

**Policy Title:**                   **Research Ethics**  
Policy Approver:  
Policy Holder:               Vice-President, Research  
Category:                    Academic  
Original Date:               May 2009  
Last Revised:               October 2014  
Next Review:                February 2019

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### **Policy Statement**

Yukon University expects that researchers conduct their research in accordance with established ethical procedures. For research involving human participants, the University adheres to the Tri-Council Policy Statement (TCPS2) on "Ethical Conduct for Research Involving Humans" (Canadian Institute of Health Research (CIHR), Natural Sciences and Engineering Research Council of Canada (NSERC), and Social Sciences and Humanities Research Council of Canada (SSHRC), 2010).

All research undertaken by members of or conducted at Yukon University - including that undertaken by staff, students and visiting researchers must be reviewed and approved by the Yukon University Research Ethics Board prior to being conducted. The ethical review, approval and monitoring of research involving humans will be done by the Research Ethics Board (REB) which is responsible for research involving humans. This Committee is responsible to the Yukon University President in all matters concerning research involving human participants.

### **Approval Statement**

With the consent of the Senior Executive Committee and approval of the President of Yukon College, this policy is hereby deemed in effect the 15<sup>th</sup> day of October, 2014.

Karen Barnes

October 15, 2014

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President, Yukon College

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Date

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## 1. Purpose of Policy

Yukon University is committed to developing and maintaining administrative and operational policies and to ensuring such policies reflect the University's values, legal, and ethical requirements and purpose.

This policy has been developed for anyone involved in Yukon University endorsed research or scholarly activities. The policy is designed to facilitate the ethical practice of research at Yukon University and to ensure that research conducted at Yukon University, or by Yukon University staff or students, will use recognized ethical standards and practices.

The purpose is served by assisting researchers in identifying and solving ethical research problems and is not intended to censor or impose limits on academic freedom. The responsibility for the ethical conduct of research always remains with individual researchers who should value and respect the well-being of human participants involved in the research.

The Research Ethics Policy is designed to minimize the University's liabilities associated with research at the institution or research by members of the University community who use the University name to apply for funding or to access other resources.

The Research Ethics Board (REB) will govern research at Yukon University. Research involving humans will be reviewed and approved by the REB.

## 2. Governing Legislation and Relevant Documents

Yukon University Act

BOG 3.0 – Yukon University President Responsibilities

AR 1.0 University Role in Research

AR 2.0 Research Integrity Policy

AR 4.0 Animal Welfare Policy

AR 5.0 Intellectual Property Policy

AR 6.0 Northern Research Endowment Fund

Tri-Council Policy Statement 2: Ethical Conduct for Research Involving Humans, Yukon University Protocols and Principles for Conducting Research with First Nations

Yukon Scientists and Explorers Act, Canadian Copyright Act

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Guide to Patents, Industry Canada

### **3. Guiding Principles**

Yukon University plays a unique role in the life of the Yukon Territory. Research and knowledge generation are recognized as important contributors to Yukon University's Strategic Goals. Yukon University supports and encourages the maintenance of the highest ethical standards in research and scholarship. It is expected that anyone conducting research under the auspices of the University will incorporate ethical principles in their research activities and will ensure continued compliance with these principles.

Respect for human dignity requires that research involving humans be conducted in a manner that is sensitive to the inherent worth of all human beings and the respect and consideration that they are due. Respect for human dignity is expressed through three core principles described in the Tri-council Policy Statement (TCPS2) - Respect for Persons, Concern for Welfare and Justice. Yukon University research involving human participants is guided by these three principles.

#### **3.1 Respect for Persons**

Respect for Persons recognizes the intrinsic value of human beings and the respect and consideration that they are due. It encompasses the treatment of persons involved in research directly as participants and those who are participants because of their data or human biological materials, which for the purposes of this Policy include materials related to human reproduction, are used in research. Respect for Persons incorporates the dual moral obligations to respect autonomy and to protect those with developing, impaired or diminished autonomy.

#### **3.2 Concern for Welfare**

The welfare of a person is the quality of that person's experience of life in all its aspects. Welfare consists of the impact on individuals of factors such as their physical, economic and social circumstances. Thus, determinants of welfare can include housing, employment, security, family life, community membership, and social participation, among other aspects of life. Other contributing factors to welfare are privacy and the control of information about the

person, and the treatment of human biological materials according to the free, informed and ongoing consent of the person who was the source of the information or materials.

### 3.3 Justice

Justice refers to the obligation to treat people fairly and equitably. Fairness entails treating all people with equal respect and concern. Equity requires distributing the benefits and burdens of research participation in such a way that no segment of the population is unduly burdened by the harms of research or denied the benefits of the knowledge generated from it.

## 4. Definitions

**Ethics:** is a body of moral principles or values.

**Research:** is defined by Canada Foundation for Innovation as "the attempt to discover new facts, knowledge and information to develop new interpretations of facts, knowledge or information, or to discover new means of applying existing knowledge.

**Researcher:** is anyone who carries out research. The principal investigator is the researcher who has the primary responsibility for a particular research project.

### Research Participants:

1. Human participants refer to living individuals and groups of living individuals such as publicly identifiable social, ethnic, religious, or economic groups. These human participants may be referred to as participants in a research project.
2. Non-Human subjects are living or deceased organisms, including plant and animal tissues, cells, bacteria, virus, and other life forms on which observations, handling, manipulations, interventions, or systematic collection of data occurs.

**Minimal Risk:** means the risks of harm anticipated in the proposed research are not greater or more likely, considering probability and magnitude, than those ordinarily encountered in life, including those encountered during the performance of routine physical or psychological examinations or tests.

## 5. Research Scope

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### 5.1. Research Requiring REB Review

All research involving human participants conducted by researchers at Yukon University, Yukon University employees, students enrolled at Yukon University who are involved in research and/or anyone using Yukon University resources require ethical review and approval by the REB at Yukon University prior to the research commencing.

The following requires ethics review and approval by Yukon University's REB before the research commences:

- a. Research involving living human participants;
- b. 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.

These projects would include:

- Those where the University name or affiliation is used in a proposal or contract bid to an outside research support agency, in a proposed partnership or alliance, or in the research activity;
- Those where the University participates as a sponsor financially or through provision of release time, study leave, use of facilities, use of University personnel, administration of a grant from an outside agency, or other University resources;
- Projects where University employees or students are participants or subjects for whom the University has responsibilities to regulate legal or ethical aspects of the research or where databases will be used that contain information about the aforementioned groups;
- Student research that is part of course requirements.

### 5.2. Research Not Requiring REB Review

The following types of research do NOT require ethical review by the REB at Yukon University:

- 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.

- Research that relies exclusively on publicly available Information does not require REB review when:
  - The information is legally accessible to the public and appropriately protected by law; or
  - The information is publicly accessible and there is no reasonable expectation of privacy.
- Research Involving the observation of people in public places where:
  - It does not involve any intervention stated by the researcher, or direct interaction with the individuals or groups;
  - Individuals or groups targeted for observation have no reasonable expectation of privacy; and
  - Any dissemination of research results does not allow identification of specific individuals.
- Performance review of University employees;
- Teacher and class evaluations distributed by class instructors, Deans, or Divisions;
- Assessments of students carried out within normal educational requirements as approved by the University, such as via approved curriculum guidelines or admissions standards;
- Standardized testing conducted by employees in the normal course of their work where they are qualified to administer such tests;
- Data collected by the University that relate directly to, and are necessary for, administering, evaluating, or seeking to improve an operating program, service or activity of the University;
- Any research conducted by employees of Yukon University on their own time, outside their University role, not using University students or resources, and not affiliated with Yukon University.

### **5.3. Uncertainty about the Need for REB Review**

For research/scholarly work where the researcher is uncertain whether a REB review is required, it is the responsibility of the researcher to consult with the Yukon Research Centre to determine if the research should be subject to an ethics review.

### **5.4. Compliance**

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Yukon University requires all staff and students, as well as outside researchers, conducting research at or through the University to adhere to its policies and procedures. The University considers the improper treatment of human participants in research to be a serious offence, subject to severe penalties, including but not limited to disciplinary action and the withdrawal of privileges to conduct research at the University.

## **6. Regulations**

### **6.1. Academic Freedom**

The REB will ensure that there is no infringement on academic freedoms of any researcher under the ethics review process.

### **6.2. Free and Informed Consent**

#### **6.2.1 Informed Consent**

Research governed by this policy may begin only if prospective participants, or authorized third parties, have been given the opportunity to give free and informed consent about participation and their free and informed consent has been given and is maintained throughout their participation in the research.

Evidence of free and informed consent by the participant or third party should be obtained in writing. Where written consent is culturally unacceptable, or where there are good reasons for not recording consent in writing, the procedures used to seek free and informed consent will be documented.

The REB may approve a consent procedure which does not include, or alters, some or all of the elements of informed consent set forth above, or waive the requirement to obtain free and informed consent, provided that the REB finds and documents that:

1. The research involves no more than minimal risk to the participant;
2. The waiver or alteration is not going to adversely affect the rights and welfare of the participants;
3. The research could not practicably be undertaken without the waiver or alteration;
4. Whenever possible and appropriate, the participants will be provided with additional pertinent information after participation;
5. The waiver or altered consent does not involve a therapeutic intervention.

### 6.2.2 Voluntariness

Free and informed consent must be voluntarily given, without manipulation, undue influence or coercion.

### 6.2.3 Naturalistic Observation

REB review is normally required for research involving naturalistic observation. This does not include observation of participants at public or publicly visible events as it can be expected that the participants are seeking public visibility.

### 6.2.4 Informing Potential Participants (General Conditions)

Researchers will provide, to prospective participants or authorized third parties, full and frank disclosure of all information relevant to free and informed consent.

Throughout the free and informed consent process, the researcher must ensure that prospective participants are given adequate opportunities to discuss and contemplate their participation.

Researchers or their qualified designated representatives will provide prospective participants with the following:

1. Information that the Individual is being invited to participate in a research project;
2. A comprehensible statement of the research purpose, the identity of the researcher, the expected duration and nature of participation, and a description of research procedures;
3. A comprehensible statement of reasonably foreseeable harms and benefits that may arise from research participation, as well as likely consequences of non-action, particularly in research related to treatment, or where invasive methodologies are involved, or where there is a potential for physical or psychological harm;
4. An assurance that prospective participants are free not to participate, have the right to withdraw at any time without prejudice to pre-existing entitlements, and will be given continuing and meaningful opportunities for deciding whether or not to continue to participate;

5. The possibility of commercialization of research findings, and the presence of any apparent or actual potential conflict of interest on the part of researchers, their Institutions or sponsors.

### 6.2.5 Competence

Subject to applicable legal requirements, individuals who are not legally competent will only be asked to become research participants when:

1. The research question can only be addressed using Individuals within the Identified group(s);
2. Free and informed consent will be sought from their authorized representative(s);
3. The research does not expose the participant(s) to more than minimal risks without the potential for direct benefits for them.

For research involving incompetent individuals, the REB will ensure that as a minimum the following conditions are met:

1. The researcher will show how free and informed consent will be sought from the authorized third party and how the participants' best interests will be protected;
2. The authorized third party is not the researcher or any other member of the research team;
3. Continued free and informed consent of an authorized third party will be required to continue the participation of a legally Incompetent participant in research, so long as the subject remains incompetent;
4. When a participant entered into a research project through third party authorization becomes competent during the project, his or her informed consent will be sought as a condition of continuing participation.
5. Where free and informed consent has been obtained from an authorized third party and in those circumstances where the legally incompetent individual understands the nature and consequences of the research, the researcher will seek to ascertain the wishes of the individual concerning participation. The potential participant's dissent will preclude his or her participation.

### 6.2.6 Research in Emergency Health Situations

Research involving emergency health situations will be conducted only if it addresses the emergency needs of individuals involved, and then only in accordance with criteria established in advance of the research by the REB.

The REB may allow research that involves health emergencies to be carried out without free and informed consent of the participant or of his or her third party if ALL of the following apply:

- A serious threat to the prospective participant requires immediate intervention; and
- Either no standard efficacious care exists, or the research offers a real possibility of direct benefit to the participant in comparison with standard care; and
- Either the risk of harm is no greater than that involved in standard efficacious care, or it is not clearly justified by the direct benefits to the subject; and
- The prospective participant is unconscious or lacks capacity to understand risks, methods and purposes of the research; and
- Third party authorization cannot be secured in sufficient time, despite diligent and documented *efforts* to do so; and
- No relevant prior directive by the subjects is known to exist.
- When a previously incapacitated participant regains capacity, or when an authorized third party is found, free and informed consent will be sought promptly for continuation in the project and for subsequent examinations or tests related to the study.

### 6.3. Privacy and Confidentiality

Researchers shall safeguard information entrusted to them and not misuse or wrongfully disclose it. Institutions shall support their researchers in maintaining promises of confidentiality.

Researchers shall describe measures for meeting confidentiality obligations and explain any reasonably foreseeable disclosure requirements:

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- a) In application materials they submit to the REB; and
- b) During the consent process with prospective participants.

Researchers shall provide details to the REB regarding their proposed measures for safeguarding information, for the full life cycle of information: its collection, use, dissemination, retention and/or disposal.

Researchers who have not obtained consent from participants for secondary use of identifiable information shall only use such information for these purposes if the REB is satisfied that:

- a) Identifiable information is essential to the research;
- b) The use of identifiable information without the participants' consent is unlikely to adversely affect the welfare of individuals to whom the information relates;
- c) The researchers will take appropriate measures to protect the privacy of individuals, and to safeguard the identifiable information;
- d) The researchers will comply with any known preferences previously expressed by individuals about any use of their information;
- e) It is impossible or Impracticable to seek consent from individuals to whom the information relates; and
- f) The researchers have obtained any other necessary permission for secondary use of information for research purposes.

#### **6.4. Inclusion in Research**

It is important for researchers to take into account appropriate inclusion. Researchers shall not exclude individuals from the opportunity to participate in research on the basis of attributes such as culture, language, race, disability, sexual orientation, ethnicity, linguistic proficiency, gender or age, unless there is a valid reason for exclusion.

#### **6.5. Conflict of Interest**

The REB will adhere to the "conflict of interest guidelines as outlined in Articles 1.12 and 4.1 of the Tri-Council Policy Statement (TCPS):

- Members of the Committee will disclose any actual, perceived or potential personal interest in research presented to the Committee and will be absent during discussion or decision making when these proposals are reviewed;
- The REB will analyze protocols for conflict of interest and will ensure that researchers inform participants during the free and informed consent process of any potential or real conflicts;
- Conflicts of interest will be managed proportionately. Where conflicts are unavoidable, the ethics review process will be more stringent;
- Members of the REB will not be present when their own research is reviewed, nor will they participate in decision making for researchers with whom they have been in direct academic conflict or collaboration;
- The REB acts independently, and at arms-length from the administration of Yukon University; thereby, maintaining its autonomy over ethical questions even when the institution has a strong interest in seeing a project approved.

## **6.6. The Research Ethics Board (REB)**

### **6.6.1 REB Mandate**

The REB mandate is:

- To review, approve, reject, or propose modifications to any research project that falls under the scope of this policy;
- To ensure all researchers and support personnel affiliated with the University are familiar with and understand the ethical issues, principles, standards, policies and procedures to which they must adhere;
- To monitor all human research protocols for conformity with the principles established by the Tri-Council, and other funding agencies;
- To terminate any research that causes undue stress or distress to the participant(s) while research is being done or that deviates from the approved proposal;
- To suspend any research that begins without the required approval, or which deviates from an approved protocol by the REB;
- Yukon University may refuse to allow certain research within its jurisdiction, even if the REB has found it ethically acceptable;

- The Yukon University REB will accept the review of other Research Ethics Board's constituted under the Tri-Council Policy Statement if it desires.

### 6.6.2 REB Membership

The Research Ethics Board will be appointed by the Yukon University President and will consist of at least six members (men and women) of whom:

- At least two are University staff members, preferably one from a scientific discipline and one from a social science discipline, who have experience in research methods;
- At least one is a University staff member who has knowledge or experience in research ethics;
- At least one member is not an employee or student of Yukon University, but is recruited from a Yukon community;
- At least one member is a representative of Yukon First Nations;
- At least one ad hoc member who has no affiliation with Yukon University, but who is recruited from the Yukon community and has expertise in the subject area under review. This member may be nominated by the Chair to ensure fair and thorough review of proposals;
- For research involving students as participants, one ad hoc member is a full-time student at the University;
- The Committee may add one member knowledgeable in the relevant law for the review of biomedical research;
- With the exception of the ad hoc members, appointments are for a two-year term and can be renewed for a second two-year term.

The REB will select a Chair from among its members, to serve for a minimum of one year and a maximum of two years.

As the need arises, the Committee is free (by majority vote) to co-opt others to join it for one or two meetings, especially for the review of applications. This includes seeking expertise in areas not well represented on the Committee and in legal issues relevant to the research.

### 6.6.3 REB Responsibilities

The REB will:

- Ensure no research is started without prior Committee approval through an application review process;
- Review research proposals for scientific rigor, ethical considerations, appropriate funding and adequate facilities/supports;
- Approve or reject proposals;
- Specify in writing the exact reasons for rejection of a research proposal;
- Monitor ongoing research;
- Conduct yearly reviews of ongoing research for compliance with the terms of the approved proposal;
- Terminate any ongoing research that ceases to meet policy standards;
- Maintain confidentiality;
- Promote ethics education within the University for those involved in research activities;
- Respond to inquiries about ethical issues in research;
- Consult with and advise the University, its members and the public on matters related to research ethics.

The Research Ethics Board may suspend any research that is taking place without the required approval, or that is in violation of the procedures proposed in the research project. Researchers must obtain the committee's approval for the research or for changes in the research previously approved by the committee before proceeding with their research.

### 6.6.4 Meetings and Attendance

The following applies to REB meetings and attendance:

- The REB will meet within three weeks of receiving a research proposal;
- The REB will hold general meetings to discuss any general issues, revise policies or conduct business related to its mandate;
- Meetings will be face-to-face whenever possible. However, if necessary, the Committee may make decisions via telephone or email vote organized by the Chair. This is provided that the research to be reviewed is of minimal risk, does not involve deception, Committee has received the relevant documentation, all

members vote, and there is no dissenting vote. Decisions taken with this method should be noted on the agenda and included in the minutes of the next formal meeting;

- Regular attendance of REB members is important. Members must notify the Committee Chair if they are unable to attend any meeting;
- A quorum of the Committee will be at least five members. The quorum will possess the range of expertise reflected in the membership;
- The REB will accommodate reasonable requests from researchers to participate in discussions about their proposals, but they may not be present when the REB makes its decision.

### 6.6.5 Record Keeping

Records will be managed as follows:

- Minutes will be kept from the meetings and placed with the appropriate files through the Yukon Research Centre;
- The Chair will keep a permanent record of all research proposals. Minutes of all REB meetings will clearly document REB decisions and any dissents, and the reasons for them.

### 6.6.6 Reporting

An annual activity report from the REB will be submitted to the YRC/CCI Advisories and to the President and Board of Governors of Yukon University.

## 6.7 Researcher Guidelines

Researchers will adhere to the following guidelines:

- The person responsible for directing the research project (researcher, project lead, PI or instructor) will fill out an ethics review form (available from the Yukon Research Centre) and provide 3 copies to the Committee prior to a project starting. This should be done at least 3 weeks prior to initiation of research;
- The Researcher must adhere to research procedures set out in law and in Yukon University policy. This includes the requirement to obtain approval from the REB and for changes in projects that have already had REB approval;

- The Researcher agrees to read and be familiar with Yukon University policy, the Ethical Principles for the Conduct of Research in the North (Association of Canadian Universities for Northern Studies) and the Tri- Council Policy Statement on the Ethical Conduct for Research Involving Humans. Adherence to these ethical principles and procedures in the development of research proposals will facilitate their review by the REB;
- The Researcher will ensure that research is scientifically valid and/or appropriate in a scholarly sense, and that the benefits to knowledge that will result from the research warrants the investment of time, effort and risks to be incurred by the participants in the research. The researcher will carefully monitor and assure the validity of the research submitted to the REB;
- The Researcher will not initiate research until approval is received from the REB;
- The Researcher will abide by all decisions of the REB;
- The Researcher will address all recommendations of the REB and keep information complete and up-to-date at all times;
- The Researcher will promptly report to the REB Chair, any problems which involve risks or unusual costs to the participants, or other adverse events resulting from the research.
- The Researcher will promptly report to the REB Chair, any proposed changes in the research, and obtain approval from the REB prior to the changes being made and the research proceeding.

## 6.8 Review Procedures

The REB must use a proportionate approach based on the general principle that the more invasive the research, the greater should be the care in assessing the research. Accordingly, the Chair of the REB may expedite a review for projects that involve minimal risk, for annual reviews of approved projects, and for confirmation that conditions set out by the REB for approval of a project have been met.

The REB will ensure that when a research project design poses more than minimal risk that it is capable of addressing the questions being asked in the research.

The REB will communicate one of the following decisions upon review:

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- **Approved:** Project fulfills ethical standards and guidelines as proposed.
- **Provisionally Approved:** Approved with conditions that must be met before final approval. Specific problems have been noted and changes are required. Resubmission of the ethics form is required once appropriate changes are made.
- **Deferred:** Based on the information provided, the Committee is unable to make a final decision. There is a requirement for additional information or major revisions.
- **Not approved:** The ethical difficulties associated with the project are such that redesign is not thought to be possible.

The REB will notify each researcher in writing of its decision regarding their proposed research activity. If a proposal is not approved for ethical reasons, the notification will include the reasons for the decision and the researcher will be given an opportunity to respond in writing or in person. The REB may, at its discretion, review and reconsider its decision to not approve the research activity.

Ethics approval can only be given for one year at a time. If the study continues beyond one year, the researcher must submit an Annual Research Status Report and upon receipt and satisfactory review of this report, an Approval Certificate will be issued for another year.

### 6.9 Multi-Centered Research Review

It is the responsibility of the researcher to ensure that multi-centered research is reviewed by all institutions where the research is to be undertaken.

In multi-centered cases the REB may share documents and findings with other institutions and/or review documents and findings from other institutions as part of its ethics review.

### 6.10 Review of Research in Other Jurisdictions or Countries

Yukon University is responsible for the ethical conduct of research undertaken by its faculty, staff or students regardless of the location where the research is being carried out.

A research review is required by the University's REB in addition to reviews by agencies having jurisdiction over the site where the research is being done.

### **6.11 Research Involving First Nation, Inuit, and Metis Peoples of Canada**

Where the research is likely to affect the welfare of an Aboriginal community, or communities, to which prospective participants belong, researchers shall seek engagement with the relevant community.

The nature and extent of community engagement in a project shall be determined jointly by the researcher and the relevant community and shall be appropriate to community characteristics and the nature of the research.

In engaging territorial or organizational communities, researchers should ensure, to the extent possible, that they take into consideration the views of all relevant sectors- including individuals and subgroups who may not have a voice in the formal leadership.

### **6.12 Qualitative Research**

Researchers shall submit their researcher proposals, including proposals for pilot studies, for REB review and approval of its ethical acceptability prior to the start of recruitment of participants, or access to data.

Researchers shall explain in their research design the proposed procedures for seeking consent and the strategies they plan to use for documenting consent.

In research involving observation in natural environments or virtual settings where people have a reasonable or limited expectation of privacy, the researcher shall explain the need for an exception to the general requirement for consent.

In some research contexts, the researcher may plan to disclose the identity of participants. In such projects, researchers shall discuss with prospective participants whether they wish to have their identity disclosed in publications or other means of dissemination. Where participants consent to have their identity, disclosed researchers shall record each participant's consent.

In studies using emergent design in data collection, researchers shall provide the REB with all the available information to assist in the review and approval of the general procedure for data collection.

### **6.13 Reconsideration**

Researchers have the right to request a reconsideration of decisions by the REB affecting their research project.

All disagreements will be communicated to the researcher upon request of reconsideration.

Researchers will be given an opportunity to clarify the proposal and/or provide more information to the REB.

### **6.14 Appeals**

The Appeal Committee is appointed by the Vice-President, Research of Yukon University and will satisfy the requirement of Committee Membership. See Section 5.08-2.

Researchers wishing to appeal a REB decision will send a notice of appeal to the Vice-President, Research within 10 days of receiving their decision from the Committee. The notice of appeal should specify the decision being appealed and the reasons for the appeal.

The Vice-President, Research will refer the research in question to the Appeal Committee. Copies of the proposal, any revisions and all documentation and correspondence will be made available to the Appeal Committee.

The Appeal Committee will meet within six weeks of notification. A quorum will consist of the full Appeal Committee. The Appeal Committee is subject to the same regulations of the main Committee regarding co-opting expertise and meeting with the Researcher.

The Appeal Committee will notify the applicant and the Chair of their decision in writing. Unless otherwise stated in their decision, the decision of the Appeal Committee will be final.

Non-compliance with the substance of the Tri-Council Policy Statement is a reason for refusing to grant an appeal.

### **6.15 Ongoing Research**

The REB will continue to monitor a project after it has undergone ethical approval and will be available to provide additional advice, if necessary.

The principal investigator must submit an annual report. Under the Tri-Council policy, Ethics approval can only be given for one year at a time. If the study continues beyond one year, the researcher must submit an annual research status report and upon receipt and satisfactory review of this report, an Approval Certificate will be issued for another year.

If there is a major change to the research procedures, the research will have to be submitted again for full review by the REB.

## **7. Problem Solving**

Any questions or concerns arising out of the intent, content, implementation, or communication of this policy should be reported to the Vice-President, Research.

Where a concern or dispute arises from a decision made as a result of applying or enforcing this policy, researchers have the right to request a reconsideration of the decision(s) that affected their research project. In such cases the following sections of this policy apply:

- 5.08-10 Reconsideration;
- 5.08-11 Appeals.

## **8. Other Related and/or Accompanying Documents**

Forms:

- Application for Research Ethics Review
- Application for Course-Based Research Ethics Review
- Course-Based Research Assignments Involving Human Participants- Student Agreement
- Research Assistant Confidentiality Agreement
- REB Reviewer Consent Form Checklist
- Study Modification Form

- Yearly REB Reporting- Project Renewal or Closure
- Yearly REB Reporting- Course Based Project Renewal or Closure

**Addendum A - Policy Communication Checklist**

**ADDENDUM A - POLICY COMMUNICATION CHECKLIST**

Policy Name:

Number:

Submitted by:

List those consulted with in preparation of this policy:

Name	Department	Date
YC Staff and Faculty	All	October 2014

The order for communication and/or consultation for a new or revised policy is as follows:

1. SEC – initial review and recommendations from SEC membership;
2. Identified stakeholders within Yukon College in order of priority – see below;
3. SEC – to be briefed on any issues arising out of stakeholder consultations;
4. Staff – SEC members to bring policy to their staff for feedback (*SEC member introducing this policy is responsible for sending to SEC, requesting that it be circulated to their staff for feedback*);
5. SEC – final draft supported by SEC membership and approved by the President.

This checklist must be completed prior to the final draft of a policy being presented to SEC for presidential approval.

Body	Communication Planned	Completed	Comments
SEC	Review	October 2014	
Student Union			
Employee's Union			
Occupational Health and Safety			
Academic Council			
Board or a Board subcommittee			
<i>Other</i>	YC Staff and Faculty	May 2014	
SEC for Final Review	Final approval		