

HUMAN RESEARCH ETHICS COMPLAINTS PROCEDURE



CONTENTS

1	PURPOSE.....	1
2	SCOPE.....	1
3	PROCEDURE	1
	Breaches	2
4	RESPONSIBILITIES	2
	Compliance, monitoring and review.....	2
	Reporting.....	2
	Records management.....	2
5	DEFINITIONS	3
6	RELATED LEGISLATION AND DOCUMENTS	3
7	FEEDBACK.....	3
8	APPROVAL AND REVIEW DETAILS.....	3

1 PURPOSE

- 1.1 This procedure outlines how CQUniversity will manage complaints regarding the use of humans in research.

2 SCOPE

- 2.1 This procedure applies to complaints about research with or about people, or their data or tissue at CQUniversity.

3 PROCEDURE

- 3.1 Projects involving people, and their data or tissue, must be managed in accordance with the [National Statement on Ethical Conduct in Human Research](#).
- 3.2 Chapter 5.6 of the National Statement on Ethical Conduct in Human Research requires the University to:
- identify a person accessible to participants, to receive complaints
 - establish procedures for receiving, handling and seeking to resolve complaints (clause 5.6.1), and
 - establish procedures for receiving, handling and seeking to resolve complaints about the conduct of the Human Research Ethics Committee in reviewing research proposals (clause 5.6.4).
- 3.3 Complaints will be treated confidentially unless the University is under an obligation to disclose the complaint. In such cases, the complainant will be advised. No student or employee will have their academic progress or employment jeopardised by raising a concern.
- 3.4 Investigations of a complaint may include:
- interviews with the complainant, the subject of the complaint, or witnesses
 - unannounced inspection of research sites, data and signed consent forms and or/ interview with the prior consent of research participants, or
 - seeking expert advice on technical matters from outside the University.
- 3.5 Complaints may be received in any format, including by email, telephone, mail or in person. The University will accept complaints made anonymously.

- 3.6 Complaints about human research will be forwarded to the Human Research Ethics Committee Chair for investigation. The Chair may direct the research activities to cease while the matter is under investigation
- 3.7 On receipt of a complaint, the Chair must consider the matters raised in the complaint and respond to those matters, consulting with relevant stakeholders. Where the Chair has a conflict of interest with the complaint and/or the complainant, they will disclose their interest in accordance with the [Conflict of Interest Policy and Procedure](#), and the Deputy Chair will investigate and manage the complaint.
- 3.8 Where a complaint is unable to be resolved by the Chair or Deputy Chair, the complaint will be forwarded to the Vice-President (Research) for investigation and management.
- 3.9 In general, complaints will be attempted to be resolved by counselling and advice.
- 3.10 Depending on the complexity of the complaint, within 10 working days of receipt of the complaint, the Chair will provide either a preliminary or final outcome, via written statement, addressing each of the matters raised and advise of any resulting actions.
- 3.11 If the complainant is not satisfied with the Chair's response, they may respond within 10 working days to work towards a consensual outcome. If a consensual outcome is not achieved, the complainant may submit a formal complaint through the University's [Complaints Policy and Procedure](#).

Breaches

- 3.12 Where the Chair determines a non-compliance breach with the National Statement on Ethical Conduct in Human Research of approval conditions from the Committee, the Chair will act in accordance with the [Human Research Ethics Approval Procedure](#).
- 3.13 Where the Chair determines that a breach of conduct may have occurred, the Chair will refer the matter in line with the:
 - [Student Academic Integrity Policy and Procedure](#)
 - [Student Behavioural Misconduct Procedure](#)
 - [Research Higher Degree Integrity Policy and Procedure](#)
 - [Code of Conduct for Research](#).

4 RESPONSIBILITIES

Compliance, monitoring and review

- 4.1 The Vice-President (Research), the Human Research Ethics Committee and the Research Division are responsible for implementing, monitoring, reviewing and ensuring compliance with this procedure.

Reporting

- 4.2 Complaints, including their resolutions, will be reported to the next available meeting of the Human Research Ethics Committee and included in the Committee's Annual Reports to the Research Committee and the National Health and Medical Research Council.

Records management

- 4.3 Employees must manage records in accordance with the [Records Management Policy and Procedure](#). This includes retaining these records in a recognised University recordkeeping information system.
- 4.4 University records must be retained for the minimum periods specified in the relevant [Retention and Disposal Schedule](#). Before disposing of any records, approval must be sought from the Records and Privacy Team (email records@cqu.edu.au).

5 DEFINITIONS

5.1 Terms not defined in this document may be in the University [glossary](#).

6 RELATED LEGISLATION AND DOCUMENTS

[Code of Conduct for Research](#)

[Complaints Policy and Procedure](#)

[Human Research Ethics Approval Procedure](#)

[National Statement on Ethical Conduct in Human Research](#)

[Research Higher Degree Integrity Policy and Procedure](#)

[Student Academic Integrity Policy and Procedure](#)

[Student Behavioural Misconduct Procedure](#)

7 FEEDBACK

7.1 Feedback about this document can be emailed to policy@cqu.edu.au.

8 APPROVAL AND REVIEW DETAILS

Approval and Review	Details
Approval Authority	Academic Board
Delegated Approval Authority	Research Committee
Advisory Committee	Human Research Ethics Committee
Required Consultation	N/A
Administrator	Vice-President (Research)
Next Review Date	28/10/2024

Approval and Amendment History	Details
Original Approval Authority and Date	Academic Board 30/03/2005
Amendment Authority and Date	Academic Board 26/03/2008; Academic Board 12/11/2010; Reviewed 26/02/2013; Academic Board 25/05/2016; Research Committee 22/01/2020; Research Committee 28/10/2021.
Notes	This document was formerly known as the Human Research Ethics Committee Grievance Procedure (last approved 22/01/2020).