

## CONTENTS

1	PURPOSE.....	1
2	SCOPE.....	1
3	PROCEDURE .....	2
	Administration .....	2
	Presentation and review of research protocols.....	2
	Methods of decision-making .....	2
	Prompt notification of decisions .....	2
	Monitoring of research projects.....	2
	Reporting of adverse occurrences .....	3
	Receiving complaints .....	3
	Advising the institution to discontinue a project .....	3
	Fees .....	3
	Confidentiality of the content of protocols .....	4
4	RESPONSIBILITIES .....	4
	Compliance, monitoring and review.....	4
	Reporting.....	4
	Records management.....	4
5	DEFINITIONS .....	4
6	RELATED LEGISLATION AND DOCUMENTS .....	4
7	FEEDBACK.....	5
8	APPROVAL AND REVIEW DETAILS .....	5

## 1 PURPOSE

- 1.1 CQUniversity, through the Research Division 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, and
  - confidentiality of the content of protocols.

## 2 SCOPE

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

## **3 PROCEDURE**

### **Administration**

- 3.1 The Vice-President (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 Vice-President (Research), in the preparation of research documentation and authorisations for research in the Great Barrier Reef Marine Park.

### **Presentation and review of research protocols**

- 3.2 The Secretary shall prepare for use of researchers a proforma detailing the format and requirements for presentation of research protocols.
- 3.3 The Vice-President shall provide initial consideration to any research protocol by no later than four weeks after receipt of a protocol and finalise consideration by no later than eight weeks after the research protocol receipt.

### **Methods of decision-making**

- 3.4 Applications will initially be reviewed by the Secretary to ascertain eligibility for approval as limited impact (extractive or non-extractive) under the Memorandum of Understanding, and to confirm the location of the proposed research to ensure the proposed protocol can be undertaken under the conditions of the zoning map, and that the proposed species and numbers do not exceed the listed species. The preliminary outcome of this assessment will be presented to the Vice-President (Research) for consideration.
- 3.5 Where a decision cannot be reached by the Vice-President (Research) concerning a proposal, the Vice-President (Research), may consult with the Chair of the Animal Ethics Committee, or other suitably qualified persons from within or external to the University.
- 3.6 In the event that a decision is still not able to be reached, the Vice-President (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**

- 3.7 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 Vice-President (Research).

### **Monitoring of research projects**

- 3.8 As part of consideration of each research protocol, the Vice-President (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.
- 3.9 The Secretary will be responsible for ensuring that the monitoring occurs as determined and that monitoring reports are presented to the Vice-President (Research).
- 3.10 The Vice-President (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, and
  - copies of any academic publications arising from the research.

## Reporting of adverse occurrences

- 3.11 The Vice-President (Research) 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:

- serious or unexpected adverse effects on participants, animals or the habitat
- proposed changes in the protocol, and
- 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 Vice-President (Research) by no later than the next working day after recognition of an adverse occurrence/effect.”

- 3.12 The Vice-President (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, and
- 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.

- 3.13 The Secretary will provide an annual written report on any matters involving adverse occurrences to Research Committee.

## Receiving complaints

- 3.14 The Vice-President (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.

- 3.15 The Vice-President (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.

- 3.16 In the event that the Vice-President (Research) cannot resolve a complaint or concern, the matter must be referred to the Vice-Chancellor and President in accordance with the University's Code of Conduct for Research.

## Advising the institution to discontinue a project

- 3.17 In the event that the Vice-President (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 Vice-President (Research) will withdraw approval of the project.

- 3.18 The Vice-President (Research) 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

- 3.19 For the time being, the Vice-President (Research) 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

- 3.20 Research protocols submitted for approval will remain confidential to the Vice-President (Research) and the Research Division.
- 3.21 Each file for each research protocol with associated documents will be accorded high security status and be accessible only by the Vice-President (Research), and authorised Research Division staff. Papers will remain confidential except as required by law, or are authorised by the Vice-President (Research) to be conveyed to:
- an applicant seeking ethical approval
  - a research funding body
  - the Great Barrier Reef Marine Park Authority
  - an expert adviser, and
  - the State Ombudsman in the event of a complaint concerning a research project or a grievance or an irreconcilable difference.

## 4 RESPONSIBILITIES

### Compliance, monitoring and review

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

### Reporting

- 4.2 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

- 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 system.
- 4.4 University records must be retained for the minimum periods specified in the University Sector Retention and Disposal Schedule on the [Queensland State Archives website](#).

## 5 DEFINITIONS

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

## 6 RELATED LEGISLATION AND DOCUMENTS

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

[Code of Conduct for Research](#)

[Great Barrier Reef Marine Park Act 1975](#) (Cwlth)

[Great Barrier Reef Marine Park Regulations 2019](#) (Cwlth)

[Great Barrier Reef Marine Park Zoning Plan 2003](#)

Memorandum of Understanding between the Great Barrier Reef Marine Park Authority and CQUniversity

[Research in the Great Barrier Reef Marine Park Grievance Procedure](#)

## 7 FEEDBACK

7.1 Feedback about this document can be emailed to [policy@cqu.edu.au](mailto:policy@cqu.edu.au).

## 8 APPROVAL AND REVIEW DETAILS

Approval and Review	Details
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