

 CAPILANO UNIVERSITY			
Policy No.	Officer Responsible		
S2021-02	Vice President Academic & Provost		
Policy Name			
Research Ethics Policy: Research with Human Participants			
Approved by	Replaces	Category	Next Review
Senate	S2002-01 Research Ethics Policy with Human Subjects	B	
Date Issued	Date Revised	Related Policies, Reference	
October 5, 2021		B.506 Standards of Conduct	

1. PURPOSE

The purpose of this policy is to ensure that research at Capilano University involving human participants is conducted to the highest ethical standards within all disciplines, protects the interest of human participants, and describes the institutional standards and procedures governing research.

2. THE CAPILANO UNIVERSITY RESEARCH ETHICS BOARD (REB)

Capilano University is committed to maintaining the highest ethical standards in research involving human participants, and to ensuring that the safety, health, welfare, and rights of participants are adequately protected. Capilano University will maintain a Research Ethics Board (REB) that exercises the authority of the President in matters concerning research involving human participants and/or human biological materials associated with Capilano University.

3. COMMITMENT TO PROTECT HUMAN PARTICIPANTS

3.1 When engaging in research involving human participants and/or human biological materials, all those associated with Capilano University or conducting research on a Capilano University campus will:

- a) Have approval from the Capilano University Research Ethics Board (REB) prior to conducting research involving human participants and/or human biological materials that is not exempt from REB review (see Section 4). In instances where funding has been granted for the proposed research, Capilano University will release the funds to the researcher only after REB approval is granted or interim release of funds has been approved by the REB;
- b) maintain REB approval for the duration of the project, whether funded or unfunded;
- c) ensure that changes to the research are approved by the REB prior to implementation;
- d) be familiar with and adhere to REB Policy and Procedures, the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS)*, and relevant legislation, including statute law pertaining to intellectual property, copyright, and privacy; and
- e) satisfy the REB that the proposed research accords with standards of professional and scholarly review appropriate to the relevant field of study.

4. COMMITMENT TO INDIGENIZE AND DECOLONIZE

4.1 When engaging in research involving or impacting Indigenous communities or Indigenous peoples particularly, researchers associated with Capilano University will:

- a) seek to engage with Indigenous communities in the manner and to the extent desired by the Indigenous communities involved;
- b) strive to engage with the Indigenous governance structure(s) best suited to provide guidance on the proposed research, as determined by the Indigenous communities themselves; and,
- c) seek to apply principles that accommodate Indigenous Ownership, Control, Access, and Possession (OCAP) of data derived from research involving or impacting particular Indigenous communities;

4.2 When reviewing research involving or impacting an Indigenous community or Indigenous people particularly, the REB will:

- a) support researchers to understand and apply TCPS requirements regarding engagement with Indigenous communities in the manner and to the extent desired by the Indigenous communities involved;

- b) support researchers to understand and apply principles that accommodate Indigenous Ownership, Control, Access, and Possession (OCAP) of data derived from research involving or impacting particular Indigenous communities; and
- c) establish and maintain a permanent place for a minimum of one Indigenous person to serve as an appointed member of the REB.

5. ACTIVITIES EXEMPT FROM REB REVIEW

5.1 The requirement for REB review applies to all research involving human participants and/or human biological materials except as exempted by the TCPS. Accordingly, the following activities are exempt from REB review:

- a) Research that relies exclusively on publicly available information when:
 - i. the information is legally accessible to the public and appropriately protected by law; or
 - ii. the information is publicly accessible and there is no reasonable expectation of privacy.
- b) Research involving the observation of people in public places where:
 - i. the research does not involve an intervention staged by the researcher or direct researcher interaction with individuals or groups;
 - ii. individuals or groups targeted for observation have no reasonable expectation of privacy; and
 - iii. dissemination of research results does not allow for the identification of specific individuals.
- c) Research that relies exclusively on secondary use of anonymous information or anonymous human biological materials, so long as processes of data linkage or dissemination of results do not generate personally identifiable information.
- d) Quality assurance, quality improvement and program evaluation studies when used exclusively for assessment, management, or improvement purposes, where such studies are within the mandate of an organization and are normally administered in the ordinary course of the operation of the organization.
- e) Research conducted by Capilano University, or by others authorized by Capilano University, where such research is conducted to meet external reporting requirements or to facilitate the management of Capilano University.

- f) Student activities intended exclusively for teaching and learning, where the products of these activities are not distributed outside Capilano University (e.g., course assignments). For further clarity, course-based student activities not intended to result in the distribution of findings or data outside of Capilano University do not require REB review.
- g) Course-based student research projects that meet *all* the following criteria (see, also, REB Procedures):
 - i. are undertaken as part of course requirements;
 - ii. are 'minimal risk', as defined by the TCPS;
 - iii. do not involve deception; and
 - iv. have been approved by a Faculty or Department Ethics Review Committee approved by the REB.

5.2 If unsure whether a proposed project is subject to ethical review, researchers, course instructors, and Faculty/Department Ethics Review Committees will seek guidance from the REB on whether ethical review is required for specific projects. In the event of disagreement, the REB makes the final decision on whether proposed activities are exempt from REB review and/or Faculty/Department Ethics Review Committee review.

6. REB REVIEW BY SUBCOMMITTEE (DELEGATED REVIEW)

6.1 The following categories may be reviewed by a subcommittee of the REB on a delegated basis (see, also, REB Procedures):

- a) Research involving no more than 'minimal risk', as defined by the TCPS;
- b) Research not involving deception or withholding of information from participants;
- c) Continuing review of approved projects for which there has been little or no change;
- d) Research previously reviewed by the full board;
- e) Multi-jurisdictional research approved by another Canadian Research Ethics Board.
- f)

7. AUTHORITY AND DISCIPLINE

7.1 The REB has the authority to approve, reject, terminate, or require modifications to any proposed or ongoing research involving human participants and/or human biological materials not explicitly exempted from REB jurisdiction.

7.2 In matters related to potential breach of policy, the authority of the REB is limited to taking action to protect the safety and welfare of participants.

7.3 Discipline arising from a potential breach of the requirements established by the REB are addressed in Capilano University's Standards of Conduct Policy (Policy B.506).

8. SCHOLARLY REVIEW AS PART OF ETHICS REVIEW

8.1 The REB will review the ethical implications of proposed research methods and design. The primary criterion used by the REB in evaluating a research project will be compliance with the TCPS and, where appropriate, relevant professional and discipline-specific standards.

8.2 The REB will adhere to the following when conducting scholarly review as part of ethical review:

- a) The extent of review for scholarly standards will be proportional to the risks and vulnerabilities involved.
- b) Research involving human participants or human biological materials that poses, at most, minimal risk will not normally require scholarly review.
- c) Research involving human participants or human biological materials that poses risk of harm to public figures in politics, business, labour, or other walks of life, will not be blocked because of potentially negative findings. Safeguards for those in the public arena are through public debate and discourse and, in extreme circumstances, through court action.

9. RECONSIDERATION AND APPEAL OF REB DECISIONS

9.1 The REB is obligated to provide comprehensive documentation of the reasons for its decisions, and to reconsider its decisions when requested to do so by applicants.

9.2 Applicants have the right to appeal a REB decision in accordance with documented REB procedures.