

ETHICAL CONDUCT FOR RESEARCH INVOLVING HUMANS

Policy Section & Number:	Academic & Student Experience	Effective Date:	October 20, 2023
Policy Owner:	Vice President, Academic and Student Experience	Last Revised:	June 1, 2023
Policy Administrator:	Chair, Library Services & Research	Review Scheduled:	Every 3 years
Approver:	Executive Committee		
<i>The official controlled version of this document is held with the Policy & Procedure Coordinator.</i>			

A. POLICY STATEMENT

Keyano College is committed to ensuring that all research affiliated with the College involving human participants meets the highest ethical standards. This policy is intended to ensure that the rights of participants in research are respected and protected, and research is conducted in a manner consistent with the guidelines and standards of the Tri- Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS2). This policy will guide researchers and the College's Research Ethics Board (REB) in the protection of participants and their rights.

1. Guiding Principles

- 1.1 This policy applies to all research involving human participants (henceforth referred to as participants) led by College employees or students, funded or unfunded, or conducted at College facilities (whether by a College employee, student, or unaffiliated researcher) unless explicitly excluded by this policy.
- 1.2 It is the responsibility of any researcher associated with the College (e.g., full-time employee, contract employee, unpaid associate, volunteer, etc.) who anticipates undertaking or in any way being engaged with research of any type involving participants to ensure that the research has been reported to and considered by the College REB before commencing or participating in any manner in the research.
- 1.3 Further, it is the responsibility of every College manager to ensure that any research involving participants has been reported to, considered by, and approved by the REB, or been deemed by the REB not to require its

approval, before approving the commencement or the funding of the research.

- 1.4 The applicability of this policy to any research in any way associated with, linked, or related to Keyano College will be determined by the REB. The REB must be informed of any research to be undertaken under the conditions described above for it to determine the applicability of this policy to the research.
- 1.5 The scope of this policy and the authority of the REB do not extend to the validity or value of the research as a scholarly undertaking or its potential for making a meaningful contribution to a scholarly body of work. Notwithstanding this statement, if the REB is particularly concerned about an imbalance between the (apparent lack of) scholarly value of some research and the costs, or potential costs, imposed on the participants or the College, the REB has a moral obligation to forward its concerns to the College manager overseeing the research or the Vice President, Academic.

2. Compliance with the Tri-Council Policy Statement (TCPS2)

- 2.1 All research conducted within or associated with the College that involves participants must comply with the standards stipulated in the TCPS2. As well, the TCPS2 will provide guidance to the REB and researchers.
- 2.2 If an inconsistency or conflict arises between this policy and the TCPS2, this policy shall take precedence, unless determined otherwise by the REB.
- 2.3 It is mandatory for all researchers (including student researchers) and REB members to complete the [TCPS 2: CORE-2022 \(Course on Research Ethics\)](#), or any successor to it. Proof of completion of the course by all involved researchers is a prerequisite for approval of their research, and by members of the REB as a prerequisite for participation in REB considerations.

3. Respect for and Care of Persons

- 3.1 All research associated with the College involving participants shall be based on principles of ethical interaction, including:
 - 3.1.1 respect for human dignity,

- 3.1.2 respect for a person's autonomy,
- 3.1.3 nonmaleficence,
- 3.1.4 respect for privacy and confidentiality,
- 3.1.5 respect for free and informed consent,
- 3.1.6 recognition of the value of human beings,
- 3.1.7 respect for vulnerable persons including protecting those with developing or impaired autonomy and ensuring that those participants in vulnerable circumstances (e.g., children, elderly, and institutionalized persons) are given special protection against exploitation, discrimination or abuse,
- 3.1.8 promotion of the welfare of participants in view of a foreseeable risk,
- 3.1.9 fair, respectful, and concerned treatment of participants, and
- 3.1.10 provision of sufficient information to enable participants to assess the risks and benefits of their participation.

4. Research Involving First Nations, Inuit, and Métis Peoples of Canada

- 4.1 Researchers and REB members shall apply all the principles and values stated in the TCPS2 when conducting research involving Indigenous Peoples of Canada and respect all other government of Canada policies.
- 4.2 Research involving Indigenous Peoples shall acknowledge their unique status and affirm the need to respect community customs and codes of research practice.
- 4.3 The REB and researchers are responsible for interpreting the ethics framework in an Indigenous context. Where research will involve an Indigenous community or communities, the researcher has the responsibility to engage with the relevant community. Engagement is required under, but not limited to, the following conditions:

- 4.3.1 research conducted on First Nations, Inuit, or Métis lands,
 - 4.3.2 recruitment criteria that include Indigenous identity as a factor for the entire study or for a subgroup in the study,
 - 4.3.3 research that seeks input from participants regarding a community's cultural heritage, artifacts, traditional knowledge or unique characteristics,
 - 4.3.4 research in which Indigenous identity or membership in an Indigenous community is used as a variable for the purpose of analysis of the research data, and
 - 4.3.5 interpretation of research results that will refer to Indigenous communities, people, language, history, or culture.
- 4.4 The extent of community engagement shall be determined by both the community and the researcher, based on the characteristics and nature of the research. When appropriate, researchers shall seek engagement with the formal leaders of the community (e.g., research conducted on lands under the jurisdiction of an authority).
- 4.5 Both researchers and REB members shall consult the TCPS2 for further guidance on the ethical conduct of research involving Indigenous Peoples (e.g., engagement with organizations and communities of interest, complex authority structures, recognizing diverse interests within communities, critical inquiry, etc.).

5. Scope of Research Requiring Review by Research Ethics Board

- 5.1 All research involving human participants requires the review and approval of the Research Ethics Board of the College. Research involving human participants refers to research in which humans are participating or are under observation, or in which databases are used that contain specific information about the human participants, including the secondary use of identifiable information.
- 5.2 Review and approval of the REB is required for all research involving human biological materials, as well as human embryos, fetuses, fetal tissue, reproductive materials, stem cells or any other materials derived from living or deceased individuals. Research involving human biological materials is not permitted at Keyano College.

- 5.3 No intervention or interaction with participants in research, including recruitment, may begin until the REB has reviewed and approved the research. Communication with organizations for purposes of establishing partnerships and collaboration prior to the research may commence prior to REB review and approval.

6. Exemptions

Research does not require review and approval by the REB in the following specific individual instances.

- 6.1 The research relies exclusively on publicly available information that is legally accessible to the public or relies exclusively on secondary use of anonymous information, so long as the process of dissemination, collection and linkage of data do not generate identifiable information.
- 6.2 The research relies on the observation of people in public places, where the observed individuals or groups should not have a reasonable expectation of privacy, and the disseminated research results do not allow for the identification of specific individuals.
- 6.3 The research concerns the performance of the College, or affiliated institutions, or of the employees or students within the mandate of the organizations or according to the terms and conditions of employment or consistent with the student-institution relationship. These activities may include, but are not limited to:
- 6.3.1 quality assurance and improvement studies,
 - 6.3.2 institutional performance assessment,
 - 6.3.3 employee performance reviews,
 - 6.3.4 testing within normal educational requirements,
 - 6.3.5 management or performance improvement studies.
- 6.4 Notwithstanding the immediately above statement, if the performance of research is undertaken with an intent to publish the results as research, or is subsequently fashioned for publication, then review and approval by the REB are required.

7. Multi-Jurisdictional Research

- 7.1 Research projects that involve participants may, by their nature, involve multiple sites or institutions and multiple REBs. Research being conducted at more than one site or institution requires the review and approval of all REBs with jurisdiction at a site or institution before the research may proceed.
- 7.2 For multi-jurisdictional research, the College REB may choose to coordinate its review with other REBs through an agreed-upon coordination method or review model. The College REB may participate in an appropriate alternative review model (e.g., independent ethics review by several REBs, research ethics review delegated to an external, specialized, or multi- institutional REB). However, irrespective of where the research is conducted or the review method or model used, the College REB shall remain responsible for the ethical conduct of research within its jurisdiction.
- 7.3 When a College employee or associated researcher engages in research in Canada or abroad that is outside the REBs jurisdiction, the researcher, who falls under the auspices of this policy and the REB, shall seek the approval of the College REB, and shall provide to the REB:
 - 7.3.1 the rules and ethics requirements of the research site,
 - 7.3.2 names and information of any REBs involved, and
 - 7.3.3 any information concerning the research populations and circumstances that might be relevant or have a bearing on the research ethics review by the College REB.

8. Research Ethics Board (REB)

Mandate, Authority and Responsibility

- 8.1 The mandate of the REB is to uphold the College's commitment to the ethical conduct of research and the protection of participants in the research process through its review and approval, or not, of research submitted to it for review.

- 8.2 It is the responsibility of the REB to review and consider applications for research conducted within its jurisdiction to determine if the proposed research will be conducted in an ethical manner, consistent with this policy, with the TCPS2, and with the protection of participants and their rights, and to approve, or not, the initiation or continuation of the research based on its findings.
- 8.3 Further, it is the responsibility of the REB to react to and investigate any concerns, complaints, or comments it receives concerning the conduct of research not submitted for approval, or submitted research not approved, or previously approved research and its compliance with the approvals given by the REB.
- 8.4 The authority and powers to fulfill this mandate - including the authority to disallow the initiation or continuation of specific research projects - are delegated to the REB by the Vice President, Academic and Student Experience. Further, that authority and powers shall not be restricted or in any way limited, usurped, re-directed, or contradicted by any College administrator.
- 8.5 More specifically, the REB has the authority to
- 8.5.1 establish the ethics review processes, and provide research ethics oversight to ensure the ethical conduct of the research,
 - 8.5.2 approve, require modifications to, or disapprove, any research activity that falls within its jurisdiction,
 - 8.5.3 ensure that the researcher has policies and procedures to protect the rights, safety, and welfare of participants,
 - 8.5.4 request, receive and share any information involving the research that the REB considers necessary to fulfil its mandate, while maintaining confidentiality and respecting privacy,
 - 8.5.5 conduct continuing ethical review to protect the rights and welfare and privacy of participants,
 - 8.5.6 suspend or terminate the ethics approval for the research,
 - 8.5.7 place restrictions on the research,
 - 8.5.8 take any actions considered necessary, and consistent with policies and procedures, to ensure the protection of the rights, safety, and

well-being of participants in research conducted under the REBs jurisdiction,

- 8.5.9 inform the Research, Learning, and Innovation Department about approval, suspension, terminations, or other status of ongoing or research projects under review.

B. DEFINITIONS

- | | |
|------------------------|---|
| (1) Autonomy | Defined as the ability to deliberate about a decision and to act based on the deliberation. |
| (2) College | Defined as Keyano College |
| (3) Participant | An individual whose data, biological materials, or responses to interventions, stimuli, or questions by a researcher are relevant to answering the research question(s). Also referred to as a "human participant," and in other policies/guidance as "subject" or "research subject". |
| (4) Research | For the purposes of the College REB, research is defined as an activity designed to test a hypothesis, permit conclusions to be drawn and develop or contribute to generalizable knowledge, using scientific methods and standardized protocols. Generalizable knowledge consists of theories, principles or relationships, or the accumulation of information on which they are based, that can be corroborated by accepted scientific methods of observation and inference. |
| (5) Researcher | Defined as a person who anticipates undertaking or in any way being engaged with research of any type involving human participants; conducts academic or scientific research on behalf of Keyano College. For example, but not limited to, full-time or part-time employees, contract employees, unpaid associates, volunteers, students, industry partners, etc. |

C. RELATED POLICIES

- Academic Integrity
- College Travel
- External Requests for College Participation in Research Projects
- Integrity in Research Activity
- Intellectual Property and Ownership
- Research Activities

D. RELATED LEGISLATION

- [Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans \(TCPS2\)](#)

E. RELATED DOCUMENTS

- Research Ethics Board Application
- Research Ethics Board Reviewer's Checklist
- Ethical Conduct for Research Involving Humans Procedure

F. REVISION HISTORY

Date (mm/dd/yyyy)	Description of Change	Sections	Person who Entered Revision (Position Title)	Person who Authorize d Revision (Position Title)
06/01/2023	Revision of whole policy to reflect new REB structure in line with Tri-Council requirements	All	Sarah Schmidt, Chair of Library Services and Kelly Keus, Technology and Online Learning Librarian	Sandra Efu, Vice President Academic and Student Experience