



RESEARCH ETHICS BOARD PROCEDURE

Procedure Type:	Academic	Initially Approved:	Jan. 29, 2014
Procedure Sponsor:	Dean, Academic Programs	Last Revised:	May 17, 2023
Administrative Responsibility:	Associate Dean of Research, Internationalization and Graduate Studies	Review Scheduled:	May 2028
Approver:	General Faculties Council		

A. PURPOSE

Alberta University of the Arts (AUArts) is committed to the application and dissemination of research ethics. It is guided in this by the Tri-Council Policy Statement's - TCPS 2 three core principles: respect for persons, concern for welfare, and justice.

B. PROCEDURE OVERVIEW

All research that falls under the auspices of the Research Ethics Board (REB) policy must receive REB consultation and/or approval before the activity can begin. The REB can approve, reject, propose modifications to, or terminate any proposed or ongoing research. AUArts researchers conducting research in other jurisdictions or countries must obtain ethical approval both from the REB at AUArts and from the REB where the research will be conducted. The REB reviews ongoing requests for REB approval throughout the academic year.

C. PROCEDURES

1. PRE-REB APPLICATION PROCEDURE

- 1.1 AUArts community members may fill out the Research Ethics Review Self-Assessment Form to see if their activity requires an REB review; and/or
- 1.2 Consult the REB FAQ published on the AUArts website; and/or
- 1.3 Contact the REB to consult about the intended activity.
- 1.4 It is the obligation of researchers to determine whether their proposed research project requires ethics review and to submit it to the REB.

2. REB REVIEW PROCEDURE

- 2.1 The REB considers and reviews proposals and applications in accordance with the ethical guidelines governing activities involving human and animal participants as articulated in the TCPS 2, the CCAC, and the CAA.

- 2.2 When reviewing proposals and applications, REB members shall disclose real, potential, or perceived conflicts of interest to the REB. When necessary, the REB may decide that some of its members must withdraw from REB deliberations and decisions.
- 2.3 AUArts community members undertaking research under the auspices of AUArts must complete the most recent online version of the TCPS 2 Tutorial "Course on Research Ethics" (CORE), prior to undertaking the activity.
- 2.4 Applications coming to the REB are initially reviewed by the Chair or Delegate before distribution to Board members, as individuals or groups, for delegated review. After delegated review, applications return to the Board for approval, commentary, or recommendation for further review.
- 2.5 The REB may identify aspects of an application that require further information or clarification. The Principal Investigator(s) (PI) may be asked to revise the application and to resubmit to the REB.

3. DECISIONS AND APPEAL

- 3.1 Decision Procedure
 - a. Upon completion of the REB review, which typically takes sixty days, the outcome will be classified as:
 - i. approved;
 - ii. approved with revisions
 - iii. not approved unless specified REB suggested revisions are addressed in a revised resubmitted proposal, and subsequently approved; or not approved.
 - b. The REB Chair or designate will be responsible for communicating, in writing, the decision on all applications.
 - c. The PI may request an appeal of the decision. See section 3.2.
 - d. REB approvals are granted for a maximum of one year. Further approval may be made on receipt and review of an updated annual report and request for renewal of REB approval.
- 3.2 Appeal Procedure
 - a. As per TCPS2 Article 6.18-20: Where PI(s) do not receive ethics approval or receive approval conditional on revisions that they find compromise the feasibility or integrity of the proposed research, they are entitled to reconsideration by the REB. Efforts will first be made to resolve a disagreement between the PI(s) and the REB through deliberation, consultation or advice. If that is not successful, PI(s) may appeal using the established appeal mechanism in accordance with AUArts REB procedures. As follows:
 - i. PI(s) sends a written outline with their concerns to the REB Chair;
 - ii. The REB Chair reviews the PI's concerns in consultation with the Committee and provides a response within 14 calendar days;
 - iii. If the PI disagrees with the REB's decision, the PI can file a written request to the Associate Dean of Research, Internationalization and Grad Studies who will share the REB decision and the PI's written response, and any other pertinent documents, with the Chair of the Research Ethics Appeal Board at the University of Calgary;

- iv. The Chair of the Research Ethics Appeal Board at the University of Calgary shares the decision with the Associate Dean of Research, Internationalization and Grad Studies, who then shares the decision with REB and PI. Decisions from the Research Ethics Appeal Board are final and binding in all respects.

4. DOCUMENTATION PROCEDURE

- 4.1 All documentation related to REB administration will be retained for record keeping purposes with the support of ORAA.
- 4.2 The REB will submit bi-annual reports to the Associate Dean of Research, Internationalization and Graduate Studies at the end of the Fall and Winter terms outlining the REB's activities, including approved applications, recommendations, etc.

D. DEFINITIONS

- AUArts:** Alberta University of the Arts
- CAA:** College Art Association
- CCAC:** Canadian Council on Animal Care
- ORAA:** Office of Research and Academic Affairs, Alberta University of the Arts
- PRE:** Panel on Research Ethics is responsible for addressing the evolving needs of the three research agencies (Social Sciences and Humanities Research Council, Natural Sciences and Engineering Research Council, and the Canadian Institutes of Health Research) in promoting the ethics of research involving humans. It provides guidance consistent with the Tri-Council Policy Statement: Ethical Conduct of Research Involving Humans, 2nd edition - TCPS 2
- PI:** Principle Investigator
- REB:** Research Ethics Board
- TCPS 2:** Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans

E. RELATED POLICIES

- [Academic and Artistic Freedom Policy](#)
- [Access To Information And Protection Of Privacy Policy](#)
- [Animals On Campus Policy](#)
- [Code Of Conduct Policy](#)

- [Health And Safety Policy](#)
- [Intellectual Property Procedure](#)
- [Respectful Workplace Policy](#)

F. RELATED LEGISLATION

- Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans.

G. RELATED DOCUMENTS

- Research Ethics Board Policy
- Research Ethics Board Terms of Reference
- Research Ethics Review Self-Assessment Form

H. REVISION HISTORY

Date (mm/dd/yyyy)	Description of Change	Sections	Person who Entered Revision (Position Title)	Person who Authorized Revision (Position Title)
05/17/2023	Substantive Revisions	ALL	Associate Dean of Research, Internationalization and Graduate Studies	Dean, Academic Programs