https://www.uwindsor.ca/returntocampus/sites/uwindsor.ca.returntocampus/files/0042_rtc_questionnaire_safe_lancer_-_final.pdf)

Complete this form and e-mail it to the researcher using the address provided by the researcher.

Paper version of the self-assessment form:

Ask the researcher for a hard copy of the self-assessment tool, which you’ll have to complete immediately before coming onto campus, and then give the completed self-assessment paper to researcher when you arrive at the study site.

## Appendix “J” – University of Windsor Research Ethics Board Research with Human Participants under COVID-19 Restrictions

Under the first version of the *Resumption of Research Framework*, in-person face-to-face research with human participants was 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.

The University of Windsor REB is accepting and reviewing all new application submissions and will *conditionally clear* applications even if the research cannot be conducted 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. Timelines may be longer than normal given the volume of applications and remote working environment. Please contact the Office of Research Ethics with any questions or concerns: [ethics@uwindsor.ca](mailto:ethics@uwindsor.ca).

### 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](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>. All research participants coming onto campus to engage in research projects must complete the Safe Lancer App or screening form and forward this information to the researcher prior to coming onto campus. Please see the REB COVID19 Consent Amendment for procedures.

#### 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 a someone not involved in the research to assist with recruitment. The REB reminds instructors that they may not recruit students in their courses for their research unless previously cleared by the REB. Faculty researchers must also reinforce that their participation is voluntary and is free from undue influence.

### Vulnerable Populations

Research that involves visiting or breaching physical distancing requirements 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.

### Vaccination Status

Researchers may wish to use vaccination status as a criteria for participation in research that includes breaches of physical distancing. While considering vaccination status may assist in meeting the principle of Concern for Welfare by addressing the risks to individual participants, it may also limit fair and equitable selection of participants under the Justice Principle by preventing some groups from participating in research and limiting research results to only vaccinated populations. Researchers should decide what is most appropriate for their specific research projects. If researchers do decide to use vaccination status as inclusion/exclusion criteria, this should be made known to potential participants during recruitment and included in the consent process. The new “Consent Addendum for COVID-19 Risks and Procedures for In-Person Research at the University of Windsor” includes an optional question on vaccine status.

## **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) Research Safety Committee (RSC) documentation of their approval of the health and safety measures and necessary PPE for the conduct of the research.
- 2) 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. **NEW Include the ‘Consent Addendum for COVID-19 Risks and Procedures for In-Person Research at the University of Windsor’**

Exceptions for new research submissions

New REB application submissions which include in-person procedures which will breach physical distancing requirements will be conditionally cleared awaiting RSC approval. 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.

**Step One: Dean’s approval.**

Resumption of Research Phase 2 or 3 Form whichever is applicable and **approved** by the Faculty Dean/Department Head.

**Step Two: Research Safety Committee (RSC) approval.**

Obtain approval from RSC Committee for the health and safety measures and necessary PPE for the conduct of the research.

**Step Three: REB clearance.**

**Submit the following to the REB:**

1. Request to Revise form or New Application Form
2. Research Safety Committee (RSC) approval
3. Description of modifications to the research protocol--specifically:
  - Information provided to participants on complying with campus requirements to arrive and depart from the research site;
  - Modification of procedures to comply with health and safety expectations of RSC;
  - **NEW Include the “Consent Addendum for COVID-19 Risks and Procedures for In-Person Research at the University of Windsor”**

**Final Step: VPRI Approval.**

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 clearance.

## Appendix “K” – Guidelines for Breach of Physical Distancing Exceeding 15 Minutes

### **Guidelines to mitigate COVID-19 Risks during planned breach of physical distancing exceeding 15 minutes**

The Research Safety Committee (RSC) is responsible for vetting COVID-19 Safety protocols for all research projects initiated during the COVID-19 Pandemic until Phase 4 of the UW Research Resumption Framework is declared. Physical distancing remains a central component to safety protocol vetting in conjunction with building and room capacity limits designated by the UW Zone and Flow Analyses conducted in accordance with Federal and Provincial COVID-19 guidelines. A central principle for safety vetting is to reduce as much as possible breaches of physical distancing defined to occur when two or more individuals come into close contact at a distance less than 2 m apart. However, when breach of physical distancing is unavoidable RSC has allowed exceptions for breaches that are Planned, Controlled, Use Personal Protective Equipment (PPE) and are Time Limited. By Planned, the breach should be scheduled ahead of time with all parties involved being informed of the safety steps and procedures related to the breach. Controlled breaches mean that at least one individual is responsible for observing the breach to ensure that safety procedures are followed, they document the time of the event and gather information necessary for potential contact tracing activities. Personal Protective Equipment requires a minimum of medical grade mask use and eyewear protection (safety glasses, goggles or face shield) for all parties involved. Time Limited refers to the total duration of the breach of physical distancing which should be kept to less than 15 minutes across all breaches cumulatively experienced by an individual over a 24 h period.

The Time Limited condition has been a major restriction for research involving human participants and has disproportionately affected this type of research compared to other topic areas. For example, many studies performed require set-up of instruments on a participant’s body that requires >15 minutes of participant/researcher interaction. While faculty have been encouraged to find creative ways to reduce breach time, in some cases adherence to the time limit is simply not feasible and would compromise the methodology if enforced. Previously, the 15 minute time limit has been adopted as a hard rule by RSC used for vetting COVID-19 Safety Protocols and there has been no policy or guidance documents to evaluate what mitigation measures could be further implemented in order to extend the time limitation while still ensuring a safe interaction for individuals associated with a breach.

Since the date the original UW Framework was developed (Resumption of Research Framework is dated May 29, 2020), much has changed and learned with respect to the pandemic, covid transmission and safety procedures. This document seeks to re-evaluate the time limitation and provide guidance on COVID-19 risk mitigation measures that could be adopted to extend the time limit.

#### Origin of the 15 minute time limit for breach of physical distancing:

First, it should be stated that neither Health Canada nor the Province of Ontario provide explicit guidance for research institutions about how to handle breach of physical distancing. The derivation of the time limitation adopted by UW Health and Safety and RSC was based on the Ministry of Health definition of a close contact for contact tracing and to identify high risk contacts. If a self-isolating individual reports a positive COVID-19 test outcome, close contact with a positive individual or recent travel outside of the country, then the University of Windsor is obligated to investigate any close contacts that occurred with that individual on campus in the previous two weeks and notify close contacts about their potential exposure and ask them to self-isolate. According to Ontario’s guidance of Management of Cases and Contacts of COVID-19 in Ontario ([www.health.gov.on.ca/en/pro/programs/publichealth/coronavirus/docs/contact\\_mngmt/management\\_cases\\_contacts.pdf](http://www.health.gov.on.ca/en/pro/programs/publichealth/coronavirus/docs/contact_mngmt/management_cases_contacts.pdf)), “Contact with a case within 2 metres for a cumulative duration of 15 minutes, regardless of whether case and/or contact are masked” as “High Risk”. Thus, Health and Safety and RSC extended this ‘reactive’ protocol to a conservative ‘proactive’ measure to ensure that no close contacts as defined by the contact tracing protocols would occur within vetted safety protocols. However, it is recognized that the recommended 15 minute threshold

value was intended mostly for contact tracing purposes involving a participant with a confirmed positive test or close contact. In re-evaluating the 15 minute limitation several points should be considered:

- **The application of a 15 minute threshold is not consistent with verbiage from the PHAC:** <https://www.canada.ca/en/public-health/services/diseases/2019-novel-coronavirus-infection/health-professionals/interim-guidance-cases-contacts.html#a3> “There is insufficient evidence available to define risk in terms of the length of exposure time required for transmission. For public health contact identification and management purposes only, a period of 15 cumulative minutes over 24 hours has been selected to distinguish between brief and prolonged exposure. This same period has been used in other countries. **This parameter should not replace the conclusions derived from an individual risk assessment, conducted by the public health authority, that addresses a variety of factors (i.e. infectiousness of the case at time of exposure, exposure is to a Variant of Concern (VOC), likely route of transmission, risk factors, etc.) that will more precisely inform risk.**”

Further reading:

[https://www.health.gov.on.ca/en/pro/programs/publichealth/coronavirus/docs/contact\\_mngmt/management\\_cases\\_contacts.pdf](https://www.health.gov.on.ca/en/pro/programs/publichealth/coronavirus/docs/contact_mngmt/management_cases_contacts.pdf)

<https://www.publichealthontario.ca/-/media/documents/ncov/main/2020/09/covid-19-contact-tracing-risk-assessment.pdf?la=en>

- PHAC provided recent updates to its guidance for the public regarding vaccination status: <https://www.canada.ca/content/dam/phac-aspc/documents/services/diseases/2019-novel-coronavirus-infection/awareness-resources/vaccinated-against-covid-19-public-health-measures/vaccinated-against-covid-19-public-health-measures.pdf>
- **A more dynamic evaluation of research activity risk can be implemented.** From August 2020 (ie: prior to consideration of vaccine rollout), clinical researchers and a PI from the Fluid Dynamics of Disease Transmission Laboratory at MIT argue that “Instead of single, fixed physical distance rules, we propose graded recommendations that better reflect the multiple factors that combine to determine risk. This would provide greater protection in the highest risk settings but also greater freedom in lower risk settings, potentially enabling a return towards normality in some aspects of social and economic life.” An example risk framework presented by the authors is provided below:

Type and level of group activity	Low occupancy			High occupancy		
	Outdoors and well ventilated	Indoors and well ventilated	Poorly ventilated	Outdoors and well ventilated	Indoors and well ventilated	Poorly ventilated
<b>Wearing face coverings, contact for short time</b>						
Silent	Low	Low	Low	Low	Low	Medium
Speaking	Low	Low	Low	Low	Low	Medium
Shouting, singing	Low	Low	Medium	Medium	Medium	High
<b>Wearing face coverings, contact for prolonged time</b>						
Silent	Low	Low	Medium	Low	Medium	High
Speaking	Low	Medium*	Medium	Medium*	Medium	High
Shouting, singing	Low	Medium	High	Medium	High	High
<b>No face coverings, contact for short time</b>						
Silent	Low	Low	Medium	Medium	Medium	High
Speaking	Low	Medium	Medium	Medium	High	High
Shouting, singing	Medium	Medium	High	High	High	High
<b>No face coverings, contact for prolonged time</b>						
Silent	Low	Medium	High	Medium	High	High
Speaking	Medium	High	High	High	High	High
Shouting, singing	Medium	High	High	High	High	High

**Risk of transmission**  
Low ■ Medium ■ High ■

\* Borderline case that is highly dependent on quantitative definitions of distancing, number of individuals, and time of exposure

<https://www.bmj.com/content/370/bmj.m3223>

- The contact tracing rule concerning close contact involves a confirmed or suspected positive case (individual with close contact) whereas application of this rule as a preventative tool may be over conservative given other institutional mitigation measures in place such as requirement for daily self-screening surveys and capacity for on-campus COVID screening protocols (rapid testing on campus and passive wastewater COVID-19 testing).

Principles for vetting safety protocols with planned breach of physical distancing exceeding 15 minutes.

As a first principle, **RSC will continue to request that PIs find creative ways to reduce timing of breaches of physical limitation and to minimize this to as great an extent as possible.** If, however, a PI is unable to do so, other mitigation measures described within their application can be considered. The proposed guidelines are intended to apply to all pre-planned breaches of physical distance that involve research personnel and/or participant based research.

All research involving human participants requires prior clearance by research ethics. Under the COVID-19 Terms of Reference, UW Ethics requires additional points of consideration within their ethics protocol vetting. These include:

- 1) Documentation of review and approval from RSC of health and safety requirements—the RSC application and approval must be included in a new application or for previously REB cleared studies as an amendment to the request to revise form;

- 2) An additional guidance page to be given to participants on what procedures they must implement prior to coming onto campus to participate in the research project (e.g. complete the Safe Lancer app and/or other institutional policies as they arise necessary for campus access and provide the clearance to the researcher upon arrival for the project);
- 3) Required PPE that participants must bring with them in order to participate as outlined in the approved RSC application (if not provided by the researchers; all researchers should endeavor to provide the necessary PPE for participants)
- 4) Guidance to participants for arriving at the lab adhering to zone and flow requirements and any other requirements identified by the PI and in the RSC application;

Modifications to the protocol and consent (See **Consent Addendum for COVID-19 Risks and Procedures for In-Person Research at the University of Windsor** added to the Breach of Physical Distancing Appendix and in REB Forms):

- a. Physical risks are considered at least “medium” and may be “high” depending upon the assessment of risk in the RSC application and description of how these risks are being mitigated. A summary of these risks must be included in the consent form—the mitigation can be a brief summary of the protections outlined in the approved RSC application;
  - b. Consideration of increased psychological and social risks depending upon the focus of the project;
  - c. Potential economic risks should the participant contract COVID19 as a result of participating in the project and requiring that they isolate for 14 days;
  - d. Signed consent is required.
- 5) Confidentiality limitations: Description of what identifying information will be gathered for the purpose of contact tracing and procedures for contacting individuals in the case of an identified case of COVID19 in the lab and possible exposure;
  - 6) Data management: Description of how the identifying information will be stored, managed and who will have access for the purpose of contacting participants and when the information will be destroyed.

Considering the multi-factor risk framework described previously, it is proposed that a Weight-of-Evidence (WOE) approach be taken to assess COVID-19 transmission risks for planned breaches exceeding 15 minutes. PI’s are asked to describe one or several measures that can be considered together in the WOE for RSC vetting of planned breaches of physical distancing. ***The consideration for any mitigation measures should be based on their potential effectiveness (proposed here as “High”, “Medium”, or “Low” safety measures). A proposal that cannot limit breach time to less than 15 minutes would be required to demonstrate at minimum one Highly Effective measure or multiple Moderately Effective measures. It is the responsibility of the PI to justify that*** 1) they are doing everything they can to limit the number breaches of physical distancing events and the total duration of breaches; 2) that they plan accordingly and estimate a maximum breach time associated with their protocol and adhere to this maximum time limit during protocol implementation; 3) that they complete a log of all breaches of physical distancing, the identities of those involved in the breach, date and time of the breach, duration of the breach and special safety measures implemented and 4) that number and intensity of safety measures taken should scale with increasing anticipated maximum time of the breach. **The RSC may elect to suggest additional measures where possible (ie: without interfering with the science of the study) depending on the particulars of the measures already proposed and the length of breach time.**

Suggested mitigation measures will be considered with respect to their effectiveness and may include but shall not be limited to the following: restriction of vocalizations during planned breach, enhanced PPE over minimum requirements, modification to air flow and indoor ventilation, consideration of vaccination status of individuals involved in the interaction, prior self-isolation, negative COVID testing results from individuals and very low community covid risk factors (commensurate with former Provincial Green Colour coding status). PI’s are encouraged to apply multiple safety measures commensurate with the additional risks related to their safety



protocol.

**Prospective WOE Safety Procedures for Breach of Physical Distancing exceeding 15 minutes.**

**Restricted Vocalization during Planned Breach:**

- Thus far, RSC has not taken vocalization status into account. In research settings where participants and researchers would surpass 15 minutes of accumulated breach time, if involved parties wear appropriate PPE but are instructed to remain mostly silent in well ventilated space, this should be considered as its own safety measure. We propose that restriction of talking or speaking loudly during the interaction be considered as a Moderate safety measure when used in conjunction with a well ventilated space and/or other safety measures described below.

**Air flow considerations at research sites:**

- The return-to-research approval process could be streamlined by improving the application forms. Under Other Safety Requirements in Safety Protocol Appendix, the PI can provide additional details on enhancements to airflow or air treatment that can be implemented (eg: opened windows, HEPA filter-equipped air purifiers, etc.), consistent with guidance from PHAC: <https://www.canada.ca/en/public-health/services/diseases/2019-novel-coronavirus-infection/guidance-documents/guide-indoor-ventilation-covid-19-pandemic.html#a6>. Some guidance as possible rating of air flow enhancements include:

High effectiveness – Installation of HEPA filters of appropriate size for the room capacity rating to achieve sufficient air exchange during the planned interaction (similar to dental/medical facilities).

Moderate effectiveness – Increase air ventilation in room during planned interactions by opening windows.

Moderate effectiveness – Consult with UW technical staff to determine air exchange capacity of room in question and verify air exchange is commensurate with COVID-19 HVAC standards.

**Enhanced PPE:**

- The minimum standard for PPE for individuals occupying the same room on campus involves wearing a 3-ply medical grade procedural mask and eye wear protection (safety glasses, safety goggles or face shield). It is proposed that enhanced PPE be considered as an additional mitigation measure for breaches of physical distancing exceeding 15 minutes. In the past, RSC has discouraged use of N95 respirators because of the perceived potential competition between UW and Health Care Institutions for nationally and provincially limited PPE supplies. However, supply chains for PPE such as N95 respirators are now considered secure and CCC can secure this PPE for limited research uses. N95 fit testing will be recommended. Some guidance as possible rating of air flow enhancements include:

High effectiveness – Adopting N95 respirators (or equivalent respirator) for all individuals involved in the planned interaction. It should be noted that an N95 Respirator is not considered certified PPE until each individual has been fit tested.

Moderate effectiveness – Securing N95 respirator for one of the individuals involved in the planned interaction and ensuring fit testing completed coupled with extended (>15 minutes) but limited interaction time as justified by the PI.

Low effectiveness – Use of medical masks coupled with face shield and slightly less limited interaction time (e.g. extend limit to 30 min or in conjunction with additional safety measures as justified by the PI).

### **Reduced COVID-Transmission Risks:**

- The vaccine rollout in Windsor-Essex region and across Ontario has been a clear success. Exceptionally low case counts in the WE community have been noted as of June 28, 2021. Furthermore, the vaccines have so far been found effective against Variants of Concern (VOCs). Coupled with our continued adherence to use of effective PPE and room ventilation, chance of covid transmission is arguably lower now than at any time since the beginning of the pandemic.

High effectiveness – ensuring both individuals involved in planned interactions are fully vaccinated (2 doses of WHO-approved vaccine plus 2 weeks after 2<sup>nd</sup> dose; UW is currently developing policies governing how to request and file vaccination records from personnel and participants).

High effectiveness – each individual involved in the breach are tested negative for COVID-19 within 24 h of the planned breach. Self reported negative test results of individuals should be logged with the planned breach.

High effectiveness – each individual involved in the breach has been in self-isolation for 14 days prior to the planned breach. Self report of completion of isolation by individuals should be logged with the planned breach.

Moderate effectiveness – the researcher is fully vaccinated but the participant(s) cannot be confirmed to be fully vaccinated leading to altered time limit as justified by the PI. This should be used in conjunction with other safety measures (e.g. air flow improvements, enhanced PPE) since vaccinated individuals still have the potential to carry and transmit the virus to others.

Moderate effectiveness – based on community indicators of population case rates as reported by WECHU local statistics. Seven day average community case rates < 40 and 7 day average RO < 1 (corresponding to former Province of Ontario Local COVID-19 Risk Green designation). The PI should include the WECHU local statistics in their breach log for days of planned breaches and ensure the low risk condition applies prior to allowing the breach to proceed (ie: no travel outside of Windsor-Essex region for past 14 days).

Moderate effectiveness – each individual involved in the planned breach is tested negative for COVID-19 within 3 days of the planned breach. Self report of completion testing results by individuals should be logged with the planned breach.

### **Other Safety Measures**

- RSC welcomes innovative ideas from PIs and UW researchers. When a researcher comes up with a highly translatable best practice, we share these ideas with other faculty through the safety protocol vetting process. Like the COVID-19 situation itself, our safety protocols are constantly evolving and improving because of the valuable contributions of researchers and faculty in our community. If you have additional safety measures that you feel justifies extension of the time limit (or other limits imposed on research) please provide your suggestions and supporting documentation so we can take these measures into consideration. We cannot guarantee that every suggestion will pass consensus decision by the committee but we are open to explore new ideas and take them seriously when they come to us.

**Procedure**

New Research Resumption Projects or Request To Revise of Existing Projects that include new Planned Breach of Physical Distancing (regardless of duration) should fill out the Appendix “I” Breach of Physical Distancing Appendix described in the updated UW Research Resumption Framework. Faculty/PIs should attach the appendix along with their regular Phase 3 Research Resumption Request Form and/or Request To Revise Form, submit to their Department Head and Dean for approval who will subsequently submit the documentation to RSC for vetting.

Table 2. Summary of potential mitigation measures to offset increased risk of breach of physical distancing > 15 minutes.

*Increasing time of breach requires increasing mitigation measures taken*

Intervention Type	Low (< 15 minutes)	Moderate	High
Vocalization during interaction	Speaking During Breach	Individuals are silent during breach	
Air Flow Considerations	Standard HVAC, air flow	-Testing air circulation rate in room to verify it meets minimum standards of air turn-over time  -Open Windows -Other mitigation factors to improve air flow to meet minimum standards	-Installation of HEPA air filters of appropriate size for the room
Enhanced PPE	3-Ply medical grade mask with eyewear protection (safety glasses, eye goggles, face shield)	-1 Individual of two individuals using an N95 respirator (fit tested); both individuals wearing full face shields and other required PPE	-N95 Respirator (or equivalent) for all individuals involved in breach (fit testing required)
Vaccination Status	-One individual associated with the breach self reported to be fully or partially vaccinated	-All individuals involved in breach provide documentation of partial vaccination (1 of 2 doses received)	-All individuals involved in breach provide documentation of full vaccination (2 doses received followed by 2 week period following last dose)
Community Covid Risk Factors – Based on WECU Local Data (7-day Average)	-7 Day average incident Rate > 10/100,000 (>40 cases over past 7 days); 7 Day average RO > 1	-7 Day average incident rate < 10/100,000 (<40 cases over last 7 days); 7 Day average RO < 1 -All individuals involved in breach receive negative COVID-test within 3 days of the planned breach	-All individuals involved in breach receive negative COVID test within 24 h of planned breach -All individuals involved in breach have self-isolated for two weeks prior to the planned breach

## Appendix “L” – Guide to Hosting Visiting Students and Researchers on Campus During COVID-19

### **Visiting students and scholars on campus during COVID-19 restriction reporting expectations**

In the current light of Covid-19 restrictions, visiting students and scholars for research purposes may not access campus research facilities without proper authorization. These guidelines are intended to ensure that all visiting students and scholars follow and comply with the principles set forth in the [Resumption to Research framework](#) policy. University faculty researchers must follow these guidelines who invite external students or scholars to access university facilities for research purposes.

Visiting students and scholars are any individuals who are not UWindsor students or researchers and are enrolled as students with another educational institution or are a researcher affiliated with a different research institution. Visiting students and scholars must have a research purpose and demonstrated need for their visit and the research must have been pre-approved by the University. All visiting students and scholars must be endorsed and supervised by a University of Windsor faculty or staff member who holds an approved Research Resumption Project (Phase 2 or 3) or who is in the process of applying for a Research Resumption Request.

**Note: Visiting students and scholars do not include research participants for a specific study.**

#### **1. Visiting student or scholar responsibilities before accessing the campus facilities:**

- Prior to accessing University property, provide written approval from your academic institution where you are enrolled as a student or employed as a scholar or your affiliated research institution. This approval of travel to UWindsor campus for research purpose must be obtained from your department Head and Dean or equivalent authority acknowledging their approval for student/personnel to travel and engage in research activities at UWindsor campus. For non-student scholars from external research institutions, a level up approval (supervisor or director) is required.
- As a condition of approval to access UWindsor campus facilities, visiting students or scholars will be required to sign UWindsor Risk Acknowledgement: Student and/or Research Personnel for available on the website ([https://www.uwindsor.ca/vp-research/sites/uwindsor.ca.vpresearch/files/critical\\_research\\_acknowledgement\\_student\\_and\\_researcher\\_personnel\\_may\\_2020.pdf](https://www.uwindsor.ca/vp-research/sites/uwindsor.ca.vpresearch/files/critical_research_acknowledgement_student_and_researcher_personnel_may_2020.pdf)).
- Prior to accessing UWindsor campus facilities, visiting students or scholars must consult with their UWindsor faculty or staff host to review the University of Windsor COVID-19 safety protocols as described in the host’s Research Resumption Safety Protocol. Their host institute may advise the visiting student or scholar about additional necessary safety training requirements to complete before coming to the UWindsor campus.

#### **2. Principal Investigator Responsibilities**

- All PI’s who intend to host a visiting student or scholar must be in possession of a currently approved resumption of research plan (Phase 2 or Phase 3) or in the process of applying for one. The visiting scholar must be added to the existing approval.
- PIs requesting campus access for visiting students or scholars must submit a request to the department Head and Dean by submitting a Request to Revise form indicating modified safety

protocol adding the visiting scholar and indicating how the new personnel fit into the research operations and safety plans. When submitting this request, PI will confirm that the visiting student or scholar has obtained approval from their home institution and submit the approval copy along with the signed risk acknowledgement form from the visiting student or scholar.

- If visiting students are bringing in any material/equipment on the UWindsor campus, it is PI's responsibility that any necessary documentation or approvals from UWindsor is in place such as MTA, REB Clearance, biosafety certifications etc.
- Once the visiting student or scholar has completed their term and no longer requires access to the UWindsor campus and facilities, the PI will submit a Request to Revise Form to their Department Head, Dean, and RSC to remove the individual from their personnel list.
- PIs are responsible for maintaining documentation regarding self-screening results, entry and exit dates, and times when visiting students and scholars have accessed campus.
- PIs are responsible for ensuring that visiting students and scholars accessing their laboratory facilities have been briefed and trained in appropriate safety protocols, including COVID-19 related safety and other safety procedures specific to their laboratory environment. They are responsible for ensuring that these safety procedures are followed and implemented.

### **3. Visiting student or scholar responsibilities while on-campus.**

- As a condition of approval to access UWindsor campus facilities, visiting students and scholars are required to complete the self-screening questionnaires on each day of access to campus confirming they meet the required health conditions. The PI is responsible for collecting daily QR codes generated by the Safe Lancer App on each completion of the COVID-19 Self-Screening survey from each personnel before they arrive on campus. The PI must store/archive these QR codes and organize them in such a way that the PI can perform a trace back to determine the self-screening results of any of their personnel along with date of the survey completion.

OR

- Many PI's have developed their own COVID-19 self-screening survey tools for personnel to access and fill out prior to accessing campus or performing field work. You may continue to use this alternate self-screening methodology for logging purposes. Visiting student or scholar personnel WILL STILL HAVE to fill out the Safe Lancer App COVID-19 Self Screening survey prior to coming to campus. Thus, in this alternate method, each personnel would fill out two self-screening surveys – the Safe Lancer App and the Lab Specific Self Screening survey.
- Visiting students and scholars must follow the safety protocols (COVID-19 related and others related by the host faculty or staff member).

**Note:** Faculty members who will be in close contact with the visiting students or scholars are encouraged to consider their own level of risk in determining whether they should be making a request to revise for visiting scholars and students.

Unless an exemption has been provided by the Dean, we are not currently welcoming off-campus research participants to campus.