

Grand Valley State University Human Research Review Committee	
Title: <i>Ethical and legal standards and practices for human subjects research</i>	
Section: 110.	This policy and procedure supersedes those previously drafted
Approved by HRRC: 04/12/2011 Revised: 10/28/2014 Reviewed: 10/28/2014 Revised by HRRPPC: 04/24/2018	Approved by RIO/HRPA: 05/12/2011 Revisions approved 04/08/2014 10/28/2014 Revisions approved by RIO/AIO: 05/23/2018
Effective Date: 05/23/2018	
Related documents: <i>120: Compliance with applicable laws and regulations</i> <i>310: Researcher responsibilities, qualifications and training</i>	

Policy

GVSU has the following written policies for working with research participants, sponsors, researchers, and the Office of Research Compliance and Integrity (ORCI) to uphold legal and ethical standards and practices in research involving human participants. Human Research Review Committee (HRRC) policies and procedures are available to sponsors, researchers, participants, reviewers and other interested parties via HRRC website and internal documents, as appropriate.

1. Ethical Principles

- a. The primary ethical principles applied to research covered by the ORCI, including protocols that are exempt from the federal regulations pertaining to human subject research, are those set forth in *The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research* (Belmont Report). The three main principles are:
 - i. **Respect for persons** (e.g., demonstrated by obtaining informed consent, respecting privacy and confidentiality, and adding protections for vulnerable populations)
 - ii. **Beneficence** (e.g., demonstrated by balancing risks and benefits)
 - iii. **Justice** (e.g., demonstrated by equitable participant selection & distribution of risks and benefits)
- b. In addition, all researchers are expected to adhere to the principles of *expertise* (competent to do the work) and *integrity* (uphold professional principles and standards). Additional ethical principles may be applied when appropriate. Examples include but are not limited to the following:
 - i. International Council on Harmonization Good Clinical Practice principle on restricted use of placebo-controlled studies;
 - ii. Research data management and security;
 - iii. Native language or other accommodations for illiterate or non-English

speaking participants

c. Training on the ethical principles and researcher responsibilities are covered in the Epigeum training tutorials and in the HRRC new member orientation. All sponsor contract templates include explicit notice that ORCI oversight is applicable to all research involving living human participants.

2. Legal Principles

The basic legal principles governing research involving human participants are:

- i. DHHS regulations for Protection of Human Subjects (Common Rule) in 45 CFR Part 46.
- ii. FDA regulations for the Protection of Human Subjects in 21 CFR Parts 50 and 56.
- iii. General Data Protection Regulation (GDPR) for research involving European Union participants. See HRRC Policy 120: *Compliance with applicable laws & regulations*.
- iv. Privacy Rule regulations of Individually Identifiable Health Information (HIPAA Privacy Rule) in 45 CFR Parts 160 and 164.
- v. Family Educational Rights and Privacy Act (FERPA) for research involving student education records.
- vi. Applicable Michigan law. See HRRC Policy 120: *Compliance with applicable laws & regulations*.