



Research Involving Humans Policy	
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Policy Owner: President	Effective Date: November 9, 2023
Policy Administrator: Research Ethics Board	Review Period: 5 years
Recommended by: Research Ethics Board	
Associated Documents: SOP: Ethics Review Procedures SOP: REB Membership, Composition, Roles, and Responsibilities SOP: REB Full Board Review SOP: REB Member Declaration of Conflict of Interest SOP: Notice of Adverse Events SOP: Researcher Non-Compliance Integrity in Research, Scholarly Activity, and Scholarship Policy Tri-Agency Agreement on the Administration of Agency Grants and Awards by Research Institutions Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans Employee Code of Conduct	

PURPOSE This policy affirms Red Deer Polytechnic’s commitment to create a research environment in which human research participants are protected through adherence to the highest ethical standards and practices as outlined in the current Tri-Council Policy Statement: *Ethical Conduct for Research Involving Humans* (TCPS 2), related legislation, OCAP® (Ownership, Control, Access, Possession) Principles, and Red Deer Polytechnic policies.

This policy establishes an independent research ethics review process and delineates the responsibilities of the Research Ethics Board (REB), researchers, and Red Deer Polytechnic Administration in relation to the REB.

SCOPE

This policy applies to all of the following: a) members of the Red Deer Polytechnic community, and members of other institutions for which the REB acts as a Board of Record, undertaking research involving human participants; b) researchers external to Red Deer Polytechnic using Red Deer Polytechnic community members as participants; and c) researchers external to Red Deer Polytechnic requesting a courtesy review by the REB.

POLICY

Principles

1. Red Deer Polytechnic adopts the core ethical principles of the TCPS as foundational elements of this policy: Respect for Persons; Concern for Welfare; and Justice.

Red Deer Polytechnic and REB Roles and Responsibilities

1. The Red Deer Polytechnic REB is established by authority of the President of the Polytechnic.
2. The Associate Vice President, Academic is responsible for determining and providing ongoing financial and administrative resources that are required for the REB to fulfill its duties and for ensuring that these resources are provided.
3. The REB is independent in its decision making, is accountable to the President of the Polytechnic, and shall operate free of inappropriate influence.
4. The REB has the authority to approve, reject, require modifications to, or terminate any proposed or ongoing research involving human participants. This includes the authority to continue to review all approved research projects until they are fully concluded. No material changes to approved research may occur without prior review and approval from the REB.
5. The decisions of the REB are not subject to review or interference by any person or body except to the extent that such decisions may be reviewed through the Research Ethics Appeal process, pursuant to the procedures to this policy.
6. The REB will maintain records of all approval certificates issued, documents related to all review decisions, and annual updates submitted by reviewers.
7. REB members are required to be informed and educated regarding all ethics requirements of the Tri-Council granting agencies and all other provincial, national, and international laws, as well as regulations, policies, standards, and guidelines that are relevant to research ethics review.
8. Red Deer Polytechnic, including but not limited to Associate Deans, Managers/Leaders/Supervisors, shall ensure that those who conduct research involving human participants understand their responsibilities for the ethical conduct of their research. This includes not only awareness of but also understanding of the relevant policies and procedures that support and promote the responsible conduct of research.
9. The REB will ensure that Associate Deans, Managers/Leaders/Supervisors, and relevant offices/departments at RDP have access to information and resources they need in regard to the relevant policies/procedures that apply to research involving human participants to ensure that researchers are able to meet their responsibilities for the ethical conduct of research.
10. Actual, potential, or perceived conflicts of interest of REB members in the review process are made known and dealt with in accordance with Red Deer Polytechnic's Employee Code of Conduct and the Integrity in Research, Scholarly Activity, and Scholarship Policy.

Researcher Roles and Responsibilities

1. Researchers must submit research proposals to the REB for review and obtain approval prior to the start of recruitment of participants, access to data, or collection of data from participants. REB review is not required for the initial exploratory phase, which may involve contact with individuals or communities intended to establish research partnerships or to inform the design of a research project.
2. All research involving human participants must be conducted in accordance with the most current version of the Tri-Council Policy Statement: Ethical Conduct for Research Involving

Humans and, where applicable, with specific research and other relevant community, national, and international standards.

3. Researchers are to familiarize themselves and comply with the requirements of this policy and, in particular, the current TCPS. It is required that all researchers complete the online TCPS Course on Research Ethics (CORE) Tutorial.
4. Researchers are to familiarize themselves with any other relevant policies, procedures, professional standards, and practices that both support and promote the responsible conduct of research.
5. It is the researcher's responsibility to know, obtain, and respect any additional approvals needed prior to the start of the research.
6. Actual, potential, or perceived conflicts of interest of researchers are to be made known and dealt with in accordance with Red Deer Polytechnic's Employee Code of Conduct and the Integrity in Research, Scholarly Activity, and Scholarship Policy.
7. All student-led research must be supervised by a faculty or staff member who accepts responsibility for overseeing the ethical conduct of the student's research and acts as Principal Investigator for such research.
8. Once a project has been approved, researchers are required to:
 - a. Monitor their research to ensure that it is conducted in an ethical manner and according to the protocols approved by the REB;
 - b. Report changes or unanticipated issues to the REB;
 - c. Supervise all team members in the application of the approved research procedures and ensure that they are properly qualified and versed in the conduct of ethical research as outlined in the TCPS and related Red Deer Polytechnic policies; and
 - d. Submit an annual status report to the REB.

Research Involving Indigenous Communities

1. Where research involves an Indigenous community, or the inherent territory of the participants, researchers will:
 - a. engage with and follow the protocol and processes of the relevant Indigenous community in the initial stages of the research design process;
 - b. proceed in respectful collaboration with and, when appropriate, led by, the relevant community;
 - c. seek the informed consent from the community according to their needs, policies, protocols, and appropriate governance bodies; and
 - d. understand and respect the community's ownership over the conduct of research.
2. In the ethics review process, it is the researcher's responsibility to demonstrate the following: understanding, knowledge, and skills to develop the relationship with the community;
 - a. how and from whom they will seek guidance on the research process within the community;
 - b. support for community-led research and support for capacity building within the community, including the utilization research methodologies, if appropriate;
 - c. direct benefits to the community;
 - d. how the community's inherent rights to cultural knowledge, cultural practices and traditions shared with the researcher will be protected;
 - e. how the dissemination of knowledge, research, and outcomes will align with community processes, standards, and protocols;
 - f. how the community will be acknowledged as co-authors or co-creators of the research

- knowledge; and
- g. understanding, knowledge, and skills to follow guidelines established by the TCPS 2 (Chapter 9), OCAP® (Ownership Control Access Possession) (or equivalent) principles, and other applicable legislation/principles.

Research Involving Distinct Communities

1. The overarching principles of respectful relationships, collaboration and engagement between researchers and participants that are the foundation of research involving Indigenous peoples and communities are also an important source of guidance for research involving other distinct communities (for example, equity-denied communities, racialized/cultural communities) and the need to respect a community's traditions, customs and codes of practice do apply.

Non-Compliance

1. As required by the Tri-Agency Agreement on the Administration of Agency Grants and Awards by Research Institutions, Red Deer Polytechnic shall maintain adequate controls to ensure that the REB has approved all research involving human participants before research involving humans has commenced, and approval remains in place as long as such activities are carried out.
2. Failure to comply with this policy and pertinent federal, provincial, and international guidelines/legislation for the protection of human participants, inappropriate treatment of human participants and/or failure to conduct research in the manner in which it has been approved by the REB may be considered misconduct in research and may, accordingly, be handled under the procedures of the Integrity in Research, Scholarly Activity, and Scholarship Policy.

Acknowledgements:

Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS2 2018)

Blue Quills First Nations Polytechnic Research Ethics Policy, 2009.

Simon Fraser University: Ethics Review of Research Involving Human Participants

Macewan University: Ethical Review of Research with Human Participants

Mount Royal University: Ethics of Research Involving Human Participants Policy

CCI guide for research involving Indigenous Peoples and communities (NSERC)

United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)