Research Management Framework

August 2010
ABOUT THE RESEARCH MANAGEMENT FRAMEWORK

The Department of Communities requires that its policies, programs and services provided are informed by rigorous and robust evidence. The department therefore supports research that strengthens evidence-based decision-making and contributes to effective policy and practice.

The Research Management Framework (RMF) is a suite of documents designed to guide the participation of the Department of Communities in commissioned and collaborative research. The RMF embodies the current Research, Evaluation and Review Policy and Procedures for the department and is available online at http://comintranet/policies-procedures/strategic. A Research Management Checklist is included at Appendix 1: Research Management Checklist on page 37.

The application of this Research Management Framework to commissioned and collaborative research projects will:

- ensure that the research the department supports is managed in accordance with relevant legal and administrative requirements;
- mitigate any departmental risks in collaborating and commissioning research, evaluations and reviews (collaboration includes the use of contractors, consultants and brokerage organisations);
- minimise risks to client, staff or stakeholder safety and dignity through participating in research;
- ensure that the Department of Communities optimises its return on investment in research, evaluations and reviews;
- ensure research, evaluation and review contribute to achievement of departmental goals and government policy and priorities; and
- meet community expectations that the Department’s research, evaluation and review activity is conducted to high standards of ethical conduct and probity.

The Department of Communities approach to research management includes;

- monitoring contractual responsibilities and funding commitments;
- complying with legal and ethical requirements;
- developing departmental standards for supporting and participating in research;
- developing clear guidelines for how departmental approval and support for research projects will be managed and statement of Researchers’ responsibilities to the department;
- consistent high quality of research practice aligned with and contributing to achievement of departmental goals; and
- guidance for Service Areas and Researchers on the department’s research priorities.

Benefits of the implementation of these research management measures are:

- improved translation of research into evidence for policy and practice;
- increased certainty about processes and expectations for the department and Researchers;
- improved relationships between the department and Researchers;
- formal requirement for ethical review and approval which ensures clients participate voluntarily in research projects where their safety is paramount; and
- potential to leverage resources and support for research from sources such as universities, Commonwealth and state government agencies.
The Research Management Framework:
- clearly defines research processes, deliverables and outcomes;
- identifies the resources and costs required to support a research project;
- identifies the risks in supporting a research project and how they will be monitored and managed;
- describes how a research project is managed to ensure a quality outcome as per the Roles and Responsibilities described in the Research, Evaluation and Review Procedures;
- ensures managers and staff, Researchers, clients, contractors and stakeholders understand their responsibilities and involvement in the project; and
- ensures the safety and ethical treatment of everyone, but especially clients, who participate in research.

It is strongly recommended that the RMF is understood by everyone associated with the management of the department’s research activities so that expectations about the standard and conduct of research are consistent. The RMF is most useful to:
- prospective Chief Investigators and their Research Assistants;
- Industry Partners
- contractors, consultants and brokerage organisations;
- Sponsoring service areas; and
- Sponsoring service area Research, Evaluation and Review (RER) Units.

Defining ‘Research’
Research is:
- activity that meets the Australian Standard Research Classification definition of ‘creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of [humankind], culture and society, and the use of this stock of knowledge to devise new applications’; and
- requires ethical approval in accordance with the ‘National Statement on Ethical Conduct in Research Involving Humans’ or the ‘Guidelines for Ethical Research in Indigenous Studies’; and/or
- is funded, in whole or in part, by recognised research funding organisations or from dedicated research funds provided by any combination of Commonwealth, state, local government, higher education, or private (commercial or non-commercial) organisations.

For the purposes of this framework, research is not:
- policy development and service delivery activity carried out in accordance with current standard procedures, protocols or guidelines covering usual practice;
- summative evaluation, quality assurance, professional review and performance monitoring designed to check compliance with and/or results from existing service standards, protocols or guidelines (corporate planning, management review, audit processes); or
- formative evaluation designed to improve compliance with and/or results from existing service standards, protocols or guidelines (corporate planning, management review, audit processes).

A project is identified as ‘research’ under the definition outlined above if it meets one or more of the following criteria;
- The department provides cash support for the project e.g. a commissioned research project, a research grant, an Australian Research Council (ARC) Linkage Project;
• The department provides in-kind support for the research e.g. admin support, departmental staff spend work time observing or explaining the project to participants, departmental staff are responsible for retrieving or providing information
• The research involves departmental clients e.g. interviews, focus groups, questionnaires
• The research involves departmental staff e.g. interviews, focus groups, questionnaires
• The research involves accessing departmental information e.g. policy documents, client records, databases, departmental files
• The research takes place in departmental facilities or uses departmental resources

Please note that for the purposes of this framework, the term ‘Director’ includes Directors, Executive Directors and Regional Directors.
RESEARCH PROJECT ADMINISTRATION GUIDELINE

The Department of Communities is committed to supporting environments where there are clear financial and administrative guidelines to ensure research management is consistent with Queensland public sector policy and legislation.

Approval, Endorsement & Agreements

Research projects may involve many organisations and span several years. The department must be able to meet research commitments for the full duration of the project. There must be one or more Department of Communities Regions, Branches or Units identified as supporting a research project. Each service area responsible for providing financial support for a research project should identify the sources of support funds up to completion of the project.

As per the Research, Evaluation and Review Policy and Procedures, commissioned or collaborative research projects are managed by the sponsoring service area and its Research, Evaluation and Review (RER) units. Supported research proposals will require: approval by the Associate Director-General; and Ministerial approval if the funding is sourced from the Minister’s Research and Development Fund (see Research, Evaluation and Review Policy).

Service area RER units will ensure that commissioned and collaborative projects follow the Guidelines of the Research Management Framework.

The service area RER unit has responsibility for:

- Providing advice to their service area on research, evaluation and review project proposals to ensure proposed projects meet departmental and national standards, guidelines and legislation including those for ethics, data management, adverse event reporting, collaborations, supervision and publication;
- Actively participating in the RER Working Group;
- The update of the Research, Evaluation and Review Registers on GovDex in line with the contract milestones agreed by the Department with external contractors (researchers, evaluators, reviewers).

The sponsoring service area can be a program, service area, or region and has responsibility for:

- Project management of research, evaluation and review projects;
- Developing a departmental response to final draft research reports;
- Developing a Communication Plan for evaluations that outline the dissemination of evaluation findings to internal and external stakeholders;
- Ensuring Implementation Plans form part of the Evaluation Register on GovDex
- Disseminating the outcomes of reviews to stakeholders within the department through publishing the outcomes on the Infonet; and to other stakeholders and the wider community through inclusion in documents such as the Annual Report and strategic policy documents.

The Director of each Region and/or area considering participating in a research project must assess whether the project’s potential outcomes are likely to contribute to the achievement of departmental goals and/or improved policy or services. The service area’s RER Unit will advise on whether the research project methodology and approach is appropriate to the delivery of its stated outcomes.

A project manager nominated by the sponsoring service area will work with the service area RER unit to monitor performance of the research agreement for internal and external performance reporting and audit purposes.
The service area RER unit in consultation with Strategic Procurement and/or Legal Services Unit will develop a formal agreement between the Researchers and the Department of Communities consistent with current contract signing delegations. The project and contracts will then be referred to the Director-General for final sign-off.

Costs, revenue and expenses
Research costs include all cash payments and in-kind contributions (staff time, equipment use, overheads, etc) to projects falling within the scope of the Department of Communities Research Management Framework and are therefore required to be listed on the Research Register on GovDex.

All funds received from external organisations for research projects must be treated as Department of Communities’ revenue and deposited in a departmental bank account.

It is important that the department’s operating budget does not bear any unauthorised costs associated with research projects. The principle to be applied to any participation in a research project is that the department’s contribution must be identified and managed. Support will usually be sourced from:

- Authorised expenditure from departmental operating funds, and/or
- Fee-for-service revenue received from external organisations (see Policy 25-1 relating to user charging [http://intranet.cscentre.qld.gov.au/inet/policy/policyDisplay.cfm?policy_id=77&](http://intranet.cscentre.qld.gov.au/inet/policy/policyDisplay.cfm?policy_id=77&) – advice should be sought from the relevant service area RER unit before applying fee-for-service user charges to research projects or accepting revenue contributions from Researchers).

Every sponsoring service area participating in a research project must estimate and record their total resource contribution to each research project. Sponsoring service areas should add to the list additional cost items and sub-items as appropriate and set the rate charged for each. Any in-kind contributions made by the department must be included. The total of all itemised costs is the budget for departmental participation in a research project.

The budget will take one of two forms:

- Where the department commissions the research, at least 10% will be sourced from one or more service areas if the Minister’s Research Development Fund is to be accessed for the balance of funding. Service areas can fund 100% of a research project if the Minister’s Research Development Fund is fully committed to other projects, but the research must still be included on the Research Register and must be of strategic importance.
- Where the department is approached by a Researcher or research organisation to participate in a project the total resource contribution (cash and in-kind, including any fee-for-service revenue) by each sponsoring service area over the life of the research project must be estimated and a budget prepared by the Project Manager.

Further advice on financial matters related to research can be sought from the Department of Communities Finance and Administration Branch.

Record Keeping
Sound record keeping is essential in the management of research as per the department’s policy on Record Keeping ([http://comintranet.root.internal/policies-procedures/it/interim/documents/interim-recordkeeping-policy.doc](http://comintranet.root.internal/policies-procedures/it/interim/documents/interim-recordkeeping-policy.doc)). A separate departmental file should be created for each research project which receives departmental approval. This file should be updated at least at every agreed milestone and/or report.
The documents listed in Appendix 2: Checklist for Departmental Research Files must be retained to ensure that the department is aware of and can confirm its obligations and monitor the status of all departmental research.

All relevant emails and other correspondence should also be included on the file.

For privacy reasons, individual client information should not be held on the research project file.

**Research Register**

It is essential that the Department of Communities knows the full range of research being undertaken in or in collaboration with the organisation. The Department of Communities requires details of all research involving the department to be entered on the Research Register. This enables monitoring of the department’s ongoing research commitments and ensures that the department can fulfil reporting requirements (e.g. to the Office of the Queensland Chief Scientist). The Evidence and Modelling Unit has overall responsibility for the Research Register database and for reporting regularly on it to the Strategy and Delivery Committee. Each service area RER unit is responsible for entering and updating the research projects within their own service area on the register. The register is kept on the RER community on GovDex to facilitate access and amending by of data by RER units.

The Research Register will:

- facilitate assessment of the impact of research and development on client outcomes;
- ensure accountability for research expenditure;
- promote accountability for participation in industry sponsored research;
- facilitate the dissemination of research outputs and findings, and
- assist in the generation of research capacity by improving networking between Researchers through its abridged external web presence.
GUIDELINE FOR ROLES IN RESEARCH PROJECTS

All staff managing or supporting research involving human participants or their personal information, must be aware of and implement the law and basic principles relating to research practice, research ethics, information privacy, health and safety, and finance set out in the Department of Communities Research Management Framework.

All staff involved in research also must ensure that departmental research managers and providers are appropriately qualified, both by training and experience, for the role they intend to play in any proposed research project.

For the purposes of this framework, the term ‘Director’ includes Directors, Executive Directors and Regional Directors.

Specific Responsibilities
The table below summarises the range of people and organisations usually engaged in research projects involving the Department of Communities and their key responsibilities. The remainder of this guideline sets out in more detail the roles and responsibilities of parties engaged in research with the Department of Communities.

Summary of Key Roles and Responsibilities of People and Organisations Accountable for Research Projects

<table>
<thead>
<tr>
<th>External People and Organisations</th>
<th>Developing and submitting research proposals</th>
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<tbody>
<tr>
<td>Chief Investigator</td>
<td>Developing and submitting application for ethics review</td>
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<tr>
<td>The person who will be the primary point of contact for the department and is designated as responsible for the design, conduct and reporting of the project.</td>
<td>Conducting research in accordance with the agreed protocol, legal requirements and standards (e.g. for consent, data management)</td>
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<tr>
<td>Other Researchers</td>
<td>Ensuring participant welfare</td>
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<tr>
<td>Other persons conducting the project</td>
<td>Interim and outcome reporting of research project</td>
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<td></td>
<td>Feeding back results of research to participants</td>
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<td></td>
<td>Helping service provider professionals to ensure that participants receive appropriate care while involved in research</td>
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<td></td>
<td>Protecting the integrity and confidentiality of records and data generated by the research</td>
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<td></td>
<td>Reporting any failures to adhere to legal and ethical standards or suspected misconduct through the appropriate systems</td>
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<td></td>
<td>Selecting appropriate means of communication to ensure that potential participants are fully informed before deciding whether or not to become involved in a project</td>
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<tr>
<td>Sponsor</td>
<td>Assuring the scientific quality of proposed research</td>
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<tr>
<td>Organisations (including the Department of Communities) supplying a product, process or proposition to be tested; the sponsor is usually, but does not have to be, the main funder. A sponsor may take primary responsibility for the research project or it may appoint another organisation to</td>
<td>Ensuring Human Research Ethics Committee approval is obtained by the Chief Investigator</td>
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<td></td>
<td>Ensuring arrangements are in place for the management and monitoring of research</td>
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undertake these responsibilities. The sponsor will have research content knowledge.

<table>
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<tr>
<th>Contract Research Organisation (CRO)</th>
<th>On behalf of the sponsor: Assuring the scientific quality of proposed research Ensuring HREC approval is obtained Ensuring arrangements in place for the management and monitoring of research Organisations holding contracts with funder(s) or sponsor(s) are responsible for the management of any funds provided A Research Sponsor, including the Department of Communities, may delegate all or part of its responsibilities to a Contract Research Organisation (CRO). In the case where the Department of Communities is not the research sponsor, the department will require both the Sponsor and CRO enter into contract arrangements in accordance with the department’s Research Management Framework</th>
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<tbody>
<tr>
<td><strong>Contract Research Organisation (CRO)</strong> An organisation appointed by the sponsor to take primary responsibility for ensuring that the design of the project meets appropriate standards and that arrangements are in place to ensure appropriate conduct and reporting. A CRO can be a university, research centre, non-government organisation, commercial organisation or individual. The CRO will usually employ the Chief Investigator and hold the contract(s) with the funder(s) or sponsor(s) of the project</td>
<td>Promoting a quality research culture Ensuring Researchers understand and discharge their responsibilities Taking responsibility for ensuring the research is properly managed and monitored as agreed with the sponsor</td>
</tr>
<tr>
<td><strong>Collaborating Organisation</strong> Organisations contracted by the sponsor or CRO to undertake defined components of the research. A collaborating organisation can be a university, research centre, non-government organisation, or commercial organisation</td>
<td>Ensuring that research involving their clients, users or staff meets the standard set out in the Research Management Framework (in accordance with research ethics and sponsor requirements)</td>
</tr>
<tr>
<td><strong>Service Provider</strong> (Includes Non-Government Organisations and organisations which provide services on behalf of the Department of Communities) The organisation(s) responsible for providing care to clients and/or service users and carers participating in the project</td>
<td>Before agreeing to their clients, patients or service users being approached to participate in research staff must satisfy themselves that any research complies with this guideline and that the research proposal has been submitted for approval by the department</td>
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<tr>
<td><strong>Service Provider</strong> professional The person formally responsible for the care of the participant while they take part in the project e.g. case worker, social worker, doctor</td>
<td>Responsible for ethical assessment and monitoring of the research project</td>
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<tr>
<td><strong>Human Research Ethics Committee (HREC)</strong> Note that the Department of Communities does not have its own HREC but will accept the approval of any Human Research Ethics Committee constituted in accordance with the National Health and</td>
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Medical Council (NHMRC) ‘National Statement on Ethical Conduct in Research Involving Humans’

### Participants
Any persons whose opinions, perceptions or actions are the subject of a research project. These can be staff and/or clients of the department, or of organisations contracted or funded by the Department of Communities to provide services. Participants include, but are not limited to, children and young people under the direct care and/or custody of the department and families, individuals and their carers (including older people, Aboriginal and/or Torres Strait Islander people, people with disabilities and people from culturally and linguistically diverse backgrounds) receiving services by or on behalf of the department. Participants may also be relatives of the client, professional carers or members of the public to take part in the project.

Quality research leads directly to more effective and responsive service provision and significant benefits to the community. All clients of the department should give serious consideration to invitations to become involved in the undertaking of research studies. Potential participants should not hesitate to ask for clarification if they do not understand any information or explanations given.

### Funder
(Including the Department of Communities)

Organisations providing funding for the project through contracts, grants or donations.

Organisations that fund research, have a responsibility for ensuring that the work is a proper use of the funds they control and provides value for money. Organisations wishing to fund research which requires the collaboration of the Department of Communities must either be willing and able to discharge the responsibilities of research sponsor or collaborate with another organisation which is prepared and able to do so. Potential collaborators include the universities, research centres, NGO’s, industry, other State and Commonwealth agencies and international firms and agencies.
<table>
<thead>
<tr>
<th>Department of Communities</th>
<th>Bears overall responsibility for the management of the project in accordance with the Research Management Framework</th>
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<tr>
<td>Department of Communities Internal service area sponsor</td>
<td>Liaise between Chief Investigator and relevant directors within the Department of Communities</td>
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<td>Assist the Chief Investigator in developing a Research Project plan</td>
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<td>On behalf of the Directors, the Project Manager will:</td>
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<td>Negotiate a research contract¹ with the research sponsor setting out the department's contribution, role and responsibilities and liabilities in the research project</td>
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<td></td>
<td>Ensure arrangements are in place for the research team to access the departmental resources and support agreed to in the Research Contract</td>
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<td>Provide advice to Researchers</td>
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<td></td>
<td>Manage the department's participation in the research project in accordance with the processes agreed in the research contract and the Department of Communities Research Management Framework</td>
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<td></td>
<td>Ensure compliance with legislative and policy requirements for participant contact, consent and confidentiality of information</td>
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<td></td>
<td>Collaborate with the Chief Investigator and research sponsor in management, monitoring and reporting of the research project</td>
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<td></td>
<td>Ensure the project is included on the Research Register</td>
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<td></td>
<td>Identify opportunities for dissemination of information</td>
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<tr>
<td>Minister</td>
<td>Approval of all research grant monies sourced from the Ministers Research Fund.</td>
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<tr>
<td>The Minister for for Community Services and Housing and Minister for Women</td>
<td>Evidence and Modelling Unit</td>
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<tr>
<td>The Evidence and Modelling Unit of the Strategy Policy and Performance Service Area, Department of Communities</td>
<td>Authors of the Research Management Framework.</td>
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<td></td>
<td>Provide advice to business units, directors, executives, service area RER units, the Minister on all aspects of research management</td>
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<td></td>
<td>Strategic management of the department’s R&amp;D</td>
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¹ The contract must be consistent with the Department of Communities Research Contracts Guideline and incorporate the requirements of the Administration of Research Projects Guideline, Research Insurance and Indemnity Guideline and Research Intellectual Property Guideline.
strategy and research policy
Providing advice to the Strategy and Delivery Committee.
Provide information to Researchers as necessary
Overall responsibility for the Research Register
Identify opportunities for dissemination of information

| Strategic Procurement and/or Legal Services Unit – the Strategic Procurement and/or Legal Services Unit of the Department of Communities | Responsible for providing advice on all legal issues related to research projects
| | Responsible for approval of all research contracts |
| Director General – the Chief Executive Officer of the Department of Communities | Approval of all in-kind support
| | Signing of all Research Contracts
| | Approval of all releases of confidential information for research purposes (Section 297 of the *Youth Justice Act 1992 - Disclosure by chief executive of information for research purposes*) |
| Associate Director-General – Department of Communities | Approves the undertaking of research activities where funding for the research activity is available from within the service areas
| | Endorses proposals to use research funds requiring Ministerial approval for the expenditure of funds. |
| Strategy and Delivery Committee | oversees the Department’s strategic research, evaluation and review agenda, and monitors the implementation and effectiveness of strategic research, evaluations and reviews, with a view to sharing findings and strengthening the evidence used to inform strategy, policy and practice; endorses crosscutting research activity; endorses the addition or deletion of evaluations on the Department of Communities Evaluation Forward Plan; and notes the entries on the Department of Communities Review Register |
| Deputy Director General and Assistant Director Generals – senior executives of the Department of Communities | Provide endorsement for all research projects involving business units in their directorates |
| Directors - for the purposes of this framework, the term ‘Director’ includes Directors, Executive Directors and Regional Directors | Approve sponsoring service area participation in research
| | Oversee the management of research projects sponsored by their respective business units and/or service area RER unit
| | Ensure research projects comply with the goals and strategic values of their respective business units
| | Ensure resources are available to support the |
Responsibilities of Chief Investigator

The Researcher with primary responsibility for dealing with the Department of Communities on any research project undertaken within or in collaboration with the Department of Communities, or using the department’s clients or their records or data, or involving the department’s staff, facilities or equipment will be designated as the Chief Investigator. This person will take responsibility for the conduct of the research and is accountable to their employer and the Department of Communities and, through them, to the sponsor of the research and to other service providers(s).

It is the Chief Investigator's responsibility to ensure:

- the dignity, rights, safety and well-being of participants are given priority at all times by the research team;
- the research is carried out in accordance with the Department of Communities Research Management Framework;
- research is registered with the appropriate authorities;
- the relevant Directors, the Chief Executive of any other organisation(s) involved and/or any other individual(s) with responsibilities within this guideline are informed that the project is planned, and that their approval is given before the research commences;
- when a project involves participants under the care of a case manager, doctor, nurse or social worker and the project may have an impact on that care, those care professionals are informed that their clients or users are being invited to participate and agree to retain overall responsibility for their care;
- the project complies with all legal and ethical requirements;
- each member of the research team is qualified by education, training and experience to discharge his/her role in the project;
- students and new Researchers have adequate supervision, support and training;
- the research follows the protocol approved by the relevant ethics committee and the research sponsor;
- any proposed changes or amendments to, or deviations from, the protocol are submitted for review by the Human Research Ethics Committee and approval by the Department of Communities (through the Project Manager to the service area RER unit and the relevant business units), the research sponsor and any other required body;
- procedures are in place to ensure collection of high quality, accurate data and the integrity and confidentiality of data during processing and storage;
- arrangements are made for the appropriate archiving or destruction of data when the research has finished;
- research progress updates are provided to the service area RER units for inclusion in the Research Register;
- reports on the progress and outcomes of the work required by the sponsor, funders, or others with a legitimate interest are produced on time and to an acceptable standard;
the findings from the work are opened to critical review through the accepted scientific and professional channels;
- once established, findings from the work are disseminated promptly and fed back as appropriate to participants;
- arrangements are in place for the management of financial and other resources provided for the project, including for the management of any Intellectual Property arising;
- all data and documentation associated with the project are available for audit at the request of the department and other appropriate auditing authority; and
- compliance with the relevant State and Federal legislation including the Youth Justice Act 1992, the Child Protection Act 1999, the National Health and Medical Research Act 1992, the Commonwealth Privacy Act and the Queensland Information Standard No 42.

Responsibilities of Universities and Non-Government Organisations
Universities collaborating with the Department of Communities in research have responsibility for developing and promoting a quality research culture in their organisation and for ensuring that their staff are supported in, and held to account for, the professional conduct of research.

Universities and other organisations collaborating in a research project with the department that employ the Chief Investigator and/or other Researchers have responsibility for ensuring that those Researchers understand and discharge the responsibilities set out for them in this guideline. They should also be prepared to take on responsibility for ensuring that a project is properly managed and for monitoring its progress. The nature of the responsibilities taken on by the employing organisation should be agreed with the department and, where required, the sponsor and/or service provider.

Universities collaborating in research will be expected to comply with the ‘Joint NHMRC/AVCC Statement and Guidelines on Research Practice’.

Universities and Non-Government Organisations collaborating in a research project with the department of Communities should ensure that agreements about ownership, utilisation and income from any Intellectual Property that may arise from research conducted by their employees are in place.

Universities and Non-Government Organisations collaborating with the Department of Communities in research are responsible for:
- complying with all current employment and health and safety legislation;
- demonstrating the existence of clear codes of research practice for their staff and mechanisms to monitor and assess compliance;
- ensuring that the Chief Investigator and/or other research staff are aware of, understand and comply with this guideline;
- discharging their agreed role in the management and monitoring of work undertaken by their organisation;
- demonstrating systems for continuous professional development of staff at all levels;
- having agreements and systems in place to identify and protect Intellectual Property arising from the research and notify other collaborating organisations;
- ensuring that they are able to indemnify and/or compensate other collaborating organisations and anyone harmed as a result of negligence on the part of their staff and, if they have agreed to do so, for non-negligent harm arising from the research;
having in place systems to detect and address fraud, and other scientific or professional misconduct by their staff;

having in place systems to process address and learn lessons from any complaints against their employees; and

permitting and assisting in any investigation arising from complaints received in respect of actions taken by their employees.
RESEARCH INDEMNITY & INSURANCE GUIDELINE

To ensure entitlements under the Queensland Government Insurance Fund are not jeopardised, it is essential that the following Guideline be followed. This guideline specifies minimum requirements related to maintaining insurance coverage for the Department of Communities when undertaking research and indemnity and insurance cover required from external organisations seeking to undertake research projects in collaboration with the Department of Communities.

**Liability Assumed by Agreement**

It is important to ensure that Directors, Project Managers, Human Research Ethics Committee (HREC) and Chief Investigator do not do, or omit to do, anything that might disentitle any, or all, of them to such indemnity as could otherwise be available under the Public Liability Policy.

To ensure coverage under the Queensland Government Insurance Fund, the department must take reasonable steps to ensure that all research contracts entered into:

- provide for the other party/ies to indemnify the department for loss or damage suffered by the agency by reason of the breach or negligence of the other party/ies or its/their contractors, sub-contractors or agents; and
- ensure that insurance is taken out by the other parties covering:
  - their liability to indemnify the agency; and
  - such other risks as are normally covered in respect of the contract.

The department must use all reasonable endeavours to protect its right of recovery at law against any person (including another agency) under or in respect of any contract.

**Insurance and Indemnity for Fee-for-Service Research and Research for Non-Profit or Collaborating Organisations**

When the department agrees to provide research for, or in collaboration with, a commercial, non-profit or collaborating organisation, they must ensure that there is written agreement clarifying the responsibilities of each party prior to commencement of the research.

These agreements must enable the research to be conducted in a manner compliant with the entire Department of Communities Research Management Framework and relevant regulatory and ethical legislation and guidelines outlined therein.

Key principles to be included in these agreements are provided in the Research Contracts Guideline.

**Indemnity for Fee-for-Service Research**

The department should take care not to assume liabilities that would otherwise be attached to commercial organisations e.g. Contract Research Organisations (CROs). Commercial sponsors of research must provide the department with indemnity no less favourable than the example provided in Appendix 13.

For legal and practical reasons, commercial sponsorship and indemnity must be provided by an Australian corporate entity. Exceptions may apply, but only after consultation with the Department of Communities Strategic Procurement and/or Legal Services Unit. The service area RER unit and the appropriate Director/s must receive written evidence confirming this indemnity, for example, a Certificate of Insurance, before final approval for the research proposal can be given.

Indemnity provided for more than one party must clearly reference each of the entities individually to provide separate protection to each.
**Human Research Ethics Committee (HREC)**
The following minimum requirements are to be observed in relation to HRECs approving research involving the Department of Communities:

- The HREC shall be constituted in accordance with the NHMRC ‘National Statement on Ethical Conduct in Research Involving Humans’ (hereafter referred to as the ‘National Statement’), as amended from time to time and Department of Communities Ethical and Legal Issues in Research Guideline.
- The HREC must be satisfied with the procedures proposed to be followed for contacting clients of the department and obtaining their consent to participate. Reference is made to the pro-forma Participant Information and Consent/Assent forms (See Ethical and Legal Issues in Research Guideline) which Researchers may use. However, the HREC may accept any form that meets the requirements of the National Statement and that is deemed to be fit for use. The requirement that these documents are easily understood by their participant readership is of utmost importance.
- HRECs have the responsibility of ensuring that the conduct of all research supported by the HREC is monitored in accordance with the provisions set out in the NHMRC ‘National Statement on Ethical Conduct in Research Involving Humans’.

**Health and Medical Research**
Health and Medical research involves extremely rigorous scientific and ethical evaluation and a high level of specialist expertise to ensure full compliance with the relevant legal and ethical standards. Accordingly, Queensland Health should be the lead agency for all health and medical research.

In the event that a Researcher approaches the Department of Communities to participate in Health or Medical Research or any research which has or may have a component of such, the proposal should be referred to the relevant service area RER unit and, where appropriate, the Evidence and Modelling Unit, for consideration and, where appropriate, referral to Queensland Health.

As a guide, any research which has a component of the following will be classed as health or medical research and should be referred to the relevant service area RER unit:

- diagnoses or inferences about a person’s health or medical status;
- the analysis of medical information including mental health information;
- any physically invasive procedures or medical treatments;
- the use of drugs or medicines;
- the use of medical technologies;
- physiological or nutritional intervention; and
- surgery.

The Department of Communities will maintain a role in the management of any research which involves departmental clients, resources or facilities and the Department of Communities Research Management Framework must be applied notwithstanding the involvement of Queensland Health.
RESEARCH CONTRACTS GUIDELINE

A complex array of organisations and individuals may be involved in a research project. It is essential that clear agreements describing allocation of responsibilities and rights are reached, documented and enacted. Negotiation of these agreements is a useful way in which stakeholders can develop a better understanding of the proposed research and their respective roles and responsibilities.

This guideline applies to research contracts entered into by Department of Communities for research carried out by departmental staff, or on departmental premises, or using departmental resources, services, facilities or equipment or involving departmental clients. Its purpose is to set out the minimum terms and conditions for a research contract between Department of Communities and another organisation. These guidelines apply to collaborative research contracts such as Australian Research Council Linkage projects where the contract includes other industry partners. Contracts of this type are overseen by the relevant service area RER unit and the Legal Services unit.

These guidelines also apply to commissioned research contracts overseen by the service area RER units, Strategic Procurement and/or the Legal Services unit under the terms and conditions generated by the Queensland Government Chief Procurement Office review in 2006. A number of government agency representatives, Crown Law and the Department of Public Works Strategic Procurement and/or Legal Services Unit have been involved with the drafting of these new terms and conditions to ensure that both commercial and legal aspects are addressed. These terms and conditions apply where the Department of Communities directly commissions research and are located online at the Queensland Government Marketplace at [http://www.qgm.qld.gov.au/05_supply/stand_cond.htm](http://www.qgm.qld.gov.au/05_supply/stand_cond.htm)

The authority to execute contracts for all research is vested in the Director-General. There are no delegations of this authority and individual members of the staff of Department of Communities are not authorised to contract for research on behalf of the Department of Communities.

General Guideline

Department of Communities will consider contracting research that is consistent with the Department of Communities’ strategic objectives. The expertise, facilities, and services required to deliver on the contract can be negotiated on mutually acceptable terms and conditions.

The contract must conform to the standards set by this guideline, Department of Communities Research Management Framework and all applicable departmental policies, procedures, and regulations.

The contract must be of overall benefit to the Department of Communities, providing the department with one or more of the following:

- new or improved services;
- resources, equipment, or facilities not otherwise available from departmental funds;
- knowledge, professional benefits or educational opportunities to staff;
- significant contributions to the evidence base of the department, and/or
- a share of Intellectual Property or revenues from the commercial use of the results.
The contract must be self-sufficient and not require Department of Communities to provide personnel, materials, supplies, services, or other support for which the Department of Communities is not compensated monetarily or, after necessary departmental agreement and approvals, in terms of other benefits received.

The Department of Communities must be a party to the contract and will decide the acceptability of each contract on its individual merit.

**Negotiation Guideline**

**Leading Negotiations**
The Project Manager will lead the contract negotiations on behalf of the Department of Communities. The Project Manager will recommend the contract to the relevant Directors who will review and advance the contract for signature by the Director-General, in accordance with the current contract signing delegations.

**Ethics**
There must be sufficient resources and opportunity provided for ethics review in accordance with the NHMRC ‘National Statement on Ethical Conduct in Research Involving Humans’ and Department of Communities Ethical and Legal Issues in Research Guideline. The sponsor or Contract Research Organisation and the Project Manager on behalf of the department will negotiate on the monitoring, reporting and publication of research results and other research information subject to the principles and requirements of the Department of Communities Ethical and Legal Issues in Research Guideline and Department of Communities Research Intellectual Property Guideline.

**Research Project Plan and Research Protocol**
The Research Project Plan and Protocol set out the timeframe, aims, methodology, resources required and sources of funding for the project. The Plan and Protocol must be sufficiently detailed so as to permit an informed assessment of the safety of clients and the demands the research will place on the Department of Communities in general, as well as more specifically on staff, equipment, facilities, information security and privacy.

**Contract Price**
The first principle to be applied is that the contract price negotiated for commissioned research covers all direct and indirect costs related to completing the contract as specified. For participation in research projects, the total cash and non-cash contribution (i.e. staff time, equipment use, access to records, access to clients, use of facilities, etc) by Department of Communities must be estimated and itemised in the contract.

**Ownership of Intellectual Property**
The ownership of all Intellectual Property and research results is to be negotiated in accordance with Queensland Public Sector Intellectual Property Guidelines.

**Research Reports**
The contract is to specify the frequency of, or the dates on which, progress and final reports are required. The Chief Investigator is responsible for the preparation, content, style, number, delivery, and timeliness of all reports. The Chief Investigator should retain one or more copies and one copy, the official departmental copy, is to be deposited with the relevant service area RER unit.
**Financial Reports**

The contract is to specify the frequency of, or the dates on which, financial reports (statements of revenue and expenditure) are required. The Department of Communities Financial Operations and Systems Branch may set standards for the preparation, content, accuracy, and timeliness of the financial reports.

**Personnel**

Personnel are to be employed in accordance with Queensland law and Queensland Government employment policies. There must be no commitment to continue employment beyond the term of the research contract.

**Equipment**

Purchase of equipment must be negotiated with the Director of the relevant sponsoring service area and must be included in the contract price summarised on the Research Register.

**Budget**

If expenditures are to conform to a budget, the Chief Investigator must be prepared to assume responsibility for ensuring that line items are adhered to and for obtaining, in advance and in writing, the necessary approvals for budget changes.

**Legal Review**

During negotiation and before final acceptance the draft contract must be reviewed by the Legal Services Unit.

**Implementation Guideline**

**Section 297 Youth Justice Act 1992**

All those involved in research should note that some universities include a clause in their standard research contracts that grants them a licence to use the Background Intellectual Property (i.e. the data supplied by the Department under s297 of the Youth Justice Act 1992) for purposes such as further research or teaching. This would breach the conditions of s297 as these unspecified future activities have not been approved by the Chief Executive as ‘genuine’. In cases where juvenile justice data is used, it will be necessary to renegotiate the conditions of the contract with the university.
RESEARCH INTELLECTUAL PROPERTY GUIDELINE

Intellectual Property (IP) in the form of the knowledge and findings that research generates is an extremely important resource for the department. It is therefore essential that Intellectual Property assets are identified and protected and that all staff involved in the management of research are aware of the issues surrounding the administration of IP.

Identification of Intellectual Property

The Commonwealth Government defines Intellectual Property as the property of a person's mind or intellect. It can be the invention, trade mark, original design or the practical application of a good idea. Confidential information (also referred to as trade secrets), patents, registered designs, trademarks, copyright, circuit layout rights and plant breeder's rights are all legally classified as IP rights.

In terms of research in the department, IP can be databases, published editions, journal articles and computer programs. IP may be generated by the department in a number of ways for example as a result of an in-house research program or as a result of funding external research programs.

General Guidelines on the Management of IP

Although private owners focus on the commercial potential of IP, the government has a wider obligation than simply deriving economic gain from Intellectual Property. Dissemination and promotion of the application of knowledge gained through research can help to improve service delivery and outcomes for clients of the Department of Communities. The general process for managing IP is set out below.
Departmental Data Provided for Research

Data owned by the department is a form of Intellectual Property and must be managed with the same degree of care as any other asset of the department. It is a valuable commodity because without it most research results and original Intellectual Property simply cannot be generated. As such, the department’s ownership of the data must be clearly established and rights with regard to the data and any Intellectual Property that flows from it should be negotiated before the research commences and the data is supplied.

As a minimum, any release of data should be undertaken with a licence agreement. This agreement should specify that the department does not transfer any rights of ownership of the data and grants a licence to use the data for the specified period of the approved research project. The release of juvenile justice data is limited by s297 of the Youth Justice Act 1992 and more information can be found in the Ethical and Legal Issues in Research Guideline.

The department should also consider what it receives in exchange for the provision of this valuable data. The department may deem the research itself to be of sufficient value because it helps to inform policy or practice, provide new or improved services, resources, equipment, knowledge, professional benefits or educational opportunities to staff. However, the department may also want to negotiate a share of Intellectual Property or revenues from the commercial use of the results in exchange for its financial or in-kind support of the project.

Intellectual Property Generated by Research

The department’s management of IP must comply with the Queensland Public Sector Intellectual Property Guidelines. All departmental staff involved in the management of research, in particular all persons who are nominated as research Project Managers, should read and become familiar with these guidelines.

The Queensland Public Sector Intellectual Property Guidelines recognises that the Queensland Government creates IP:
- as a result of an in-house Research and Development program (e.g. creating new or improved methods for data collection and analysis, innovations in service delivery methods);
- as a result of funding external research programs (where the ownership of IP created is dictated by the terms of the funding agreement);
- incidentally as part of a contract with a private sector organisation for the provision of goods or services (e.g. most IP in Information and Communication Technologies [ICT] is created in this manner), or
- serendipitously as the result of the everyday activities of government.

For the purposes of the IP Guidelines, IP does not include:
- outputs of a purely administrative nature such as letters, briefings, memorandums and forms, and
- intellectual capital (i.e. knowledge or expertise) not embodied in a tangible output such as a practice manual or guidelines.

Conditions with regard to the ownership and rights related to Intellectual Property must be negotiated in accordance with the Queensland Public Sector Intellectual Property Principles and Guidelines. The Department of State Development and Innovation’s ‘Innovation and Science Strategy’ can provide advice and assistance on policy relating to the management and commercialisation of IP. Copies of the Queensland Public Sector Intellectual Property Principles and Intellectual Property Guidelines are available for download from the Department of State Development and Innovation.

**Contracts and IP**

It is important that any research contracts entered into do not compromise the department in relation to the potential ownership rights of any IP generated. This is particularly relevant where standard contracts from other organisations are used as these are likely to contain terms beneficial to the organisation. The department may negotiate more favourable conditions and does not have to accept the standard terms of any agreement.

Any contracts drafted by external organisations must comply with the Research Contract Guidelines of this framework.
ETHICAL AND LEGAL ISSUES IN RESEARCH GUIDELINE

All research involving the department must be conducted in accordance with the National Statement on Ethical Conduct in Research Involving Humans (hereafter referred to as the ‘National Statement’).

The National Statement was produced by the Australian Health Ethics Advisory Committee (AHEC) which was established as a principal committee of the National Health and Medical Research Council (NHMRC) by the National Health and Medical Research Council Act 1992. The NHMRC and National Statement have legal authority under this Act.

Although the NHMRC and AHEC are primarily concerned with health and medical research, the National Statement applies to all research involving humans. The Academy of Social Sciences in Australia is a signatory through the National Academies Forum (www.naf.org.au).

Principles of Ethical Conduct

The ethical and legal responsibilities which Researchers have towards participants in research reflect basic ethical values of:

- **Integrity**: A commitment to the search for knowledge, recognition of the principles of research conduct, honest and ethical conduct of research and dissemination and communication of results;
- **Respect for persons**: Regard for the welfare, rights, beliefs, perceptions, customs and cultural heritage both individual and collective, of persons involved in research. Key to this principal is the recognition of the autonomy of individuals;
- **Beneficence/non-maleficence**: Researchers have a responsibility to minimise risk of harm or discomfort to participants in research projects and to ensure that respect for the dignity and wellbeing of the participants takes precedence over the expected benefits to knowledge; and
- **Justice**: At the population level there must be a fair distribution of the benefits and burdens of research participation. That is, no scientifically eligible population group should be systematically excluded and none should be over-researched. For individual participants there must be a balance between the burdens and benefits of research participation.

Human Research Ethics Committees (HRECs)

All research involving people (e.g. staff or clients of the Department of Communities) or information or opinions about identified people must have appropriate Human Research Ethics clearance from an appropriately constituted Human Research Ethics Committee (HREC). In accordance with the Research Indemnity and Insurance Guidelines of this framework, the department does not have its own Human Research Ethics Committee but will accept HREC approval when the following conditions have been met:

- The HREC is constituted in accordance with the NHMRC ‘National Statement on Ethical Conduct in Research Involving Humans’.
- The HREC is satisfied with the procedures proposed for contacting clients of the department and obtaining their consent to participate including any
Participant Information Sheets and Consent Forms and methods for protecting confidentiality.

- The HREC accepts the responsibility of ensuring that the conduct of all research supported by the HREC is monitored in accordance with the provisions set out in the NHMRC ‘National Statement on Ethical Conduct in Research Involving Humans’.

Proof of ethics approval is required before the Department of Communities will commence participation in a research project. The department requires that the Researcher provide the full research protocol submitted to the HREC as well as the letter or certificate of clearance. This will help with the ongoing monitoring of the project and will allow the Project Manager to identify any deviations from the agreed methodology.

Any variation to, or deviation from the original protocol must be notified through the relevant service area RER unit and the Project Manager as soon as possible. The department may require that the variation or deviation be resubmitted to the HREC for reassessment. In these circumstances continuation of the research project will be subject to approval by the Department of Communities relevant service area RER unit and will take into account the outcome of the HREC reassessment.

The relevant service area RER unit will consider these ethical issues in their decision on whether to recommend the project to the Associate Director-General. The evaluation will assess only adherence to the relevant legal and departmental policy requirements. The appropriately constituted HREC nominated by the Researcher will have primary responsibility for the comprehensive ethical evaluation of the project. Therefore, all projects must be submitted to an appropriately constituted HREC.

**Privacy and Confidentiality**

All research must comply with the relevant legislation to ensure that participants’ privacy and the confidentiality of client records and other confidential data is maintained. All staff should be familiar with the Department of Communities Privacy Plan and the following core standards.

**Information Privacy Act 2009 (Qld)**

To address community concerns about unauthorised use of personal information, the Queensland Government introduced a privacy legislation for implementation in the public sector. It creates strict rules about how personal information is collected, stored, used and disclosed by the public sector.

Personal information is defined as any information that would allow an individual to be identified, for example, their name, age or physical characteristics. Consideration must also be given to information that may be able to identify a person by inference. The Information Standards are based on the provisions of the *Information Privacy Act 2009 (Qld).* The IP Act provides individuals with control over their personal information by requiring agencies to follow the privacy principles when they collect, store, use and disclose your personal information. Any personal information collected must be:

- directly related to or necessary for a lawful purpose or function of the agency
- relevant, up-to-date and complete
- collected fairly and lawfully

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2 The *Information Privacy Act 2009 (Qld)* provides individuals with a legally enforceable right to apply to access their personal information and to apply to have it amended. The Act imposes obligations on agencies, including local government and Ministers, in relation to access to, and amendment of, an applicant’s personal information.
• stored safely and securely.

Generally, personal information can only be used for the reason it was collected or for a directly related purpose, and will not be disclosed, unless individuals concerned give their permission.

There are some exceptions to this, for example, an agency can use your information for another purpose or disclose your information if the use or disclosure is:
• permitted or required by a law
• essential for law enforcement
• likely to prevent or lessen a threat to the life, health or safety of an individual or to public health or safety.

The *Information Privacy Act 2009* is relevant to the conduct of research in relation to the collection, disclosure and use of identifiable data. Researchers and those responsible for disclosing information to Researchers must be aware of their responsibilities under the *Information Privacy Act 2009*. Human Research Ethics Committees are also required to assess the extent to which all research proposals involving the use of identifiable client information adhere to the *Information Privacy Act 2009*.

**Information Privacy Principal 10** under Schedule 3 of the *Information Privacy Act 2009* deals with limits on the use of personal information. It states that:
(1) An agency having control of a document containing personal information that was obtained for a particular purpose must not use the information for another purpose unless—
(a) the individual the subject of the personal information has expressly or impliedly agreed to the use of the information for the other purpose; or
(b) the agency is satisfied on reasonable grounds that use of the information for the other purpose is necessary to lessen or prevent a serious threat to the life, health, safety or welfare of an individual, or to public health, safety or welfare; or
(c) use of the information for the other purpose is authorised or required under a law; or
(d) the agency is satisfied on reasonable grounds that use of the information for the other purpose is necessary for 1 or more of the following by or for a law enforcement agency—
(i) the prevention, detection, investigation, prosecution or punishment of criminal offences or breaches of laws imposing penalties or sanctions;
(ii) the enforcement of laws relating to the confiscation of the proceeds of crime;
(iii) the protection of the public revenue;
(iv) the prevention, detection, investigation or remedying of seriously improper conduct;
(v) the preparation for, or conduct of, proceedings before any court or tribunal, or implementation of the orders of a court or tribunal; or
(e) the other purpose is directly related to the purpose for which the information was obtained; or
(f) all of the following apply—
(i) the use is necessary for research, or the compilation or analysis of statistics, in the public interest;
(ii) the use does not involve the publication of all or any of the personal information in a form that identifies any particular individual the subject of the personal information;
(iii) it is not practicable to obtain the express or implied agreement of each individual the subject of the personal information before the use.
(2) If the agency uses the personal information under subsection (1)(d), the agency must include with the document a note of the use.
As research is not the primary purpose for collection of information held by the department, the implications of the provisions of the Information Privacy Act 2009 must be considered.

Persons seeking access to their personal information held by a Queensland government agency do so via the provisions of the Right to Information Act 2009.

**Security of Data**

Departmental employees and Researchers have an obligation to ensure that all data is stored securely. Electronic copies should be stored on a password locked computer where only authorised people can access the data. Hard copies should be stored in a locked filing cabinet in a locked office.

Where data is being transferred electronically (e.g. e-mail or CD-Rom) to an authorised person, the file must be password locked.

In order to effectively control the use of data sets, copies of data sets should only be made by departmental employees where strictly necessary, and Researchers should obtain permission from the relevant service area RER unit to copy data sets.

These requirements are outlined in the Confidentiality and Data Management Agreements for Researchers. Departmental staff should also implement these precautions to ensure compliance with the Information Privacy Act 2009.

**Statutory Provisions for Release of Data for Research Purposes**

Some of the legislation that departmental employees administer authorises or requires staff to collect personal information and includes confidentiality and disclosure provisions that remain in force despite the information privacy principles. This list identifies the legislation that departmental staff administer and that contains provisions that remain in force despite the information privacy principles.

- Child Care Act 2000
- Child Care Regulations 2003
- Children’s Court Act 1992 [ss 20 (1) (f), 20 (2) (a) (iii)]
- Disaster Management Act 2003
- Disaster Management Regulation 2003
- Domestic and Family Violence Protection Act 1989
- Domestic and Family Violence Regulation 2003
- Family Services Act 1987
- Youth Justice Act 1992
- Juvenile Justice Regulation 2003
- Young Offenders (Interstate Transfer) Act 1987

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3 From 1 July 2009, the Right to Information Act 2009 replaced the Freedom of Information Act 1992 and is part of a broader ‘push’ model of greater proactive and routine release of information. The RTI Act provides a right of access to government information unless, on balance, it is contrary to the public interest to release the information.
The implication of some of this legislation on research management is explored in more detail below.

**Youth Justice Act 1992**
Juvenile justice research must be approved on a project by project basis. Approval for disclosure under s297 and s290 can require consideration of complex legal and ethical issues and liaison with other departments and agencies. For this reason, all research proposals requiring access to youth justice clients, staff, records or other information should be referred to the relevant service area RER unit who will coordinate development of the necessary documentation and approvals.

**Section 297 Youth Justice Act 1992**
Section 297 permits the release of information collected as part of the administration of the **Youth Justice Act 1992** to be released to persons conducting research. The Act stipulates that the Chief Executive must be satisfied that the research is 'genuine' and that a confidentiality agreement must be signed by the Researcher. As a general rule, the department regards genuine research as that which makes an original, significant and extensive contribution to knowledge and understanding in the relevant field of research.

There are currently no delegations under s297 so the Chief Executive (Director-General) must approve all releases under this section.

**Section 290 Youth Justice Act 1992**
Section 290 of the **Youth Justice Act 1992** allows for the release of information to third parties where the person to whom the information relates has provided consent. Obtaining a research participant’s consent ensures both the legal and ethical obligations are fulfilled and as such this is an efficient way to facilitate the release of data to Researchers.

Where Researchers are undertaking face to face interviews or other client contact it is easy to include clauses which fulfil these requirements. Where there is no direct contact the Researcher may still write to the participant including a similar participant information and consent form and provide it to the participant in a way that is accepted by the HREC and the relevant business unit.

Section 290 (2) of the Act states that:
The person may disclose the information to someone else if the child consents to the disclosure after being told—
(a) what information is to be disclosed; and
(b) to whom it is to be disclosed; and

(c) the reason for the disclosure.

**Costs Associated with Retrieval and Provision of Data for Research**
The department should negotiate which party will be responsible for any costs involved in the retrieval of data and associated processes (e.g. removing identifying data). If a sponsoring service area agrees to undertake retrieval and de-identification of data as part of its support for the research project, this must be recorded as an in-kind contribution in accordance with the Research Administration Guidelines of this Framework. However, it is also acceptable to ask that the Researcher cover the costs of data extraction and de-identification (i.e. fee-for-service user charge). These issues should be discussed well in advance to allow for amendments to the protocol and budgets.

**Confidentiality and Data Management Agreements**
Basic Confidentiality Agreements are included in the Appendices on page 61. Please note that these documents must be adapted to suit the particular circumstances of each project. Separate documents are required for the Chief Investigator and all other persons (e.g. research assistants) requiring access to the data.

Some Researchers may want to reuse data supplied for an approved project in other research which has not been approved by the department. The Confidentiality and Data Management Agreement specifies the project for which the data has been released and that the data should not be used for any other research without the express permission of the department.

**Child Protection Act 1999**

Only the Chief Executive (Director-General) of the Department of Communities is authorised to release data for research purposes under the Child Protection Act 1999.

Please note that these constraints apply to any information that may be held on records created by the Department of Families where information gathered under the Youth Justice Act 1992 and the Child Protection Act 1999 is held in the same place. Chief Executive approvals under the two relevant acts must be sought from the Director-General of the Department of Communities.

**Child Care Act 2002**

Section 167 of the Child Care Act 2002 places a duty of confidentiality upon any authorised agent of the department who has access to personal information gained during the administration of the act. There is no specific provision for the release of information for research purposes in the Act, meaning that the department cannot lawfully release identified client data gathered under this act for research purposes.

However, sub-section (4) (a) states that statistical or other information that could not reasonably be expected to result in the identification of the person to whom it relates can be released. Therefore fully de-identified data may be released for research.

Finally, if the person to whom the information relates is an adult or a corporation and they provide consent, the records can be released. If the person to whom the information relates is a child the information may only be released with the consent of a parent or guardian of the child.

**Other Issues Regarding Research Related to the Department's Portfolio Responsibilities**

**Forde Foundation – Historical Abuse**

Data held about victims of historical abuse and registered with the Forde Foundation may not be released without the consent of the person to whom the information relates.

A protocol for approaching those people registered with the Forde Foundation to obtain their consent must be negotiated with the Forde Foundation Contact Officer. It must also receive HREC and relevant service area RER unit approval to ensure that the privacy of the potential participants is not compromised.

The release of de-identified data may also be negotiated with the Forde Foundation. HREC and relevant service area RER unit approval must be sought.

**Non-Government Service Providers**
Problems may arise where Researchers approach Department of Communities funded non-government service providers for the release of data concerning clients of services funded wholly or partly by the department.

Requirements related to external service provider’s privacy and confidentiality obligations have, until fairly recently, not been a part of the standard contract. However, as service agreements with service providers are renewed, confidentiality clauses are being included in all contracts for services so that the risk of unauthorised or unethical data release is lessened. Where there is any doubt about the appropriate course of action advice should be sought from the relevant service area RER unit or Evidence and Modelling Unit.

Requests for release of policy documents
Policy documents classed as ‘public’ may be provided to Researchers. ‘Confidential’ policy documents should not be released without the approval of the Director-General. All such requests should be referred to the Evidence and Modelling Unit for advice and liaison with the relevant business units.

Consent
Paragraph 1.7 of The National Statement on Ethical Conduct on Research Involving Humans states that, ‘Before research is undertaken, the consent of the participants must be obtained’ except in exceptional circumstances. Therefore, it is essential that the appropriate information and consent procedures are followed in any research involving the Department of Communities.

A participant information sheet must be provided to all potential participants when they are approached so that they understand exactly what the research will involve. Participant information sheets should include information such as:

- **Commitment:** what participants should be asked to do, how often etc;
- **Motivation:** what is in it for them e.g. will they receive feedback, a copy of the research, expenses etc);
- **Confidentiality and Privacy:** eg will their names be used, where will the report be published etc; and
- **Participation is voluntary:** a statement to the effect that potential participants do not have to participate and they can withdraw at any time. If they do refuse to participate or withdraw it will not affect their treatment or relationship with staff in any way.

It is important that the participant information sheet is clear and uses simple language – i.e. it contains no jargon and can be easily understood by someone with a low level of literacy. Researchers will usually need to develop a suite of information sheets for different participants in their research (e.g. one for a young person in detention, one for his or her caseworker and one for the parent or guardian).

Consent must be clearly established by signed form, return of survey, recorded agreement for interview or other sufficient means (Please see Appendix 10 for an example of a consent form). Consent must also be entirely voluntary. There must be no coercion, inducement or influence and participants should be given time to read the information sheet and consider whether or not they want to participate. All participants must understand that they are free to withdraw at any point.

The department recommends the use of the National Ethics Application Form (www.neaf.gov.au) although many universities have their own template forms. These
are generally acceptable provided the Information and Consent/Assent forms are approved by an appropriately constituted Human Research Ethics Committee.

**Method of Approaching Potential Participants**

In order to protect the privacy of potential research participants, the method of recruitment and approach must be approved by an HREC and the relevant service area RER unit.

**Counselling**

As some research may be upsetting for participants, for example remembering or imagining potentially upsetting scenarios, counselling should be provided. Where counselling is considered necessary by the relevant service area RER unit and the Evidence and Modelling Unit, the Researcher must make arrangements for any participants who require access to counselling and these arrangements must be approved by the relevant Directors.

**Research Involving Potentially Vulnerable People**

The research experience may be a disturbing one, particularly for those who are vulnerable by virtue of factors such as age, social status, or powerlessness and the department must ensure that researchers minimise such disturbances.

**Research Involving People in an unequal relationship**

Any unequal power relationship such as students and teachers, people with disabilities and their carers and people in detention and the detaining authority may place pressure on the potential participant and impair his or her ability to freely give consent to participate. In such cases the Researcher must give an assurance that refusal to participate in, or a decision to withdraw from the research will not result in any discrimination, reduction in their level of care or any other penalty. Moreover, consideration must be given to any potential harm a person may suffer if they refuse to participate in the project or wish to withdraw from it.

**Research Involving Indigenous People**

Researchers should consult the NHMRC guidelines on Ethical Matters in Aboriginal and Torres Strait Islander Health Research when developing their research proposal and ensure that it takes adequate account of the six main considerations outlined in the Guidelines. These are:

- **Reciprocity**: benefits considered to be valuable by Indigenous groups will be created and that there is adequate meaningful engagement with Indigenous people;
- **Respect**: for the values, processes, decisions and opinions of participating communities and individuals;
- **Equality**: valuing knowledge and wisdom, the equality of partners and the distribution of benefit;
- **Responsibility**: of Indigenous people to country, kinship bonds, caring for others and to maintain harmony and balance and of Researchers to do no harm and to ensure accountability;
- **Survival and Protection**: research should not undermine the distinctiveness of Indigenous peoples or marginalise their values; and
- **Spirituality and Integrity**: the continuity which binds past, current and future generations and behaviour which maintains the coherence of Aboriginal and Torres Strait Islander values and cultures.

A proposal which involves, for example, research with Aboriginal children must consider both the protection afforded to children under the NHMRC National Statement
and the NHMRC Guidelines on Matters in Aboriginal and Torres Strait Islander Health Research.

The department may request any amendments to the protocol to ensure that Indigenous participants receive adequate support and protection. For example, it may be appropriate for Researchers to consult with Department of Communities Indigenous Support Officers or Aboriginal and Torres Strait Islander people in the design and planning of the research and to employ them in practical aspects of the research.

**Research Involving Children and Young People**

The participation of Children and Young People raises additional ethical issues that need to be addressed during the planning and conduct of a research project.

In considering whether or not approval should be given for a research project which involves children or young people the relevant service area RER unit and the HREC must consider the following:

- whether the research question posed is important to the health and well-being of children or young people;
- if the participation of children or young people is indispensable because information available from research on other individuals cannot answer the question posed in relation to children or young people;
- if the project methodology is appropriate for children or young people; and
- if the circumstances in which the research is conducted provide for the physical emotional and psychological safety of the child or young person.

If the proposed research does not fulfil all the above criteria the department and the HREC should not approve the research or should ask the Researcher to amend his or her protocol so all the requirements are met.

**Consent for Young People and Children to Participate in Research**

Any information provided, eg the Information Sheet and Consent form must be simplified to ensure potential participants fully understand what the research involves. Researchers often develop long, complex forms which are daunting and difficult for children and young people to comprehend. Written forms should not be relied upon to ensure that potential participants are fully informed of the research. Researchers should spend time explaining the research and what the participants will be required to do in an appropriate way that can be easily understood.

**Parental Consent**

The National Statement states that in research involving children, parental or guardian consent to participate must be obtained in all but exceptional circumstances. If the parent or guardian consents but the child or young person declines, the young person’s decision must be respected.

Where guardianship has been assigned for example under the Child Protection Act 1999 or the Guardianship and Administration Act 2000, consent must be obtained from the person who has assumed the role of guardian.

In some cases involving older adolescents, however, parental consent may not be essential and the department may not require parental consent where:

- the nature of the risk does not involve any significant research ethics issues/risks and/or will not place significant burdens on the participants;
- the age of the participants is such that the department is confident of their ability to make an informed decision about participation (ie older adolescents); and
• the subject area and the nature of the participation coupled with the maturity of
the participants mean that the young person would consider themselves to be
the most appropriate person to consent to the research.

Any waiver of parental consent for children or young people must be approved by an
HREC, the relevant service area and its RER unit.

**Research Involving Young People in Detention**

As noted above, detainees should be afforded extra protection with regards to their
decision to consent to participate or withdraw from the project as a result of the
perceived power imbalance between detainees and the detaining authority. This, in
addition to the vulnerability of young people and children, places an obligation on the
department to ensure that young people in detention are not disadvantaged by
research participation.

A particular process should therefore be followed for seeking the voluntary participation
and informed consent of people in detention for research projects.

This process involves three steps.

• Distribution of an easily understandable information sheet informing the young
person about the research and their role if they were to participate as a
research to potential participants. The information sheet must be approved by
an HREC and the relevant sponsoring service area (Youth Justice Services)
prior to use. This sheet can be distributed by staff to potential participants and
should occur at least three days before the follow up meeting.

• A follow up meeting where the young person’s decision about consenting to
volunteer as a research participant is discussed. A member of the research
team should be available to answer any questions the young person may have
about the research. The young person should have the option of having a
support person of their choice present. In the case of young people in detention
that person may be a staff member from the Youth Detention Centre or a parent
or guardian.

• The consent of a parent or guardian should be obtained in all but exceptional
circumstances (see section on ‘Parental Consent’ above).

**Working with Children Check – ‘Blue Card’**

people seeking to work with children under 18 in a paid, voluntary or self-employed
capacity to undergo a full criminal history check - the ‘working with children check’. The
Act imposes penalties on those deemed ‘not suitable’ who apply for, engage in or
continue to work in child related employment.

*The Commission for Children and Young People Act 2000* defines anyone under 18 as
a child. Working with children refers to activities where the contact with children is on a
regular and systematic basis. Research staff conducting research must undergo a
suitability check if they are likely to come into contact with under 18 year old research
participants:

• For at least 8 consecutive days,
• At least once a week over the course of a month, or
• At least once a fortnight over the course of two months, or
• At least once a month over the course of six months.
If the Researcher’s contact is not as frequent as outlined above the department may still require a working with children check. Registered health practitioners as identified in *The Commission for Children and Young People Act 2000*, are exempted under the Act. This includes psychologists and Postgraduate psychology students on placement who have conditional registration as psychologists.

A criminal history check is generally required for all people wishing to conduct research in youth detention centres.

It is the responsibility of the Researcher to obtain and provide evidence that they have undergone a working with children check. This includes any payment required.

**Duty of Disclosure**

In some cases a Researcher will have a legal duty to disclose information obtained as part of the research to third parties, for example the duty to disclose information about previously unidentified child abuse.

Researchers must also consider what will happen if a research participant reveals details about criminal activity during the course of the research and outline how they will deal with this situation should it arise. Although there may be no legal compulsion to report these unreported incidents, the department’s position is that all unreported criminal activity revealed during the conduct of research should be reported. However, the relevant service area RER unit will liaise with the Researcher to reach a mutually acceptable way of dealing with this issue on a case-by-case basis.

Researchers must include a statement about what will happen if such a duty of disclosure arises in the participant information sheet and ensure that the research participant fully understands and consents to what will happen should they reveal previously unreported criminal activity.

HREC and relevant service area RER unit approval must be gained for the proposed method of dealing with any potential duty of disclosure.

**When is HREC approval necessary?**

HREC approval is necessary when

- there is involvement with people (eg clients or staff) as part of the research (eg through interviews, focus groups and questionnaires)
- where the researcher accesses client information or collects data or opinions about identified people
- HREC approval may also be necessary for some evaluations or quality assurance research that does not necessarily fall within the definition of research applied in this Framework.

Sponsoring service areas should contact the relevant service area RER unit for advice on whether or not HREC approval is needed.
APPENDICES

The following appendices are designed to be used as a checklist or for their content to be used on service area branded templates. The content can be edited to the project purpose.
Appendix 1: Research Management Checklist

<table>
<thead>
<tr>
<th>ITEM</th>
<th>Complete</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Proposal provided to Department</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Service area RER unit assessment of protocol</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chief Investigator nominated</td>
<td></td>
<td>Name</td>
</tr>
<tr>
<td>Release of Data form complete (if required)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Liaison with all relevant business units, EMU where appropriate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preliminary support by service area Executive Director</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Internal Sponsor Business Unit nominated</td>
<td></td>
<td>Business Unit</td>
</tr>
<tr>
<td>Project Manager appointed</td>
<td></td>
<td>Name and contact detail</td>
</tr>
<tr>
<td>Researcher provided with contact details of project manager</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Plan developed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Budget Developed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Agreement to participate from relevant Executive Directors/Directors</td>
<td></td>
<td>Names</td>
</tr>
<tr>
<td>Approval from Associate D-G</td>
<td></td>
<td>Names</td>
</tr>
<tr>
<td>Evidence of HREC approval provided by Researcher</td>
<td></td>
<td></td>
</tr>
<tr>
<td>All grant money approved by Minister</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research Contract Developed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contract endorsed by Department of Communities Strategic Procurement and/or Legal Services Unit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DG signs contract</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Departmental File created</td>
<td></td>
<td>File Number</td>
</tr>
<tr>
<td>Project entered on Research Register</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research Reports provided (at least annually)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Final report provided by Researcher</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dissemination of research results</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Appendix 2: Checklist for Departmental Research Files

<table>
<thead>
<tr>
<th>Checklist for Departmental Research Files</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ A sufficiently detailed research protocol</td>
</tr>
<tr>
<td>☐ Evidence of Human Research Ethics Committee (HREC) approval</td>
</tr>
<tr>
<td>☐ Examples of participant Information and Consent/Assent forms</td>
</tr>
<tr>
<td>☐ Letters of support provided by the department (i.e. for forwarding to other funding bodies)</td>
</tr>
<tr>
<td>☐ Director-General approvals (e.g. for disclosure under s297 of the <em>Youth Justice Act 1992</em>)</td>
</tr>
<tr>
<td>☐ Relevant business unit/Regional Director approval</td>
</tr>
<tr>
<td>☐ Approved Budget</td>
</tr>
<tr>
<td>All agreements including:</td>
</tr>
<tr>
<td>☐ Research Contract</td>
</tr>
<tr>
<td>☐ Data request form (where applicable)</td>
</tr>
<tr>
<td>☐ Data Transfer Agreements (where applicable)</td>
</tr>
<tr>
<td>☐ Confidentiality and Data Management Agreements (where applicable)</td>
</tr>
<tr>
<td>☐ All invoices and evidence of payment of invoices (receipts)</td>
</tr>
<tr>
<td>☐ Interim reports and other outputs specified in the agreement</td>
</tr>
<tr>
<td>☐ Final report</td>
</tr>
</tbody>
</table>
Appendix 3: Research Protocol

Research Protocol (Full)

Information for Researchers

The information here will provide the basis for consideration of your research project proposal, and assist the Department of Communities to decide whether or not to give approval for the project.

Please write in 12 point font and a minimum 2.5cm margin.

Please press F11 to move to the fields to be completed.

If you have any queries about the information requested please contact:

<table>
<thead>
<tr>
<th>Area of Proposed Research</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Disability and Community Care Services &amp; Multicultural Affairs</td>
<td><a href="mailto:Stacey.Hassall@Communities.qld.gov.au">Stacey.Hassall@Communities.qld.gov.au</a></td>
</tr>
<tr>
<td></td>
<td>32476218</td>
</tr>
<tr>
<td>Housing and Homelessness</td>
<td><a href="mailto:Erik.Berrevoets@communities.qld.gov.au">Erik.Berrevoets@communities.qld.gov.au</a></td>
</tr>
<tr>
<td></td>
<td>3227 6858</td>
</tr>
<tr>
<td>Aboriginal and Torres Strait Islander Peoples</td>
<td><a href="mailto:Margory.Hauritz@communities.qld.gov.au">Margory.Hauritz@communities.qld.gov.au</a></td>
</tr>
<tr>
<td></td>
<td>3404 3677</td>
</tr>
<tr>
<td>Sport and Recreation Services</td>
<td><a href="mailto:Jen.Petty@communities.qld.gov.au">Jen.Petty@communities.qld.gov.au</a></td>
</tr>
<tr>
<td></td>
<td>3237 9623</td>
</tr>
<tr>
<td>Communities Property Portfolio</td>
<td><a href="mailto:Robert.Webb@communities.qld.gov.au">Robert.Webb@communities.qld.gov.au</a></td>
</tr>
<tr>
<td></td>
<td>3224 2298</td>
</tr>
<tr>
<td>Communities, Child Safety, Youth and Families</td>
<td><a href="mailto:Research-CSYFCP@communities.qld.gov.au">Research-CSYFCP@communities.qld.gov.au</a></td>
</tr>
<tr>
<td></td>
<td>(07) 3405 6741</td>
</tr>
<tr>
<td>Strategic Research and all other proposals</td>
<td><a href="mailto:Kate.Liley@Communities.qld.gov.au">Kate.Liley@Communities.qld.gov.au</a></td>
</tr>
<tr>
<td></td>
<td>(07) 3224 5588</td>
</tr>
</tbody>
</table>

Privacy Statement
The personal information we collect may include:
• Name and Professional Title
• Qualifications
• Contact details (E-mail address, telephone number, address)

Our authority to collect this personal information
This information is provided voluntarily.

How we use this personal information
We use the collected information to assess research proposals submitted to the department.

How we store and dispose of this personal information
We store research proposals in secure electronic information systems in central office and keep hard copies on departmental files which are retained and disposed in accordance with the requirements of the Public Records Act 2002.
The people who can access this personal information
Access to research proposals is restricted to staff of the Department of Communities Research, Evaluation and Review units.
1. General Project Details

Project Title

Sponsoring Organisation/s

Researcher Details
Name
Address
Highest academic qualification of Researcher
Current appointment or activities of Researcher
If this study is intended to contribute to an academic qualification, indicate which qualification

Name of supervisor (if research is part of a tertiary study)

Potential/Confirmed Project Manager or Business Unit Sponsor

Other Collaborating Organisations

Location of Research
2. Project Team (see Key Considerations)

Name and contact details for Chief Investigator and all team members

Demonstrate research provider(s) have adequate and relevant expertise, experience and management capabilities to deliver the identified outcomes successfully and on time (see Attachment A for key considerations).

Name
Address

Name
Address

3. Research Summary

Research question

Previous research findings, results of literature review or theoretical basis relied upon in formulating the research question

The aims, hypotheses, background and significance of the proposed project

Anticipated results

Administrative Data Request details (e.g. age cohorts, sample selection)

4. Proposed Methodology (see Key Considerations)

Demonstrate sound research methodology which is appropriate to a public sector context.
5. Participants
Will your research involve contact with clients or staff of the department eg through interviews, focus groups, observations etc?
☐ Yes - continue
☐ No - go to question 8

Give the number, gender, age and any other socio-demographic characteristics of all participants to be included in the proposed study.

What is the intended source of identification and means of recruitment of participants? (eg posters, flyers, referrals etc)

Justify the selection of the intended research populations and the sample sizes.

Check boxes to indicate which participants are proposed to be recruited.
☐ Children (0-11)
☐ Juveniles (12-15)
☐ Young People (16-18)
☐ People in detention
☐ Department of Communities Staff
☐ Parents/Guardians of Department of Communities Clients
☐ Other supporters of Department of Communities Clients (e.g. lawyers, community members)

List additional safeguards that will be employed to protect the subjects. (This may include use of waiting periods to allow people more time to consider the information they are given, use of a support person nominated by the potential participant.)

State inclusion criteria for intended participants.

State exclusion criteria for intended participants.

Describe what the intended participants will be required to do for this study including an estimate of time required, frequency, location etc (if applicable).
Indicate the potential risks to participants.

Physical Risks  □ Yes □ No
Social Risks  □ Yes □ No
Legal Risks  □ Yes □ No
Psychological Risks  □ Yes □ No

If you have answered yes to the above please state the nature of the risk involved, whether these risks are considered higher than those undertaken in normal day-to-day living and how the chief researcher intends to protect against or minimise these risks.

Please state what will happen in the event of any adverse event, who will handle the situation and how will this be done?

Please state what will happen in the event that a duty of disclosure arises (e.g., about previously undisclosed child sex abuse or if a participant reveals details about previously unknown criminal activity).

6. Consent and Participant Information Sheet

Outline the means of obtaining participant consent

Who will explain the project to the participant?

When will the explanation be given?

Attach the consent form and information sheet if available.
7. Children and Young people

Will your research protocol involve contact with Children and Young People with a frequency of at least once a week over the course of a month?

☐ Yes
☐ No

Will your research protocol involve contact with Children and Young of at least once a fortnight over the course of two months?

☐ Yes
☐ No

Will your research protocol involve contact with Children and Young of at least once a month over the course of six months?

☐ Yes
☐ No

8. Confidentiality, Data Storage and Handling

Will you be accessing personal information such as client records or databases as part of this research?

☐ Yes
☐ No

If yes will you be seeking consent from the person(s) referred to in these records?

☐ Yes
☐ No

If no why won't you be seeking consent?

Specify how data will be coded to ensure that individuals who have participated cannot be identified.

Specify how the data will be stored and in what locations.

Specify who will have access to this data, for how long and for what purposes.

What safeguards are proposed for the handling of collected data both during and after the completion of the project?
9. Ethics

Has this project been submitted to any other institutional Ethics Committee?
☑ Yes
☐ No

What was the date of that application/s? (Please include all HRECs involved)

Was the project approved by all HRECs?
☑ Yes
☐ No

10. Project Plan

Briefly outline major activities

Briefly outline key milestones

Briefly outline key assumptions

11. Project Time frame

Proposed commencement date of project
/ / /

Proposed completion date of study
/ / /

Proposed completion of research report
/ / /
12. Outline the project’s relevance to the Department of Communities' portfolio, aims and strategic vision.

13. Resource Support Sought

Indicate total cash support required from the department.

Indicate all “in-kind” support required from the department

Staff

Staff #1
Role
Number of hours per month

Staff #2
Role
Number of hours per month

Staff #3
Role
Number of hours per month

Staff #4
Role
Number of hours per month

Other In-Kind

Specify (eg facilities, record retrieval, equipment hire) Frequency and/or duration

Specify (eg facilities, record retrieval, equipment hire) Frequency and/or duration

Specify (eg facilities, record retrieval, equipment hire) Frequency and/or duration

Specify (eg facilities, record retrieval, equipment hire) Frequency and/or duration
Demonstrate the requested resources and assistance are appropriate and how these resources were calculated.

Have alternative sources for resources and assistance been examined?

☐ Yes
☐ No

If yes, please state which other sources were approached and the outcome

14. Report

Explain how the results of the research will be reported and disseminated to participants

Explain how the results of the research will be reported and disseminated generally

Research Protocol Attachment A

Key considerations for research proposals

1. Do the identified research provider(s) have adequate and relevant expertise, experience and management capabilities to deliver the identified outcomes successfully and on time?

Key considerations:
• demonstrated understanding and experience in undertaking research in the specific research area and/or with the methods proposed;
• demonstrated ability to undertake research of high ethical standards with integrity and honesty and with respect for participants;
• demonstrated ability to produce research reports that are clear, easy to understand and relevant to a public sector audience;
• demonstrated experience in research project management;
• demonstrated experience in delivering projects on time and to the satisfaction of external clients and/or peer reviewers; and
• organisational capacity and acceptable insurance.

2. Is the research proposal based on a sound research methodology which is appropriate to a public sector context?

Key considerations:
- clarity of research questions and the inclusion of a clear theoretical framework/ rationale to research questions;
- use of a research design which is responsive to a public sector context;
- defensible rationale for choice of methods, and sampling strategy if relevant;
- the likelihood of meeting timeframes based on the choice of methods;
- the demonstrated potential of the methodology to provide results that are rigorous, credible, and valid (for example through the use of triangulation, multiple-coding; peer review, external results validation);
- (where relevant) includes a plan for the dissemination of findings and the use of findings to build public sector community engagement capacity;
- research has appropriate links to and will contribute to existing research and/or theory;
- involving research subjects and partners in the design, collection and/or interpretation of data (if appropriate); and
- inclusion of a plan to secure the willing consent of participants, and to safeguard the privacy, confidentiality and wellbeing of participants.

### 3. Indicate all cash and other resources or assistance required; demonstrate the requested resources and assistance are appropriate; demonstrate that alternative sources for resources and assistance have been examined?

**Key considerations:**
- cash contribution required;
- non-cash assistance required (e.g., staff time, access to clients, facilities, records etc.);
- indicate if other areas within the Dept of Communities, other Queensland government agencies, or other public or private research funding bodies are also being approached for resources or other assistance;
- demonstrate that the resources sought are a good match to proposed project activity;
- indicate if the department’s contribution required as a prerequisite or condition for support by another resource provider (e.g., Australian Research Council); and
- show that opportunities for partnership been thoroughly explored? (priority will be given to proposals which involve partnerships between the organisation/s sponsoring the research, Community Engagement Division and other bodies)
Appendix 4: Application for the Release of Data under s297

Application for Release of Data under S297

(Click on grey shaded areas or press F11 to add text)

Name of the Research Project / Activity

Departmental Reference Number if known

Researchers Name

Researchers Organisation (eg University)

What is the precise nature of the data you want to access?

Format

☐ Electronic (eg database)
☐ Hard Copy
☐ Other (Please Specify)

Data type (please provide a full description of the data eg Case Notes, client files, database of court appearances etc).

Please explain what information you want to collect for use in your study (eg offending histories, family background, details of specific offences).

Give details of how you intend to collect and record this information (eg assigning a reference number to each record and keeping a code key, coded data collection).

If the information to be accessed identifies individuals, give reasons why information will not be accessed in a deidentified form.

Do you intend to record any identifying details (eg names, addresses or any other information that may allow an individual to be identified).

☐ Yes    ☐ No
Where appropriate please attach a copy of the data collection form you intend to use.

Do you intend to obtain consent from the identified individuals to whose information will be collected?

☐ Yes  ☐ No

If no, state the reason(s) why consent will not be obtained from the individual(s) whose information will be collected.


Give reasons why the proposed collection of information is in the public interest.
Note that the public interest in the proposed research must substantially outweigh the public interest in respecting individual privacy.


Do you intend to access or is there a possibility that, whilst accessing the records described at 3 you may access other data which may not have been collected for the purposes of the administration of the Youth Justice Act 1992 (eg child protection data, police records, educational records, medical information)

☐ Yes  ☐ No

Do you intend to record any other data which has or may not have been collected for the purposes of the administration of the Juvenile Justice Act 1992?

☐ Yes  ☐ No

If you have answered yes to either of the two questions above do you have authorisation from the relevant agency to access and collect this data (eg Queensland Police, Department of Child Safety, Education Queensland)

☐ Yes  If yes please attach a copy of the authorisation.  ☐ No

Will other people have access to this data (eg research assistants)?

☐ Yes  ☐ No

If yes please state the names and professional role of these people


Do you or any of the other researchers involved in this project routinely have access to the information?

☐ Yes  ☐ No

Please give details of how you intend to store the information during the study.


Please state the arrangements for archival and/or destruction of data upon completion of the study.
<table>
<thead>
<tr>
<th>Internal Use</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Approval to release data given by Director-General?</strong></td>
</tr>
<tr>
<td>□ Yes □ No</td>
</tr>
<tr>
<td><strong>Copy of approval filed on departmental file?</strong></td>
</tr>
<tr>
<td>□ Yes □ No</td>
</tr>
<tr>
<td><strong>If yes Correspondence reference number (eg CMD 123)</strong></td>
</tr>
<tr>
<td><strong>If Yes File Number (eg YJP/ 12345)</strong></td>
</tr>
<tr>
<td><strong>Business unit responsible for data provision</strong></td>
</tr>
<tr>
<td><strong>Total estimated costs of retrieval of data including staff hours</strong></td>
</tr>
<tr>
<td><strong>Total estimated cost of deidentification/coding of data including staff hours</strong></td>
</tr>
<tr>
<td><strong>Costs borne by researcher?</strong></td>
</tr>
<tr>
<td>□ Yes □ No</td>
</tr>
<tr>
<td><strong>If ‘no’ the Director of the business unit responsible must approve the costs.</strong></td>
</tr>
<tr>
<td><strong>Costs approved by business unit responsible?</strong></td>
</tr>
<tr>
<td>□ Yes □ No</td>
</tr>
<tr>
<td><strong>Signature of Executive Director of Business unit</strong></td>
</tr>
<tr>
<td><strong>Data retrieval costs included on Research Register?</strong></td>
</tr>
<tr>
<td>□ Yes □ No</td>
</tr>
<tr>
<td><strong>Confidentiality Agreement Prepared</strong></td>
</tr>
<tr>
<td>□ Yes □ No</td>
</tr>
<tr>
<td><strong>Confidentiality Agreement signed and returned by researcher and all research assistants?</strong></td>
</tr>
<tr>
<td>□ Yes □ No</td>
</tr>
</tbody>
</table>
Appendix 5: Confidentiality and Data Management Agreement (Chief Investigator)

Confidentiality and Data Management Agreement (Chief Investigator)
Pursuant to S297 Juvenile Justice Act 1992
RE: Insert name of project

WHEREAS:

A. The Department holds records which include Personal Information within the meaning of the Juvenile Justice Act 1992.
B. The Personal Information is held subject to restrictions set out in Part 9 of the said Act.
C. The Director-General has authorised the disclosing of certain of the said information as part of genuine research to be conducted by the University.
D. This information is provided to the Chief Investigator for the sole purpose of research related to the [Insert name of Project] Project (the Research Project) which has been approved by the Director General under section 297 of the Juvenile Justice Act 1992 as “genuine”.
E. The Personal Information to be supplied consists of [Outline what the information is eg a database of names and court appearances, hard copies of client case notes etc]
F. The Director-General wishes to preserve the confidentiality of the information and the anonymity of the persons to whom the information relates.

For the purposes of this agreement:

Personal Information means information or an opinion (including information or an opinion forming part of a database) whether true or not and whether recorded in a material form or not about a natural person whose identity is apparent or can be reasonably ascertained for the information or opinion.

Client means clients or former clients of the Department of Communities and its predecessor departments having administrative responsibility for the Juvenile Justice Act 1992 or the Children’s Services Act 1965.

Director-General means the Director-General of the Department of Communities or the Department for the time being having portfolio responsibility for the administration of the Youth Justice Act 1992.

Research Project means the [Insert the full title of the project] Project.

Principal Researcher means the researcher with primary responsibility for the management of the Research Project, namely [Insert name of Principal Researcher].

Note: Any other terms used in this document must be defined here.

As the Chief Investigator on the Research Project, in taking custody of this information I, [Insert name of Chief Investigator], of [Insert name and address of Institution or Researcher’s home address], hereby undertake and agree as follows:

1. Conflict of Interest
1.1 To disclose to the Department any affiliation of financial involvement I may have with any organisation that has a direct interest in the subject matter of the research.

2. Storage and Handling of Data

[Please note that this section assumes that a copy not the original data has been supplied to the researcher. The section should be amended accordingly to ensure that no original data is destroyed by the researcher and is returned to the department.]

2.1 Not to access, use, modify, disclose or retain any Personal Information received from the Department, except for the specific research purpose related to the Research Project. This includes using the information for other research projects or providing the information to other researchers.

2.2 To ensure that Personal Information received from the Department is protected against loss, unauthorised access, use, modification, or disclosure and against any other misuse in accordance with the Information Privacy Act 2009, in particular Information Privacy Principle 4 (Schedule 3). This includes but is not limited to the following steps:

   i. Electronic copies of the information provided shall be stored on the Office’s secure server on a password locked computer.
   ii. The information shall be stored in a securely locked office.
   iii. Access to the information shall be on a need to know basis and restricted to research staff assigned to the Research Project.

2.3 Not to make any copies of the information without first obtaining the consent, in writing, of the Director General of the Department.

[Note that the following provisions will have to be adapted according to the kind of information being provided and the period for which the department approves the researcher’s retention of the data. The duration of the study itself plus five years would fulfil most university’s requirements]

2.4 To destroy and/or delete all personal information provided to me by the Department five (5) years after completion of the project. The Data shall therefore be destroyed/deleted no later than the [Insert date that the personal information should be destroyed].

2.5 To write to the Department to confirm that the Personal Information has been deleted and/or destroyed no later than the [Insert date that the written confirmation of the deletion of the personal information should be provided].

3. Legal Obligations

3.1 To preserve the confidentiality of any personal information received from the Department and the anonymity of any person to whom the information relates. I am aware that this undertaking is enforceable under section 297 of the Juvenile Justice Act 1992, in so far as it relates to Personal Information which is subject to that Act and that the maximum penalties for breach of my undertaking under that section are a fine of $7500 or 2 years imprisonment.

3.2 That I will not disclose or give access to personal information of a child protection nature received from the Department to anyone else. I am aware that by doing so I will be in breach of section 188 of the Child Protection Act.
1999 and that the maximum penalties for breach of that section are a fine of $7500 or two years imprisonment.

4. **Confidentiality and Publication**
4.1 To ensure that any data which is obtained from this personal information and which is published is not such as is likely to enable the identification of any individual person.

4.2 To ensure that any data obtained from this information is published only in aggregate tables or as part of an analysis of the data.

4.3 To supply the Department with an advance copy of any material proposed to be published for the purpose of obtaining the Department’s approval for publication. I understand that in its decision to approve the Department shall assess only whether the confidentiality requirements have been met. The Department shall not assess the quality or validity of the study and Departmental approval to publish shall not be considered to be a guarantee of the methodology or scientific merit of the Research Project.

5. **Authorised Research Assistants**
[The relevant business unit may require that only the principal researcher should have access to the information. In which case insert the following clause.]

5.1 Not to grant third parties access to the information without the prior written approval of the Executive Director.

5.2 To ensure that any third party granted access to the information under clause 5.1 of this agreement read and sign the Confidentiality and Data Management Agreement provided by the Department and that a copy of the Agreement is forwarded to the Department.

5.3 To receive and manage personal information provided by the Department in accordance with this agreement.

[Otherwise state]

5.1 To ensure that any other researchers/research assistants or any other authorised persons involved in the project read and sign the Confidentiality and Data Management Agreement provided by the Department and that a copy of the Agreement is forwarded to the Department.

5.2 To receive and manage personal information provided by the Department in accordance with this agreement.

6. **Change of Chief Investigator**
6.1 In the event that my involvement with the project should cease or that the Chief Investigator should change or be replaced, I will notify the Department immediately and all research relating to the Personal Information obtained as part of the Data Transfer Process shall cease pending the approval of the Department and the signing of new confidentiality agreement by the new Chief Investigator.

7. **Breach**
7.1 I will immediately notify the Department upon becoming aware of any breach, or potential breach of this agreement.
8. **Indemnity**
8.1 I agree to indemnify the State for any liability arising from any breach of this Agreement notwithstanding any other provision of this agreement.

9. **Term**
9.1 I understand that the obligations and liability under this agreement will survive both the termination and expiry of the Research.

10. **Re-release of the Information**
10.1 I understand that University may apply to the Department at any time for the re-release of this information under s297 of the *Juvenile Justice Act 1992*. In making a decision on whether to release the information the Chief Executive shall consider the merit of the proposed research and may require a further confidentiality undertaking.

11. **Ownership of Data**
11.1 I understand that the Department expressly retains ownership of the Data including ownership of all intellectual property rights in the Data and hereby grants a licence to use the Data:
   a) until the Research Project concludes; and
   b) not in any way which would breach any of the terms of this Agreement.

Name
Signed
Date

In the presence of
Witness Name
Signed
Date

Once signed, please retain a copy and return the original to the [insert RER Unit contact details here]
Appendix 6: Confidentiality and Data Management Agreement (Research Assistant)

Confidentiality and Data Management Agreement (Research Assistant)

Pursuant to S297 Juvenile Justice Act 1992

Re: [Insert name of Project]

WHEREAS:

G. The Department holds records which include Personal Information within the meaning of the Juvenile Justice Act 1992.
H. The Personal Information is held subject to restrictions set out in Part 9 of the said Act.
I. The Director-General has authorised the disclosing of certain of the said information as part of genuine research to be conducted by the University.
J. This information is provided to the Principal Researcher for the sole purpose of research related to the [Insert name of Project] Project (the Research Project) which has been approved by the Director General under section 297 of the Juvenile Justice Act 1992 as “genuine”.
K. The Personal Information to be supplied consists of [Outline what the information is eg a database of names and court appearances, hard copies of client case notes etc].
L. The Director-General wishes to preserve the confidentiality of the information and the anonymity of the persons to whom the information relates.
M. The authorised person is an employee, agent or subcontractor of the Chief Investigator.
N. The Principal Researcher has entered into an agreement with the Department of Communities for the Research Project which includes access to information that contains Personal Information.
O. In the course of working with the Researcher the Research Assistant may have access to the Personal Information only for approved purposes related to the Research Project.
P. The Principal Researcher has undertaken that in the performance of the research compliance with the applicable Information Principles will be ensured.
Q. The Principal Researcher has made other undertakings in relation to the collection, use, handling, distribution and disclosure of Personal Information.
R. The Principal Researcher has also agreed to obtain confidentiality undertakings from all authorised staff involved in the Research Project.

For the purposes of this agreement:

*Personal Information* means information or an opinion (including information or an opinion forming part of a database) whether true or not and whether recorded in a material form or not about a natural person whose identity is apparent or can be reasonably ascertained for the information or opinion.

*Client* means clients or former clients of the Department of Communities and its predecessor departments having administrative responsibility for the Juvenile Justice Act 1992 or the Children's Services Act 1965.
Director-General means the Director-General of the Department of Communities or the Department for the time being having portfolio responsibility for the administration of the Juvenile Justice Act 1992.

*Research Project* means the [Insert the full title of the project].

*Principal Researcher* means the researcher with primary responsibility for the management of the Research Project, namely [Insert name of Principal Researcher].

Note: Any other terms used in this document must be defined here.

As authorised………………………………………………………………… (insert role eg Research Assistant) on the Research Project I, ………………………………………………………………………………………………………

……………………………………………………………………………………………………

……………………………………………………………………………………………………

……………………………………………………………………………………………………

……………………………………………………………………………………………………

……………………………. (Insert institution name and address or home address), hereby undertake and agree as follows:

1. **Conflict of Interest**

   1.2 To disclose to the Department and the Principal Researcher any affiliation or financial involvement I may have with any organisation that has a direct interest in the subject matter of the research.

3. **Storage and Handling of Data**

   2.3 Not to access, use, modify, disclose or retain any Personal Information received from the Department, except for the specific research purpose related to the Research Project. This includes using the information for other research projects or providing the information to other researchers.

   2.4 To ensure that Personal Information received from the Department is protected against loss, unauthorised access, use, modification, or disclosure and against any other misuse in accordance with the *Information Privacy Act 2009*, in particular Information Privacy Principle 4 (Schedule 3). This includes but is not limited to the following steps:

   iv. Electronic copies of the information provided shall be stored on the Office’s secure server on a password locked computer.

   v. The information shall be stored in a securely locked office.

   vi. Access to the information shall be on a need to know basis and restricted to research staff assigned to the Research Project.

   2.3 Not to make any copies of the information without first obtaining the consent, in writing, of the Director General of the Department.
3. Legal Obligations

3.3 To preserve the confidentiality of any personal information received from the Department and the anonymity of any person to whom the information relates. I am aware that this undertaking is enforceable under section 297 of the *Juvenile Justice Act 1992*, in so far as it relates to Personal Information which is subject to that Act and that the maximum penalties for breach of my undertaking under that section are a fine of $7500 or 2 years imprisonment.

3.4 That I will not disclose or give access to personal information of a child protection nature received from the Department to anyone else. I am aware that by doing so I will be in breach of section 188 of the *Child Protection Act 1999* and that the maximum penalties for breach of that section are a fine of $7500 or two years imprisonment.

4. Confidentiality and Publication

4.4 To ensure that any data which is obtained from this personal information and which is published is not such as is likely to enable the identification of any individual person.

5. Breach

5.1 I will immediately notify the Department upon becoming aware of any breach, or potential breach of this agreement.

6. Indemnity

6.1 I agree to indemnify the State for any liability arising from any breach of this Agreement notwithstanding any other provision of this agreement.

7. Term

7.1 I understand that the obligations and liability under this agreement will survive both the termination and expiry of the Research.

8. Ownership of Data

8.1 I understand that the Department expressly retains ownership of the Data including ownership of all intellectual property rights in the Data and hereby grants a licence to use the Data:

a) until the Research Project concludes; and

b) not in any way which would breach any of the terms of this Agreement.

Name

Signed

Date

In the presence of

Witness Name

Signed

Date
Appendix 7: Data License

LICENCE TO USE DATA FOR RESEARCH PURPOSES
Re Insert name of project

This Agreement is made the day of 2009

BETWEEN: Insert name, address and ABN of other party

AND: THE STATE OF QUEENSLAND (through the Department of Communities)
111 George Street, Brisbane, in the State of Queensland (“the Department”)

RECITALS
The Department has provided the Data for use in experimental research.
The University is engaged in continuing research and development and has requested
the Department to provide the Data for the purposes described in the Research Program.

IN CONSIDERATION of the undertakings of the University set out below, the
Department agrees to provide the Data upon the following terms:

1.0 DEFINITIONS

1.1 "Commercialisation" means to manufacture, sell, hire or otherwise exploit the
Data or to provide a service, incorporating the Data either alone or with third
parties for financial gain. “Commercialise” and “Commercial” shall have a similar
meaning.

1.2 "Confidential Information" means all information, data and experience of an
operational or economic nature, supplied to or obtained by the parties in written
form or as a recording of oral conversations or as disclosed orally and includes
proprietary information, which for the purpose of this Agreement includes but is
not limited to concepts relating to existing or proposed products and marketing
techniques.

Confidential Information does not include:-

a) information which is now or has become part of the public domain in
   ways other than by defaults or by acts or by omissions of the parties;

b) information which the parties can show was in their possession prior to
   the time of receipt of such information from the other party;

c) information which hereafter lawfully comes into a party’s possession
   from an independent source without any obligation of secrecy but even
   in such event the party will not disclose that the same information was
   also acquired from the other party.

1.3 “Intellectual Property” includes copyright and neighbouring rights, all rights in
relation to inventions (including patent rights), plant varieties, registered and
unregistered trademarks (including service marks), registered designs,
Confidential Information (including trade secrets and know-how) and circuit
layouts, and all other rights resulting from intellectual activity in the industrial, scientific, literary or artistic fields.

1.4 "Data" define what the Data is - eg client files, a database etc

1.5 "Client" means clients or former clients of the Department of Communities and its predecessor departments having administrative responsibility for the *Juvenile Justice Act 1992* or the *Children’s Services Act 1965*.

1.6 "Research Program" means the insert name of research project

1.7 "Identifying Information" means information or an opinion (including information or an opinion forming part of a database whether true or not and whether recorded in a material form or not about a natural person whose identity is apparent or can be reasonably ascertained from the information or opinion.

1.8 “Chief Investigator” means the researcher with primary responsibility for the management of the Research Program. In this case Insert name of researcher and his or her organisation

1.9 “Research Protocol” means the study design submitted to the Human Research Ethics Committee for approval.

1.10 “Project Results” means any final published material supplied to the Department under this Agreement.

2.0 PROVISION OF DATA

2.1 In consideration of the undertakings of the University as set out in this Agreement, the Department shall provide the University with the Data in a form as is mutually agreed upon and as is reasonably available for the sole purpose of conducting the Research Program.

2.3 The Data will be provided by the Department to the University solely for research purposes related to the Research Program conducted by the University.

2.4 The Data or any information relating to it shall not be provided to third parties for any purpose without the prior written consent of the Department.

2.5 In the event of alteration to the Research Protocol (Item 1 of the Schedule) the University shall cease all research activity related to the Data and notify the Department immediately. The University shall not recommence the Research Program without the prior written consent of the Department.

2.6 The Department hereby grants the University a licence to use the Data:

   a) until the Research Program concludes;

   b) for internal university purposes only, that is for the purpose of carrying out the Research Program, collating the data and preparing a report; and

   c) not in any way which would breach any of the terms of this Agreement.
3.0 COMMERCIALISATION

3.1 The University shall not Commercialise or use the Data for the evaluation or sale or production of a Commercial product without informing the Department in writing. The Department hereby agrees to enter into negotiations in good faith with the University for the granting of a licence for such application subject to any obligations existing at the time of negotiations. Any such agreement will contain provisions for royalty payments to be made to the Department, such royalty payments shall be the subject of negotiation at the time of the grant of the licence.

4.0 INTELLECTUAL PROPERTY

4.1 The University will not obtain and will not attempt to obtain patent coverage on the Data or any use of the Data or on any other material that could not have been made but for the Data without the express written consent of the Department.

4.3 The University grants to the Department a non-exclusive, non-transferable, perpetual, royalty-free licence to use the Project Results. This includes non-Commercial publication and dissemination.

4.4 The Department expressly retains ownership of the Data including ownership of all Intellectual Property rights in the Data.

5.0 WARRANTIES

5.1 The Data is provided to the University for research purposes related to the Research Program only. Such Data is provided without warranty or merchantability or fitness for a particular purpose or any other warranty express or implied save for those warranties which are mandatorily inferred by law. It is understood that the Department and its employees have no liability in connection with the Data or its use to the full extent permitted by the laws of Australia.

5.2 The Department makes no warranty that the Data will not infringe any Intellectual Property rights or other rights of third parties.

6.0 INDEMNITY

6.1 The University hereby releases and indemnifies and shall continue to release and indemnify the Department, its officers, employees and agents from and against all action, claims, proceedings or demands (including those brought by third parties) which may be brought against it or them whether on their own or jointly with the University in respect of any loss, death, injury, illness, damage (whether personal or property and whether direct or consequential, including consequential financial loss) or any infringement of copyright, patents, trademarks, designs or other intellectual property rights howsoever arising out of the University's exercise of its rights under this Agreement.

6.2 The liability of the University under clause 6.1 shall be reduced to the extent that the Department contributed to the loss, death, injury, illness, damage or any infringement of copyright, patent, trademarks, designs or other intellectual property rights referred to in clause 6.1.

7.0 CONFIDENTIALITY

7.1 Parties agree to keep confidential all Confidential Information of each other disclosed during the term of this Agreement except for disclosures permitted under this Agreement and disclosures required by law.

7.2 The Chief Investigator of the Research Program shall sign the Confidentiality and Data Management Agreement (Item 2 of the Schedule).
7.3 The University must comply with parts 1 and 2 of chapter 2 of the Information Privacy Act 2009 in its handling of the Data, and the Information Privacy Principles in Schedule 3 of this Act, particularly principle 4 regarding the obligation to protect the data against loss, unauthorised access, use, modification or disclosure and other misuse.

7.4 The University shall destroy and/or delete all identifying information provided by the Department five (5) years after completion of the Research Program and shall provide written confirmation of this to the Department.

7.5 In the event that the Research Program’s Chief Investigator should change or be replaced, the Department must be notified immediately and all research relating to the Data must cease pending the approval of the Department and the signing of new confidentiality agreement by the new Chief Investigator.

8.0 TERM
8.1 This Agreement shall be effective upon execution by the last party to sign it and shall expire six (6) years thereafter subject to extension by further mutual agreement in writing or termination either by the University or by the Department on giving not less than three (3) months prior written notice. Any such expiration or termination shall not prejudice the rights of either party arising under the agreement prior to the expiration or termination.

8.2 Notwithstanding the terms of Clause 8.1 above, the obligation of the parties with respect to Intellectual Property, Commercialisation and confidentiality shall survive the expiry and termination of this agreement.

9.0 STUDENT INVOLVEMENT
9.1 The Department acknowledges that students of the University may be involved in the Research Program as part of their degrees.

9.2 The University shall use reasonable endeavours to ensure that any student involved in the Research Program complies with the confidentiality obligations in this Agreement. Any student involved in the research must sign a Confidentiality and Data Management Agreement (Item 3 of the Schedule).

10.0 APPLICABLE LAW
10.1 This Agreement is governed by the laws of the State of Queensland and the parties agree to submit to the non-exclusive jurisdiction of the courts of the State of Queensland.

11.0 PUBLICATIONS
11.1 Neither Party shall use the name of the other in any public announcements, publicity or advertising with respect to the subject matter of this Agreement without the prior written approval of the other Party.

11.2 In any proposed publication concerning or relating to the Data (“the proposed publication”), the University will ensure that no identifying information is contained in that publication. The University shall acknowledge the Department in any publication concerning or relating to the Data.

11.3 The University shall supply the Department with an advance copy of any proposed publication for the purpose of obtaining the Department’s approval for publication. When making its decision to approve proposed publications, the Department shall assess only whether the confidentiality requirements have been met. The Department shall not assess the quality or validity of the study.
and Departmental approval to publish shall not be considered to be a guarantee of the methodology or scientific merit of the Research Program. The giving of the Department’s approval under this clause shall not be unreasonably withheld. The Department shall endeavour to respond to the University within 21 days of receipt of a request for approval. Where the Department does not grant its approval the Department will provide the University with written reasons why the approval was not granted.

11.5 In the event of publication the assistance of the Department shall be acknowledged and the University shall supply the Department with a copy of the final published material.

12.0 WAIVER

12.1 No rights under this Agreement will be deemed to be waived except where the waiver is in writing and is signed by both parties. A waiver by a party will not prejudice that party’s rights in respect of any subsequent breach of this Agreement. Any failure by either party to enforce any clause of this Agreement, any forbearance, delay or indulgence generated by either party to the other will not be construed as a waiver of the rights under this Agreement.

SIGNED for and on behalf of
THE STATE OF QUEENSLAND (through the Department of Communities)

..........................................................  ..........................................................
Signature                                              Signature of Witness

..........................................................  ..........................................................
Name                                                  Name of Witness

..........................................................
Position

..........................................................
Date

..........................................................
Signature of Witness

..........................................................
Name                                                  Name of Witness

..........................................................
Position

..........................................................
Date

SIGNED for and behalf of insert name of organis
Name & Position of Person who warrants the
authority to execute this Agreement
on behalf of the University

..........................................................
Name

..........................................................
Position

..........................................................
Date

..........................................................
Signature of Witness

..........................................................
Name                                                  Name of Witness

..........................................................
Position

..........................................................
Date
Schedule

Item 1 – Research Protocol

Item 2 – Confidentiality and Data Management Agreement -

Item 3 – Confidentiality and Data Management Agreement – Research Assistant
Appendix 8: Example Information and Consent Form

Full Title: Pro-Social Interventions with Hard-to-Reach Youth in areas of high disadvantage

Short Title: The ‘Kids are Alright’ Project

This Information sheet is [X] pages long please make sure you have all the pages. If you read this sheet and decide that you would like to take part in this study, you will be given a consent form.

1. Your Consent

You have been asked to take part in the ‘Kids are Alright’ research project and the information below has been given to help you decide whether or not you would like to be involved.

Please read this information sheet carefully or have it read to you and feel free to ask questions. You may also wish to talk about the project with a family member, friend or [case worker].

You do not have to take part in the study, but your help in giving information could be very helpful to the program and the young people who participate in the program. By signing this consent form you are confirming that you understand the information and you are willing to take part in this research project.

You should only sign the consent form after you have asked any questions you might have and have received the answers you need. A copy of this information sheet and consent form will be given to you to keep as a record.

2. Purpose and Background

The Queensland Government [is committed to…]
The purpose of the family case study and follow-up study is to find out how the RAI services have helped families. The ‘Kids are Alright’ research project will focus on finding out whether:

- Helped families so that their children are better off;
- Helped families so that they don’t become further involved with the Department of …

This project is being managed by The Strategic Evaluation Team with help from the Office for Children, Department of Communities. The researcher undertaking the study is an independent consultant who is not a government employee or connected with your RAI service.

3. What you will be asked to do

Taking part in this study will mean:
• Letting a researcher look at your case file so that they can answer questions about your case plan
• Going to interviews with a researcher to answer questions about your family's involvement with:
  • How you became a client of …..
  • What was happening in your life when you were referred to ….
  • How you may have been involved with the Department of … in the past
  • Whether you think the service/program is making or has made a difference for your family

4. Possible Risks

Sometimes there are risks for people who take part in studies. For example:

• You may feel uncomfortable by some of the questions asked during the study as they will be about your family and your personal experience of the service
• You may become upset during your discussion with the researcher due to the sensitive nature of the discussion (access to a counsellor will be arranged for you should this occur)
• You will need to give up some of your time to participate in the study
• You may need to travel to the service/program location to meet with a case worker or researcher about the study

The researcher undertaking the study will make every effort to ensure that any child or person participating in the study will not be harmed or stressed through their involvement. If a child or person participating in the research feel that they are becoming harmed or stressed while participating they will cease the interview immediately.

You can change your mind about taking part in this study at anytime if you wish to do so. This will not have any negative affect on your relationship with…

5. Privacy, Confidentiality and Sharing of Information

Any information we collect that can identify you will remain confidential and will only be used for this research. Any personal information will only be shared if you allow it, except as required by law. Your real name and location will not be used in this research.

Any information that you share with the researcher will not be given or discussed with ………..unless you give your permission.

If findings from the ‘Kids are Alright’ research project are published in any way, they will be published in a way that does not identify you, your child/children or your family.

6. Results of the Study

When your case study is finished you will be able to get a copy should you wish to do so.

At the end of the follow-up study, you will be told by phone or letter how the study data will be used in reporting to the department. Through the researcher, you will be able to get a copy of key findings from the study should you wish to do so.
7. **Further Information or Any Problems**

If you require further information regarding this study, you can contact:

*[insert position and contact details]*

8. **Other Issues**

If you have any complaints about anything to do with this study, the way it is being carried out or any questions about your rights, then you may contact:

University of ........Office for Research (07) 1234 5678

9. **Taking part is Voluntary**

Participation in this study is voluntary. If you do not wish to take part you do not have to. If you decide to take part and then change your mind, you are free to leave the study at any time by telling your [case worker] or the researcher that you do not want to be involved anymore.

Your decision about whether or not to take part, or to take part and then withdraw, will not affect your access to the service/program or your relationship with its staff.

10. **Ethical Guidelines**

This study will be carried out according to the *National Statement on Ethical Conduct in Research Involving Humans*[^5] produced by the National Health and Medical Research Council. This statement was developed to protect the interests of people who agree to take part in research studies.

Your service/program has given approval for the ‘Kids are Alright’ research project to go ahead *(if required)* at their office location and will also make sure your standards of care are upheld while you are involved in the activities.

INFORMATION AND CONSENT FORM

CONSENT FORM

Dated:……………………………………

Full Title: Pro-Social Interventions with Hard-to-Reach Youth in areas of high disadvantage
Short Title: The ‘Kids are Alright’ Project

I have read the Information sheet or have had it read to me in my first language. I understand the information provided and have been able to ask questions. I am satisfied with the answers I have received and understand the risks involved.

I understand that my taking part in the ‘Kids are Alright’ research project is voluntary and that I am free to withdraw at any time without comment or penalty.

I understand that if I have any further questions I can contact the Principal Research Officer (07) 3234 1506 or the University of ………Office for Research (07) 1234 5678

I understand that by taking part in this research, I agree to allow:
- A case worker to make my case file and notes available to a researcher
- A researcher to read my file and answer questions to create a case study
- A researcher to interview me during the time that I am involved with the service/program to answer questions for the research
- I can ask for someone else to be present at that interview
- A researcher to contact myself and my family in the future ….

I understand that the researcher has agreed not to reveal my identity and personal details if information about this project is published or presented in any public form. I also understand that any information that I share with the researcher will not be given or discussed with ………..unless I give permission for them to do so.

I freely agree to take part in this project as per the conditions in the Information Sheet.

Participant’s Name (printed) …………………………………………………………………………………
Signature……………………………………………………………………………………………………….. Date……………………

Name of Witness to Participant’s Signature (printed) ………………………………………………………
Signature ………………………………………………………………………………………………………….. Date……………………

Declaration by case worker/interviewer
I have given a verbal explanation of the research project, its procedures and risks and I believe that the participant has understood that explanation.

Name (printed) ………………………………………………………………………………………………………
Signature………………………………………………………………………………………………………… Date……………………

Participant must receive a copy of the Information and Consent Form to keep.
## Appendix 9: Research Contract Checklist

<table>
<thead>
<tr>
<th>CONTENT ITEM</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>4.1 Parties</strong>&lt;br&gt;The contract must identify:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• The legal title (including ACN/ABN), registered address and business name of the Research Organisation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• The State of Queensland through Department of Communities as ... (include address and ACN/ABN).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• If the proposed research organisation is not a government body, university, recognised independent research institute or organisation incorporated in Australia or an Australian citizen normally resident in Australia then the project proposal must be referred to the relevant Department of Communities service area RER unit.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| **4.2 Definitions**<br>Each term should be clearly defined. Check with the relevant service area RER unit for standard inclusions and terminology. |     |    |

| **4.3 Consideration**<br>Consideration is the exchange of promises by the parties to the contract. It can be the payment of money or the promise to do (or not do) a particular thing. A research contract must specify in detail: |     |    |
| • what outputs and/or outcomes the research project is to achieve; |     |    |
| • what tasks the departmental Unit/Facility/Branch agrees to carry out; and |     |    |
| • what resources will be made available by each of the parties. |     |    |

| **4.4 Effective Date**<br>The research contract should have a date stated as the contract date or effective date. This date is not necessarily the date when the contract is signed but rather the date from which all the contractual rights and obligations begin and from which point the term of the contract will commence. |     |    |

<p>| <strong>4.5 Term and Termination</strong>&lt;br&gt;Research contracts should be for a definite stated term. The term allowed for the research is to be reasonable and practical. The availability of facilities, equipment and any service delivery, research, or other obligations of the Researcher/s involved may affect the term. Research contracts should not automatically renew but can contain provisions requiring an affirmative action to renew. The contract must provide suitable mechanisms for termination. For termination before completion, written notice by the terminating party must be required. Upon termination before completion by the Chief Investigator, Department of Communities must be paid for all costs incurred or committed up to the date of termination. The agreement must be able to be terminated by the Department of Communities with immediate effect if the sponsoring service area Director is unable to continue to support the research project due to circumstances beyond the department’s control, or the Chief Investigator or Director determines that it is unsafe to continue. Upon termination the Department of Communities may seek reimbursement for all |     |    |</p>
<table>
<thead>
<tr>
<th>CONTENT ITEM</th>
<th>Yes</th>
<th>No</th>
</tr>
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<tbody>
<tr>
<td>costs incurred or committed up to the date of termination, including cost of closing the project (eg, staff contracts, leases, etc).</td>
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</table>

### 4.6 Payment
The total amount paid by the Department of Communities and every other organisation contributing funds for performance of the research project tasks must be stated. Goods and Services Tax will apply to amounts paid by the Department of Communities or to the Department of Communities unless the sponsor is a foreign entity.

The contract is to specify the amounts and manner in which payments will be paid. A system of regular progress payments is preferred. A working capital advance sufficient to cover start-up costs may be required. A final payment of ten per cent of the total contract price upon receipt of a final report and/or statement is acceptable.

### 4.7 Indemnity and insurance
The contract must contain provisions related to indemnity and insurance as required in the Department of Communities Research Indemnity and Insurance Guideline.

### 4.8 Intellectual Property
The ownership of all data, research, results and Intellectual Property (IP) of any kind developed or generated during the course of the research or resulting from the research must be managed in accordance with Department of Communities Research Intellectual Property Guideline.

Where the sponsor specifies proprietary IP that will be utilised in the research project:

- The department and the Chief Investigator may only use the research project IP as agreed with the sponsor.
- Ownership and use of any IP arising in or from methodologies and processes developed by the department in conducting the research project, or developed by the department for the purposes of supporting the research project, must be managed in accordance with Department of Communities Research Intellectual Property Guideline.

### 4.9 Records Maintenance and Inspection
The research contract should stipulate how records and related materials are to be stored, administered and disposed of.

The department and the Chief Investigator must allow regulatory authority personnel appropriate access to inspect research project records. The Chief Investigator has a right to attend any such inspections.

### 4.11 Confidential information
The Chief Investigator will have access to all information created in the course of the research project and the Project Manager and Research and Development Committee will require access to information related to the safety and care of clients participating in the research project.

There must be provisions requiring that all employees or agents of the external organisation sponsoring the research who become aware of any client information must comply with all applicable law and Department of Communities policy regarding confidentiality of client records and privacy.

### 4.12 Publication
As a general principle all research results are to be published.

The Research and Development Committee will review and approve research reports and presentation prior to publication and a mechanism for authorisation needs to be clearly expressed in the contract including who needs to obtain the
<table>
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<tr>
<th>CONTENT ITEM</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>authorisation, from whom and timeframes for seeking and obtaining authorisation.</td>
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</table>

### 4.13 Use of Parties Names
Neither the Department of Communities nor the Chief Investigator will use the name of the sponsoring external organisation in connection with any public announcement, advertising publication or promotion without prior written permission.
Neither the Chief Investigator nor the sponsoring external organisation will refer to the Department of Communities in connection with any public announcement, advertising publication or promotion without prior written permission.

### 4.14 Variation to Research Protocol
There must be a mechanism for changes in the research protocol if agreed between the parties.
If a change in protocol results in departure from generally accepted standards for human research or professional practice there must be an express mechanism for notification of these changes to the Research and Development Committee, the Human Research Ethics Committee and the Project Manager.
Review and approval of a change in research protocol must be managed in accordance with the Department of Communities Research Management Framework, in particular the Research Indemnity and Insurance Guideline and the Ethical and Legal Issues in Research Guideline.
The Chief Investigator should notify the project manager who will then liaise with the relevant service are RER unit or Evidence and Modelling Unit.

### 4.15 Compliance with Law and Acceptable Practice
The parties and the Chief Investigator must perform the research project in conformance with:
Generally accepted standards of good research practice.
The protocols and instructions agreed between the parties.
All applicable Australian laws and regulations governing the performance of human research, including but not limited to regulations and requirements of the NHMRC.
All required clearances, approvals and indemnities, including but not limited to ethics review, privacy clearances and client consent, must be obtained prior to commencement of the research project.

### 4.16 Assignment
Neither party should be entitled to assign or transfer any rights or obligations under this agreement without the prior written consent of the other. In the Department of Communities, this consent must be obtained from the Director-General.

### 4.17 Signatures
The signatures of the representatives of the sponsoring research organisation constitute final agreement with the terms and conditions of the contract including any schedules thereto.

The signature of the Director-General constitutes:
final agreement by the Department of Communities to participate in the research project;
an assurance that the research project is consistent with the Department of Communities’ Research Management Framework and priorities; and
an assurance that undertaking the research project will not conflict with the service delivery responsibilities of the Department of Communities.

The signature of an appropriately delegated representative of the Contract Research Organisation must be obtained. This signature constitutes an acceptance of the contract's terms and conditions covering technical and scientific performance of the research project and ownership, reporting and publication of the results.
<table>
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<tr>
<th>CONTENT ITEM</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>4.18 Schedules</strong></td>
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<tr>
<td>All agreements and plans referred to in the contract should be included as</td>
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<tr>
<td>schedules. Possible schedule items include:</td>
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<tr>
<td>The Research Project Protocol;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Task allocation for the sponsor, CRO, Department of Communities and Chief</td>
<td></td>
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<tr>
<td>Investigator; Agreed timetable/milestones outlined in the Project Plan, and</td>
<td></td>
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<tr>
<td>Payment details and budget.</td>
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Appendix 10: Research Application Process and Calendar (non-Australian Research Council Linkage Projects)

The following is intended to provide indicative timeframes for negotiation and approval of commissioned and collaborative research. For time-frames and processes relevant to consideration and approval of Australian Research Council Linkage Project proposals, please see Appendix 11. All timeframes indicated are the minimum required. Researchers should therefore make their initial approach to the Department of Communities well in advance to allow for any additional approvals that may be needed or any other contingencies. Initial contact by Researchers can be made by emailing the Evidence and Modelling Unit at research@communities.qld.gov.au. If research proposals are sought by the Department as part of an Invitation to Offer process, please consult departmental Procurement Policies and Procedures at http://comintranet.root.internal/finance/purchasing/policy-procedure/.

<table>
<thead>
<tr>
<th>Milestone</th>
<th>Communication and Documentation</th>
<th>Timeframe</th>
<th>Action</th>
</tr>
</thead>
</table>
| Approach from researcher⁶  | Researcher email and discussion with EMU, processing of request in consultation with service area RER unit/s | Week 1    | • A detailed proposal should be submitted to the Evidence and Modelling Unit (EMU) in the first instance. EMU officers will forward the proposal to the appropriate service area/s and RER unit/s for consideration if appropriate. EMU will ensure that the Researcher is provided with the Research Management Framework (including appended pro forma), and directed to prepare a submission using the “Research Protocol (Full)” Template (Appendix 3) if the initial proposal does not include at least the following:  
  o Researcher’s academic resume (qualifications, publications etc)  
  o Methodology  
  o Aims  
  o Background  
  o Ethics consideration (e.g. access to client data)  
  o Benefits to the department  
  o Alignment with whole of government and departmental strategic goals  
  o Requested levels of cash and in-kind support  
  o Costing breakdowns/Budget |
<table>
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<tr>
<th>Event</th>
<th>Timeframe</th>
<th>Details</th>
</tr>
</thead>
</table>
| Researcher directed by EMU to appropriate service area RER unit for discussion and Researcher provides Full Research Protocol | Weeks 2-4   | - EMU identifies the service area most likely to fund and project manage the research project, if supported, and provides the Researcher with an appropriate contact.  
- Researcher provides full Research Protocol to the nominated service area RER unit contact (see Appendix 3). This may be completed in consultation with the RER unit.  
- The service area RER unit decides if the project is research, observes relevant ethical and methodological standards, and aligns with the Department's strategic priorities. Where research proposals pertain to or impact upon more than one service area, the nominated coordinating RER unit seeks feedback from all relevant service areas through their RER units to make this determination. |
| RER unit identifies service area sponsor                              | Weeks 2-4   | - The service area RER unit liaises with relevant business units to obtain a service area sponsor for the project if one has not yet been identified in research project discussions.  
- Proposals will not be supported unless one or more departmental business units agree to become sponsors (providing both financial and in-kind support). Several business units (e.g. Office for Youth, Youth Justice Services, Office for Seniors) with the most relevance to the project will usually be invited to join discussions.  
- Researchers should expect to meet with service area sponsors at least three times during the approval process (or engage in detailed discussions if remotely located). |
<table>
<thead>
<tr>
<th>Service area RER unit advises and assists Researcher (communication by email, phone, or meetings, as appropriate) in finalising project documentation</th>
<th><strong>Weeks 2-4</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Where access to personal information is indicated in the Research Protocol, Application for the Release of Data under s297 (Appendix 4), Confidentiality and Data Management Agreements (Chief Investigator, Appendix 5, and Research Assistants, Appendix 6) and Licence to Use Data for Research Purposes (Appendix 7) forms must also be completed by the Researcher in consultation with the service area RER unit.</td>
<td></td>
</tr>
<tr>
<td>• The service area RER unit progresses consideration of data requests through internal consultation with departmental data managers, Legal Services, and relevant business units and service area or Regional Executive Directors, where appropriate.</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Service area RER unit emails response to researcher</th>
<th><strong>Weeks 5-8</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• If the proposal is <strong>not assessed as sound</strong> by the coordinating service area RER unit, the response with relevant feedback is emailed to the researcher</td>
<td></td>
</tr>
<tr>
<td>• If the research proposal <strong>is assessed as sound</strong> by the service area RER unit, and a service area sponsor has been identified, the unit:</td>
<td></td>
</tr>
<tr>
<td>o recommends project support to the service area Executive-Director, seeking their feedback and approval, and notifies them of all business units and service areas approached to review proposal and provide feedback to RER unit/s</td>
<td></td>
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<tr>
<td>o notifies the researcher of decision to proceed with internal assessment and consideration of project support</td>
<td></td>
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<tr>
<td>o outlines the review process and anticipated time-frames for the Researcher, noting that evidence of research approval by an appropriately constituted Human Research Ethics Committee will be required prior to any to departmental contract sign-off, but also that the Department’s ‘duty of care’ may require enhanced safeguards, in the preparation of Participant Information and Consent Forms, for example.</td>
<td></td>
</tr>
<tr>
<td>o internally coordinates and communicates incoming feedback from Directors/Executive Directors between service areas RER units, where more than one service area is considering the proposal. It is then the responsibility of each service area RER unit to notify their Directors/Executive Directors of feedback from other areas, as it is provided. In cases where the proposal is submitted for consideration and approval by Executive Directors from more than one service area, the coordinating service area RER unit notes all feedback provided, with</td>
<td></td>
</tr>
<tr>
<td>Service area Executive Director</td>
<td>Service area RER unit emails response to researcher</td>
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</tbody>
</table>
| consideration of project support and response to RER unit | If the proposal is **not supported** by the coordinating service area Executive Director, the RER unit notifies the Researcher and all relevant business unit/s and Service Area/s.  
If the proposal is **supported** by the coordinating service area Executive Director, the RER unit notifies the Researcher, relevant business unit/s and Service Area/s of decision to proceed with internal assessment and consideration of project support. | |

<table>
<thead>
<tr>
<th>Project Manager from service area appointed by Director</th>
<th>Project manager makes email contact with Researcher</th>
<th>Week 9</th>
</tr>
</thead>
</table>
| | Project Manager works closely with the service area RER unit for the duration of the research project, and fulfils any related duties after completion of the project.  
Project Manager must observe Department of Communities Research Management Framework and the Research Evaluation and Review Policy and Procedures  
Researcher is contacted by Project Manager and provided with Standard Conditions of Research | |

<table>
<thead>
<tr>
<th>Project Manager prepares Project Plan and Budget, and reviews research protocols (eg. Participant Consent and Information Forms) and progresses any data requests</th>
<th>Project Manager consults with Researcher by email</th>
<th>Week 10</th>
</tr>
</thead>
</table>
| | Project Plan and Budget developed by Project Manager using the Appendix 12: Project Plan Template on page 93 and Appendix 13: Basic Budget Template on page 102.  
Researcher provides all associated research protocols (eg. Participant Consent and Information Forms; see examples in Appendix 9) to the Project Manager.  
Project Manager, in consultation with RER unit and relevant business units, advises Researcher and assists with any changes necessary to align the Research Protocols with departmentally-observed ethical safeguards (consistent with the NHMRC). Project Manager seeks input by Indigenous groups where necessary, and Researcher/Research Assistants complete Blue Card working with Children checks where necessary above of the RMF Ethical and Legal Issues in Research Guideline on page 25.  
Service area RER unit and relevant business units satisfied with the procedure proposed by the Researcher if a duty of disclosure arises. | |

<table>
<thead>
<tr>
<th>Project Manager progresses any data requests</th>
<th></th>
<th>Week 10</th>
</tr>
</thead>
</table>
| | Project Manager and Researcher liaise with any other involved agencies (eg DET, QPS) regarding proposed access to their data and any related issues, as advised by the service area RER unit or EMU.  
Project Manager, in consultation with RER unit negotiates arrangements with regard to:  
  - How data will be supplied  
  - Who will have access  
  - How data will be stored | |
<table>
<thead>
<tr>
<th>Final endorsement from sponsoring service area Executive Director</th>
<th>Response from service area ED to RER unit/Project Manager.</th>
<th><strong>Week 11</strong></th>
<th>• RER unit, in coordination with the Project Manager, provides Project Plan and Budget to the sponsoring service area Executive Director seeking their final endorsement</th>
</tr>
</thead>
</table>
| Service area RER unit (in coordination with Project Manager) briefs and seeks advice from the RER Working Group | | **Week 12** | • RER unit, in coordination with Project Manager, prepares briefing material for, and seeks advice on, the proposed project from the RER Working Group either through out-of-session communication or during regular meetings, as appropriate.  
• RER Working Group advises on the strategic suitability of the proposal in terms of department priorities and evidence gaps in research. |
| Consideration of project approval by Associate Director-General and funding approval by the Minister | Project Manager emails response to Researcher, and, if supported, outlines contract development process set to commence. | **Weeks 14-18** | • Project Manager, in consultation with service area RER unit and EMU, prepares omnibus Memorandum for Approval, seeking project approval from the Associate Director-General and funding approval from the Minister, where appropriate. If funds are not intended to be drawn from the R&D Fund, the Project Manager is to seek approval from the appropriate financial delegate; depending on the scale of funding, this may be the Service Area Executive Director, up to the Director-General (consult RER units regarding Financial Delegations for each service area).  
• Researchers should expect to be called upon to provide more detailed information to aid the completion of this brief.  
• If the proposal is not supported, the Project Manager, in consultation with service area RER unit, notifies the researcher and all relevant business units and service areas.  
• If the proposal is supported, the Project Manager commences contract development and finalise data request forms. |
| Project Manager to finalise data release approvals and documentation, for signing by Researcher, Research Assistants and associated signatory authorities (eg. a University’s Dean of Research), prior to submission to Director-General | Researcher to provide all necessary supporting material for data request to Project Manager. | **Weeks 19-20** | • Project Manager, in consultation with RER unit or EMU, to seek data release approval by relevant service area RER unit/s, Executive Directors and data managers/custodians, and all documentation to be reviewed by the Legal Services Unit.  
• Where there is a release under s297 of the Youth Justice Act 1992, there are no delegations for approval below the Director-General. Except in special circumstances data must be de-identified. Costs must be covered by the Researcher unless otherwise negotiated with the business units.  
• Project Manager finalises appropriate data release documentation in consultation with RER unit, EMU, Legal Services Unit, relevant business units, and Researcher. Documentation supporting the release of departmental data for the purposes of research must stipulate provisions for any proposed research publications stemming from the use of this data. All such proposed publications must be provided to the department, reviewed by relevant RER units and business units and are subject to Director-General approval for publication. |
particularly in terms of the maintenance of privacy and client confidentiality.

- Project Manager provides the Data Licence, and Confidentiality and Data Management Agreements to the Researcher for review. The Researcher may seek advice from their research institution’s legal officers. Any related communications from the research institute should be directed through the Researcher. The Project Manager negotiates any requested changes or queries in consultation with the RER unit and Legal Services.

- Project Manager provides final data release documentation to the Researcher, for signing where indicated, along with any nominated Research Assistants seeking specified access to data, and the research institution’s appropriate signatory authority. Two original Data Licences must be signed by the signatory authority for submission to the Director-General, so that both the Department and the research institution may retain a copy.

- Data request forms signed by the Researcher and research institution may be submitted to the Director-General in an omnibus brief as part of final project approval and execution of contract documents (also already signed by the research institution; see below).

- Project Manager prepares Memorandum for Approval for submission to the Director-General, advising on all issues pertinent under s297. Accompanying documentation for consideration by the Director-General includes a letter to be drafted by the Project Manager specifying parameters of approved data access and use. If the request is approved, the letter is signed by the Director-General and mailed directly to the Researcher, in formal communication of the terms of agreement, alongside the Data Licence and Confidentiality and Data Management Agreements.

- Project Manager maintains contact with data managers/custodians regarding anticipated time-frame for requested data extraction/provision, pending Director-General approval.

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| Researcher contracted by Project Manager as per Standard Conditions of Research, and current State and departmental Procurement Policy and Procedures | Project Manager emails draft contract documents to Researcher and leads any related negotiation. Researcher reviews contract, submits any queries, and provides all other necessary documents | Weeks 19-22 | Project Manager prepares Research Contract in consultation with RER unit, Strategic Procurement Unit, Legal Services Unit, and relevant business units, and Researcher. Project Manager completes Research Contract Checklist (Appendix 3), and seeks approval to proceed from Strategic Procurement and Legal Services. A supplement addressing Intellectual Property and Moral Rights is generally developed alongside the Conditions of Contract or Short Form Conditions of Contract to specifying issues pertinent to the contracting of research goods and services under State Procurement Policy. For commissioned research, the Department generally retains Intellectual Property rights but allows scope for academic publication, subject to Department review and approval, particularly in relation to the maintenance of privacy and client confidentiality. The Project |
Manager, in consultation with the RER unit, EMU, relevant business units and Legal Services, negotiates the terms of Intellectual Property.

- Once approved, the Project Manager provides contract documents to the Researcher for review. The Researcher may seek advice from their research institution's legal or financial officers during the development of the contract. Any related communications from the research institution should be directed through the Researcher. Project Manager negotiates any requested changes or queries in consultation with the RER unit/s, Legal Services and/or Strategic Procurement. Any proposed changes and final documentation must be approved by Legal Services and Strategic Procurement.
- Final stage for all research protocols (e.g., Participant Consent and Information Forms) to be approved by the Project Manager and RER unit, and for Researcher to submit evidence of HREC approval to Project Manager.
- Where research protocols need to be revised and ethical approval has already been obtained by the Researcher, the appointed liaison for the research institution's HREC must approve all changes to these documents in accordance with obligations to monitor the project. The appointed liaison will advise the Researcher whether the changes require resubmission to the HREC at its next sitting.
- Researcher gains HREC approval for changes if necessary, and evidence of HREC approval is provided to the Project Manager.

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<thead>
<tr>
<th>Event</th>
<th>Approvals and Actions</th>
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<tbody>
<tr>
<td>Final contract documents approved by Legal Services Unit and Strategic Procurement Unit</td>
<td>Legal Services Unit and Strategic Procurement Unit email responses to Project Manager</td>
</tr>
<tr>
<td>Researcher submits contract and any data request documents to appropriate review and signatory authorities, and returns signed hard copies to the Project Manager</td>
<td>Project Manager emails final data request documents with the contract documents to Researcher for review and signing by appropriate parties</td>
</tr>
<tr>
<td>Project Manager seeks Director-General approval and execution of contract</td>
<td>Project Manager submission through Ministerial Correspondence</td>
</tr>
<tr>
<td>Director-General approves project and data release under s297, and signs contract</td>
<td>Response to Project Manager through Ministerial Correspondence. If approved, one copy of original data release</td>
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*Weeks 23-24*  
- Legal Services and Strategic Procurement Units review and approve final documents. If the commissioned research is part of an Invitation to Offer process (see [http://comtranet.root.internal/finance/purchasing/policy-procedure/](http://comtranet.root.internal/finance/purchasing/policy-procedure/)), the Strategic Procurement Officer must approve and sign appropriate documentation.

*Weeks 25-26*  
- Final contract and any data request documents provided to Researcher, for review and signing through appropriate research institution channels (e.g., Legal Services/Office of Research), signing multiple copies where indicated.

*Week 26*  
- Project Manager submits Memorandum for Approval to Director-General, seeking project approval and contract sign-off, and approval of any associated data requests.

*Weeks 27-30*  
- If the data request and project is not approved by the Director-General, the Project Manager notifies Researcher and all relevant business units and Service Areas.
- If the data request and project is approved by the Director-General, data release documents are mailed directly to Researcher. Contract documents and
<table>
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<tr>
<th>Task</th>
<th>Details</th>
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<tbody>
<tr>
<td>documents mailed directly to Researcher from DG’s office.</td>
<td>Contract returned to Project Manager, who sends one original contract to Researcher by registered mail, to be held by Office of Research or similar. Departmental copies to be retained in appropriate project files.</td>
</tr>
<tr>
<td>Project Manager submits project details into Research Register</td>
<td>Project Manager consults with EMU regarding use of Research Register. Week 31</td>
</tr>
<tr>
<td>Department releases project commencement funds</td>
<td>Project Manager initiates any project commencement payments. A departmental Purchase Order must be raised before the Department can accept any invoices from the research institution. Project Manager liaises with research institution’s financial office to oversee process. Weeks 31-32</td>
</tr>
<tr>
<td>Project Manager notifies departmental data managers/custodians of approval and initiates data extraction processes</td>
<td>Project Manager notifies data managers/custodians of Director-General approval under s297, and liaises with Researcher and data managers as appropriate. Departmental representatives must ensure that all necessary safeguards are in place when either identified or de-identified data are being released to a Researcher under s297. Such data must not be sent via email, for example. In turn, the Researcher must fulfil all obligations laid out in the Confidentiality and Data Management Agreements. Failure to observe appropriate safeguards in the handling or use of such data may be subject to legal recourse. Weeks 31-32</td>
</tr>
<tr>
<td>Project Manager leads ongoing departmental involvement in, monitoring of, and internal reporting on project</td>
<td>Project Manager should refer to the Project Plan and maintain currency of project information in the Research Register. Project Manager maintains regular communication with, and provides appropriate advice to, Researcher, relevant business units, service areas and other reporting channels (ie. are project milestones and reporting and communication requirements being met?). Researchers must consult the Project Manager regarding any proposed conference presentation or journal article submission related to the project work. The Project Manager, in consultation with RER unit and/or EMU, will advise Researcher of publication guidelines and channels for consideration of such requests, in most cases requiring approval by the Director-General.</td>
</tr>
<tr>
<td>Researcher provides interim reports to the Project Manager</td>
<td>Project Manager reviews any interim reports, documenting feedback for provision to the Researcher, including any feedback on the maintenance of privacy and confidentiality. Project Manager provides interim reports to, and invites comment by, all</td>
</tr>
</tbody>
</table>
| milestone and initiates any related payments. | involved Regions, business units, service area RER units and data managers/custodians. Regions and service area RER units report to Directors/Executive Directors as appropriate.  
- Project Manager provides departmental feedback to Researcher and negotiates any amendments to be undertaken by the Researcher, as appropriate and to the Department’s satisfaction, for example to maintain privacy and confidentiality.  
- Project Manager notifies Researcher of acceptance of milestone and initiates any milestone payments by raising Purchase Order.  
- Project Manager, in consultation with RER unit, determines the level of briefing required to report on project progress or to seek approval for publication or release to Industry Partners under s297 of the *Youth Justice Act 1992*.  
- Project Manager updates the Research Register. |
|---|---|
| Project Manager provides departmental feedback to Researcher and negotiates any amendments to be undertaken by the Researcher, as appropriate and to the Department’s satisfaction, for example to maintain privacy and confidentiality.  
Project Manager notifies Researcher of acceptance of milestone and initiates any milestone payments by raising Purchase Order.  
Project Manager, in consultation with RER unit, determines the level of briefing required to report on project progress or to seek approval for publication or release to Industry Partners under s297 of the *Youth Justice Act 1992*.  
Project Manager updates the Research Register. |  
| Project Manager provides final report to, and invites comment by, all involved Regions, business units, service area RER units and data managers/custodians. Regions and service area RER units report to Directors/Executive Directors as appropriate.  
Project Manager provides departmental feedback to Researcher and negotiates any amendments to be undertaken by the Researcher, as appropriate and to the Department’s satisfaction, for example to maintain privacy and confidentiality.  
Project Manager, in consultation with RER unit and EMU, prepares Memorandum for Approval, submitting final report and service area feedback, recommending that the Director-General accepts the project milestone as completed.  
A Ministerial brief for information may also be required, in consultation with the Strategic Communication Unit, particularly prior to public release of any reports.  
Pending Director-General approval, the Project Manager notifies Researcher of acceptance of milestone and initiates any milestone payments by raising Purchase Order.  
Project Manager updates the Research Register. |
| Researcher provides final report to the Project Manager |  
| Project Manager reviews final report, documenting feedback for provision to the Researcher, including any feedback on the maintenance of privacy and confidentiality.  
Project Manager provides final report to, and invites comment by, all involved Regions, business units, service area RER units and data managers/custodians. Regions and service area RER units report to Directors/Executive Directors as appropriate.  
Project Manager provides departmental feedback to Researcher and negotiates any amendments to be undertaken by the Researcher, as appropriate and to the Department’s satisfaction, for example to maintain privacy and confidentiality.  
Project Manager, in consultation with RER unit and EMU, prepares Memorandum for Approval, submitting final report and service area feedback, recommending that the Director-General accepts the project milestone as completed.  
A Ministerial brief for information may also be required, in consultation with the Strategic Communication Unit, particularly prior to public release of any reports.  
Pending Director-General approval, the Project Manager notifies Researcher of acceptance of milestone and initiates any milestone payments by raising Purchase Order.  
Project Manager updates the Research Register. |
| Project Manager progresses internal and external communication plan for research project findings, as appropriate (*e.g. Engaging Ideas* seminars, *Horizons* journal) |  
| Project Manager, in coordination with EMU, supports appropriate reporting and internal and external dissemination of project findings or reports, subject to necessary Director-General approvals. For example, Researchers may participate in a seminar for departmental, and if appropriate, inter-agency, staff to discuss research findings and participate in an ‘Engaging Ideas’ public seminar (as specified in the Conditions of Contract).  
Project Managers progress any plans to publish reports on GovNet the Department’s Infonet or public webpage in coordination with EMU and the |
Researchers must continue to consult the Project Manager regarding any proposed conference presentation or journal article submission related to the project work. The Project Manager, in consultation with EMU, will advise Researchers of publication guidelines and channels for consideration of such requests, in most cases requiring approval by the Director-General.
Appendix 11: Research Application Process and Calendar (Australian Research Council Linkage Grant Proposals)

The following is intended to provide indicative timeframes for negotiation and approval of Australian Research Council Linkage grant applications where the Department of Communities is an Industry Partner. All timeframes indicated are the minimum required for consideration and approval of such collaboration with the Department of Communities. Researchers should therefore make their initial approach to the Department of Communities well in advance to allow for any additional approvals that may be needed or any other contingencies.

Initial contact can be made by emailing the Evidence and Modelling Unit at research@communities.qld.gov.au.

<table>
<thead>
<tr>
<th>Milestone</th>
<th>Action and Duration</th>
<th>MAY Round 1</th>
<th>NOV Round 2</th>
<th>Weeks to uni deadline</th>
<th>Notes</th>
</tr>
</thead>
</table>
| Approach from researcher | Researcher email and discussion with EMU, processing of request in consultation with service area RER unit/s- 1 week. | Late Sept | Late March | 31 weeks | - A detailed proposal should be submitted to the Evidence and Modelling Unit (EMU) in the first instance. EMU officers will forward the proposal to the appropriate service area/s and RER unit/s for consideration if appropriate. EMU will ensure that the Researcher is provided with the Research Management Framework (including appended pro forma), and directed to prepare a submission using the "Research Protocol (Full)" Template (Appendix 3) if the initial proposal does not include at least the following:
  - Researcher’s academic resume (qualifications, publications etc)
  - Methodology
  - Aims
  - Background
  - Ethics consideration (e.g. access to client data)
  - Benefits to the department
  - Alignment with whole of government and departmental strategic goals
  - Requested levels of cash and in-kind support
  - Costing breakdowns/Budget
- EMU identifies the service area most likely to fund and project manage the research project, if supported, and provides the Researcher with an appropriate contact. |
| Researcher directed by EMU to appropriate service area RER unit for discussion and Researcher provides Full Research Protocol | Researcher meeting/discussions with appropriate service area RER unit/s | Early Oct | Early April | 30 weeks | - The Research Protocol (Appendix 3) should be submitted to the appropriate service area RER unit/s by the Researcher at least six months before the University internal deadline. This may be completed in consultation with the RER unit.
- The service area RER unit decides if the project is research, observes relevant ethical and methodological standards, and aligns with the Department’s strategic priorities. When research proposals pertain to or impact upon more than one service area, the nominated coordinating RER unit seeks feedback from all relevant service areas through their RER units to make this determination. |
<p>| Researcher finalises | Service area RER unit advises and assists Researcher | Early Oct | Early April | 29 weeks | - Where access to personal information is indicated in the Research Protocol, Application for the Release of Data under s297 (Appendix 4), Confidentiality and Data Management |</p>
<table>
<thead>
<tr>
<th>Event</th>
<th>Start Date</th>
<th>End Date</th>
<th>Duration</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>the Project Documentation (Research Protocol, data requests, evidence of ethics approval, budget) in consultation with service area RER unit</td>
<td></td>
<td></td>
<td></td>
<td>(communication by email, phone, or meetings, as appropriate) in finalising project documentation</td>
</tr>
<tr>
<td>Agreements (Chief Investigator, Appendix 5, and Research Assistants, Appendix 6) and Licence to Use Data for Research Purposes (Appendix 7) forms must also be completed by the Researcher in consultation with the service area RER unit.</td>
<td></td>
<td></td>
<td></td>
<td>• The service area RER unit progresses consideration of data requests through internal consultation with departmental data managers, Legal Services, and relevant business units and service area or Regional Executive Directors, where appropriate.</td>
</tr>
<tr>
<td>Service area RER unit provides preliminary response to researcher and, if relevant, progresses strategic assessment of proposal</td>
<td></td>
<td></td>
<td></td>
<td>Service area RER unit emails response to researcher Early Oct Early April 27 weeks • If the proposal is <strong>not assessed as sound</strong> by the coordinating service area RER unit, the response with relevant feedback is emailed to the researcher • If the research proposal <strong>is assessed as sound</strong> by the service area RER unit, and a service area sponsor has been identified, the unit: o recommends project support to the service area Executive-Director, seeking their feedback and approval, and notifies them of all business units and service areas approached to review proposal and provide feedback to RER unit/s o notifies the researcher of decision to proceed with internal assessment and consideration of project support o outlines the review process and anticipated time-frames for the Researcher, noting that evidence of research approval by an appropriately constituted Human Research Ethics Committee will be required prior any to departmental contract sign-off, but also that the Department’s ‘duty of care’ may require enhanced safeguards, in the preparation of Participant Information and Consent Forms, for example. o internally coordinates and communicates incoming feedback from Directors/Executive Directors between service areas RER units, where more than one service area is considering the proposal. It is then the responsibility of each service area RER unit to notify their Directors/Executive Directors of feedback from other areas, as it is provided. In cases where the proposal is submitted for consideration and approval by Executive Directors from more than one service area, the coordinating service area RER unit notes all feedback provided, with the decision to progress at this stage resting with the Executive Director from the sponsoring service area.</td>
</tr>
<tr>
<td>RER unit identifies service area sponsor</td>
<td>Early Oct</td>
<td>Late April</td>
<td>27 weeks</td>
<td>• RER unit liaises with relevant business units to obtain service area sponsor for the project if service area is not already involved in research project discussion • Proposals will not be supported unless one or more departmental business units agree to become sponsors (providing both financial and in-kind support). Several business units (e.g. Office for Youth, Youth Justice Services, Office for Seniors) with the most relevance to the project will usually be invited to join discussions.</td>
</tr>
<tr>
<td>Service area Executive Director consideration of project support and response to RER unit</td>
<td>Late Oct</td>
<td>Late April</td>
<td>26 weeks</td>
<td>• If the proposal is <strong>not supported</strong> by the coordinating service area Executive Director, the RER unit notifies the Researcher and all relevant business unit/s and Service Area/s. • If the proposal <strong>is supported</strong> by the coordinating service area Executive Director, the RER unit notifies the Researcher, relevant business unit/s and service area/s of decision to proceed with internal assessment and consideration of project support.</td>
</tr>
<tr>
<td>Project Manager from service area appointed by Director</td>
<td>Late Oct</td>
<td>Late April</td>
<td>26 weeks</td>
<td>• Project Manager works closely with the service area RER unit for the duration of the research project, and fulfils any related duties after completion of the project. • Project Manager must observe Department of Communities Research Management Framework and the Research Evaluation and Review Policy and Procedures • Researcher is contacted by Project Manager and provided with Standard Conditions of Research • Researchers should expect to meet with service area sponsors at least three times during</td>
</tr>
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</table>

Project manager makes email contact with Researcher 9 weeks |            |          |          |
<table>
<thead>
<tr>
<th>Task</th>
<th>Proposed Timescale</th>
<th>Notes</th>
</tr>
</thead>
</table>
| **Project Manager** prepares Project Plan and Budget, and reviews research protocols (e.g. Participant Consent and Information Forms) and progresses any data requests | Early Nov - Early May 24 weeks | • Project Plan and Budget developed by Project Manager using the Project Plan Template (Appendix 4) and Basic Budget Template (Appendix 5).
• Researcher provides all associated research protocols (e.g. Participant Consent and Information Forms; see examples in Appendix 9) to the Project Manager.
• Project Manager, in consultation with RER unit and relevant business units, advises Researcher and assists with any changes necessary to align the Research Protocols with departmentally-observed ethical safeguards (consistent with the NHMRC). Project Manager seeks input by Indigenous groups where necessary, and Researcher/Research Assistants complete Blue Card working with Children checks where necessary (see Ethical and Legal Issues in Research Guideline on page 25).
• Service area RER unit and relevant business units satisfied with the procedure proposed by the Researcher if a duty of disclosure arises. |
| **Project Manager** progresses any data requests | Early Nov - Early May 24 weeks | • Project Manager and Researcher liaise with any other involved agencies (eg DET, QPS) regarding proposed access to their data and any related issues, as advised by the service area RER unit or EMU.
• Project Manager, in consultation with RER unit negotiates arrangements with regard to: o How data will be supplied
o Who will have access
o How data will be stored
• RER Working Group advises on the strategic suitability of the proposal in terms of department priorities and evidence gaps in research. |
| **Final endorsement from sponsoring service area Executive Director** | Mid Nov - Mid May 22 weeks | • RER unit, in coordination with the Project Manager, provides Project Plan and Budget to the sponsoring service area Executive Director seeking their final endorsement. |
| **Service area RER unit (in coordination with Project Manager) briefs and seeks advice from the RER Working Group** | Late Nov - Late May 20 weeks | • RER unit, in coordination with Project Manager, prepares briefing material for, and seeks advice on, the proposed project from the RER Working Group either through out-of-session communication or during regular meetings, as appropriate.
• RER Working Group advises on the strategic suitability of the proposal in terms of department priorities and evidence gaps in research. |
| **ADG approval of project proposal** | Early Jan - Early July 16 weeks | • Project Manager, in consultation with service area RER unit and EMU, prepares Memorandum for Approval, seeking the Associate Director-General’s approval for the Department to participate in the research proposal as an Industry Partner.
• Researchers should expect to be called upon to provide more detailed information to aid the completion of this brief.
• If the proposal is not supported, the Project Manager, in consultation with service area RER unit, notifies the researcher and all relevant business units and service areas. If the proposal is supported, the Project Manager works with the Researcher to draft a departmental letter of support, for consideration and signing by the Director-General. |
| **Researcher provides letter of support text** | Early Jan - Early July | • The text for the letter of support should include information about:
  o Expected requirements for support (cash and in-kind)
  o Breakdown of staff hours to be dedicated to the project
  o Other in-kind contributions (e.g. use of intellectual property, equipment hire, data retrieval etc)
  o Intellectual Property Arrangements
The text will then be negotiated and approved by sponsoring business units and Evidence and Modelling Unit. |
<p>| <strong>Director/DG sign-off</strong> | Early Feb - Early Aug 12 weeks | • Project Manager, in coordination with RER units, EMU and business units, briefs the Directors, DG and Ministers. Researchers should expect to be called upon to provide |</p>
<table>
<thead>
<tr>
<th>Step</th>
<th>Timeframe</th>
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<tbody>
<tr>
<td><strong>Minister’s briefings 10 weeks</strong></td>
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<tr>
<td><strong>More detailed information to complete these briefs.</strong></td>
<td></td>
</tr>
<tr>
<td>If funds are intended to be drawn from the R&amp;D Fund, the Project Manager prepares an omnibus Memorandum for Approval, seeking approval for the proposal from the Director-General and funding approval from the Minister (see below). As part of this submission, the Project Manager recommends that the Director-General sign the letter of support.</td>
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<tr>
<td>If funds are not intended to be drawn from the R&amp;D Fund, the Project Manager is to seek funding approval from the appropriate financial delegate prior to submission of the Memorandum for Approval to the Director-General. Depending on the scale of funding, this may require approval from the service area Executive Director, Deputy Director-General or Director-General (consult RER units regarding Financial Delegations for each service area).</td>
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<tr>
<td><strong>Ministerial Sign-off</strong></td>
<td></td>
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<tr>
<td><strong>Minister’s briefings 10 weeks</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Letter of Support provided to Researcher</strong></td>
<td>Mid April - Mid Oct, 2 weeks</td>
</tr>
<tr>
<td>If funds are intended to be drawn from the R&amp;D Fund, the omnibus brief recommends that the Minister approve funding for the proposal.</td>
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<tr>
<td>No further action until Researcher notifies Project Manager of success of proposal.</td>
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<tr>
<td><strong>Letter of Support provided to Researcher</strong></td>
<td>Late April - Late Oct, 1 week</td>
</tr>
<tr>
<td><strong>Researcher submits proposal to University Office for Research</strong></td>
<td>Late April - Early Nov, Submission</td>
</tr>
<tr>
<td><strong>University submission to ARC</strong></td>
<td>May - November, Submission</td>
</tr>
<tr>
<td><strong>Researcher notifies Project Manager of ARC response</strong></td>
<td>November - May, 1 week</td>
</tr>
<tr>
<td>If the proposal is <strong>not supported</strong>, the Project Manager notifies the service area RER unit, relevant business units and service areas.</td>
<td></td>
</tr>
<tr>
<td>If the proposal is <strong>supported</strong>, the Project Manager notifies the service area RER unit, relevant business units and service areas, finalises any data request forms, and reviews draft Partner Organisation Agreement (contract) once provided by the University Office for Research.</td>
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</tr>
<tr>
<td>University Office for Research submits draft contract to Project Manager and other Industry Partners for review</td>
<td></td>
</tr>
<tr>
<td><strong>Project Manager provides response to University Office of Research, and if necessary negotiates terms with Researcher</strong></td>
<td></td>
</tr>
<tr>
<td>University Office for Research must also alert the Project Manager of any deadlines specified in the ARC Funding Agreement for the provision of project funds by Partner Organisations (for example within 12 months of the University signing the ARC Funding Agreement). University Offices for Research must allow sufficient time for departmental review of contract and completion of associated Schedules, any subsequent negotiations between the University and Industry Partners, and briefing of the Director-General for signing of the Partner Organisation Agreement.</td>
<td></td>
</tr>
<tr>
<td>Project Manager reviews Agreement in consultation with RER unit, business units, Legal Services Unit, and Researcher, negotiating any amendments and completing the Schedules with advice and approval from Legal Services, as required. Schedules should detail the research products and services (including interim and final reports) that will be provided to Industry Partners at relevant milestones, as well as the department’s financial and in-kind support.</td>
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</tr>
<tr>
<td>Intellectual Property rights are generally held collectively by Industry Partners, or held by the University. In both cases, there is usually scope provided for academic publication, subject to review of the proposed publication and agreement by Industry Partners, such approval not to be unreasonably withheld. Related terms are specified in the Partner</td>
<td></td>
</tr>
<tr>
<td>Project Manager to finalise data release approvals and documentation, for signing by Researcher, Research Assistants and associated signatory authorities (eg. a University's Dean of Research), prior to submission to Director-General</td>
<td>Researcher to provide all necessary supporting material for data request to Project Manager.</td>
</tr>
</tbody>
</table>

- Project Manager consults Research Contract Checklist (Appendix 3), and seeks approval of the final Partner Organisation Agreement from the Legal Services Unit.
- Final stage for all research protocols (eg. Participant Consent and Information Forms) to be approved by the Project Manager and RER unit, and for Researcher to submit evidence of HREC approval to Project Manager.
- Where research protocols need to be revised and ethical approval has already been obtained by the Researcher, the appointed liaison for the research institution’s HREC must approve all changes to these documents in accordance with obligations to monitor the project. The appointed liaison will advise the Researcher whether the changes require resubmission to the HREC at its next sitting.
- Researcher gains HREC approval for changes if necessary, and evidence of HREC approval is provided to the Project Manager and other Industry Partners.

- Organisation Agreement to the department’s satisfaction. Where Department of Communities data is provided for research purposes (including under Section 297 of the Youth Justice Act 1992), proposed publications stemming from this work are subject to Director-General for approval, particularly in terms of the maintenance of privacy and client confidentiality.

- Project Manager, in consultation with RER unit or EMU, to seek data release approval by relevant service area RER unit/s, Executive Directors and data managers/custodians, and all documentation to be reviewed by the Legal Services Unit.
- Where there is a release under s297 of the Youth Justice Act 1992, there are no delegations for approval below the Director-General. Except in special circumstances data must be de-identified. Costs must be covered by the Researcher unless otherwise negotiated with the business units.
- Project Manager finalises appropriate data release documentation in consultation with RER unit, EMU, Legal Services Unit, relevant business units, and Researcher. Documentation supporting the release of departmental data for the purposes of research must stipulate provisions for any proposed research publications stemming from the use of this data. All such proposed publications must be provided to the department, reviewed by relevant RER units and business units and are subject to Director-General approval for publication, particularly in terms of the maintenance of privacy and client confidentiality. Director-General approval must also be secured before proposed publications are able to be provided to other Industry Partners.
- Project Manager provides the Data Licence, and Confidentiality and Data Management Agreements to the Researcher for review. The Researcher may seek advice from their research institution’s legal officers. Any related communications from the research institute should be directed through the Researcher. The Project Manager negotiates any requested changes or queries in consultation with the RER unit and Legal Services.
- Project Manager provides final data release documentation to the Researcher, for signing where indicated, along with any nominated Research Assistants seeking specified access to data, and the research institution’s appropriate signatory authority. Two original Data Licences must be signed by the signatory authority for submission to the Director-General, so that both the Department and the research institution may retain a copy.
- Data request forms signed by the Researcher and research institution may be submitted to the Director-General in an omnibus brief as part of final project approval and execution of contract documents.
- Project Manager prepares Memorandum for Approval for submission to the Director-General, advising on all issues pertinent under s297. Accompanying documentation for consideration by the Director-General includes a letter to be drafted by the Project Manager specifying parameters of approved data access and use. If the request is approved, the letter is signed by the Director-General and mailed directly to the
<table>
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<tr>
<th>Event</th>
<th>Description</th>
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<tbody>
<tr>
<td>Final Partner Organisation Agreement and data release documents approved by Legal Services Unit</td>
<td>Legal Services Unit emails response to Project Manager, who emails Partner Organisation Agreement to University Office of Research contact and data release forms to Researcher.</td>
</tr>
<tr>
<td>Project Manager maintains contact with data managers/custodians regarding anticipated time-frame for requested data extraction/provision, pending Director-General approval.</td>
<td>Legal Services Unit reviews and approves final documents.</td>
</tr>
<tr>
<td>Researcher submits data request documents to appropriate review and signatory authorities, and returns signed hard copies to the Project Manager</td>
<td>Project Manager emails final data request documents to Researcher for review and signing by appropriate parties.</td>
</tr>
<tr>
<td>University Office of Research provides hard copies of Partner Organisation Agreement for sign-off</td>
<td>Office of Research provides multiple copies of Partner Organisation Agreement for signing, one copy for each partner.</td>
</tr>
<tr>
<td>Project Manager seeks Director-General approval and signing of Partner Organisation Agreement</td>
<td>Project Manager submits Memorandum for Approval to Director-General, seeking approval and signing of Agreement, and approval of any associated data requests.</td>
</tr>
<tr>
<td>Director-General approves data release under s287, and signs Partner Organisation Agreement</td>
<td>If the Partner Organisation Agreement and any data requests are not approved by the Director-General, the Project Manager notifies Researcher and all relevant business units and service areas. If the Partner Organisation Agreement and any data request are approved by the Director-General, data release documents are mailed directly to the Researcher. All copies of the Partner Organisation Agreement and the department’s copy of data release documents are returned to Project Manager, who sends all copies of the Partner Organisation Agreement to the University Office of Research by registered mail.</td>
</tr>
<tr>
<td>Event</td>
<td>Details</td>
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</tr>
<tr>
<td>University signs Partner Organisation Agreement</td>
<td>Project Manager, who sends them to the Office of Research by registered mail.</td>
</tr>
<tr>
<td>Project Manager submits project details into Research Register</td>
<td>Office of Research delivers signed Agreement to Project Manager.</td>
</tr>
<tr>
<td>Department releases project commencement funds</td>
<td>Once the University signs the Partner Organisation Agreement, a complete copy is delivered by the Office of Research to the Project Manager. Departmental copies to be retained in appropriate project files.</td>
</tr>
<tr>
<td>Project Manager notifies departmental data managers/custodians of approval and initiates data extraction processes</td>
<td>All research involving the Department of Communities must be included and regularly updated on the Research Register by the Project Manager. EMU regularly reports on research activity documented in the Research Register to the Strategy and Delivery Committee.</td>
</tr>
<tr>
<td>Project Manager leads ongoing departmental involvement in, monitoring of, and internal reporting on project</td>
<td>Project Manager initiates any project commencement payments. A departmental Purchase Order must be raised before the Department can accept any invoices from the research institution. Project Manager liaises with research institution’s financial office to oversee process.</td>
</tr>
<tr>
<td>Project Manager provides interim reports and any proposed publications to the Project Manager</td>
<td>ARC Linkage project payments by Industry Partners are generally made in instalments every 12 months.</td>
</tr>
<tr>
<td>Project Manager and Researcher maintain communication, support and reporting requirements as set out in the Partner Organisation Agreement Schedules.</td>
<td>Project Manager notifies data managers/custodians of Director-General approval under s297, and liaises with Researcher and data managers as appropriate. Departmental representatives must ensure that all necessary safeguards are in place when either identified or de-identified data are being released to a Researcher under s297. Such data must not be sent via email, for example. In turn, the Researcher must fulfil all obligations laid out in the Confidentiality and Data Management Agreements. Failure to observe appropriate safeguards in the handling or use of such data may be subject to legal recourse.</td>
</tr>
<tr>
<td>Project Manager and other relevant business unit or RER unit representatives participate in regular Project Steering Committee meetings involving the research team and Industry Partners, as set out in the Schedules to the Partner Organisation Agreement.</td>
<td>Project Manager and other relevant business unit or RER unit representatives participate in regular Project Steering Committee meetings involving the research team and Industry Partners, as set out in the Schedules to the Partner Organisation Agreement.</td>
</tr>
<tr>
<td>Project Manager maintains regular communication with, and provides appropriate advice to, Researcher, relevant business units, service areas and other reporting channels (ie. are project milestones and reporting and communication requirements being met?).</td>
<td>Project Manager maintains regular communication with, and provides appropriate advice to, Researcher, relevant business units, service areas and other reporting channels (ie. are project milestones and reporting and communication requirements being met?).</td>
</tr>
<tr>
<td>Project Manager should refer to the Project Plan and maintain currency of project information in the Research Register.</td>
<td>Project Manager should refer to the Project Plan and maintain currency of project information in the Research Register.</td>
</tr>
<tr>
<td>Researchers must consult the Project Manager regarding any proposed conference presentation or journal article submission related to the project work. The Project Manager, in consultation with RER unit and/or EMU, will advise Researcher of publication guidelines and channels for consideration of such requests, in most cases requiring approval by the Director-General. In some cases, Director-General approval may also be required before proposed publications may be provided to other Industry Partners.</td>
<td>Researchers must consult the Project Manager regarding any proposed conference presentation or journal article submission related to the project work. The Project Manager, in consultation with RER unit and/or EMU, will advise Researcher of publication guidelines and channels for consideration of such requests, in most cases requiring approval by the Director-General. In some cases, Director-General approval may also be required before proposed publications may be provided to other Industry Partners.</td>
</tr>
<tr>
<td>Project Manager reviews any interim reports, documenting feedback for provision to the Researcher, including any feedback on the maintenance of privacy and confidentiality.</td>
<td>Project Manager reviews any interim reports, documenting feedback for provision to the Researcher, including any feedback on the maintenance of privacy and confidentiality.</td>
</tr>
<tr>
<td>Project Manager provides interim reports to, and invites comment by, all involved Regions, business units, service area RER units and data managers/custodians. Regions and service area RER units report to Directors/Executive Directors as appropriate.</td>
<td>Project Manager provides interim reports to, and invites comment by, all involved Regions, business units, service area RER units and data managers/custodians. Regions and service area RER units report to Directors/Executive Directors as appropriate.</td>
</tr>
<tr>
<td>Project Manager provides departmental feedback to Researcher and negotiates any amendments to be undertaken by the Researcher, as appropriate and to the Department’s satisfaction, for example regarding the maintenance of privacy and confidentiality.</td>
<td>Project Manager provides departmental feedback to Researcher and negotiates any amendments to be undertaken by the Researcher, as appropriate and to the Department’s satisfaction, for example regarding the maintenance of privacy and confidentiality.</td>
</tr>
<tr>
<td>Project Manager, in consultation with RER unit, determines the level of briefing required to...</td>
<td>Project Manager, in consultation with RER unit, determines the level of briefing required to...</td>
</tr>
</tbody>
</table>
The Department of Communities is often asked to give ‘in-principle’ support to research collaboration projects. The department’s position is to reject these requests because there is no scope under the Research Management Framework to give ‘in-principle’ support to research projects not developed by the department, before or after review by a Human Research Ethics Committee (HREC).

For example, an HREC may require alteration of the methodology to a form that is less agreeable to the department. From this perspective, not providing ‘in-principal support’ preserves the right of the organisation to withdraw from a research project where the department has legitimate concerns over preservation of its ability to carry out its duty of care to protect the rights of any clients or staff who are asked to participate in the research, to consent to such participation freely and to withdraw from the project at any time without explanation or penalty.
Appendix 12: Project Plan Template

Research Management Project Plan Template

<table>
<thead>
<tr>
<th>Project Title</th>
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</table>

<table>
<thead>
<tr>
<th>Principal Researcher contact details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Researcher’s Name</td>
</tr>
<tr>
<td>Research Address</td>
</tr>
<tr>
<td>Researcher Email</td>
</tr>
<tr>
<td>Researcher’s Organisation (e.g. University)</td>
</tr>
<tr>
<td>Type of research (eg PhD, Honours, Commissioned project etc)</td>
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<table>
<thead>
<tr>
<th>Department of Communities use only</th>
</tr>
</thead>
<tbody>
<tr>
<td>File Reference Number:</td>
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</table>

<table>
<thead>
<tr>
<th>Project summary in plain English</th>
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</table>

<table>
<thead>
<tr>
<th>Please indicate the following key dates for this project</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approval Date</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Please indicate where the research will take place</th>
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<tbody>
<tr>
<td>Research Site/s</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Name of Business Unit acting as project leader</th>
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</table>

<table>
<thead>
<tr>
<th>Project Manager nominated by project leader</th>
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</thead>
<tbody>
<tr>
<td>Tel:</td>
</tr>
<tr>
<td>E-mail</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Job title of Project Manager</th>
</tr>
</thead>
</table>
Other Department of Communities Business Units involved in the research project

Part A: Business Case

Purpose

Outputs

Related projects

Participants

Stakeholders

Sources of cash funding for the project

<table>
<thead>
<tr>
<th>Source</th>
<th>Amount $</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department of Communities</td>
<td></td>
</tr>
<tr>
<td>Australian Research Council</td>
<td></td>
</tr>
<tr>
<td>National Health and Medical Research Council</td>
<td></td>
</tr>
<tr>
<td>University/Research Institute</td>
<td></td>
</tr>
<tr>
<td>Scholarship</td>
<td></td>
</tr>
<tr>
<td>Business</td>
<td></td>
</tr>
<tr>
<td>Queensland Government</td>
<td></td>
</tr>
<tr>
<td>Local Government</td>
<td></td>
</tr>
<tr>
<td>Federal Government</td>
<td></td>
</tr>
<tr>
<td>Charity/ Not-for profit organisation</td>
<td></td>
</tr>
<tr>
<td>Research Foundation</td>
<td></td>
</tr>
<tr>
<td>Other Please specify</td>
<td></td>
</tr>
<tr>
<td>Total Cash Contribution for duration of project</td>
<td>$</td>
</tr>
</tbody>
</table>
## In-Kind Support

### Staff

<table>
<thead>
<tr>
<th>Staff #1</th>
<th>Role and Grade (eg AO6, Policy Officer)</th>
<th>% Full time Position</th>
<th>On Costs $</th>
<th>Total annual $</th>
<th>Total for duration of Project $</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff #2</td>
<td>Grade</td>
<td>% Full time Position</td>
<td>On Costs $</td>
<td>Total annual $</td>
<td>Total for duration of Project $</td>
</tr>
<tr>
<td>Staff #3</td>
<td>Grade</td>
<td>% Full time Position</td>
<td>On Costs $</td>
<td>Total annual $</td>
<td>Total for duration of Project $</td>
</tr>
<tr>
<td>Staff #4</td>
<td>Grade</td>
<td>% Full time Position</td>
<td>On Costs $</td>
<td>Total annual $</td>
<td>Total for duration of Project $</td>
</tr>
</tbody>
</table>

Total $ contribution by staff $ 

### Other

<table>
<thead>
<tr>
<th>Specify (eg facilities record retrieval, equipment hire)</th>
<th>Total for duration of Project $</th>
</tr>
</thead>
<tbody>
<tr>
<td>Specify (eg facilities record retrieval, equipment hire)</td>
<td>Total for duration of Project $</td>
</tr>
<tr>
<td>Specify (eg facilities record retrieval, equipment hire)</td>
<td>Total for duration of Project $</td>
</tr>
</tbody>
</table>

Total "other" contribution for duration of Project $ 

### Cash

| Total Cash Contribution for duration of project | $ |

### Total contribution of Department of Communities for duration of project (Staff + Cash + Other) $
Part B: Research Project Management

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requirement</td>
<td>Frequency</td>
</tr>
<tr>
<td>Requirement</td>
<td>Frequency</td>
</tr>
<tr>
<td>Requirement</td>
<td>Frequency</td>
</tr>
</tbody>
</table>

Outline planned quality assurance methods and activities

Communication

<table>
<thead>
<tr>
<th>What</th>
<th>How</th>
<th>With/To Whom</th>
<th>When/how often</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

Information management

<table>
<thead>
<tr>
<th>Document Type/Name</th>
<th>Electronic Location</th>
<th>Hard copy location</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

Outline plans for dissemination and implementation of research
(Complete schedule below or include Gantt chart. For a multi-site project a separate schedule is required for each participating site)

<table>
<thead>
<tr>
<th>Activity/Task</th>
<th>Accountable Officer/s</th>
<th>Duration</th>
<th>Months</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Jan</td>
</tr>
<tr>
<td><strong>Project implementation activities</strong></td>
<td></td>
<td></td>
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<tr>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>Project management activities</strong></td>
<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>
Explanatory Notes for Project Plan

Note:
The project plan template and these notes are intended to support the planning process and assist with subsequent management of the project by capturing the key information. The amount of time invested in planning, and the information captured in the plan should be commensurate with the needs and nature of the project and the people involved in its development and implementation. The tables included in some sections of the template are examples only, providing an indication of the issues to be considered and information to be captured. Use whatever is best suited to the people involved and the project.

Project Title
Succinct description of project.

Project Summary
A concise summary of goals and methods that captures the essence of the project and guides the planning process.

Every research project must have a Department of Communities Region, Branch, or Unit (Business Unit) as project leader. The project leader is responsible for coordinating the collaboration between the department, the research team and the research sponsor. Business Units acting as project leaders are encouraged to appoint a member of staff as project manager, to act as the point of first contact and liaison between the Principal Researcher and the department.
Part A: Business Case

This section of the plan provides an overview and justification for the project. This includes information on the purpose and benefits of the project, why it should be implemented, what it will deliver, how and when, and the associated costs, assumptions, constraints and risks.

Purpose

The project purpose describes what will be changed as a result of the project. It captures the effect or impact that the project should have and is the reason for project outputs. It also provides the criteria by which the ultimate success of the project will be determined (ie. at post implementation review).

Outputs

Project outputs are the achievements or deliverables which will be accomplished as a direct result of, and occur by the end of, the implementation phase of the project. That is, they are the specific end results of the project and their satisfactory completion signals the end of the implementation phase. These can include:
what will have been achieved (eg. Study completed to a quality standard)
what will have been produced (eg. protocols, training program, information system).

Outputs should be expressed as a deliverable - ie. what will be in place or what will have been achieved, which will contribute towards the purpose, not how. They should answer the question … 'by the end of the project we will have…'

Related Projects

If relevant, briefly describe any other research projects/initiatives (past, present or planned) that are relevant to the current project. This is particularly important where there are dependencies between them (e.g. the completion of this project depends on activities or deliverables from other projects/initiatives, or visa versa).

Participants

List the key people, groups, and organisations participating in the research project and provide a brief description of their planned contributions to the project.

Stakeholders

List the other individuals/organisations/groups who have an interest in or will be influenced by the project and provide a brief description of the nature of their relationship to the project.

Project resources – cash funding

Please list all sources and amounts of funds provided for the research project.

Project resources – in-kind

Please list major sources of in-kind support for the project (e.g. staff, equipment, access to clients or their records, etc) and an estimate of the dollar value of that support.

Part B: Research Project Management
This section of the plan provides specific information on how the project will be implemented and managed throughout both the implementation and finalisation phases.

Please indicate the type and frequency of progress reports required for this project, particularly reports required by the Department of Communities and the research sponsor.

Provide an overview of project quality assurance, including:
methods for verifying reliability and accuracy of project results
method for estimating level of achievement of project outputs
method for estimating the impact of the project (eg. changes to client outcomes, case management, practice, policy, community benefit)

Communication

This section aims to capture the key elements of the approach to communication within the project which will ensure timely and effective flow of information between all relevant partners/stakeholders. That is:
what information needs to be communicated (eg. progress, issues arising, feedback, etc.)
how the communication will occur (eg. newsletter, team meetings, steering committee meetings, status reports, minutes, e-mails, Infonet and other intranets)
who will be involved in the communication process
when or how often the communication is required.

Information Management

Provide a summary of how and where key electronic and hard copy information related to the project will be stored. For electronic information, identify the file path and name. It may also be valuable to provide an overview of the folder structure to be used, particularly where multiple staff will be working on the project and accessing information electronically. For hardcopies of documents, provide details of the file name, number and location as relevant.

Project scheduling is the process of sequencing the project’s activities (and/ or tasks) to ensure that the project objectives are achieved on time, within budget and to the desired quality. The project schedule is the key management tool and provides information on:
tasks required:
responsibility for ensuring tasks are completed
relationship and duration of activities
when key milestones are expected to be reached
when the project will be completed.

The schedule included in the template has two parts:
activities/tasks related to achievement of the project objectives
project management activities (eg. communication strategies, reporting requirements, team meetings and development activities, contract management work, key review points).
## Appendix 13: Basic Budget Template

### Basic Budget (Minimum List of Cost Items)

<table>
<thead>
<tr>
<th>Procedure/Process</th>
<th>Fee</th>
<th>Period</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recruit Participants (Project explanation, consent)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Access (Client Records, etc)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Data processing (de-identification of records etc)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administration</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Manager (including on costs)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Departmental Staff (including on costs)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Temporary Staff (actual)</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Other Staff Costs not included above</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Travel</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment Purchase/Lease</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sub-Total</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Budget Required</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research Infrastructure Charge (Commercial, 20%)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Project Cost</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>