# Welcome to the 2023 NHMRC-IACR Survey

NHMRC funding is awarded through Administering Institutions, which include universities, hospitals and medical research institutes that meet defined research governance requirements. Administering Institutions are expected to demonstrate significant ability in research for improving health and medical outcomes for Australia and must ensure that each research activity is carried out in an ethical, responsible, diligent, and competent manner and in accordance with the approved grant application.

To retain Administering Institution status, all Administering Institutions are required to submit an Institutional Annual Compliance Report (IACR) annually, detailing their ongoing compliance with the [NHMRC Funding Agreement](https://www.nhmrc.gov.au/funding/manage-your-funding/funding-agreement) and other relevant policies for the previous calendar year.

Please note that all NHMRC Administering Institutions will be required to answer the full IACR survey, even if your institution has not administered any NHMRC funding in the reporting year.

The 2023 IACR survey questions relate to events/activities that occurred from 1 January 2023 to 31 December 2023 (the reporting year) only, unless otherwise speciﬁed.

The IACR survey was sent to Primary RAOs by email on 12th February 2024.

Following feedback from last year, we will be conducting the survey using a private survey in [Citizen Space](https://www.delib.net/citizen_space), an accessible online platform, with the ability for institutions to enter and save data and come back to the response at any time before finalising the submission. As you proceed through the survey, you can navigate back to previous responses using the "First” button but will need to complete the page you are on with the required responses, before being able to use this button.

In addition, an offline writable form document of the full 2023 IACR survey questions is available below and via our [website](https://www.nhmrc.gov.au/funding/manage-your-funding/reporting/institutional-annual-compliance-reporting). This writable offline form supports Administering Institutions in collating the response on behalf of multiple areas of the institution ahead of the submission of the survey.

Note - some questions in the offline form may not appear in the online IACR survey as only relevant questions will appear and this will depend on your responses. NHMRC suggests that institutions answer all questions in the offline form and use this as part of their internal record.

In addition to the IACR survey, if your institution no longer requires Administering Institution status please advise NHMRC via a letter from your Chief Executive Officer or Delegate (this is likely to be the Primary Responsible Officer) to administering.institutions@nhmrc.gov.au

Due date

The IACR survey submission due date is 27 March 2024 at 5.00pm AEDT.

Contact NHMRC via administering.institutions@nhmrc.gov.au if you are unable to meet this deadline. Failure to do so may affect the Administering Institution’s ability to apply for and be awarded grants.

User guide

NHMRC has made a user guide available to provide guidance for filling out the online survey. The user guide is available below or from our website.

Contact for further information

For further information, direct any enquiries regarding the IACR to [administering.institutions@nhmrc.gov.au](administering.institutions%40nhmrc.gov.au)

## 2023 Institutional Annual Compliance Reporting Survey

### Part A.1 – About the Institution – Page 1 of 24

#### PART A: General Administration and Use of Funds

1. Institution name (legal name as per your ABN registration).
(Required)

 Click or tap here to enter text.

1. What’s your Administering Institution’s trading name or preferred name for NHMRC Administering Institutions List? ('trading name' can be the same as the legal name or the name the company uses every day)
 (Required)

 Click or tap here to enter text.

1. If known, what is your Research Organization Registry (ROR) ID?
(ROR IDs are expressed as a URL. For more information see <https://ror.org/registry/> )
Please specify

 Click or tap here to enter text.

### Part A.2 – Financial audit – Page 2 of 24

1. When was the institution’s last general audit by an external, independent auditor?
(Required – check one box only)

 [ ]  Prior to 2019

 [ ]  2019

 [ ]  2020

 [ ]  2021

 [ ]  2022

 [ ]  2023

 [ ]  No audit has taken place

1. With respect to the Administering Institution's income from, and expenditure of, NHMRC funding (specifically), when was this last audited by an external, independent auditor?
(This may be prior to the period this IACR covers)
(Required – check one box only)

 [ ]  Prior to 2019

 [ ]  2019

 [ ]  2020

 [ ]  2021

 [ ]  2022

 [ ]  2023

 [ ]  No audit has taken place

If answer to the question above is 'No audit has taken place', provide an explanation in the text box below. If not applicable, enter 'N/A' in the text box below.

 Click or tap here to enter text.

1. Were there any recommendations in the most recent audit report that relate to NHMRC funding?
(Required – check one box only)

 [ ]  Yes

 [ ]  No

### Part A.3 – Audit findings – Page 3 of 24 (this page will only be required if answered ‘Yes’ to question 6 above)

1. Briefly describe the recommendations and if available provide a URL link to the report.
Please specify (Required)

 Click or tap here to enter text.

1. Have all audit recommendations that relate to NHMRC funding been actioned?
(Required – check one box only)

 [ ]  Yes

 [ ]  No

Provide an explanation in the text box below including the recommendations, response and any supporting information on recommendations that have or have not been actioned.(Required)

 Click or tap here to enter text.

### Part A.4 – Fraud – Page 4 of 24

1. Were any allegations of fraud that related to NHMRC funding received by the institution in the reporting period?
(Required – check one box only)

 [ ]  Yes

 [ ]  No

1. Was NHMRC notified of all allegations of fraud that related to NHMRC funding?
(Required – check one box only)

 [ ]  Yes

 [ ]  No

 [ ]  N/A: there were no allegations of fraud

If answer to the question above is 'No', provide an explanation in the text box below. If not applicable, enter 'N/A' in the text box below.

 Click or tap here to enter text.

### Part B.1 – Accountability – Page 5 of 24

#### Part B: Accountability

1. Which of the following procedures does the Administering Institution have in place to monitor use and accountability of funds in line with NHMRC Funding Agreement clauses 7.1 to 7.15?
(Required – check all that apply)

[ ]  Use funds only for the Research Activity for which they are provided and in accordance with agreements, policies, and funding conditions

[ ]  Deposit funds into a bank account controlled by the Administering Institution.

[ ]  Maintain a separate accounting ledger for each Research Activity

[ ]  Maintain up-to-date and accurate accounts and records for each Research Activity, in accordance with applicable Australian Accounting Standards

[ ]  Monitor the expenditure of Funds

[ ]  Ensure procedures to identify any overpayment of Funds

[ ]  Advise NHMRC of any Other Contributions (including any other Commonwealth financial or in-kind assistance) provided for a Research Activity

[ ]  None of the above

For any procedure that is not in place, provide details on how you plan to meet this requirement and by what date in the text box below. If not applicable, enter 'N/A' in the text box below.

 Click or tap here to enter text.

1. Which of the following procedures does the Administering Institution have in place to prepare and submit financial statements and acquittals as per NHMRC Funding Agreement clauses 9.3 – 9.17?
(Required – check all that apply)

[ ]  Submit a separate financial statement for each Research Activity for each calendar year, within the timeframe specified

[ ]  Submit a Transfer Acquittal as required within the timeframe specified

[ ]  Show the Administering Institution's and its Participating Institution's receipt and expenditure of all funding attributable to the relevant calendar year for the Research Activity

[ ]  Provide an acquittal statement in the form stipulated by NHMRC, for all the NHMRC funding received by the Administering Institution for that Research Activity

[ ]  None of the above

For any procedures that are not in place, provide details on how you plan to meet this requirement in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

1. Does the Administering Institution effect and maintain all the appropriate insurances in accordance with Funding Agreement clause 19.1?
(Required – check one box only)

 [ ]  Yes

 [ ]  No

### Part C.1 – Cyber security – Page 6 of 24

#### Part C: Cyber Security notifications to NHMRC

1. Did the Administering Institution have any known cyber security incidents (including data spills) involving NHMRC funded grants in 2023?
(Required – check one box only)

 [ ]  Yes

 [ ]  No

1. If any incidents occurred involving NHMRC funded grants in 2023, were all incident/s or spill/s reported?
(Required – check all that apply)

 [ ]  Yes: reported to NHMRC

[ ]  Yes: reported to Australian Cyber Security Centre

[ ]  Yes: reported to Office of the Australian Information Commissioner (Notifiable Data Breach under Privacy Act 1988)

[ ]  Yes: reported elsewhere

[ ]  No: not reported

[ ]  No: no incidents nor spills occurred

[ ]  None of the above

### Part D.1 - Probity Events - page 7 of 24

#### PART D: Probity Events

1. Did the Administering Institution report all probity events to NHMRC in accordance with Funding Agreement clause 31.4? <https://www.nhmrc.gov.au/about-us/resources/probity-event-additional-guidance>
(Required – check one box only)

 [ ]  Yes

 [ ]  No

 [ ]  N/A: there were no probity events

### Part E.1 - Research Policies and Procedures - page 8 of 24

#### Part E: Research Policies and Procedures

1. What is the Administering Institution review cycle to review compliance with ALL NHMRC policies and requirements? <https://www.nhmrc.gov.au/about-us/policies-and-priorities>
(Required – check one box only)

[ ]  Annually (in addition to when advised of policy change)

[ ]  Every 2 to 3 years (in addition to when advised of policy change)

[ ]  Every 4 to 5 years (in addition to when advised of policy change)

[ ]  Only when advised of policy change by NHMRC

[ ]  Other: (provide explanation below)

If answer to the question above is ‘Other’, provide an explanation in the text box below. If not applicable enter ‘N/A’ in the text box.

 Click or tap here to enter text.

1. When did the Administering Institution last conduct an audit of compliance with NHMRC policies and requirements?
(Required – check one box only)

 [ ]  Prior to 2019

 [ ]  2019

 [ ]  2020

 [ ]  2021

 [ ]  2022

 [ ]  2023

 [ ]  No compliance audit has taken place

1. Which NHMRC approved standards and guidelines has the Administering Institution reviewed and incorporated into internal policies and procedures?

Each row in the matrix below must be answered (either Yes, No, or N/A) before this page can be saved.

For any rows with a No or N/A answer selected, enter an explanation in the text box.

|  |  |  |  |
| --- | --- | --- | --- |
| Policy | Yes | No | Not applicable |
| Australian Code for the Responsible Conduct of Research (2018) |[ ] [ ] [ ]
| Australian code for the care and use of animals for scientific purposes 8th edition (2013) |[ ] [ ] [ ]
| National Statement on Ethical Conduct in Human Research 2007, updated 2018  |[ ] [ ] [ ]
| Guidelines Approved under Section 95A of the Privacy Act 1988 (2014) |[ ] [ ] [ ]
| Guidelines under Section 95 of the Privacy Act 1988 (2000) |[ ] [ ] [ ]
| National Principles of Intellectual Property Management for Publicly Funded Research (2013) |[ ] [ ] [ ]
| Principles for accessing and using publicly funded data for health research (2016) |[ ] [ ] [ ]
| Principles and guidelines on the care and use of non-human primates for scientific purposes (2016) |[ ] [ ] [ ]
| Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders (2018) |[ ] [ ] [ ]
| Ethical Guidelines on the Use of Assisted Reproductive Technology in Clinical Practice and Research (2017) |[ ] [ ] [ ]
| NHMRC gender equity requirements |[ ] [ ] [ ]
| NHMRC research integrity and misconduct policy (2019). |[ ] [ ] [ ]

If the answer to the question above is 'No' or "N/A', provide an explanation in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

### Part F.1 - Research Integrity - page 9 of 24

#### PART F: Research Integrity

1. Indicate from the list which of the Guides that support the Australian Code for the Responsible Conduct of Research (2018) have been implemented by the Administering Institution.

The guides are available at: [*Australian Code for the Responsible Conduct of Research (2018)*](https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018)
(Required – check all that apply)

[ ]  Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research (2018)

[ ]  Authorship

[ ]  Management of Data and Information in Research

[ ]  Peer review

[ ]  Disclosure of interests and management of conflicts of interest

[ ]  Supervision

[ ]  Collaborative research

[ ]  Publication and dissemination of research

[ ]  Research Integrity Advisors Guide

[ ]  Further details provided in field below

[ ]  None of the above

If the answer to the question above is 'Further details provided in field below' or 'None of the above' provide details in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

1. In 2023, did the Administering Institution receive or investigate any concerns, complaints or allegations about potential breaches of the Code relating to NHMRC funding?
 (Required – check one box only)

 [ ]  Yes

 [ ]  No: no research integrity matters were received nor investigated

If answer to the question above is 'Yes', provide details on how many research or integrity matters relating to NHMRC funding were received and/or investigated in 2023. If not applicable, enter 'N/A' in the text box below.

 Click or tap here to enter text.

1. Did the Administering Institution notify NHMRC of all research integrity matters, where notification is required by the NHMRC Research Integrity and Misconduct Policy (2019)?<https://www.nhmrc.gov.au/about-us/resources/nhmrc-research-integrity-and-misconduct-policy>
(Required – check one box only)

 [ ]  Yes

 [ ]  No: no research integrity matters were dealt with that required notification to NHMRC

 [ ]  No: some or all matters that required notification to NHMRC were not reported

If answer to the question above was 'No – some or all matters that required notification to NHMRC were not reported' provide explanation in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

### Part G.1 - Research Involving Humans - page 10 of 24

#### PART G: Research Involving Humans

1. Did the Administering Institution administer NHMRC funds for research involving humans? (Required – check one box only)

 [ ]  Yes

 [ ]  No

 [ ]  N/A: Administering Institution does not conduct research involving humans

 [ ]  N/A: did not administer NHMRC funds in this reporting period

### Part G.2 - Research Involving Humans - page 11 of 24 (this page will only be required if answered ‘Yes’ to question 23 above)

1. Were all the appropriate ethics approvals (HREC or low risk review pathway) in place as required?
(Required – check one box only)

 ☐ Yes

 ☐ No

If answer to the question above is 'No', provide an explanation in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

### Part H.1 Research Involving Animals - page 12 of 24

#### Part H: Research Involving Animals

1. Did the Administering Institution administer NHMRC funds for research involving animals?
(Required – check one box only)

 [ ]  Yes

 [ ]  No

 [ ]  N/A: Administering Institution does not conduct research involving animals

 [ ]  N/A: did not administer NHMRC funds in this reporting period

### Part H.2 - Research Involving Animals - page 13 of 24 (this page will only be required if answered ‘Yes’ to question 25 above)

1. Were all the appropriate Animal Ethics Committee (AEC) approvals in place as required?<https://www.nhmrc.gov.au/about-us/publications/australian-code-care-and-use-animals-scientific-purposes>
(Required – check one box only)

 [ ]  Yes

 [ ]  No

If answer to the question above is 'No' provide an explanation in the text box below. If not applicable, enter 'N/A' in the text box below.

 Click or tap here to enter text.

1. When was the most recent independent external review to ensure the continued suitability, adequacy, and effectiveness of the Administering Institution's procedures to meet its responsibilities under the Australian code for the care and use of animals for scientific purposes, 8th Edition (2013)? <https://www.nhmrc.gov.au/about-us/publications/australian-code-care-and-use-animals-scientific-purposes#toc__2045>
(Required – check one box only)

 [ ]  2019

 [ ]  2020

 [ ]  2021

 [ ]  2022

 [ ]  2023

 [ ]  2024

 [ ]  No audit has taken place

 [ ]  Other: (provide explanation below)

If response to the question above is 'Other' provide an explanation in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

1. Please provide the name of the reviewing organisation. Provide answer in the text box below. If not applicable enter N/A.
(Required)

 Click or tap here to enter text.

1. Do you publish your independent external reviews?
(Required – check one box only)

 [ ]  Yes

 [ ]  No

If the answer to the question above is 'Yes', please provide the URL and if 'No', provide reasons for why not.
(Required)

 Click or tap here to enter text.

1. Are your independent external reviews (or a summary) shared with the relevant regulatory authority relevant regulatory authority?
(Required – check one box only)

 [ ]  Yes

 [ ]  No

### Part I.1 - Privacy - page 14 of 24

#### PART I: Privacy

1. Does the Administering Institution confirm that all personnel who have access to personal information are aware of their privacy obligations in accordance with the Funding Agreement s25?
(Required – check one box only)

 [ ]  Yes

 [ ]  No

If answer to the question above is 'No', provide an explanation in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

### Part J.1 - Open Access Policy - page 15 of 24

#### PART J: Open Access Policy

1. What resources does the Administering Institution currently have in place to implement the NHMRC Open Access Policy (2022)?
(Required – check all that apply)

[ ]  Institutional Open Access/Open Science Policy

[ ]  Infrastructure available e.g. institutional repository

[ ]  Provision of support to researchers e.g. training, staff to assist making research outputs open

[ ]  Funding to pay for article processing charges

[ ]  Read and publish agreements

[ ]  Allows NHMRC funding to be used to pay article processing charges

[ ]  Other (provide explanation below)

[ ]  None of the above

If answer to the question above is 'Other', provide an explanation in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

1. Have there been any barriers to implementing support for researchers to comply with the NHMRC Open Access Policy (2022)? Please provide comments or enter N/A.
(Required – there is a limit of 1200 characters)

 Click or tap here to enter text.

1. Does the Administering Institution require that metadata for all research outputs arising from NHMRC-funded research include the relevant NHMRC Grant Identification Number(s)?(Required – check one box only)

 [ ]  Yes

 [ ]  No

If answer to the question above is “No”, provide an explanation in the text box below or if not applicable, enter 'N/A' in the text box below.

 Click or tap here to enter text.

### Part K.1 - Gender Equity and Diversity - page 16 of 24

#### PART K: Gender Equity and Diversity

1. Does the Administering Institution have policies in place to ensure its research environments meet NHMRC’s Gender Equity requirements for Administering Institutions? <https://www.nhmrc.gov.au/research-policy/gender-equity/administering-institutions-consideration-gender-equity>

During the year, NHMRC may ask for provision of the relevant policies.
(Required – check one box only)

 [ ]  Yes

 [ ]  No

If answer to the question above was 'Yes', are these policies publicly available? Provide details, including URLs if available, in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

If answer to the question above is 'No', what requirements have not been met and what is the Administering Institution doing to rectify this?

 Click or tap here to enter text.

1. Does the Administering Institution have procedures in place that set out how the institution will administer its gender equity policies and fairly address any alleged instances of behaviour that do not support research environments free from gender bias, discrimination and sexual or other harassment?
(Required – check one box only)

 [ ]  Yes

 [ ]  No

If answer to the question above is 'Yes', are these policies publicly available? Provide details including URLs if available in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

If answer to the question above is 'No', what procedures have not been documented and released and what is the Administering Institution doing to rectify this? If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

1. Does the Administering Institution retain evidence consistent with AIATSIS guidance supporting a Chief Investigator A's identification as an Aboriginal and/or Torres Strait Islander person when they apply for NHMRC grants? <https://aiatsis.gov.au/proof-aboriginality>
(Required – check one box only)

 [ ]  Yes

 [ ]  No

 [ ]  N/A: we do not have applicants in this category

### Part L.1 - Guidelines to Counter Foreign Interference - page 17 of 24

#### PART L: Australian Government Guidelines to Counter Foreign Interference

1. Has the Administering Institution implemented the Guidelines to Counter Foreign Interference in Australian University Sector?
Note: all Administering Institutions are required to comply with the Guidelines to Counter Foreign Interference even if they are not an Australian University. <https://www.education.gov.au/guidelines-counter-foreign-interference-australian-university-sector>
(Required – check one box only)

 [ ]  Yes

 [ ]  In the process of implementation

 [ ]  No

Note: all Administering Institutions are required to comply with the Guidelines, even if they are not an Australian University. If answered 'No' or 'In the process of implementation' to the question above, provide an explanation in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

1. What elements of the guidelines have been implemented thus far?
(Required – check all that apply)

[ ]  Updated risk frameworks

[ ]  Communication and knowledge program with staff

[ ]  HR and due diligence checks

[ ]  Reporting instances of foreign interference

[ ]  Cyber security review

[ ]  Other (provide explanation below)

[ ]  None of the above

If answer to the question above is 'Other', provide an explanation in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

1. Date of or expected date of completion of implementation. Enter numbers in the box below following this format: dd mm yyyy
 (Required)

 Click or tap to enter a date.

1. Have any significant risks or issues associated with countering foreign interference in NHMRC funded grants been identified during the reporting period and were these risks reported to the NHMRC?
(Check one box only)

 [ ]  Yes: reported to NHMRC

 [ ]  Yes: reported to other Commonwealth or State authority

 [ ]  No: no significant risks identified

 [ ]  No: significant risks identified but were not reported

### Part M.1 - National Principles for Child Safe Organisations - page 18 of 24

#### PART M: National Principles for Child Safe Organisations

1. Does the Administering Institution work with children or young people?
(Required – check one box only)

 [ ]  Yes

 [ ]  No

### Part M.2 - National Principles for Child Safe Organisations - page 19 of 24 (this page will only be required if answered ‘Yes’ to question 42 above)

1. What activities has the Administering Institution undertaken to ensure it is adhering to the National Principles for Child Safe Organisations regarding NHMRC funded research? <https://www.childsafety.gov.au/resources/national-principles-child-safe-organisations>
(Required – check all that apply)

☐ Policy or framework that supports adherence to the National Principle

☐ Working with children checks/approval for staff working with children

☐ Guidelines, processes or procedures for ensuring child safety

☐ Training and/or education for staff

☐ Reporting mechanisms in place for when unsafe circumstances are suspected or confirmed

☐ Risk assessment

☐ Other (provide explanation below)

If answer to the question above is 'Other', provide explanation in text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

### Part M.3 - Redress Scheme - page 20 of 24

1. Do you conduct checks to ensure that Participating Institutions are compliant with the National Redress Scheme: Grant Connected Policy? <https://www.dss.gov.au/grants-dss-grant-information/national-redress-scheme-grant-connected-policy>
(Required – check one box only)

 ☐ Yes

 ☐ No

 ☐ N/A: we do not work with any Participating Institutions

### Part N.1 - Awareness of laws, approval requirements and obligations - page 21 of 24

#### PART N: Awareness of laws, approval requirements and obligations

1. Is the Administering Institution aware of the laws, approval requirements and obligations applicable to NHMRC funded research under the following NHMRC applicable laws and obligations?

Each row in the matrix below must be answered (either Yes, No, or N/A) before this page can be saved.For those rows with a No answer selected, enter an explanation in the text box below.For more information see - https://www.nhmrc.gov.au/research-policy/applicable-laws-and-obligations

|  |  |  |  |
| --- | --- | --- | --- |
| Policy | Yes | No | Not applicable |
| Registration of Clinical Trials Australian New Zealand Clinical Trials Registry (ANZCTR) |[ ] [ ] [ ]
| Research Involving Human Embryos Act 2002 and Prohibition of Human Cloning for Reproduction Act 2002 |  |  |  |
| Research Involving Genetically Modified Organisms Gene Technology Act 2000 and Gene Technology Regulations 2001 |[ ] [ ] [ ]
| Use of Carcinogenic or Highly Toxic Chemicals under Safe Work Australia's Code of Practice, Preparation of Safety Data Sheets for Hazardous Chemicals |[ ] [ ] [ ]
| Use of Datasets for Research Purposes under Minimum Guidelines for Health Registers for Statistical and Research Purposes |[ ] [ ] [ ]
| Therapeutic Goods Act 1989 (Cth) |[ ] [ ] [ ]
| Nagoya Protocol on Access and Benefits-Sharing |[ ] [ ] [ ]
| Defence Trade Controls Act 2012 (Cth) |  |  |  |
| The Foreign Arrangements Scheme |[ ] [ ] [ ]

For any 'No' or 'N/A' answer to the questions above, provide an explanation in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

### Part O.1 - Participation in Peer Review - page 22 of 24

#### PART O: Participation in Peer Review

1. In relation to clause 23 of the NHMRC Funding Agreement, do the Administering Institution's specified personnel undertake NHMRC peer review?
(Required – select the most appropriate response)

☐ Yes

☐ No: researchers participate through other institutions such as universities and hospitals

☐ Administering Institution does not monitor peer review participation

☐ No: other (explanation provided below)

☐ N/A: (explanation provided below)

If answer to the question above is 'No' or 'N/A' provide an explanation in the text box below. If not applicable, enter 'N/A' in the text box below.

 Click or tap here to enter text.

1. What strategies does the Administering Institution have in place for encouraging specified personnel to nominate for participation in NHMRC peer review?
(Required – check all that apply)

☐ Recognition from the Administering Institution of peer reviewers (eg communication of thanks to those who participate in peer review)

☐ Inclusion of peer review participation in HR recruitment and promotion decisions

☐ A reminder from Administering Institution's Research Offices to NHMRC grant recipients alerting them of their obligation to participate in NHMRC peer review

☐ Training and/or education for staff

☐ Other communication to encourage all researchers to participate in peer review

☐ The Administering Institution does not have any particular strategies

☐ Researchers participate through other institutions such as universities and hospitals

☐ Other (provide explanation below)

If answer to the question above is 'Other', provide an explanation in the text box below. If not applicable enter 'N/A' in the text box below.

 Click or tap here to enter text.

1. Does the Administering Institution request specified personnel nominating for peer review to update their Sapphire profile?
 (Required – check one box only)

 ☐ Yes

 ☐ No

1. In relation to clause 23 of the NHMRC Funding Agreement how does the Administering Institution support specified personnel to undertake peer review?
(Required – check all that apply)

☐ Administering Institution allocates time to specified personnel for participation in peer review

☐ Peer review mentoring

☐ Participate in internal programs (e.g., Scientific Advisory Committee, peer review training or grant development support programs

☐ Online or in person researcher development training

☐ Opportunities to review internal grants

☐ Researchers are encouraged to take time to participate in peer review

☐ No support is provided to specified personnel to undertake peer review but encourage researchers to do so in their free time

☐ The Administering Institution does not provide any particular support

☐ Researchers participate through other institutions such as universities and hospitals

☐ Other (provide explanation below)

If answer to the question above is 'Other', provide an explanation in the text box below. If not applicable, enter 'N/A' in the text box below.

 Click or tap here to enter text.

### Part P.1 - AI Nominated Individuals Confirmation - page 23 of 24

#### PART P: AI Nominated Individuals Confirmation

1. The Administering Institution can confirm:
* That it has recently reviewed all its named Research Administration Officers (RAOs), Responsible Officers (ROs), Financial Officers (FOs) and Chief Financial Officer (CFO).
* That all named individuals are still employed directly by the Administering Institution and their contact details are correct or a request has been made to the NHMRC to have any incorrect details corrected and/or individuals removed/added.

 The Administering Institution understands that:

* The RAO is the first point of contact between NHMRC and that those listed have the authority to act on behalf of the Administering Institution.
* The ROs are responsible for ensuring the funding requirements can be adhered to and are authorised to execute grant schedules on behalf of the Administering Institution.
* The FOs are responsible for ensuring all financial reports are correct on behalf of the Administering Institution.
* The CFOs are responsible for ensuring all financial reports are correct and authorise on behalf of the Administering Institution. A CFO is defined as "the person with principal responsibility for accounting and financial management within the Administering Institution, or another person nominated by the Administering Institution, who is a qualified public accountant or a member of one of the following Organisations, CPA Australia, Chartered Accountants Australia and New Zealand, or the Institute of Public Accountants.

The Administering Institution can confirm that a minimum requirement of named individuals has been provided:

* Two RAOs and RO's (including both a primary and additional)
* One FO (if more identified then a primary FO has been nominated)
* One CFO
* That all positions are held by different individuals.

The Administering Institution commits to manage availability of position holders including during extended leave periods. The Administering Institution may contact NHMRC helpdesk for advice and support at any time.
 (Required – check one box only)

 ☐ Confirm all nominated persons are correct as at submission of 2023 IACR

 ☐ Confirm that all nominated persons are either correct or corrections requested as at submission of 2023 IACR

 ☐ Administering Institution would like to seek advice from NHMRC

1. Does the Administering Institution have requirements for separation of duties and can confirm that there is appropriate governance in place to adhere to these requirements by nominated position holders?
 (Required – check one box only)

 ☐ Yes

 ☐ No

### Part Q.1 - Certification and feedback - page 24 of 24

#### PART Q: Certification and feedback

1. Is the Administering Institution at all times willing and able to comply with relevant NHMRC policies and guidelines, and to report on compliance when required? (Required – check one box only)

 ☐ Yes: by answering YES you are certifying that this 2023 IACR has been finalised and is ready for NHMRC to process

 ☐ No: by answering NO you are indicating that the Institution no longer seeks to maintain Administering Institution status (NHMRC will contact you to discuss)

1. How have you found this year's IACR process?Each row in the matrix below must be answered (either Strongly agree, Agree, Neutral, Disagree, Strongly disagree or Unsure) before this page can be saved.(Required)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Strongly disagree | Disagree | Neutral | Agree | Strongly Agree | Unsure |
| Timing for the release and submission of the survey was suitable |[ ] [ ] [ ] [ ] [ ] [ ]
| Number and content of survey questions was reasonable |[ ] [ ] [ ] [ ] [ ] [ ]
| Citizen Space was a user-friendly platform for filling out this survey |[ ] [ ] [ ] [ ] [ ] [ ]
| NHMRC support during survey was helpful (includes provision of guides, documentation, communication, and support if used) |[ ] [ ] [ ] [ ] [ ] [ ]

Please provide any comments or feedback on the survey, or enter N/A.

 Click or tap here to enter text.

1. Name of RAO certifying this survey.
Enter text naming the RAO in the text box below: (Required)

 Click or tap here to enter text.

1. Date this survey was completed.
Enter numbers in the box below to indicate the date this survey was completed following this format: dd mm yyyy
(Required)

 Click or tap to enter a date.

Note – this is the offline form for internal use by Administering Institutions in preparing the annual IACR survey for NHMRC. The survey is required to be filled out online via Citizen Space using the link provided to the Primary RAO.

For more information, please contact administering.institutions@nhmrc.gov.au