

TERMS OF REFERENCE:

DEPARTMENTAL RESEARCH ETHICS SUBCOMMITTEE BOARDS (RESBs)

Background

Carleton University has a memorandum of understanding with Canada's three Tri-Council agencies (SSHRC, NSERC, and CIHR) that all research conducted under the auspices of Carleton University involving human participants, whether funded or not by one of the Tri-Councils, will adhere to principles and guidelines of the Tri-Council Policy Statement 2 (TCPS2).

At Carleton University, there are two levels of research ethics boards:

- (1) The Carleton University Research Ethics Boards (CUREB-A and CUREB-B)
- (2) Departmental research ethics sub-committee boards (RESBs)

CUREB-A is the university level ethics review board responsible for reviewing public affairs, business, arts and humanities based research involving human participants. CUREB-B is the university level ethics review board responsible for reviewing science, engineering, industrial design, and psychology based research involving human participants.

Responsibilities of the Research Ethics Subcommittee Boards (RESBs)

In accordance with TCPS2, the CUREBs delegate the review of undergraduate and graduate course-based research involving human participants to departmental research ethics subcommittee boards (RESBs).

In the event that a department does not have a subcommittee, course-based protocols shall be submitted to the appropriate CUREB. RESBs may be formed within one department, or across multiple departments.

Scope of Course-Based Research Delegated to RESBs

Students are normally required to engage in pedagogical activities that provide exposure to research methods in their field of study. A course-based activity that

- (1) intends to educate students about research processes in their given field,
- (2) involves human participants, and
- (3) involves *any* one of the following activities is normally considered course-based research for the purposes of this policy:

- Developing and/or administering interviews, questionnaires, or focus groups;
- Comparing new techniques, practices, programs with standard approaches;
- The results are written in a format that would be acceptable for a research journal or academic conference presentation;

TERMS OF REFERENCE:

DEPARTMENTAL RESEARCH ETHICS SUBCOMMITTEE BOARDS (RESBs)

- Primary data is collected and organized for analysis and distribution or dissemination
- Other activities that would be considered research within the discipline area of the course

The following activities **are not** considered course-based research and thus require CUREB review and clearance:

- Individually conducted thesis/capstone projects (undergraduate or graduate level)
- Activities that are part of the instructor's own research program
- Projects that exceed minimal risk
 - The TCPS2 defines minimal risk as the probability and magnitude of possible harms implied by participation in the research is no greater than those encountered by participants in those aspects of their everyday life that relate to the research
- Projects that involve personal, sensitive or incriminating topics or questions which could place participants at risk (including physical, psychological, social or economic)
- Projects that involve deception
- Funded projects

RESB Membership Requirements

The committee shall consist of:

- A minimum of three members
- At least one member who is a current or past CUREB member, and one additional departmental faculty member

Graduate student membership is encouraged.

- The Chair of the Department shall appoint the RESB Chair as well as the RESB committee members

TERMS OF REFERENCE:

DEPARTMENTAL RESEARCH ETHICS SUBCOMMITTEE BOARDS (RESBs)

- All RESB committee members must complete the TCPS2 [Course on Research Ethics \(CORE\) tutorial](#) prior to serving on the committee. Course completion certificates should be forwarded to the Research Ethics and Compliance Office.
- Meetings shall occur as needed and at least three RESB members shall be present at each meeting.

Responsibilities of the RESB

The Research Ethics Subcommittee Boards (RESBs) will report to their respective CUREB through the Research Ethics and Compliance Office. Reporting and recording keeping responsibilities include:

- The Departmental Chair shall submit the RESB Chair and Membership (number, names, academic rank) to the Research Ethics and Compliance Office no later than June 30th of each year
- The RESB will maintain records that include protocol forms, all subsequent cleared changes, and all correspondence between the researcher and the RESB in regards to the protocol, and any participant complaints for five years from date of study closure
- Bi-annual meetings with the CUREB Chairs and the Director of the Research Ethics and Compliance Office
- The RESB Chair shall report adverse events, suspended protocols, or any suspected ethical violations immediately to the Director of the Research Ethics and Compliance Office
- The RESB Chair shall submit an annual written report to the Director of the Research Ethics and Compliance Office no later than June 30th that includes the number of:
 - Cleared protocols (with corresponding titles and instructor names)
 - Declined protocols (with titles, instructor names and reason for rejection)
 - Annual Status Reports (including renewals and closures)

Responsibilities of the CUREBs and Research Ethics and Compliance Office

- The CUREB Chairs and/or Research Ethics and Compliance Office will provide guidance to RESBs when requested and when deemed appropriate
- The CUREB Research Ethics and Compliance Office is responsible for compliance checks; protocol files shall be made available, upon request to the Research Ethics and Compliance Office and/or CUREB Chairs

TERMS OF REFERENCE:**DEPARTMENTAL RESEARCH ETHICS SUBCOMMITTEE BOARDS (RESBs)**

- The Research Ethics and Compliance Office will provide protocol forms and other resources (e.g. consent forms, recruitment samples, relevant journal articles etc.) to the RESB (available at www.carleton.ca/researchethics)

RESB Decision Process and Appeals

- The Research Ethics Subcommittee Boards (RESBs) will review protocols in accordance with Canada's [Tri-Council Policy Statement \(TCPS2\) on the Ethical Conduct for Research Involving Humans](#) and Carleton University's policies.
- RESB members shall disclose any real or perceived conflicts of interest to the RESB Chair. If the Chair deems that the conflict is valid, the member in conflict shall not be involved in any aspect of the decision making process.
- Research ethics clearance of course-based research will remain valid for one year from the date that the original clearance was granted. Within one month of clearance expiry, the instructor is required to submit an Annual Status Report requesting renewal or closure. If changes occur, an amendment to the protocol must be submitted for review and subsequent clearance prior to implementation.
- After review, protocols will be returned to the course instructor with comments and/or suggestions for revision. Instructors will be required to address these comments in written format to the RESB. Additionally, if necessary, the RESB will work with an applicant to improve the initial proposal through discussion, revision, and reconsideration.
- It is anticipated that the RESB will normally reach decisions through consensus. If this is not possible, a decision shall be rendered through vote. If a decision still cannot be reached, the matter will be brought forward to the appropriate CUREB.
- In the event of a negative decision, the course instructor may appeal to the appropriate CUREB. The CUREB will render the final decision.