

**Procedures: Human Research Ethics      SOP 102 Research Requiring REB Review**

<b>Associated Policy</b>	Human Research Ethics Policy AR-03
<b>Procedure Holder</b>	Associate Vice President Research
<b>Executive Lead</b>	Research Services
<b>Approval Authority</b>	President
<b>Original Date</b>	Replaces AR-03 procedures (May 2009, revised Oct. 2014)
<b>Effective Date</b>	July 2022

## 1.0 PURPOSE

The purpose of this standard operating procedure (SOP) is to describe research activities that require Research Ethics Board (REB) review and research activities that are exempt from review and activities that are not defined as research requiring review.

## 2.0 SCOPE

This SOP pertains to Yukon University (YukonU) REB that review human participant research in compliance with applicable regulations and guidelines.

## 3.0 RESPONSIBILITIES

All REB Chairs and members and REB Office Personnel are responsible for ensuring that the requirements of this SOP are met.

## 4.0 DEFINITIONS

See Glossary of Terms.

## 5.0 PROCEDURE

All research involving human participants and all other activities which even in part, involve such research, regardless of sponsorship, must be reviewed and approved by the YukonU REB. No intervention or interaction with human participants in research, including recruitment, may begin until the YukonU REB has reviewed and approved the research protocol, consent documents and recruitment materials. Specific determination as to the definition of “research” or “human participants” and their implications for the jurisdiction of the REB under Yukon University policy are determined by the REB. Determination of exemption from REB review must

be based on regulatory, guideline and institutional criteria.

## **5.1 Research that Requires REB Review**

**5.1.1** “Research” is defined as an undertaking intended to extend knowledge through a disciplined inquiry or systematic investigation (including pilot studies, exploratory studies and course based assignments). TCPS2 Article 2.1. The following requires ethics review and approval by the REB before the research commences:

- (a) All research involving living human participants,
- (b) All research involving human biological materials, as well as human embryos, fetuses, fetal tissue, reproductive materials and stem cells. This applies to materials derived from living and deceased individuals.

**5.1.2** In addition, the YukonU REB review is required when the research is:

- 5.1.2.1** Conducted by members or associated members of the University acting in their University capacity, including but not limited to faculty, staff, sessional instructors, administrators, students, visiting or adjunct scholars, and any other person associated with research at the University;
- 5.1.2.2** Conducted with the authorization of the University using resources (including but not limited to space that is under the administration of the University) that has been provided by the University;
- 5.1.2.3** In need of research review by the University pursuant to the terms of an affiliation agreement with another agency.

## **5.2 Research Exempt from REB Review**

**5.2.1** Research that relies exclusively on publicly available information does not require REB review when:

- 5.2.1.1** The information is legally accessible to the public and appropriately protected by law,
- 5.2.1.2** The information is publicly accessible and there is no reasonable expectation of privacy;

**5.2.2** REB review is not required for research involving the observation of people in public places where:

- (a) It does not involve any intervention staged by the Researcher, or direct interaction with the individuals or groups,
- (b) Individuals or groups targeted for observation have no reasonable expectation of privacy,

and

(c) Any dissemination of research results does not allow identification of specific individuals;

**5.2.3** REB review is not required for research that relies exclusively on secondary use of anonymous information, or anonymous human biological materials, so long as the process of data linkage or recording or dissemination of results does not generate identifiable information;

**5.2.4** The opinion of the REB should be sought whenever there is any doubt about the applicability of the guidelines and regulations to a particular research project.

### **5.3 Activities Not Requiring REB Review**

**5.3.1** Activities outside the scope of research subject to REB review may still raise ethical issues that would benefit from careful consideration by an individual or a body capable of providing some independent guidance, other than the REB;

**5.3.2** Quality assurance and quality improvement studies, program evaluation activities, performance reviews, or testing within normal educational requirements when used exclusively for assessment, management or improvement purposes, do not constitute research for the purposes of this SOP, and do not fall within the scope of REB review;

**5.3.3** Creative practice activities, in and of themselves, do not require REB review. However, research that employs creative practice to obtain responses from participants that will be analyzed to answer a research question is subject to REB review.

**5.3.4** For research/scholarly work where the researcher is uncertain whether a review is required, they should consult with the research ethics office and/or REB to determine to determine if the research should be subject to an ethics review.

## **6.0 FAILURE TO SUBMIT PROJECT FOR REB REVIEW**

The implications of engaging in activities that qualify as research that is subject to REB review without obtaining such review are significant. Results from such studies may not be published unless REB approval was obtained prior to collecting the data. In addition, conducting research without REB approval can constitute research misconduct in accordance with the provisions of YukonU Policy AR-02. It is also again policy to use that data to satisfy thesis or dissertation requirements.

If a researcher begins a project and later finds that the data gathered could contribute to generalizable knowledge and has changed in some fashion as to now require REB review, the

researcher should submit an application to the REB for review as soon as possible. The YukonU REB will not review or grant approval for research that has been conducted without approval. If the REB does not approve the research, data collected cannot be used as part of a study, thesis or dissertation nor may the results of the research be published.

## 7.0 REFERENCES

See References.

## 8.0 REVISION HISTORY

SOP Code	Effective Date	Summary of Changes
SOP102	July 2022	YukonU version adapted from N2/CAREB SOP102.003 (October 8, 2019)