



Policy Name	<i>Research Involving Human Subjects</i>		
Policy #	RI 10.0	Category	Research & Innovation
Policy Owner	VP Academic, Neil Fassina	Effective Date	December 16, 2015
Policy Lead	AVP Research & Innovation, Chris Dambrowitz	Review Date	December 2018
Approved by	Executive Committee	Approval Date	December 16, 2015
Related Policies and Procedures	See Section 5		

1.0 Policy Statement

The purpose of this policy is to promote ethical practices in conducting research using human participants and provide guidance to researchers in how to maintain such practices. This policy also defines the roles and responsibilities of researchers and other parties involved in such research.

To ensure ethical practices are upheld, all research involving human participants, within its established jurisdiction, should be reviewed by the Northern Alberta Institute of Technology's Research Ethics Board (REB).

2.0 Scope

All research projects involving human participants, undertaken by members of the NAIT community — including all administrators, faculty, staff and students, alongside students carrying out research as part of class assignments and institutional research — fall within the jurisdiction of the NAIT Research Ethics Review Board (REB). The NAIT REB's jurisdiction applies, irrespective of the source of financial support (if any) or the project location, in the latter case, so long as the investigator represents the work as NAIT research.

Projects conducted by researchers from outside the NAIT community who access Institute resources (either equipment or personnel), may also fall within the jurisdiction of the NAIT REB.

All research associated with NAIT that involves living human participants (i.e. research where humans are participating in, or are the subject of, studies over which NAIT has the responsibility to regulate legal or ethical aspects) requires review and written approval by the REB in accordance with these procedures, before the research begins.

Research involving human remains, cadavers, tissues, biological fluids, embryos, or fetuses must also be reviewed by the REB.

Research that does not require ethics review includes research about a living individual involved in the public arena, or about an artist, based exclusively on publicly available information, documents, records, works, performances, archival materials, or third-party interviews. Such research only requires ethics review if the participant is approached directly for interviews or for access to private papers, and then only to ensure that such approaches are conducted according to professional protocols.

In addition, quality assurance studies, performance reviews, or testing within normal educational requirements do not require REB review.

3.0 Definitions

Term	Definition
Participant	An individual whose data or responses to interventions, stimuli, or questions by a researcher are relevant to answering a research question; also referred to as a “human participant” and in other policies/guidances as a “subject” or “research subject”
Research	Research is a systematic investigation to establish facts, principles or generalizable knowledge.
Researcher	Includes all members of the Institute who participate in applied research activities. Members of the Institute may include academic and non-academic staff, administrators, students, visiting or adjunct scholars, paid and unpaid research assistants, and any other person in a similar position.
Research Ethics Board (REB)	A body of researchers, community members and others with specific expertise (e.g., in ethics, in relevant research disciplines, in the law) established by an organization to review the ethical acceptability of all research involving humans conducted within NAIT’s jurisdiction and under its auspices.

4.0 Guiding Principles

Researchers have a professional responsibility to adhere to the ethical norms and codes of conduct appropriate to their respective disciplines. When researchers are engaged in research supported by NAIT, the Institute may, in some circumstances, be liable for any consequences of this research. Furthermore, most funding agencies require ethics review of research proposals that involve the use of human participants. For these reasons, policy and procedures are required to direct that appropriate safeguards be provided. This policy provides appropriate direction, so that NAIT may conduct research on human participants, of a standard acceptable to all of the major granting agencies and regulatory bodies.

This policy provides appropriate Norms for the ethics of research involving human participants are developed and refined within an ever-evolving societal context, elements of which include the need for research and the research community, moral imperatives and ethical principles,

and the law. Researchers at NAIT must demonstrate that appropriate methods will be used to protect the rights and interests of the participants in the conduct of research.

Research involving human participants is premised on a fundamental commitment to advancing human welfare, knowledge and understanding, and to examining cultural dynamics. Researchers undertake or fund research involving human participants for many reasons. An ethic of research involving human participants should include two essential components:

1. The selection and achievement of acceptable ends.
2. The acceptable means to those ends.

The first component is directed at defining acceptable ends in terms of the benefits of research for participants, for associated groups, and for the advancement of knowledge. The second component is directed at ethically appropriate means of conducting research.

The NAIT REB applies the principles set out in the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS2)¹ and in accordance with the procedures set out in the document “Canadian Association of Research Ethics Board (CAREB) Standard Operating Procedures”². The REB is guided by the ethical principles regarding all research involving human participants including the three highlighted in the TCPS2: respect for persons, concern for welfare and justice. Those procedures may be varied from time to time to accommodate future approved amendments to the TCPS2, CAREB SOPs, or NAIT research activities.

The REB will also follow all written policies and procedures consistent with federal and provincial regulations, good clinical practice and ethical guidelines when reviewing proposed research. The law affects and regulates the standards and conduct of research involving human participants in a variety of ways, such as privacy, confidentiality, intellectual property, competence, and in many other areas. Human rights legislation prohibits discrimination on a variety of grounds. In addition, most documents on research ethics prohibit discrimination and recognize equal treatment as fundamental. Research should also respect the spirit of the Canadian Charter of Rights and Freedoms, particularly the sections dealing with life, liberty and the security of the person as well as those involving equality and discrimination.

For greater clarity, note that the above requirements for REB review of research projects remain, regardless of any of the following circumstances—whether:

- The research is funded or not;
- The funding is internal or external;
- The participants are from inside or outside the institution;
- The participants are paid or unpaid;
- The research is conducted inside or outside Canada;
- The research is conducted inside or outside the institution;
- The research is conducted by staff or by students;
- The research is conducted in person or remotely (e.g., by mail, electronic mail, fax, or telephone);
- The information is collected directly from participants or from existing records not in the public domain;
- The research is to be published or not;
- The focus of the research is the participant;
- The research is observational, experimental, correlational or descriptive;

- A similar project has been approved elsewhere or not;
- The research is a pilot study or a fully developed project;
- The research is to acquire basic or applied knowledge;
- The research is primarily for teaching or training purposes or whether the primary purpose is the acquisition of knowledge; and
- The research is sponsored by NAIT or uses NAIT employees or students.

Researchers in doubt about whether their work requires REB review should consult with the Chair or a member of the REB for guidance. Contact information for the Chair is provided on the REB web site, <http://www.nait.ca/REB>.

5.0 Other Related Documents

- RI 1.0 Academic Freedom in Research
- RI 2.0 Academic Integrity and Responsibility in Research
- RI 3.0 Conflict of Commitment in Research
- RI 4.0 Conflict of Interest in Research
- RI 5.0 Intellectual Property in Research
- RI 6.0 Applied Research Administration
- RI 9.0 Recovery of Costs of Research
- RI 11.0 Student Rights and Responsibilities in the Conduct of Research
- RI 12.0 Use of Animals in Teaching and Research
- RI 13.0 Research Involving Bio-hazards
- RI 14.0 Research Involving Radioactive Materials

Document History

<i>Date</i>	<i>Action/ Change</i>
December 2015	Replaced original policy – revised content, new template
February 5, 2007	Original Policy Approval IR 10.0

¹Canadian Institutes of Health Research, Natural Sciences and Engineering Research Council of Canada, Social Sciences and Humanities Research Council of Canada, Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans. 2014

²Canadian Association of REBs and Network or Network (N2) SOPs. 2014.