



Research Ethics Board

2021/2022 Annual Report

Prepared by

Tara Lyons, PhD

Chair, KPU Research Ethics Board

&

Foluso Fagbamiye

Research Ethics Coordinator

Kwantlen Polytechnic University | 12666-72 AVENUE SURREY, BC V3W 2M8

Kwantlen Polytechnic University's REB is located in the unceded traditional and ancestral lands of the Kwantlen, Musqueam, Katzie, Semiahmoo, Tsawwassen, Qayqayt and Kwikwetlem peoples.

Table of contents

Table of Contents	1
INTRODUCTION	2
Research ethics board policy and procedure	2
The Research Ethics Process and Risk Assessment.....	2
Research Ethics Review Summary	3
PART I: Ethics applications reviewed and approved SEPTEMBER 1, 2021 – AUGUST 31, 2021.....	3
PART II: Multi-jurisdictional reviews	5
PART III: Ethics applications reviewed and approved 2020-2021 Vs 2021-2022	7
PROFESSIONAL DEVELOPMENT	8
REBC’s Research Ethics Board Administrators (REBA) meetings	9
REBA Community of Practice (REBA-CoP).....	9
Clinical Research Ethics Symposium	9
Conferences	9
Annual Retreat	9
NEW GUIDANCE DOCUMENTS & GUIDELINES POSTED ON THE REB SHAREPOINT SITE.....	10
OUTREACH & COLLABORATION	11
Senate Standing Committee on Research & Graduate Studies	11
RS1 Policy & Procedure.....	11
REB MEETINGS & MEMBERSHIP	11
LOOKING AHEAD	12
ACKNOWLEDGMENTS	12
DEFINITIONS	12

INTRODUCTION

Three key focuses of the KPU Research Ethics Board (REB)'s work during the 2021-2022 academic year were (1) to reflect on Indigenizing the REB and its processes, (2) the development of *RS1 Policy for Research Involving Human Participants*, and (3) building relationships with researchers, KPU stakeholders, and partners in the Research Ethics BC (REBC) network. Relationship building included the development of an updated consent form template for Scholarship of Teaching and Learning as well as communication regarding changes to national research ethics guidelines. This report provides details on the number of ethics applications reviewed, as well as highlights of a number of REB activities, including policy development and outreach.

Research ethics board policy and procedure

The REB has a distinct function and is governed by specific agreements. KPU has signed the *Agreement on the Administration of Agency Grants and Awards by Research Institutions* and as such the REB is mandated to follow and implement the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* (TCPS 2). The REB's mission and mandate are governed by internal policies and procedures (e.g., *RS1: Research Involving Human Participants*) and relevant external policies, laws, and ethical frameworks.

The Research Ethics Process and Risk Assessment

One of the three guiding principles of the TCPS 2 is Concern for Welfare, which "means that researchers and REBs should aim to protect the welfare of participants, and, in some circumstances, to promote that welfare in view of any foreseeable risks associated with the research" (p. 7). The TCPS 2 (2018) outlines how research ethics boards are to make decisions regarding risks and mitigation, including physical risk such as potential exposure to COVID-19.

"Harm is anything that has a negative effect on the welfare of participants, and the nature of the harm may be social, behavioural, psychological, physical or economic. A proper ethical analysis of research should consider both the foreseeable risk and the available methods of eliminating or mitigating the risk" (p. 21).

Each REB application is assessed for risk in a number of ways including an evaluation of minimal risk. **Minimal risk research** is defined in the TCPS 2 as "research in which the probability and magnitude of possible harms implied by participation in the research are no greater than those encountered by participants in those aspects of their everyday life that relate to the research" (p.22). Minimal risk research is delegated for review by one or two REB members. **Above minimal risk research** applications are assigned for full board review.

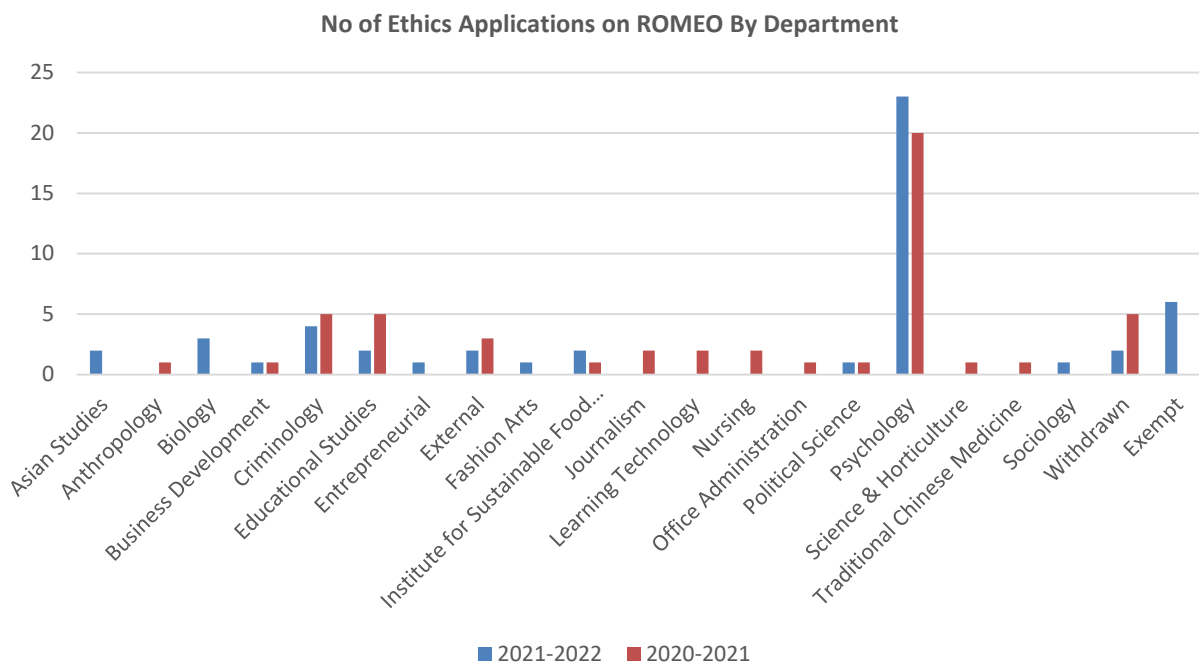
A number of other risk assessments are conducted including considerations of emotional,

employment, social, and physical risks to participants, the community, and to researchers. The final assessment of whether the proposed study adheres to ethics standards in the TCPS 2 is ultimately made by the REB which considers a range of factors, including risks (e.g., the nature of risks, vulnerability of participants, how risks will be mitigated).

RESEARCH ETHICS REVIEW SUMMARY

Part I: Ethics applications reviewed and approved September 1, 2021 – August 31, 2022

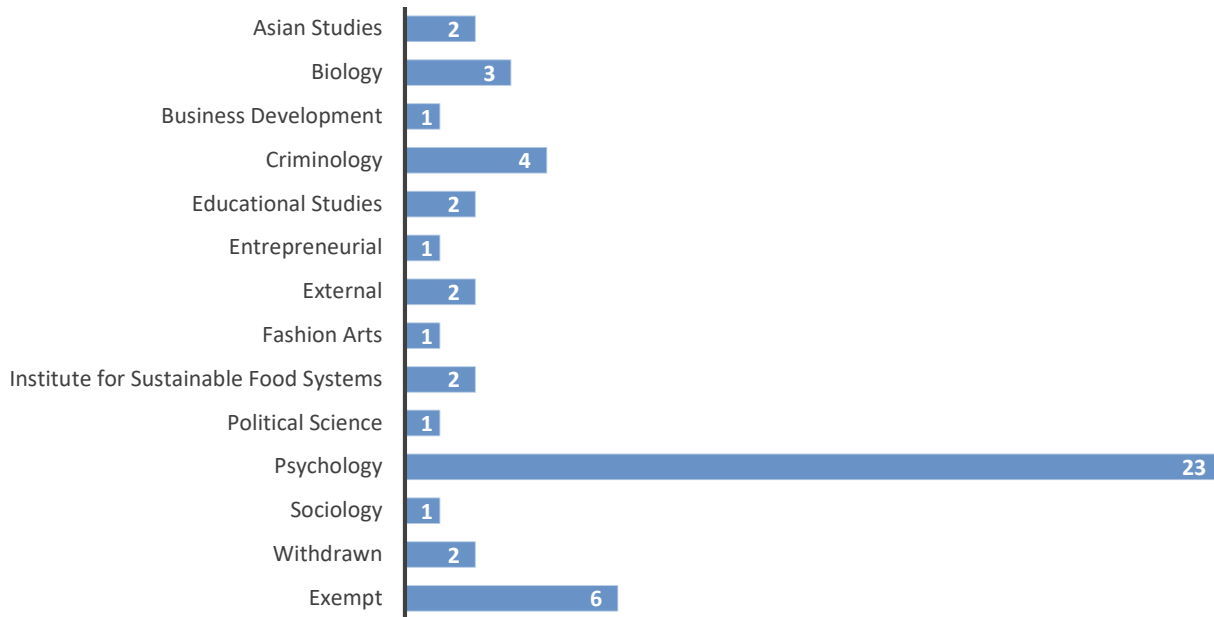
The REB uses the ROME platform to manage and review applications. From September 1, 2021 to August 31, 2022, forty-five REB applications were reviewed on ROME. Two applications were withdrawn, one for lack of submission of the requested revisions and the other because the researcher decided to proceed with the application at a later time. The majority of ethics applications were submitted by KPU faculty researchers. All applications were reviewed by the Chair and one or two other REB members with expertise in the areas being reviewed. There was one post-approval amendment that was deemed above minimal risk and was reviewed by the full board.



Applications exempt from review

The Chair reviewed an additional six research projects and deemed them exempt from REB review

Ethics applications by KPU department



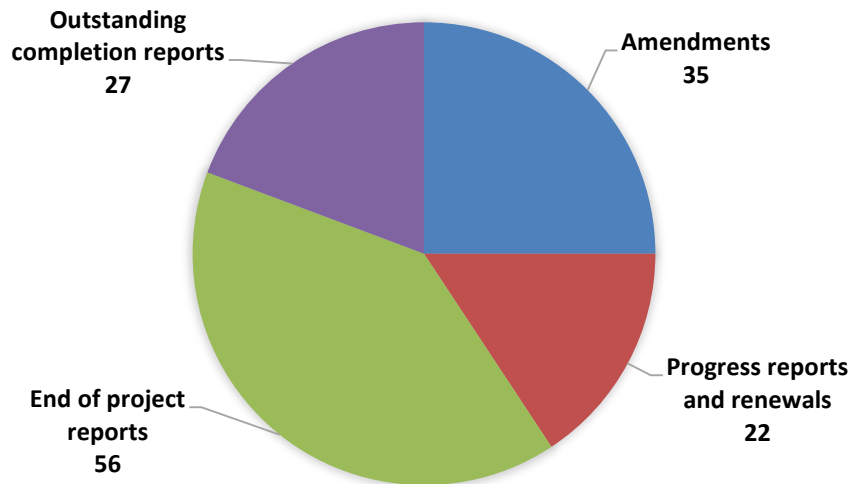
Total number of files: 51

Post Approval Activities

The REB has a number of administrative controls while research studies are on-going. Researchers are required to provide an annual progress report for multi-year projects and renew their REB approval before it expires. Completion reports are to be submitted as soon as data collection is complete so the REB can close the file.

Fifty-six completion reports were submitted and twenty-seven were outstanding at the end of the year. Thirty-five amendments were reviewed and approved. There were twenty-two progress reports and renewals to extend the end date of the projects.

POST APPROVAL ACTIVITIES



Adverse events

The REB has a process by which research participants can submit complaints as well as adverse events notifications. Any adverse events must be documented by the research team and reported to the REB as soon as possible. One adverse event involving a research team member was reported where a participant targeted the team member with racist remarks.

PART II: Multi-jurisdictional reviews

KPU REB is a member of the Health Research BC, which is part of the Michael Smith Foundation for Health Research.

“Research Ethics BC supports a provincial, harmonized system for research ethics reviews of multi-jurisdictional studies involving human subjects (i.e. involving the resources, people, patients or data from more than one BC institution). [...] Harmonization streamlines the ethics review and approval process, allowing for submission of a single ethics application across all partner institutions. It also standardizes processes among research ethics boards, ensuring review quality and compliance with national policies.”

www.bcahsn.ca/our-units/research-ethics-bc

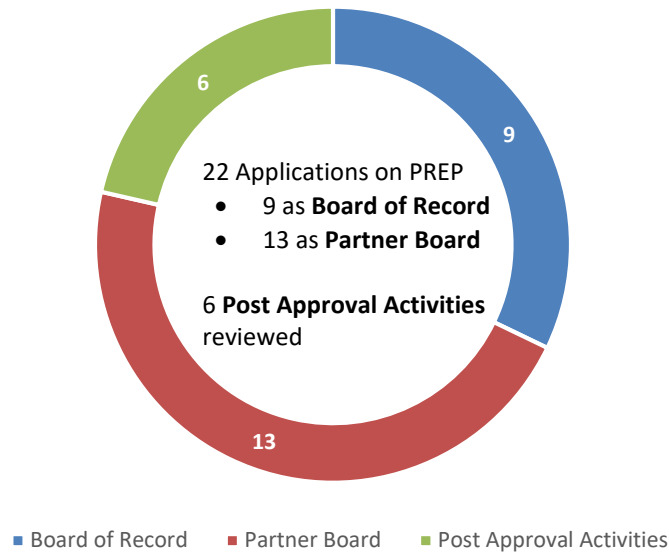
The harmonization review process is facilitated by the use of the Provincial Research Ethics Platform ([PREP](#)), housed within UBC’s RISE system.

As a member of Research Ethics BC, the REB partnered with other member REBs to jointly review twenty-two ethics applications on PREP. The REB was **Board of Record** on nine harmonized ethics applications and **Partner Board** on thirteen files. The REB also reviewed six harmonized **Post Approval Activities**.

The REB Chair reviewed and entered provisos for all applications and **Post Approval Activities** for the KPU REB as both Board of Record and Partner Board.



Multi-Jurisdictional Ethics Applications Reviewed by KPU on PREP

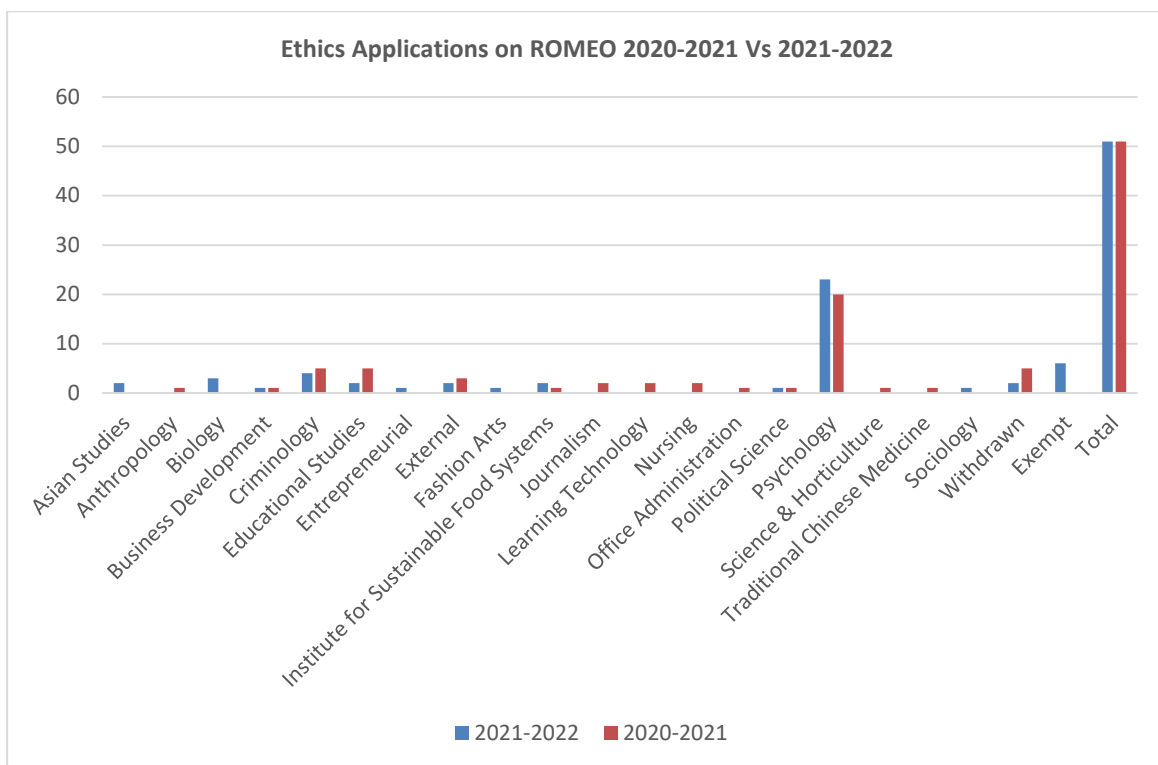


In 2021-2022, the REB reviewed a total of **one hundred and ninety-four** ethics applications:

- **51** applications on ROME0
- **30** harmonized applications on PREP, including PAAs
- **35** post approval amendments
- **22** progress reports on ROME0
- **56** completion reports on ROME0

PART III: Ethics Applications Reviewed and Approved 2020-2021 vs 2021-2022

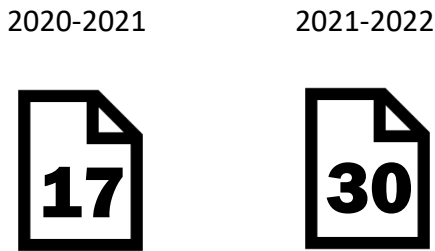
There were some changes in the volume of application compared to the previous year. In particular, there were more amendments last year due to changes in research protocols due to COVID-19 public health orders and guidance. While there was a small reduction in the number of applications submitted through ROME0, there was an increase in the number of harmonized files on PREP as illustrated below.



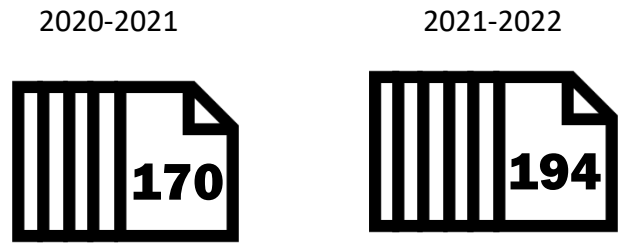
POST-APPROVAL ACTIVITIES ON ROMEO

	<u>2020-2021</u>		<u>2021-2022</u>
Amendments and Progress Reports	45	↑	57
Completion reports submitted	62	↓	56
Completion reports still Outstanding	27	↑	45

MULTI-JURISDICTIONAL APPLICATIONS ON PREP



TOTAL APPLICATIONS ON ROMEO & PREP



PROFESSIONAL DEVELOPMENT

REBC's Research Ethics Board Administrators (REBA) meetings

Indigenous Cultural Safety and Humility Workshop



The partnership with REBC continued to provide important professional development opportunities for the REB. The Chair and Coordinator attended REBC's Research Ethics Board Administrators (REBA) meetings every three weeks. The meetings bring together research ethics board administrators and some REB Chairs from the REBC network. These meetings provided valuable opportunities to engage with colleagues from other REBs in the network as well as in-meeting

learning and sharing. REBC also provided professional development opportunities outside of the REBA meetings. For example, there were presentations and information sharing regarding using Indigenous lenses in REB reviews.

Additionally, the Chair, Coordinator and three REB members attended an Indigenous Cultural Safety and Humility Workshop hosted by REBC.

REBA Community of Practice (REBA-CoP)

The Chair and Coordinator continue to be members of the REBA Community of Practice (REBA-CoP) where they work with colleagues on specific topics related to harmonization, PREP, etc. The meetings are a learning environment with a focus on mentorship, education and support. A highlight of this year's REBA CoP was the presentation titled, *Approaches and Guiding Principles for Indigenous-engaged Research Ethics Review*. The REBs engagement with REBC also resulted in a number of opportunities to liaison and develop relationship with partner REBs in the province.

Clinical Research Ethics Symposium

The Coordinator attended a two-day symposium in October 2021. The sessions focused on the ethics of genomics research: real world practice, Innovative clinical trial design and consent and; updates on COVID-19 research; how research conduct has pivoted. The recordings are [available online](#). She also attended a webinar on the new RISE Page M Biospecimen Analysis Clinical Form.

Conferences

The Chair attended two Public Responsibility in Medicine and Research (PRIM&R) conferences: the *2021 Social, Behavioral, and Educational Research Conference* and the *2021 Advancing Ethical Research Conference* (November 2021). The Chair attended sessions on Diversity, Equity, and Inclusion, challenges and opportunities for smaller REBs, and consent in challenging research settings. The Chair and Coordinator attended the Canadian Association of Research Ethics Boards (CAREB) conference *Raising the Volume on Research Ethics: Moving from Conversation to Collective Impact* (April 2022). Key takeaway from the conference included ethical considerations for recruitment using crowdsourcing and internet platforms, Indigenous Data Sovereignty, and updated Panel on Research Ethics TCPS 2 interpretations. They also attend the REB West conference (June 2022) which had panel presentations on Indigenous Research Ethics, Community Respect and Safety, and National Harmonization. The Chair also attended the Canadian Association of Research Administrators (CARA) West Conference (December 2022). This year's themes were *Connection, Collaboration and Innovation: Hidden Gems*.

Annual Retreat

The REB held its annual PD retreat in June with a presentation by Len Pierre on Cultural Safety, Transformation & Research. He shared the context for Indigenous Cultural Safety and outlined specific anti-racism tools. Dismantling colonial ideology and colonialism by practicing the eight steps in cultural safety in research was a foundational take-away from the retreat.



Source: Pierre, Len (2022) Cultural Safety, *Transformation & Research Foundational training for corporate teams and organizations*

NEW GUIDANCE DOCUMENTS & GUIDELINES POSTED ON THE REB SHAREPOINT SITE

https://kpuemp.sharepoint.com/sites/rigs/reb/forms_and_resources/SitePages/Home.aspx

The REB developed a number of new guidance documents, guidelines, and templates with the objective of improving communication with the KPU research community and updating the consent form template.

- a. The REB application questions in ROMEO were revised to bring them up-to-date with current ethics policies and practices.
- b. Updated consent form template
- c. Scholarship of Teaching & Learning consent form template
- d. Indigenous Research Ethics Resources
- e. New Panel on Research Ethics guidance on the use of crowdsourcing to recruit participants
- f. New consent process for de-identified data available for future, unspecified research
- g. How to create a data management plan: Instructions & templates
- h. SFU Manifesto for Ethical Research in the Downtown Eastside
- i. UBC Data Privacy and Information Security – Checklist for Privacy in Research
- j. Participant inclusivity in research: Gender, sex and sexual orientation (UBC)
- k. Participant inclusivity in research: Ethnicity and race (UBC)

OUTREACH & COLLABORATION

The REB continued to engage in outreach with the KPU research community. This engagement was accomplished through a variety of activities including relationship building with specific departments, presentation to classes, and one-on-one consultations with researchers. There are specific outreach opportunities geared towards students engaged in research. For example, the Chair presented to Psychology honours seminar and met with 4th year Fashion Program students to discuss their projects and ethical review.

A substantial amount of the Chair's time was spent on one-on-one consultations with researchers. Over **70 consultations** were logged this year and some of these consultations lasted days or even weeks in order to resolve the issue and/or ethical questions. Additionally, the Chair and Coordinator consulted and engaged with a number of other KPU departments, including the Privacy office, on issues related to ethics as they arose.

Senate Standing Committee on Research & Graduate Studies

To support communication between the REB and KPU's community of researchers, the REB Chair provided monthly reports and presented each report to meetings of the Senate Standing Committee on Research & Graduate Studies.

RS1 Policy & Procedure

Revision of the RS1 *Research Involving Human Participation Policy* was posted for Phase One. Further consultations are in progress with a projection of summer 2023 approval and adoption date.

REB MEETINGS & MEMBERSHIP

The REB's 2021-2022 membership was compliant with the [TCPS 2 Article 6.4](#). Members represented a range of disciplines and areas of expertise. Following an openly advertised completion, an REB sub-committee made recommendations for appointment to the AVP Research, Innovation and Graduate Studies.

Name	Department
Dr. Tara Lyons , Chair	Criminology
Dr. Richard Le Grand	Psychology
Dr. Dave Lyon	Criminology
Joan Posivy	Community
Dr. Zahia Marzouk	Educational Studies

[Dr. Paul Adams](#)

Biology

[Dr. Ari Goelman](#)

Business

Three faculty members and one community member finished their terms August 31, 2022. Calls for REB members and community member were posted on Today@KPU and websites to fill the vacancies.

REB Meetings

The REB met ten times during the 2021/2022 academic year. Nine of ten meetings were held virtually via MS Teams. Robert Ball gave a presentation on data security at the April REB meeting.

LOOKING AHEAD

In terms of policies and procedures, the REB continues to revise the *RS1 Policy for Research Involving Human Participants* and is working to implement a variety of Standard Operating Procedures to improve standardized processes and transparency. A priority for the upcoming year is to complete the revisions of RS1 and to undertake revisions to the course-based research process. Additionally, implementing a more systematic process to record consultations with internal and external researchers would help better document some of the important 'behind the scenes' work of the Chair and Coordinator.

ACKNOWLEDGMENTS

The REB would like to thank the REB Coordinator, Foluso Fagbamiye, for her professionalism and administrative support. We thank Dr. Deepak Gupta, AVP, Research, Innovation and Graduate Studies, for his on-going support to the REB. Dr. Gupta's collaborative leadership style and commitments to research and research ethics are appreciated.

DEFINITIONS

Board of Record – The Board of Record (BoR) for a multi-jurisdictional study is decided based upon the location of majority of participants and/or study team; as well as which institution is best placed to mitigate risk to participants/data.

Exempt – Not categorized as research as defined by the TCPS 2 (2018).

Harmonized review – A streamlined ethics review and approval process that allows for submission of a single ethics application across partner institutions. This applies to all minimal risk and above minimal risk ethics applications.

Partner Board – A partner board is an REB selected based on being a research site to jointly conduct a harmonized review of an ethics application with other REBs involved in the same study.

Post Approval Activity (PAA)– Amendments or changes after a study has been approved. PAAs take place after an application has received REB approval and a certificate of approval has been issued.

Principal Investigator (PI)- The Principal Investigator is the main person responsible for conducting the research, data analysis, report findings and compliance with policies, terms and conditions of approval.

Provincial Research Ethics Platform (PREP)- This is a new functionality within UBC's Human Ethics module used to review BC's harmonized studies.

Provisos – Provisos are questions or requests from the Research Ethics Board to the PI regarding the application.

RISe – The Provincial Research Ethics Platform (PREP) for harmonized studies is hosted by UBC's Research Information System Enterprise (RISe) software.

ROMEO – Research software for ethics applications and review.