

Carleton REB Policy Scope of Authority of CUREBs

Background

Section 2.2 of the Carleton University REB Terms of Reference (appended as Schedule 1) provides the Scope of Authority of its REBs, that is, under what circumstances is REB review and clearance (approval) required for proposed research involving human participants in accordance with the Tri-Council Policy Statement, as amended from time to time (the TCPS), and under what circumstances will the REB agree to review proposed research.

This Policy is intended to aid in the interpretation of Terms of Reference Section 2.2 and provide practical guidance to Carleton researchers, REB members, Chairs, staff, and others in making these determinations.

1.1 Definitions

For the purposes of this Policy, the following terms will have the following meanings:

“Acting in their Carleton capacity” means acting in accordance with the normal duties and activities commonly associated with the role or roles they occupy at Carleton.

“Investigator” is a person who has a substantial role in the conduct of the research. This includes, but is not limited to, activities such as study design, development of methodology, participant recruitment or interactions, and analysis and interpretation of results.

“Research” means any disciplined inquiry or systematic investigation, including pilot studies, intended to advance knowledge by establishing facts or developing principles. Research, at a minimum, shall include those studies and activities defined as such by the TCPS and those activities more fully described in any SOPs.

“Members of the Carleton Community,” include, but are not limited to, faculty, staff, students, post-doctoral fellows, visiting scholars, professor emeriti, distinguished research professors, adjunct research professors, adjunct professors, and in-residence positions.

2.1 Research Requiring CUREB Review and Clearance,

If the following criteria are met, CUREB review is required:

1. The study is research as defined by the TCPS; **and**
2. The research involves the data or records of human participants or their biological materials, and as further characterized in the TCPS; **and**
3. One of the following conditions must apply:
 - a. The research is carried by (a) an Investigator (b) who is a Member of the Carleton Community, (c) and who is acting in their Carleton capacity; **or**
 - b. The participant target population expressly includes members of the CU community as a specific population of interest; **or**

- c. CU personnel, facilities, equipment, or resources are used in the conduct of the research, e.g., research funding administration, office or laboratory space, equipment, or other resources, and this includes facilities that are rented by third parties

If the researcher’s project does not meet these criteria, then CUREB has no authority and will not review.

Researchers or others may sometimes require clarification when it is unclear how the above criteria apply to a particular proposed study, including for example whether: (1) a researcher is a Member of the Carleton Community, (2) the researcher is acting in their Carleton capacity, and (3) the study expressly involves Members of the Carleton Community, and (4) Carleton personnel, facilities, equipment or resources are used.

2.2 Decision-Making Table

CUREB employs the following decision-making table to evaluate requests for REB review:

| Project type | Researcher is associated with CU and is acting in their Carleton capacity | Human participants or their biological materials | CU community members a designated population | CU faculty, staff, students, research assistants involved as an Investigator | Other CU resources used (facilities, equipment, computers, software, space, including rented facilities) | CUREB review needed |
|------------------------------|--|---|---|---|---|----------------------------|
| Not research | NR | NR | NR | NR | NR | No |
| Research for quality control | NR | NR | NR | NR | NR | No |
| Research | Yes | No | NR | NR | NR | No |
| Research | Yes | Yes | No | No | No | Yes |
| Research | Yes/No | Yes | Yes | No | No | Yes |
| Research | Yes/No | Yes | No | Yes | No | Yes |
| Research | Yes/No | Yes | No | No | Yes | Yes |

NR – Not Relevant Yes/No – either may apply

2.3 Decision Tree

Is it research?

"Research" means any disciplined inquiry or systematic investigation, including pilot studies, intended to advance knowledge by establishing facts or developing principles. Research, at a minimum, shall include those studies and activities defined as such by the TCPS and those activities more fully described in any SOPs.

Only research can be reviewed.

Is the researcher acting in their Carleton capacity?

"Acting in their Carleton capacity" means acting in accordance with the normal duties and activities commonly associated with the role or roles they occupy at Carleton.

Research with investigators acting in their Carleton capacity may be subject to review.

Are human participants or biological materials involved?

"Human participants or biological materials" as defined in section 2.1 of the TCPS.

Only research with human participants or biological materials can be reviewed.

Are members of Carleton community designated population?

"Members of the Carleton Community," include, but are not limited to, faculty, staff, students, post-doctoral fellows, visiting scholars, professor emeriti, distinguished research professors, adjunct research professors, adjunct professors, and in-residence positions.

Research with members of the Carleton community as a designated population may be subject to review.

Are faculty, staff, students, research assistants involved as an Investigator

"Investigator" is a person who has a substantial role in the conduct of the research. This includes, but is not limited to, activities such as study design, development of methodology, participant recruitment or interactions, and analysis and interpretation of results.

Research with investigators from Carleton may be subject to review.

Are CU resources used?

CU personnel, facilities, equipment, or resources are used in the conduct of the research, e.g., research funding administration, office or laboratory space, equipment, or other resources, and this includes facilities that are rented by third parties

Research using CU resources may be subject to review.
