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Name:	Senate Policy on Ethical Conduct for Research Involving Humans
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Preamble

Saint Mary's University values scientific research and believes that research involving humans as participants should balance the need for scientific inquiry with the need to protect the welfare of participants. Committed to the advancement of knowledge and the training of students, Saint Mary's University promotes good research and recognizes that ethical research is an integral part of scientific inquiry. The University endorses the principles of the Tri-Council Policy Statement: Ethical Conduct of Research Involving Humans (1998 and subsequent revisions and amendments). This policy describes how Saint Mary's University applies the TCPS principles and outlines provisions designed to promote ethical research.

Purpose:

The Saint Mary's University Research Ethics Board (REB) is a committee of the Saint Mary's University Senate and was established under the provisions of the Tri-Council Policy Statement. Its mission is to ensure that research carried out by Saint Mary's University researchers or research involving members of the SMU community (e.g., faculty, adjunct professors, students, administrators, employees and other persons holding appointments by the Board of Governors) adheres to the Tri-Council Policy Statement (1998 and subsequent revisions and amendments) as well as applicable ethical guidelines and principles (Saint Mary's University Senate policies and Saint Mary's University Research Ethics Board's policies and guidelines). The REB provides a service to the University community by working with researchers to identify and resolve ethical issues in their research in order to protect the interests of participants, maximize the benefits of the research, and minimize harms. The REB is empowered to approve, reject, propose modifications to, suspend or terminate

research projects that involve human participants and that fall under the jurisdiction of Saint Mary's University and the purview of the Tri-Council Policy Statement: Ethical Conduct of Research Involving Humans (hereafter referred to as the TCPS) or relevant regulations and guidelines. The REB shall not prescribe or mandate how research is to be conducted if that research concurs with the principles of the TCPS.

Definitions:

REB	Research Ethics Board
SMU	Saint Mary's University
TCPS	Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans

Policy:

The TCPS applies to research on human conducted by members of Saint Mary's University, including faculty, adjunct professors, students, administrators, employees and other persons holding appointments from the Board of Governors. Research that involves human participants and falls under the TCPS must be submitted to the REB for ethics review regardless of where the research takes place. These research projects (funded or unfunded) may include but are not limited to independent undergraduate or graduate research projects, honours theses, masters theses, dissertations, or other activities involving data from humans. Research projects that include the secondary use of data may also require ethics review. In any dispute about the meaning or application of the TCPS, the full text including the commentary shall be the basis for any judgment.

It is the obligation of researcher to determine whether any proposed project might fall under the TCPS and to submit the project to the REB for ethics review. In the case of student research, it is the responsibility of the professor giving the course and/or supervising the research.

Procedures:

Research Ethics Board

The Saint Mary's University Research Ethics Board (REB) established under the provisions of the TCPS shall meet the following requirements in addition to those specified in the TCPS:

- a) The REB shall consist of at least five members, including both men and women with at least one member knowledgeable in ethics. One member of the REB must have no affiliation with the University and must be recruited from the community. For each area of research covered by the REB, at least two members must have broad expertise in the methods and/or area of research. The REB may have up to three SMU graduate students as members.
- b) Individuals shall be nominated for and appointed to the REB in accordance with Senate policy. However, a majority of REB members shall be chosen from those whose main responsibilities are teaching and research. Neither the University's legal counsel nor any lawyer employed or contracted by the University shall be appointed to, or serve as, a member of a REB. The Chair of the REB shall be appointed by Senate.
- c) The REB shall review the ethics of research proposals involving humans in accordance with the TCPS. The REB may approve or reject proposals on the

basis of compliance with the TCPS. The REB may propose modifications to proposals to bring them into compliance with the TCPS. The REB may suspend or terminate any proposed or ongoing research involving humans that violates the TCPS. The REB shall not prescribe or mandate how research is to be conducted if that research concurs with the principles of the TCPS. The REB shall not have the power to discipline or impose sanctions, nor shall it have any power to cause to be placed in a student or employee file, any information related to the research proposal.

- d) Research that involves human participants and falls under the TCPS must be submitted to the REB for ethics review regardless of where the research takes place. Such research projects (funded or unfunded) may include but are not limited to independent undergraduate or graduate research projects, honours theses, masters theses, dissertations, or other activities involving data from humans. Research projects that include the secondary use of data may also require ethics review.
- e) The REB shall be given adequate budget and staff to carry out its work.
- f) The REB shall meet regularly. Meetings and quorums shall follow the accepted rules of procedure which have been established for Senate committees.
- g) In accordance with the Tri-Council Policy Statement, the REB shall ensure that its procedures are consistent with standards of natural justice and that its decisions are fair, impartial and equitable.
- h) The REB shall develop specific policies, guidelines, or procedures on matters as needed.
- i) The REB shall keep and maintain minutes of all meetings and records of all decisions.
- j) The REB directly reports to the Saint Mary's University Senate through the Dean of Graduate Studies and Research and the Vice-President Academic and Research and shall make an annual report to Senate on its work, operation and decisions.
- k) The REB shall operate at arm's length from the University.

Appeal Procedure

1. In accordance with the Tri-Council Policy Statement, researchers may appeal decisions of the REB to an appeal board. The Appeal Board shall also be bound by the Tri-Council Policy Statement.
2. In the event that a researcher at Saint Mary's University wishes to appeal a decision by the REB, the Mount Saint Vincent University Research Ethics Board will act as the appeal board to hear the case, in accordance with the Memorandum of Understanding on Cooperation on Research Ethics Appeal Boards between Saint Mary's University and Mount Saint Vincent University.
3. The Appeal Board shall have the power to approve, reject, or request modifications to and overturn negative decisions made by an REB regarding research proposals. It shall not have the power to impose sanctions or discipline on students or employees. The decision of the Appeal Board shall be communicated to both parties and shall be final.