

SOP #: 003 – 15-16

Title: Teaching Protocols involving human participants for course-based research (undergraduate and graduate level)

1.0 PURPOSE

Pedagogical activities involving human participants are often required of students (at all levels) with the objective of providing them with exposure to research methods in their field of study (e.g., interviewing techniques). This standard operating procedure (SOP) describes the processes to which the Research Ethics Board, the Research Ethics Committees, and the course instructors shall adhere for course-based research intended solely for pedagogical purposes.

2.0 DEFINITIONS

REB – Research Ethics Board: The body of researchers, community members, and others with specific expertise established by Lakehead University to review the ethical acceptability of all research involving humans conducted within Lakehead University's jurisdiction or under its auspices.

REC – Research Ethics Committee: A Committee established at the departmental level to review the ethical acceptability of all research involving humans conducted at the undergraduate level. The REB delegates this review authority to the RECs. The REB maintains authority over the RECs.

TCPS 2014: The Tri-Council Policy Statement 2014 is the joint research ethics policy statement of the three federal research agencies ([CIHR](#), [NSERC](#), and [SSHRC](#)). The Policy defines the research ethics review procedures that must be followed by institutions receiving federal research funds.

Course-based research: Research taking place as part of a course with the intention of teaching students research methodologies. Course-based research projects must not be a direct extension of the course instructor's research nor may it involve the collection of data that will subsequently be used towards the completion of a Ph.D. or Master's degree. Ph.D or Master's level research ethics approval must be submitted to the REB.

3.0 WHAT REQUIRES REVIEW?

3.1 Course-based research which is carried out primarily for instructional purposes as part of course requirements requires REB/REC review and approval if the research component of the coursework involves human participants and meets the TCPS 2014 definition of "research" (below) and is required to meet the same ethical criteria as any other research on human subjects.

Research: An undertaking intended to extend knowledge through a disciplined inquiry or systematic investigation.

3.2 Course-based research assignments that are repeated across sections and/or semesters should be approved as a teaching protocol. Once a protocol has been approved for a particular course number, it can be applied to different sections, or years (however not crossing from undergraduate to graduate or vice versa). Annual renewals are not required; however, re-approval, through a new submission to the REB/REC, is necessary after five years.

3.3 If student research activity is conducted as part of a researcher's own research program, the protocol does not fall under a teaching protocol and should be reviewed by the REB.

4.0 IN-CLASSROOM PROCEDURES

4.1 All students conducting research under an approved teaching protocol shall complete and submit to their instructor the [TCPS 2014 Tutorial Certificate](#). Research with participants shall not commence until the Tutorial is completed.

4.2 For in-class assignments which collect data from fellow classmates, care must be taken if the data is presented within the classroom setting to ensure that the information is neither sensitive nor identifiable to an individual participant. There must always be the option for potential participants to decline participating in the study. In cases where there is a possibility that in-class data could be identifiable, students should present on the methodologies and lessons learned from the process of conducting research rather than the actual data collected.

5.0 PROCESS

The appropriate REC will take responsibility for all undergraduate level teaching protocols. The REB will take responsibility for all graduate level teaching protocols. The REB, RECs, and course instructors will adhere to the following processes:

- Submission of the protocol [through the Romeo Researcher Portal for the REB (graduate level), and on the appropriate application form for the RECs (undergraduate level)]
- All research team members (Instructors, supervisors, faculty members, co-applicants, and students) must submit TCPS Tutorial Certificates
- The instructor and students shall not begin the research protocol until REB/REC approval is granted
- The following must be submitted and approved by the REB/REC:
 - Change in course instructor
 - Any change in the protocol
 - Change in course requirements which affect the methodology/research design of the research component of the course

If either of the following two situations exists at the undergraduate/REC level, the REB must review the protocol:

- ❖ **The department conducting the course does not have an established REC, and/or**
- ❖ **The protocol is greater than minimal risk**



Research Ethics Board Standard Operating Procedure

At any time, protocols reviewed at the REC level can be referred to the full REB if REC members determine that

full board review is required. See Undergraduate Research Ethics Committee (REC) Terms of Reference.

6.0 REFERENCES

- Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans 2014 (TCPS 2014), Article 6.12
- Tri-Council Policy Statement CORE Tutorial
- Lakehead University Undergraduate Research Ethics Committee (REC) Terms of Reference

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