

# RESEARCH INVOLVING HUMANS AND/OR ANIMALS FOR ETHICAL CLEARANCE POLICY AND PROCEDURE



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## 1 PURPOSE

- 1.1 CQUniversity has fully constituted Ethics Committees with responsibility to ensure that the ethical implications of any research undertaken are afforded serious consideration prior to the commencement of a project and that such research is consistent with legislative and statutory requirements.

## 2 SCOPE

- 2.1 These processes apply to all CQUniversity employees and students involved in research.

## 3 POLICY STATEMENT

- 3.1 Before conducting any research investigation involving human and/or animal subjects, CQUniversity employees and students are required to obtain an ethical clearance for the proposed investigation and to ensure that all the required reports are lodged in the prescribed fashion.
- 3.2 In order to provide ethical clearance, the relevant Committee must be satisfied that:
- the research is not in conflict with University policy, complies with Commonwealth and State legislation, and is in keeping with those codes of practice promulgated by authorised agencies
  - the research is necessary to the improvement of human and/or animal health and welfare, or that it will significantly contribute to knowledge
  - the advantages gained will justify any discomfort or risk involved for the participant/s or animals, and
  - there is no alternative to the use of humans and/or animals to achieve the aim/s of the research.
- 3.3 All projects involving humans shall be conducted in conformity with the National Health and Medical Research Council's (NHMRC), [National Statement on Ethical Conduct in Human Research \(2007\) as updated in 2018](#), and the [Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders 2018](#).
- 3.4 All projects involving animal subjects shall be conducted in conformity with the NHMRC's [Australian Code for the Care and Use of Animals for Scientific Purposes \(2013\)](#).

- 3.5 Research protocols involving human and/or animal experimentation must be preserved in the form in which they were approved. In the event that an approved protocol requires amendment, the revised protocol must be reconsidered by the relevant Committee, or by the Chair of the committee, if permitted.
- 3.6 Infringements of, or non-compliance with, University policy, Commonwealth and State legislation, or recognised codes of practice, in particular those of the NHMRC, must be reported immediately to the Chair of the relevant ethics Committee. The Chair shall have the authority to:
- suspend the project until such time as the ethical concerns are addressed, or
  - terminate the project. (Clauses 5.5.7 to 5.5.10 of the [National Statement on Ethical Conduct in Human Research](#), and clause 2.4.18 of the [Australian Code for the Care and Use of Animals for Scientific Purposes](#)).

## 4 PROCEDURE

- 4.1 An application for approval to undertake research involving human and/or animal subjects shall be submitted to the Research Division for the consideration of the relevant Committee.
- 4.2 The relevant Committee shall determine whether or not the proposed project is acceptable on ethical grounds.
- 4.3 Where a project is deemed ethically acceptable, the Committee shall issue a written ethical clearance which shall include an authorisation code and details of those methods of surveillance to ensure that the project continues to conform to approved ethical standards.
- 4.4 Where a project is deemed ethically unacceptable, the Committee shall advise the applicant in writing of its concerns. The project shall not commence until such time as these concerns are addressed to the Committee's satisfaction.
- 4.5 Each Committee shall maintain a record of all proposed research projects which shall include (but not be limited to) the following items of information:
- Animal Ethics:
    - project identification number
    - name/s of chief investigator/s
    - short title of project
    - ethical approval or non-approval with date
    - commencement and completion dates
    - animal species and numbers approved
    - protocol category
    - purpose of the project, and
    - date/s designated for review
  - Human Ethics (as per clause 5.2.26 of the [National Statement on Ethical Conduct in Human Research](#)):
    - names of the institutions to which the research proposal is provided
    - project identification number
    - names of the principal researcher/s
    - title of the project
    - correspondence between the review body and the researcher about the review
    - acceptance or rejection of any changes to the proposal
    - proposed date of completion of the proposal
    - formal advice of final ethical approval or non-approval with date
    - terms and conditions, if any, of approval of any proposal

- duration of the approval
  - name of any other review body whose opinion was considered
  - mechanisms to be used to monitor the conduct of the research, and
  - relevance, if any, of the Commonwealth, State or Territory legislation or guidelines relating to privacy of personal or health information.
- 4.6 In the event that an approved research protocol is revised or amended, or an extension of time is required, the chief investigator/s is required to submit a modification application for approval to the Research Division for consideration by the relevant Committee.

## 5 RESPONSIBILITIES

### Compliance, monitoring and review

- 5.1 The Human Research Ethics Committee and the Animal Ethics Committee assess all project applications and monitoring is carried out on annual and final reports from all research projects. Researchers are required to adhere to the [Code of Conduct for Research](#), and all other relevant legislation or guidelines as shown below.
- 5.2 The Deputy Vice-Chancellor (Research) and the Research Division are responsible for implementing, monitoring, reviewing and ensuring compliance with this procedure.

### Reporting

- 5.3 Both the Animal Ethics Committee and Human Research Ethics Committee submit annual reports on the activity in the previous calendar year to the Research Committee. The Animal Ethics Committee also reports annually to the State Government of each state within which CQUniversity is licensed to use animals for scientific purposes, and Human Research Ethics Committee reports annually to the NHMRC.

### Records management

- 5.4 Employees must manage records in accordance with the [Records Management Policy and Procedure](#). This includes retaining these records in a recognised University recordkeeping system.
- 5.5 University records must be retained for the minimum periods specified in the University Sector Retention and Disposal Schedule on the [Queensland State Archives website](#).

## 6 DEFINITIONS

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

## 7 RELATED LEGISLATION AND DOCUMENTS

[Animal Ethics Committee Terms of Reference](#)

[Australian Code for the Care and Use of Animals for Scientific Purposes \(2013\)](#)

[Code of Conduct for Research](#)

[Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders 2018](#)

[Human Research Ethics Committee Terms of Reference](#)

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

## 8 FEEDBACK

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

## 9 APPROVAL AND REVIEW DETAILS

Approval and Review	Details
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