

GREAT BARRIER REEF MARINE PARK OPERATING PROCEDURE

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1 PURPOSE

CQUniversity, through the Office of the Deputy Vice-Chancellor (Research) is required to establish a working procedure on:

- timely consideration and review of research protocols;
- methods of decision-making;
- prompt notification of decisions;
- reporting of adverse occurrences;
- appropriate monitoring;
- receiving complaints;
- advising the institution to discontinue a project;
- fees if any to be charged;
- confidentiality of the content of protocols

2 SCOPE

This procedure applies to all research-active academic staff and research higher degree candidates seeking to undertake research within the Great Barrier Reef Marine Park.

3 EFFECTIVE DATE 22 June 2016

4 LEGISLATIVE AUTHORITY

Great Barrier Reef Marine Park Act 1975
Great Barrier Reef Marine Park Regulations 1983
Great Barrier Reef Marine Park Zoning Plan 2003

5 PARENT POLICY

There is no parent policy.

6 PROCEDURE

Administration

- 6.1 The Deputy Vice-Chancellor (Research) will appoint a secretary from within the Research Division to manage the operations of research being undertaken within the Great Barrier Reef Marine Park. The secretary will consult with the Deputy Vice-Chancellor (Research), in the preparation of research documentation and authorisations for research in the Great Barrier Reef Marine Park.

Presentation and Review of Research Protocols

- 6.2 The Research Division shall prepare for use of researchers a proforma detailing the format and requirements for presentation of research protocols
- 6.3 Where practicable, the Deputy Vice-Chancellor (Research), via the Research Division, shall enable timely consideration of research protocols in relation to closing dates for applications for research grants from the:

- Australian Research Council;
- National Health and Medical Research Council.

and following the award of any Internal Research Grant, which is subject to ethical approval.

- 6.4 The Deputy Vice-Chancellor (Research), via the Research Division, should aim to have given its initial consideration to any research protocol by no later than four weeks after receipt of a protocol and to have completed its consideration by no later than eight weeks after its receipt.

Methods of Decision-Making

- 6.5 Applications will initially be assessed by the secretary in the Research Division to ascertain eligibility for approval as limited impact (extractive or non-extractive) under the Memorandum of Understanding. The preliminary outcome of this assessment will be presented to the Deputy Vice-Chancellor (Research) for consideration
- 6.6 Where a generally agreed decision cannot be reached by the Deputy Vice-Chancellor (Research), via the Research Division, concerning a proposal, the Deputy Vice-Chancellor (Research), via Research Division, may consult with the Chair of the Animal Ethics Committee, or other suitably qualified persons from within or external to the University
- 6.7 In the event that a decision is still not able to be reached, the Deputy Vice-Chancellor (Research) may either communicate with the Great Barrier Reef Marine Park Authority to obtain an opinion, or may reject the application, and direct the researcher to apply to the Authority for a research permit

Prompt Notification of Decisions

- 6.8 Within five working days of any decision on a research proposal, the secretary shall advise the proposer(s) in writing of the decision of the Deputy Vice-Chancellor (Research).

Monitoring of Research Projects

- 6.9 As part of consideration of each research protocol, the Deputy Vice-Chancellor (Research) will determine the frequency and type of monitoring required for each research project according to the degree of risk in the research project, the persons responsible for the monitoring and will record these decisions in writing
- 6.10 The secretary will be responsible for ensuring that the monitoring occurs as determined and that monitoring reports are presented to the Deputy Vice-Chancellor (Research)
- 6.11 The Deputy Vice-Chancellor (Research) will determine the frequency of reports required from the principal researcher of an approved research project, and will stipulate that the reports must address matters including:
- progress to date or outcome in the case of completed research;
 - compliance with the approved research protocol;
 - compliance with any conditions of approval.

Reporting of Adverse Occurrences

- 6.12 The Deputy Vice-Chancellor (Research), via the Research Division, shall ensure that the following condition of approval for any research proposal is included in any formal advice to the proposer of an approved research protocol:

“It is a condition of approval of this research project that you report immediately anything which may warrant review of ethical approval of the research protocol, including:

- a serious or unexpected adverse effects on participants, animals or the habitat;
- b proposed changes in the protocol; and
- c unforeseen events that might affect continued ethical acceptability of the project.

A written report of any adverse occurrence or unforeseen event that might affect the continued ethical acceptability of the research project must be submitted to the Deputy Vice-Chancellor (Research) by no later than the next working day after recognition of an adverse occurrence/effect.”

- 6.13 The Deputy Vice-Chancellor (Research) will have delegated authority to:
- consult with any other parties to seek advice and assistance in addressing matters arising from any report of adverse occurrence or unforeseen event;
 - withdraw approval for a research project and advise the researcher(s), secretary, Chair of the Animal Ethics Committee, and any other formal parties to the research project to this effect in writing;
 - restore approval for a research project and advise the researcher(s), secretary and any other formal parties to the research project to this effect in writing, if satisfied that appropriate action has been taken to ensure no further adverse occurrence or event of similar kind.
- 6.14 The Deputy Vice-Chancellor (Research) will report on any matters involving adverse occurrences at the next meeting of the Research Committee of Academic Board and will seek ratification of any withdrawal of approval or restoration of approval.

Receiving Complaints

- 6.15 The Deputy Vice-Chancellor (Research) is authorised to receive and attempt to resolve complaints or concerns about the conduct of an approved research project from research participants, researchers, or other interested persons in the first instance
- 6.16 The Deputy Vice-Chancellor (Research) may consult with the Chair of the Animal Ethics Committee, or other suitably qualified persons from within or external to the university to seek advice and assistance in attempting to resolve any complaint or address any concern
- 6.17 In the event that the Deputy Vice-Chancellor (Research) cannot resolve a complaint or concern, the matter must be referred to the Vice-Chancellor in accordance with the University’s statement on *Research Misconduct*

Advising the Institution to Discontinue a Project

- 6.18 In the event that the Deputy Vice-Chancellor (Research) has determined that a research project is not being conducted or cannot be conducted in accordance with the approved protocol and that the welfare and rights of human participants, or the welfare of animals is not or will not be protected, the Deputy Vice-Chancellor (Research) will withdraw approval of the project.
- 6.19 The Deputy Vice-Chancellor (Research), via the Research Division, will formally advise the researcher(s), and the secretary of any withdrawal of approval, that the research project be discontinued, suspended or that specified steps be taken to allow the project to continue

Fees

- 6.20 For the time being, the Deputy Vice-Chancellor (Research), via the Research Division, will consider only research projects and protocols from persons affiliated with CQUniversity and will charge no fees for its considerations.

Confidentiality of the Content of Protocols

- 6.21 Research protocols submitted for approval will remain confidential to the Deputy Vice-Chancellor (Research) and the Research Division.
- 6.22 Each file for each research protocol with associated documents will be accorded high security status and be accessible only by the Deputy Vice-Chancellor (Research), and authorised Research Division staff. Papers will remain confidential except as required by law, or are authorised by the Deputy Vice-Chancellor (Research) to be conveyed to:
- an applicant seeking ethical approval;
 - a research funding body;

- an expert adviser; and
- the State Ombudsman in the event of a complaint concerning a research project or a grievance or an irreconcilable difference.

7 RESPONSIBILITIES

Compliance, Monitoring and Review

7.1 The Ethics Officer from the Research Division is responsible for ensuring this procedure is followed.

Reporting

7.2 The Memorandum of Understanding requires the university to prepare an annual report to the Great Barrier Reef Marine Park Authority, outlining active projects, and any publications arising from previous projects.

Records Management

7.3 All records relevant to this document are to be maintained in a recognised University recordkeeping system.

8 DEFINITIONS

Refer to the University [glossary](#) for the definition of terms used in this policy and procedure.

9 RELATED LEGISLATION AND DOCUMENTS

Related Policy Document Suite

[Code of Conduct – Research in the Great Barrier Reef Marine Park](#)
[Great Barrier Reef Marina Park Operating Procedure](#)
[Research in the Great Barrier Reef Marine Park Grievance Procedure](#)

Related Legislation and Supporting Documents

[Great Barrier Reef Marine Park Act 1975](#)
[Great Barrier Reef Marine Park Regulation 1983](#)
[Great Barrier Reef Marine Park Zoning Plan 2003](#)
[Memorandum of Understanding between the Great Barrier Reef Marine Park Authority and CQUniversity](#)
[CQUniversity Code of Conduct for Research](#)

Approval and Review	Details
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