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# **Student Research and Pedagogical Projects: Demystifying the Research Ethics Obligations**

**August 19, 2021**

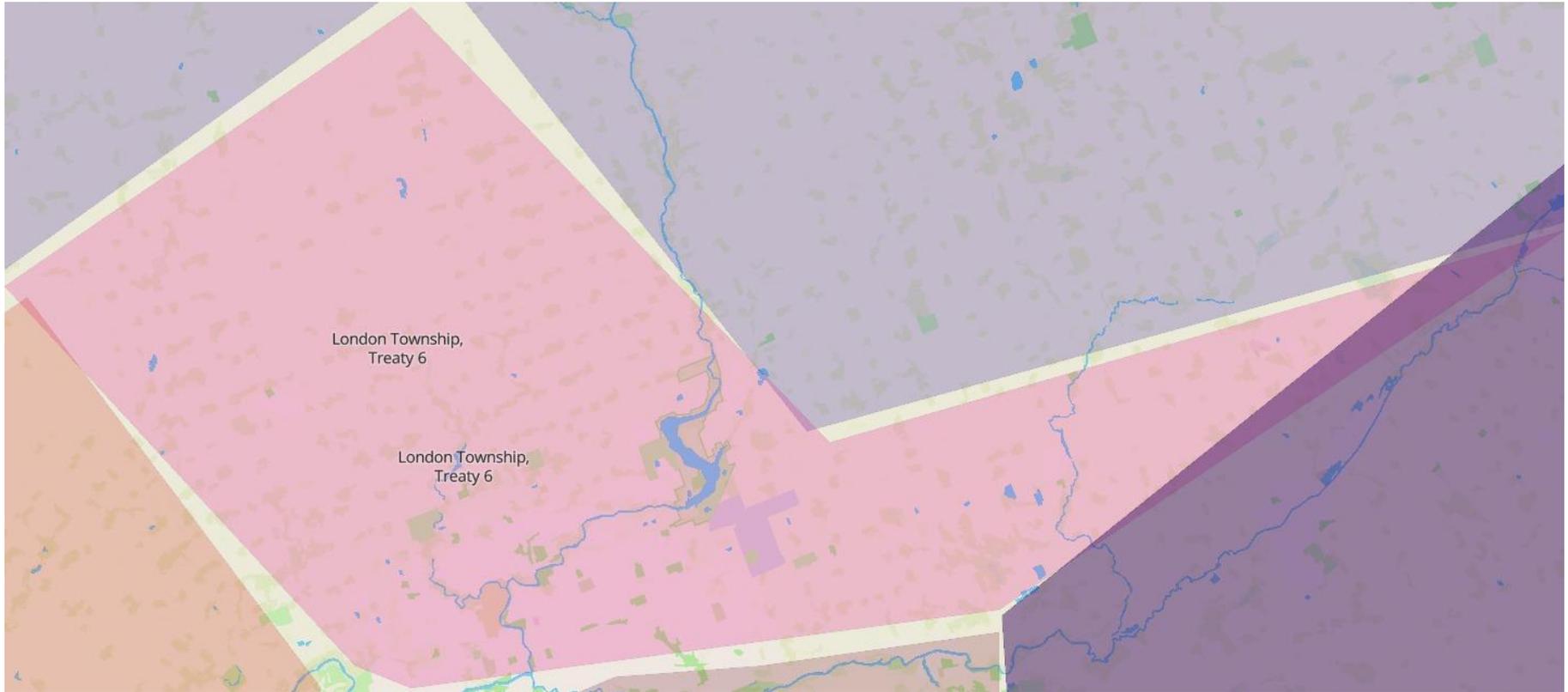
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August 19, 2021

# Today's Agenda

- Land Acknowledgement
- Overview of Student Research and Pedagogical Activities Guidance Document
  - Category 1 (Research)
  - Category 2 (Pedagogical Projects)
  - Category 3 (Professional Practice)
  - FAQs
- WREM Pedagogical Application
- Metrics & Tips
- Q&A

# Land Acknowledgement



Source: Interactive Map <https://native-land.ca/> (Retrieved Aug 18, 2021)

# Overview of Student Research and Pedagogical Activities Guidance Document

# Category 1 - Research

- Defined as: “an undertaking intended to extend knowledge through a disciplined inquiry or systematic investigation” (TCPS2, Article 2.1).

# Category 1 - Research

- Examples:
  - Undergraduate Honor's Theses, Master's or PhD Theses or Dissertations
  - Class projects that reflect the TCPS2 definition of "research"
  - Independent study projects

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  - Class projects that reflect the TCPS2 definition of "research"
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# Category 2 - Course-based pedagogical projects

- Data collection/analysis activities embedded within course assignment.
- Data may be collected from participants or from already existing data sets which otherwise would require REB review.
- The course assignment is designed to address a research question using a research framework within the field of study.

# Category 2 - Course-based pedagogical projects

- Primary intention is to provide students with an opportunity to develop research skills.
- Results of the project will form the basis of a report that is a graded class component.
- The data, data analysis, and report will not be used or presented as “research” – intended solely for the purpose of meeting a course requirement.

# Category 2 - Course-based pedagogical projects

- Examples:
  - Research Methods courses designed to give students practical skills (not just theory)
  - Could include:
    - Developing a research question, selecting a methodology and gathering some data
    - Analyzing previously collected data
    - Practicing interviews/focus groups with fellow classmates and transcribing the recording

# Category 3 - Professional Skill Development

- Skill development or job-related training
- May include techniques commonly used in research (e.g., surveys, interviews, observations, etc.), but not for research purposes or research skill development.
- Only the students engaging in these activities are expected to benefit (gain experience in a professional setting)

# Category 3 - Professional Skill Development

- Examples:
  - Students may practice administering a standardized clinical assessment to gain experience in how the test should be given, but any data/information generated in that training exercise will not be used or analyzed.
  - Students may interview simulated patients to gain their family's medical history for to aid in hypothetical diagnostics.

# Overview of Guidance Document (FAQs)

- Experiential, Community-Engaged, Work-Integrated Learning Opportunities/Partnerships:
  - Category 1?
  - Category 2?
  - Category 3?

Depending on the nature of the project, either scenario could apply.

Instructors/administrators/partners are expected to adhere to all institutional policies.

Reach out to OHRE to discuss early, if unsure.

*\*Stay tuned for future info sessions/guidance\**

# Overview of Guidance Document (FAQs)

- Is an MRP a thesis equivalent?
  - It depends on the anticipated objectives/outputs.
  - If marked ONLY by an instructor or two, and output will be limited to classroom grade (i.e., not published/presented outside of classroom), then pedagogical.
  - If disseminated beyond the classroom in any way, research.

# Overview of Guidance Document (FAQs)

- Can data be collected by students for a course (i.e., pedagogical project) and then that data shared with the instructor for the instructor's own research?
  - No; TCSP2 is clear that data collected for research purposes (even if collected by students for pedagogical purposes) must receive REB review (see Article 6.12).

# Overview of Guidance Document (FAQs)

- When are people considered human participants for purposes of research?
  - TCPS2 Article 2.1: “For the purposes of this Policy, “human participants” (referred to as “participants”) are those individuals whose data, biological materials, or responses to interventions, stimuli or questions by the researcher, are relevant to answering the research question(s).”

# Overview of Guidance Document (FAQs)

- Human participant data for research purposes can take many forms; when is ethical review required?
  - Publicly available information (*\*exempt from ethical review, per TCPS2 Article 2.2*)
  - Organizational information (policies, procedures, professional practices or statistical reports) (*\*exempt from ethical review, per TCPS2 Article 2.1*)

# Overview of Guidance Document (FAQs)

- Human participant data for research purposes can take many forms; when is ethical review required?
  - Personal (e.g., opinion, sociodemographic, health, biological, etc.) information/material from humans (e.g., questionnaires, interviews, prospective clinical chart reviews and/or collection of biological samples/materials) (*\*most common type of data subject to ethical review*)

# Overview of Guidance Document (FAQs)

- Human participant data for research purposes can take many forms; when is ethical review required?
  - Observations of people in public settings (*no expectation of privacy; \*exempt from ethical review per TCPS2 Article 2.3*)
  - Observations of people in private settings (*with expectation of privacy; \*requires ethical review*)

# Overview of Guidance Document (FAQs)

- Human participant data for research purposes can take many forms; when is ethical review required?
  - Secondary **anonymous** information (*i.e., was never attributable to an identifiable person; \*exempt from ethical review, per TCPS2 Article 2.4*)

# Overview of Guidance Document (FAQs)

- Human participant data for research purposes can take many forms; when is ethical review required?
  - Secondary **anonymized/coded** (i.e., de-identified) information on humans (*\*subject to ethical review, per TCPS2 Article 5.5B*)
  - Secondary **identifiable** human information (*\*subject to ethical review, per TCPS2 Article 5.5A*)

# In short...

- If a project requires ethical oversight and is being conducted for RESEARCH purposes, then REB review is needed.
- If a project requires ethical oversight and is being conducted for PEDAGOGICAL purposes, then OHRE and Instructor review is needed.
- The remainder of this session will focus on the PEDAGOGICAL review process.

# WREM Pedagogical Application

# Pedagogical Initial Application

## Create Project ✕

Project Title\* (Max 200 characters)

Form\*

Centre\*

This form will automatically be shared with:

- WREM Super User [Research Support Staff (no email notifications)]

Please tick to confirm you are happy to continue\*

# Initial Application

1.1



This form is required to describe the ethical review procedures that will be **used to guide student pedagogical research activities conducted in the context of a course.**

1.1 \*Please confirm that if this is the first time you are submitting this particular application form to the REB, select “Initial Application”. If this application form has already been reviewed by the REB and they issued recommendations, select “Response to REB recommendations”:

- Initial Application
- Response to REB recommendations

# Initial Application

1.2



Once the PI is added to this form you **MUST** also add them into the **ROLES** tile (See ROLES tile in the actions items on the left hand side of your screen).



1.2 Use the Search field to enter the Principal Investigator (PI) details from the WREM user directory:

\*Prefix

\*First Name

\*Last Name

1.3



1.3 \*Are there any additional local Instructors that will be taking part in these course projects?



- Yes
- No

# Initial Application

1.4



1.4 \*Enter the course code and title:



1.5



1.5 \*How many students are expected to enroll in this course?

# Initial Application

1.6



1.6 \*Describe the research assignment as presented to students:



1.7



1.7 \*Describe the process by which individual student's projects will be reviewed for ethical acceptability:



# Initial Application

1.8



1.8 \*Who will be reviewing the individual student projects and approving the students' research plans prior to the students beginning their projects?

1.9



1.9 \*Outline the parameters within which the students must design their projects. Be sure to discuss each of the following, as applicable: Research plan/protocol requirement, data collection methods, participant groups, recruitment procedures, informed consent procedures, data security and confidentiality safeguards.

# Initial Application

1.11



1.11 \*Confirm that students will not be permitted to include any of the following in their pedagogical projects:

- Vulnerable populations
- Deception
- High-risk activities (i.e., psychological, social, physical, economic, etc.)

- I confirm
- I cannot confirm

1.12



1.12 \*Confirm results will not be disseminated outside of the classroom.

- I confirm

# Confirmation of Responsibility

3.1



\*Principal Investigator Signature:

I confirm that:

- I have completed my TCPS2 CORE Tutorial and have the appropriate training, skills, and expertise to train students on the ethical conduct of these course-based pedagogical projects involving humans within my discipline;
- I am responsible to ensure each student is adequately equipped to conduct their assignments according to the ethical standards laid out in the Tri-Council Policy Statement for the Ethical Conduct for Research Involving Humans (including ensuring that all students have completed the TCPS2 CORE tutorial);
- Each student's project will be reviewed as outlined within this application, and that students will be informed that they cannot conduct their assignments without express approval from the designated reviewer;
- Students will be informed that the primary purpose of their assignment is to meet their course requirements and that they are not permitted to disseminate this information as research outside of the classroom without consulting with me and/or Western's Research Ethics Board first;
- Students will be informed to promptly notify me of any adverse events and/or unanticipated problems experienced in the course of their projects, which I will report to the Office of Human Research Ethics upon annual continuing review or application closure; and
- I will notify the Office of Human Research Ethics if, at any time, changes are needed from what has been described in this application;
- I will notify the Office of Human Research Ethics if this project assignment will be implemented in any future student cohorts through the submission of an annual continuing review; and
- I will notify the Office of Human Research Ethics upon completion of this course-based research assignment to request application closure.

Request Signature

Sign

# Sub-forms

- Amendment: Modifications to the previously acknowledged information (e.g., assignment details, ethical parameters, oversight procedures).
- Continuing Pedagogical Review: To continue the pedagogical activity in the next year/over multiple years.
- Pedagogical Closure Form: To report the end of a pedagogical course/activity to the REB.

# Amendments

1.3



1.3 \*What aspects of the previously acknowledged pedagogical application are being modified? (select ALL that apply)

- Change in name/contact information (e.g., PI, instructor, or designee)
- Change in course code and/or title
- Change in research assignment description
- Change in parameters guiding students' project designs
- Change in Letter of Information/Informed Consent process and/or template
- Change in expected recruitment procedures and/or templates
- Change in data security and confidentiality considerations
- Change in review procedure for individual projects
- Change in risk and/or vulnerability to which students' participants may be exposed

# Cont. Review/Closure

2.1



2.1 \*Is this research project being assigned to another cohort of students for the coming term/year?

- Yes
- No

2.2



2.2 \*How many students enrolled in this course in the past term/year?

# Cont. Review/Closure

2.3



2.3 \*How many students completed and submitted their research projects in the past term/year?

2.4



2.4 \*Did any Unanticipated Problems occur with respect to any of the students' research projects in the past term/year?

- Yes
- No

# Cont. Review/Closure

2.5



2.5 \*Are any modifications needed from the way the project was previously assigned, monitored, or conducted for the next cohort of students?

- Yes  
 No

Please submit a Pedagogical Amendment prior to implementing any of these changes.

- Confirmation of Responsibility: Reaffirm responsibilities as the instructor (Cont. Ped. Review) or confirm all responsibilities were fulfilled (Ped. Closure).

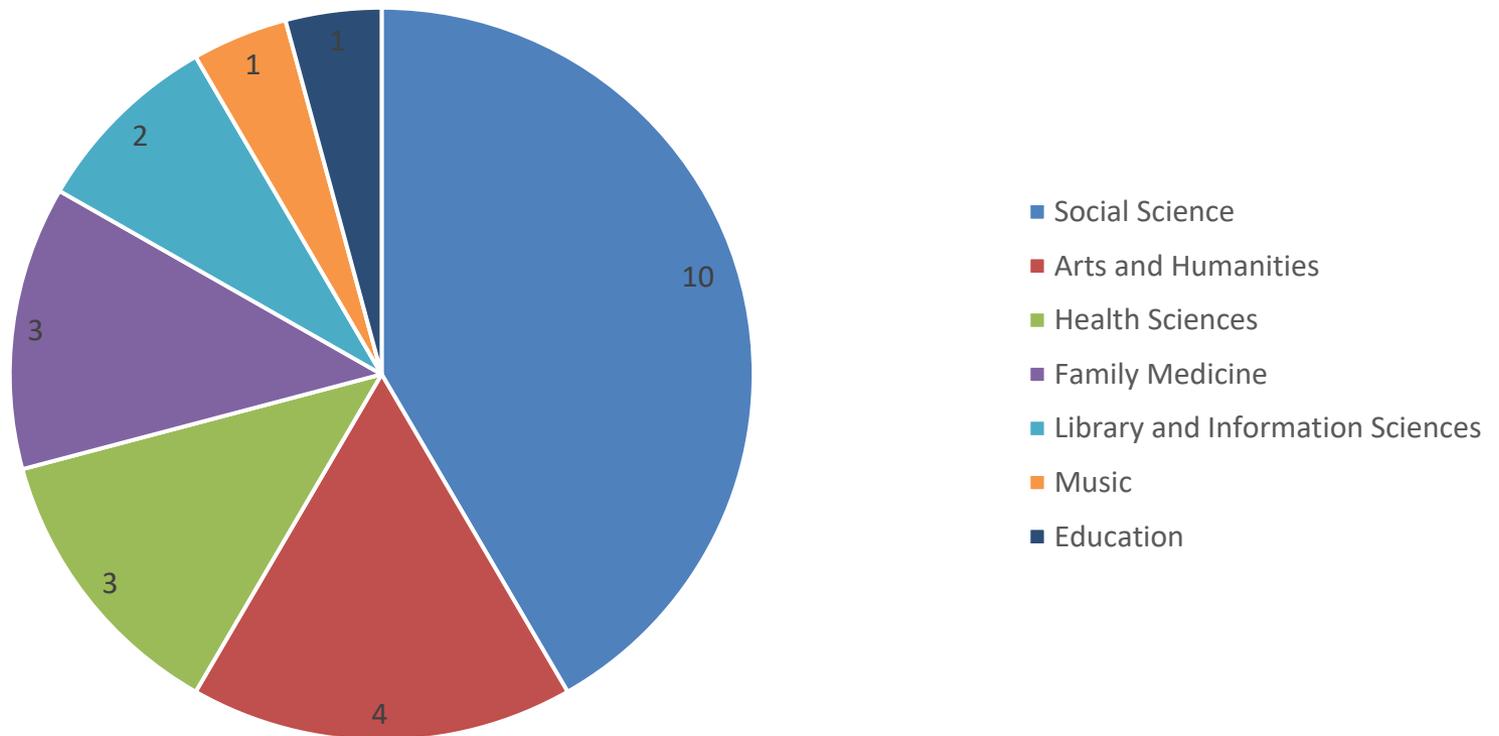
# Metrics & Tips

# Metrics

- Total number of pedagogical project applications since January 2020: **24**
- Timeline to initial review: **9 workdays**
- Timeline to acknowledgement: **17 workdays**

# Metrics

Number of Submissions by Faculty



# Tips

- Remember why you are assigning this type of project to the students:
  - To teach student researchers about proper research methods and associated activities
  - This involves teaching them about research ethics guidelines and practices as part of the practical research skill development.

# Tips

- Remember why the assignment requires ethical oversight:
  - From the perspective of a participant included in either a pedagogical research project or an actual research project, the experience is the same.
  - All participants are entitled to the same ethical protections and rights.

# Tips

- Follow institutional/departmental expectations on research oversight
  - PI-eligibility
  - Opportunity for non-faculty/non-research-eligible instructors to be delegated by dept head

# Tips

- Instructions to students must be specific to the course objectives and in accordance with ethical AND institutional standards.
  - Pre-developed templates
  - Set parameters on modes of data collection, methods of recruitment/consent, data security guidelines, etc.

*\*Level of specificity depends on pedagogical exercise\**

# Tips

- Use available guidelines and templates to ensure adherence to ethical standards (see *Human Ethics website or WREM Help tab under Templates*)
  - Recruitment guidance document & templates
  - LOI/C guidance document & template
  - Data security and confidentiality guidelines

# Tips

- Recruitment:
  - Involvement of friends/family/acquaintances encouraged
  - Social media recruitment discouraged
  - Mass Recruitment through registrar/department not permitted

# Tips

- Consent:
  - Consider logistically how students will obtain consent (e.g., Written? Verbal? Implied?)
  - Must include an LOI and documentation of consent
  - Include required statements:
    - Representatives of Western's REBs may require access to project-related records
    - Contact information for OHRE

# Tips

- Data Security and Confidentiality:
  - Instruct students to collect information at the lowest level of identifiability possible
  - Data retention typically until the end of the appeal period, or for 1 year
  - Rely on the use of institutionally-reviewed/supported technological platforms (e.g., Zoom, Qualtrics, OneDrive)

# Tips

- A lecture on research ethics as part of the course is strongly encouraged.
- OHRE staff may be available upon request for guest speaking opportunity.

# Tips

- Reach out prior to, during, or after the review process if at any time you have questions or concerns or are unclear about the process.

# Q&A

# Q&A

- Please either use the Raise Hand or Chat feature.
- We will continue recording during the Q&A.
- If you're not comfortable asking your question in this format, feel free to contact us afterwards:
  - Katelyn Harris ([katelyn.harris@uwo.ca](mailto:katelyn.harris@uwo.ca))
  - Jhananiee Subendran ([jsubendr@uwo.ca](mailto:jsubendr@uwo.ca))



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