



## **RESEARCH INVOLVING HUMAN PARTICIPANTS**

### ***I. General***

#### **A. Purpose**

The purpose of the Research Ethics Board (REB) is to ensure that appropriate standards are followed and to support researchers in their efforts to conduct ethically sound research when research is conducted using human participants.

#### **B. Scope of Policy**

##### **Research Requiring Ethics Review**

1. Unless expressly exempted, all research under the auspices of Kwantlen University College and all research on our campuses that involves living human subjects requires prior review and approval by the REB. This includes research by those who are not Kwantlen employees or students.

#### **C. Breach of the Policy**

1. On behalf of Kwantlen University College, the REB reserves the right to immediately halt any research project involving human participants that has been started without the required approval, or which does not follow the procedures specified in the approved application.
2. Kwantlen employees may be served with a warning letter and/or lose research privileges for serious or repeated violations of ethics policy. For students, penalties may include a warning letter, a failing grade on a research project, or suspension from studies.

### ***II. Definition of Terms***

#### **1. Human Participant**

A human participant is any person who is a source of primary data and who is not acting as, assisting, or collaborating with the principal investigator.

## **2. Researcher/Principal Investigator**

A researcher is anyone who carries out research. The principal investigator is the researcher who has primary responsibility for a given research project.

### ***III. Research Ethics Board Terms of Reference***

#### **A. Establishment of the Research Ethics Board (REB)**

To initially create the REB, the Vice President Research will appoint new members for the REB and select the Chair of the REB in consultation with the Provost and the Faculty Research and Scholarship Committee. Following that initial creation of the REB, the REB will recruit and select members as needed consistent with B below. Candidates will disclose actual, perceived, or potential conflicts of interest to the REB.

#### **B. Composition of the Research Ethics Advisory Board**

To enhance expertise, multidisciplinary perspective, and independence, the REB will consist of at least five members of whom:

1. at least two members have broad expertise in the methods or in the areas of research that are covered by the REB;
2. at least one member is knowledgeable in ethics;
3. at least one member is not an employee or student of Kwantlen, but is recruited from the community served by the institution;
4. *Ad hoc* members may be nominated by the Chair for fair and thorough review of proposals;
5. Appointments are for a two or three year term, and terms will be selected by the REB to maintain continuity of experience within the REB.

#### **C. Responsibilities**

The REB is responsible for:

1. reviewing research proposals;
2. waiving the requirements for ethics review;
3. approving proposals meeting Kwantlen's ethical requirements;
4. advising researchers about measures that can be taken to ensure their project is ethically acceptable;

5. initiating college-wide education on research ethics; and monitoring ongoing research;
6. rejecting proposals and terminating any ongoing research that ceases to meet ethical standards.

#### **D. Accountability**

The Chair of the REB reports to the Vice President Research. Chairs of subcommittees struck by the REB report to the Chair of the REB.

### ***IV. Project Approvals, Appeals and Monitoring***

#### **A. Approval Process**

##### **1. Responsibility for seeking approval**

The principal investigator is responsible for submitting research proposals for review. It is the responsibility of the principal investigator to carry out research professionally and ethically. This entails submitting projects for ethical review when appropriate, following the procedures described in the research proposal if the project is approved and abiding by the decision of REB if the project is not approved.

##### **2. Initiating the Process**

The principal investigator shall initiate the review process by submitting a preliminary proposal to the REB.

3. After the preliminary proposal is reviewed, REB will notify the principal investigator in writing that:

(a) the proposal is accepted/rejected or;

(b) more information is required before the submission can be considered.

4. If an application is not approved, REB will advise the principal investigator about things that may be done to make the proposal acceptable. The principal investigator may then resubmit a revised proposal for review.

5. If a proposal is rejected the REB will advise the principal investigator of its decision, in writing, and will provide a copy of the decision to the Vice President Research.

#### **B. Appeal**

**Contract with a sister institution:** Kwantlen shall enter into an agreement with a sister institution in order to arrange for the REB of such institution to serve as an appeal board for applications that have been rejected by the Kwantlen REB (the “**Appeal Board**”). In return for providing the Appeal Board, the Kwantlen REB shall be made available to hear appeals of applications rejected by the REB of the sister institution.

**Liability:** The university college shall indemnify Kwantlen REB members from and against any personal liability of such members incurred as a result of their participation on the board.

Procedure for launching appeal of Kwantlen REB decisions

1) Consultative dialogue

Before initiating a formal appeal, the applicant must meet with the Kwantlen REB so that the Kwantlen REB can reconsider the rejected application (the “**Application**”) and, if the objection is upheld, clearly explain to the applicant the grounds for the earlier rejection (the “**Consultation**”). The Kwantlen REB shall meet with the applicant within 10 days of receiving a written request from the applicant for the Consultation. The Kwantlen REB shall advise the applicant whether or not it will reverse its rejection of the Application within 10 days of the Consultation.

2) Formal appeal

If the Kwantlen REB does not reverse its decision to reject an Application within 10 days of the Consultation, the applicant may appeal this decision by providing written notice of the appeal to the Kwantlen REB Chair through the Office of Research and Scholarship and to the Appeal Board. The applicant shall also submit the following to the Appeal Board:

- the Application as submitted to the Kwantlen REB, and
- a statement of grounds for appeal

Within 10 days of receiving notice of an appeal, the Kwantlen REB shall provide to the Appeal Board:

- a copy of the Application as received by the Kwantlen REB, and
- the grounds for rejection issued in respect of the Application.

All appeals shall be final and binding upon Kwantlen and the applicant.

### C. Post-Approval Monitoring

1. The REB will maintain a continuing interest in the project after it has undergone ethical approval and will be available for additional advice, if necessary.

2. An annual status report on the directions that the research is taking must be submitted by the principal researcher. This must describe changes in procedures.
3. If there is a major change in the research procedures involved in a study, the research will have to be submitted again for full review to REB.

## ***V. Research Exempt From Ethics Review***

### **A. Research Topic Exemptions**

The following categories of research do not require approval by the REB, but one should consult, prior to initiating the project, with the chair of the REB if there is uncertainty as to whether a project constitutes research or requires approval from the REB.

1. Research about a living individual involved in the public arena, or about an artist, based exclusively on publicly available information, documents, records, works, performances, archival materials or third-party interview is exempt. Such research only requires ethics review if the subject is approached directly for interviews or for access to private papers and then only to ensure that such approaches are conducted according to professional protocols provided that there is no private communication (e.g., personal, phone, mail, e-mail) with the subjects of research.
2. Quality assurance studies, performance reviews or testing within normal educational requirements are exempt as are studies related directly to assessing the performance of an organization or its employees or students, within the mandate of the organization or according to the terms and conditions of employment or training. For example students, under the supervision of a faculty member or professional, performing activities governed under the code of ethics of that profession would not be required to submit an application for ethics review;
3. Research involving observation of participants in, for example, political rallies, demonstrations or public meetings should not require REB review since it can be expected that the participants are seeking public visibility;
4. Research that has been approved by a REB at another institution (e.g., hospital, educational institution) and/or is part of the educational requirements for another institution. For example, a faculty member enrolled in a graduate program in another institution has received approval from that institution's REB. A copy of the approval, must be submitted to Kwantlen's REB prior to engaging in the project or upon becoming affiliated with Kwantlen.

5. Research conducted by Kwantlen University College employees or students in other roles in compliance with the Conflict of Interest Policy. Such research must not involve the use of their Kwantlen titles, the Kwantlen name, or any form of communication that one might construe as support or involvement in the research by Kwantlen.

## **B. Class Project Exemptions**

If the following criteria apply, class projects do not require REB review:

1. Instructor or department reviews are carried out for undergraduate projects done within course requirements. Students are performing research as course work, where the instructor or department of the course will be responsible for encouraging ethical conduct of the study; and
  - i. The risks brought about by the research are minimal; and
  - ii. The research does not involve unsolicited telecommunications (including email) contact of research participants not personally known by the student who carries out the research; and
  - iii. The research in which an undergraduate student is carrying out is not a part of a faculty member's own research program.