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Policy Title:	Research Ethics	Policy Version:	1
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## Policy Statement

Ascenda School of Management (ASM) endorses the principles set out in the Canadian 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 (TCPS). ASM is accountable for the research carried out in its own jurisdiction or under its auspices.

## Purpose

The policy on Research Ethics states principles and procedures for ethics review of all research involving humans conducted by faculty, staff or students at ASM.

## Scope

### Core Principles

All research involving human participants conducted at ASM will be governed by the principles of the TCPS:

- Respect for human dignity
- Respect for free and informed consent
- Respect for vulnerable persons
- Respect for privacy and confidentiality
- Respect for justice and inclusiveness
- Respect for achieving appropriate balance between potential harm and benefits
- Respect for minimal risk

Applying the core principles will also maintain free, informed and ongoing consent throughout the research and the right to withdraw at any time. Participants must be fully informed of the purpose, requirements, and potential risks or harmful effects prior to giving their voluntary consent to participate. Researchers are accountable for minimizing the potential risks or harmful effects to participants and for protecting the privacy of individuals and the confidentiality of information provided to researchers.

In conjunction with and adherence to the TCPS, the following shall also guide research activity at ASM:

- **Consent:** Conduct with participants is at all times to be undertaken with their written consent and with observance of their right to withdraw at any time. Research should only be used for those purposes for which consent was received.
- **Public confidence & representation of ASM:** Students and faculty should act in a manner that serves to promote and augment, not diminish confidence of the public in research in general. Students and faculty should also act in a manner that represents ASM in a professional manner.
- **Competency:** Students and faculty agree to use research methods that are appropriate to the research goals, and to uphold the highest standards of ethics and research required in their research discipline. There is an expectation of competency in the design, execution, analysis, reporting and interpretation of the research. Researchers are to avoid conducting research that would be inaccurate or misleading. Findings should be reported and interpreted in a manner that represents the results accurately and acknowledges the limitations of the research.
- **Ethical Practice:** Students and faculty should act honestly, ethically and fairly in their dealings with any members of the public, with research participants, with organizations in which they are conducting work, and with each other.

- **Confidentiality:** Students and faculty shall protect the interests and respect the privacy and confidentiality of all participants and any organizations, businesses or associations where they conduct research.
- **Conflict of interest** – researchers must declare any conflict of interest or potential conflicts of interest related to their research identifying any relationship between researchers and research participants or any vested interest that might influence research outcomes as per the TCPS.
- **Lawfulness:** Students and faculty shall abide by the prevailing provincial, national and international legislation that may apply to any research they conduct

### The Acsenda School of Management Research Ethics Board (REB)

The ASM Research Ethics Board (REB) is responsible for reviewing and approving all research involving human participants undertaken by any member of the ASM community. The REB is responsible for ensuring that research ethics review is conducted according to the principles and procedures of the TCPS.

Research ethics approval must be received before the research is started, before participants are recruited and data are collected.

All research that involves human participants, including course based research requires review and approval by the REB except the following:

- Research that relies exclusively on information legally accessible in the public domain and protected by law or the information is publicly accessible and there is not reasonable expectation of privacy.
- Research carried out internally within the Acsenda School of Management for the purpose of internal review, organizational review, quality assurance, program or course review, performance review, admission and other testing of students within typical educational requirements.

The REB may decide that the Chair or other REB member(s) may review and approve categories of research that are confidently expected to involve minimal risk.

The REB may delegate review and approval of research involving minimal risk to non-REB members who have the experience, expertise and knowledge comparable to what is expected of an REB member.

### Course Based Research

Course based research must be for pedagogical purposes, meet the standards for minimal risk, and be conducted under the supervision of a faculty member.

The REB delegates the responsibility for course based review to the Academic Program Heads.

Instructors must apply for research ethics approval before the commencement of student research activity.

The research may be approved on a continuing basis for the course, provided there is no change in the research activity initially approved by the REB.

### REB Composition

The REB shall consist of at least five members, including both men and women, of whom: (a) at least two members have expertise in relevant research disciplines, fields and methodologies covered by the REB; (b) at least one member is knowledgeable in ethics; (c) at least one community member who has no affiliation with the institution. It is advisable but not necessary to have one member who is knowledgeable in the relevant law.

Members are approved by the Academic Council for three year renewable terms based on recommendations from the President. The REB will select a chairperson from among its members by majority vote.

The REB may consult ad hoc advisors in the event that it lacks the specific expertise or knowledge to review the ethical acceptability of a research proposal competently.

The REB will meet as needed to review and familiarize itself with its mandate, review research proposals, and prepare the REB’s annual report to the Academic Council.

### Appeals

Researchers have the right to request, and the REB has an obligation to provide, prompt reconsideration of decisions affecting a research project. Application Researchers and REBs should make every effort to resolve disagreements they may have through deliberation, consultation or advice.

If a disagreement between the researcher and the REB cannot be resolved through reconsideration, the researcher shall have the option of appealing the REB decision. Researchers must present valid reasons for an appeal. Appeal will be heard by a Research Ethics Appeal Committee established on an ad hoc basis by the Academic Council. The Research Ethics Appeal Committee will be composed of members who are qualified to hear the appeal with membership that is similar in composition to the REB. The decision of the Research Ethics Appeal Committee is final.

Appeals of decision on course based research will be heard by the REB. The decision of the REB is final.

### Reporting

The REB will provide an annual report to the Academic Council. Minute of all meetings and decisions on ethics review will be recorded including the rationale for each decision. Records documenting the work of the REB should be retained for a period of 7 years.

## Definition

These definitions apply to terms as they are used in this policy.

Word/Term	Definition
Minimal Risk	For the purposes of this Policy, “minimal risk” research is defined as research in which 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.
TCPS (Tri Council Policy Statement)	Canadian 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

## Related Legislation

- Personal Information Protection Act (PIPA)
- Federal Personal Information Protection & Electronic Documents Act (PIPEDA)
- BC Human Rights Code

## Related policies

Policy Number	Policy Title
6751	Information Privacy and Security
5300	Academic Freedom

## Responsibility

Faculty will familiarize themselves and their students with the Research Ethics Policy to ensure compliance. The Dean and Academic Program Heads are responsible for ensuring that the faculty are aware of the Research Ethics Policy and the requirements of the TCPS.

The Secretary to the Academic Council normally serves as secretary to the Research Ethics Board.

Researchers must declare immediately any breaches of the Research Ethics Policy or conditions for approval as they occur once research has commenced

Faculty or instructors supervising course based research activity must be fully informed and ensure compliance with the TCSP and ASM's Research Ethics Policy.

The President is responsible for the revising and updating the Research Ethics Policy in consultation with the Dean or Academic Program Heads and according to changes in the TCPS.

The President is responsible for ensuring a report on the activities of the Research Ethics Board is provided to Academic Council annually and that records of all meetings and decisions are appropriately stored and maintained.

The Academic Standards Committee reviews revisions to the Research Ethics Policy and recommends approval to the Academic Council.

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

The REB will review the proposal and the Chair will provide a written decision to the researcher with a copy to the Dean or Academic Program Head, within 30 days of submission. If further time or documentation is required, the REB will communicate in writing to the researcher.

Researchers are advised to review proposals for ethics review with the appropriate Dean or Academic Program Head prior to submission to the REB.

Instructors shall submit requests for approval of course based research to the Dean or the appropriate Academic Program Head at least 15 days prior to commencement of the course. Approval may be granted for up to a year or until the research project or activity is changed. The Academic Program Heads will meet and provide a written decision within 7 working days of receiving the request.

The instructor may appeal the decision of the Academic Program Heads to the Chair of the REB by submitting the proposal and grounds for appeal within 15 days. The Chair of the REB will provide a written decision with rationale for approval or denial of the appeal to the instructor within 15 days of date of appeal.

The researcher may appeal the decision of the REB by submitting a request for reconsideration. If the initial decision of the REB is upheld, the researcher may appeal to the Chair of Academic Council by submitting the proposal and presenting reasonable grounds for appeal within 15 days of the initial decision of the REB. The Chair will appoint an ad hoc Research Ethics Appeal Committee. The committee will select a Chair. The Chair will convene the Research Ethics Appeal Committee. The Chair of the Research Ethics Appeal Committee will provide a written decision and rationale to deny or uphold the appeal to the researcher within 30 days of submission of the appeal. The decision of the Research Ethics Appeal Committee is final.

Records of all decisions for research ethics meetings and decisions will be stored electronically for 7 years.