# Welcome to the 2024 NHMRC Institutional Annual Compliance Report (IACR) Survey

NHMRC funding is awarded through Administering Institutions, which include universities, hospitals, and medical research institutes. There are mandatory requirements placed on Administering Institutions as a result of being awarded this funding.

What the survey does

To retain Administering Institution status, all Administering Institutions are expected to complete and submit an Institutional Annual Compliance Report (IACR) to NHMRC. The IACR details an institution's 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 the institution has not administered any NHMRC funding in the reporting year.

The 2024 IACR survey questions relate to events/activities that occurred from 1 January 2024 to 31 December 2024 (the reporting year) only, unless otherwise speciﬁed.

The IACR survey was sent to Primary RAOs by email on 3 February 2025.

NHMRC will conduct the survey using a private survey in [Citizen Space](https://www.delib.net/citizen_space). It is an accessible online platform, with the ability for institutions to enter and save data and to return 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. However, you will need to complete the page you are on with the required responses, before being able to use this button.

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) or contact administering.institutions@nhmrc.gov.au

NHMRC suggests that institutions answer all questions in the Offline Form and use this as part of their internal record. Some questions in the Offline Form may not appear in the online IACR survey and numbering will differ based on each Administering Institution’s responses. For example, a ‘No’ response to a specific question might negate the need for follow-up questions to be answered, so these questions will be skipped. Therefore, only relevant questions will appear.

Survey 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 [NHMRC's website](https://www.nhmrc.gov.au/funding/manage-your-funding/nhmrc-funding/administering-institutions/institutional-annual-compliance-reporting).

Survey due date

The IACR survey submission due date is **14 March 2025 at 17.00pm AEDT**.

Note: please contact NHMRC via administering.institutions@nhmrc.gov.au if you are unable to meet this deadline.

Failure to complete the report by the due date may result in delays to NHMRC making the scheduled monthly grant payments to the Administering Institution and/or may affect the institution's Administering Institution status.

Contact for further information

For further information, please direct any enquiries regarding the IACR survey to administering.institutions@nhmrc.gov.au

2024 Institutional Annual Compliance Reporting Survey

### PART A: General administration and use of funds

#### Part A.1 – About the institution

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

 Click or tap here to enter text.

1. What is your Administering Institution’s trading name or preferred name?
 (Required)

 Click or tap here to enter text.

#### Part A.2 – Financial audit

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

 [ ]  Prior to 2020

 [ ]  2020

 [ ]  2021

 [ ]  2022

 [ ]  2023

 [ ]  2024

 [ ]  2025

 [ ]  No audit has taken place

1. Was NHMRC income or expenditure included in the institutional general audit samples?

(Required)

 [ ]  Yes

 [ ]  No

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? Note: this may be prior to the period this IACR survey covers.
(Required)

 [ ]  Prior to 2020

 [ ]  2020

 [ ]  2021

 [ ]  2022

 [ ]  2023

[ ]  2024

 [ ]  2025

 [ ]  No audit has taken place

[ ]  Have not administered funding in the past 5 years

If 'No audit has taken place', provide an explanation. If not applicable, enter 'N/A' in the text box.

(Required)

 Click or tap here to enter text.

1. Were there any recommendations in the most recent audit report that relate to grants administration?
(Required)

 [ ]  Yes (Proceed to Question 7)

 [ ]  No (Skip to Question 8)

[ ]  Not applicable (Skip to Question 8)

#### Part A.3 – Financial audit recommendations for grants

1. Briefly describe the financial audit recommendations and if available provide a URL link to the report.

(Required)

 Click or tap here to enter text.

#### Part A.4 – Financial audit recommendations for NHMRC funding

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

 [ ]  Yes (Proceed to Question 9)

 [ ]  No (Skip to Question 10)

[ ]  Not applicable (Skip to Question 10)

#### Part A.5 – NHMRC audit actions

1. Have all audit recommendations that relate to NHMRC funding been actioned?
(Required)

 [ ]  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.6 – Fraud and corruption

1. Were any suspected incidents/allegations of fraud or corruption that related to NHMRC funding identified/received by the institution in the reporting period?
(Required)

 [ ]  Yes (Proceed to Question 11)

 [ ]  No (Skip to Question 12)

#### Part A.7 – Notification of fraud events

1. Was NHMRC notified of all allegations or suspected incidents of fraud that related to NHMRC funding?
(Required)

 [ ]  Yes

 [ ]  No

If ‘No’, briefly explain why NHMRC has not been notified. If not applicable, enter 'N/A' in the text box below.

(Required)

 Click or tap here to enter text.

#### Part A.8 – Fraud and corruption management

1. Does your organisation have a fraud and corruption risk assessment and control plan?

(Required)

 [ ]  Yes, risk assessment

 [ ]  Yes, control plan

 [ ]  Yes, both
 [ ]  No, neither

If 'No, neither', outline the barriers to having a fraud and corruption risk assessment and control plan in place. If not applicable, enter 'N/A' in the text box below.

(Required)

 Click or tap here to enter text.

1. In the reporting period, did your organisation have mechanisms in place to validate that NHMRC funding was spent in accordance with NHMRC’s Funding Agreement and requirements?

(Required)

 [ ]  Yes

 [ ]  No

If 'Yes', outline the mechanisms in place. If 'No', outline the barriers to having mechanisms in place.

(Required)

 Click or tap here to enter text.

1. Has your organisation conducted any independent audits or reviews of your fraud and corruption controls in relation to NHMRC grants/funding in the reporting period?

(Required)

 [ ]  Yes

 [ ]  No

1. Does your organisation have access to an investigator (internal or appointed) who possesses the minimum qualifications specified in the [Australian Government Investigation Standards (2022)](https://www.ag.gov.au/sites/default/files/2022-12/Australian-Government-Investigations-Standard-2022.pdf) or an equivalent?

(Required)

 [ ]  Yes

 [ ]  No

### Part B: Accountability

1. Does the Administering Institution have procedures in place to monitor the use and accountability of funds in line with [NHMRC Funding Agreement](https://www.nhmrc.gov.au/funding/manage-your-funding/funding-agreement) clauses 7.1 to 7.15?
(Required – tick 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 the requirement/s. If not applicable, enter 'N/A' in the text box below.

(Required)

 Click or tap here to enter text.

By what date do you intend to implement the procedure detailed above?

**Day** **– Month – Year**

1. Does the Administering Institution have internal procedures in place to prepare and submit financial statements and acquittals as per [NHMRC Funding Agreement](https://www.nhmrc.gov.au/funding/manage-your-funding/funding-agreement) clauses 9.3 – 9.17?
(Required – tick 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 in the text box below on how you plan to meet the requirement/s. If not applicable enter 'N/A' in the text box below.

(Required)

 Click or tap here to enter text.

By what date do you intend to implement the procedure detailed above?

**Day – Month– Year**

### Part C: Cyber security

#### Part C.1 – Cyber security notifications to NHMRC

1. Did the Administering Institution have any known cyber security incidents (including data spills) involving NHMRC-funded grants in 2024?
(Required)

 [ ]  Yes (Proceed to Question 19)

 [ ]  No (Skip to Question 20)

#### Part C.2 – Reports of cyber security incidents

1. If any incidents occurred involving NHMRC-funded grants in 2024, were all incident/s or spill/s reported?
(Required)

 [ ]  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 C.3 – Models or standards of cyber security posture

1. What governance model or standard does the Administering Institution use for measuring its cyber security posture?

(Required – tick all that apply)

 [ ]  ISO 27001/02

 [ ]  NIST

 [ ]  ISM

 [ ]  PSPF

 [ ]  OWASP

 [ ]  COBIT

 [ ]  Other

 [ ]  None

If 'Other' or 'None' selected above, provide an explanation. If not applicable, enter ‘N/A’ in the text box below.

(Required)

 Click or tap here to enter text.

1. Please prioritise the following threat list based on threat rating. The ratings range from 1 to 5, with 1 being the least important and 5 being the most important.

(Required)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Threat | 1(least important) | 2 | 3 | 4 | 5(most important) |
| **Phishing** |[ ] [ ] [ ] [ ] [ ]
| **Ransomware** |[ ] [ ] [ ] [ ] [ ]
| **DDoS** |[ ] [ ] [ ] [ ] [ ]
| **Brute Force** |[ ] [ ] [ ] [ ] [ ]
| **Insider threat** |[ ] [ ] [ ] [ ] [ ]

1. Does the Administering Institution have an insider threat program that addresses the controls suggested in the following link to the [Australian Signals Directorate website](https://www.cyber.gov.au/threats/types-threats/malicious-insiders?ref=search)?

(Required)

 [ ]  Yes

 [ ]  No

1. How many employees of the Administering Institution are dedicated to cyber security activities?

(Required)

**Choose an item.**

1. What percentage of your total Administering Institution budget is dedicated to addressing cyber security issues?

(Required)

**Choose an item.**

1. What percentage of your total ICT budget is dedicated to addressing cyber security issues?

(Required)

**Choose an item.**

### PART D: Probity events

#### Part D.1 - Probity events

1. Did the Administering Institution inform NHMRC of all allegations or suspected incidents that would constitute a probity event, in accordance with [NHMRC Funding Agreement](https://www.nhmrc.gov.au/funding/manage-your-funding/funding-agreement) clause 31.4?

[Probity Event - Additional Guidance | NHMRC](https://www.nhmrc.gov.au/about-us/resources/probity-event-additional-guidance)
(Required)

 [ ]  Yes (Skip to Question 28)

 [ ]  No, no allegations or suspected incidents that would constitute a probity event required notification to NHMRC (Skip to Question 28)

 [ ]  No, some allegations or suspected incidents that would constitute a probity event and notification to NHMRC were not reported (Proceed to Question 27)

 Click or tap here to enter text.

#### Part D.2 - Probity allegations or incidents not reported to NHMRC

1. Please provide details of all allegations or suspected incidents that would constitute a probity event requiring notification to NHMRC but were not reported.

(Required)

 Click or tap here to enter text.

### Part E: Research policies and procedures

1. How frequently does the Administering Institution review compliance with approved standards and guidelines under the [NHMRC Funding Agreement](https://www.nhmrc.gov.au/funding/manage-your-funding/funding-agreement)?

[Policies and priorities | NHMRC](https://www.nhmrc.gov.au/about-us/policies-and-priorities)
(Required)

[ ]  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

If ‘Other’, provide an explanation. If not applicable enter ‘N/A’ in the text box.

(Required)

 Click or tap here to enter text.

1. When did the Administering Institution last conduct an audit of compliance with NHMRC policies and requirements?

[Policies and priorities | NHMRC](https://www.nhmrc.gov.au/about-us/policies-and-priorities)
[Applicable laws and obligations | NHMRC](https://www.nhmrc.gov.au/research-policy/applicable-laws-and-obligations)
(Required)

 [ ]  Prior to 2020

 [ ]  2020

 [ ]  2021

 [ ]  2022

 [ ]  2023

 [ ]  2024

 [ ]  2025

 [ ]  No compliance audit has taken place

1. Which [NHMRC approved standards and guidelines](https://www.nhmrc.gov.au/funding/manage-your-funding/nhmrc-funding/funding-agreement) has the Administering Institution reviewed and incorporated into internal policies and procedures?

(Required)

| Policy | Yes | No | Not applicable |
| --- | --- | --- | --- |
| [Australian Code for the Responsible Conduct of Research (2018)](https://www.nhmrc.gov.au/research-policy/research-integrity/2018-australian-code-responsible-conduct-research) | [ ]  |[ ] [ ]
| [Australian code for the care and use of animals for scientific purposes, 8th Edition 2013 (updated 2021)](https://www.nhmrc.gov.au/about-us/publications/australian-code-care-and-use-animals-scientific-purposes) |[ ] [ ] [ ]
| [National Statement on Ethical Conduct in Human Research 2023](https://www.nhmrc.gov.au/about-us/publications/national-statement-ethical-conduct-human-research-2023)  |[ ] [ ] [ ]
| [Guidelines approved under Section 95A of the *Privacy Act 1988*, 2014 (updated 2024)](https://www.nhmrc.gov.au/about-us/publications/guidelines-approved-under-section-95a-privacy-act-1988) |[ ] [ ] [ ]
| [Guidelines under Section 95 of the *Privacy Act 1988,* 2014 (updated 2024)](https://www.nhmrc.gov.au/about-us/publications/guidelines-under-section-95-privacy-act-1988) |[ ]  [ ]  |[ ]
| [National Principles of Intellectual Property Management for Publicly Funded Research (revised 2021)](https://www.nhmrc.gov.au/about-us/resources/national-principles-ip-management-publicly-funded-research) |[ ] [ ] [ ]
| [Principles for accessing and using publicly funded data for health research (2016)](https://www.nhmrc.gov.au/about-us/publications/principles-accessing-and-using-publicly-funded-data-health-research) |[ ] [ ] [ ]
| [Principles and guidelines on the care and use of non-human primates for scientific purposes (2016)](https://www.nhmrc.gov.au/about-us/publications/principles-and-guidelines-care-and-use-non-human-primates-scientific-purposes) |[ ] [ ] [ ]
| [Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders (2018)](https://www.nhmrc.gov.au/about-us/resources/ethical-conduct-research-aboriginal-and-torres-strait-islander-peoples-and-communities) |[ ] [ ] [ ]
| [Ethical guidelines on the use of assisted reproductive technology in clinical practice and research, 2017 (updated 2023)](https://www.nhmrc.gov.au/about-us/publications/art) |[ ] [ ] [ ]
| [NHMRC gender equity requirements for Administering Institutions](https://www.nhmrc.gov.au/research-policy/gender-equity/administering-institutions-consideration-gender-equity#download) |[ ] [ ] [ ]
| [NHMRC Research Integrity and Misconduct Policy (2019)](https://www.nhmrc.gov.au/about-us/resources/nhmrc-research-integrity-and-misconduct-policy) |[ ] [ ] [ ]

For any rows with ‘No’ or ‘N/A’ response, provide an explanation in the text box below.

For any rows with ‘Yes’ enter 'N/A' in the text box below.

(Required)

 Click or tap here to enter text.

### PART F: 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](https://www.nhmrc.gov.au/research-policy/applicable-laws-and-obligations)?

(Required – each row in the matrix below must be answered (either Yes, No, or N/A) and responses provided to following questions before this page can be saved)

| Policy | Yes | No | Not applicable |
| --- | --- | --- | --- |
| Countering foreign interference in Australian research |[ ] [ ] [ ]
| The National Principles for Child Safe Organisations |[ ] [ ] [ ]
| National Redress Scheme Grant Connected Policy |[ ] [ ] [ ]
| Registration of clinical trials |[ ] [ ] [ ]
| Research involving humans |[ ] [ ] [ ]
| Use of personal information in research without consent |[ ] [ ] [ ]
| Research involving human embryos |[ ] [ ] [ ]
| Research involving animals |[ ] [ ] [ ]
| Research involving genetically modified organisms |[ ] [ ] [ ]
| Use of carcinogenic or highly toxic chemicals |[ ] [ ] [ ]
| Use of datasets for research purposes |[ ] [ ] [ ]
| Therapeutic Goods Act 1989 (Cth) |[ ] [ ] [ ]
| Nagoya Protocol on access and benefits-sharing |[ ] [ ] [ ]
| Defence Trade Controls Act 2012 (Cth) |[ ] [ ] [ ]
| Intellectual Property |[ ] [ ] [ ]
| Foreign Arrangements Scheme |[ ] [ ] [ ]

If 'No" or "N/A" is selected for any items in the table above, provide an explanation. If 'yes' is selected for all items, enter N/A in the text box.

(Required)

 Click or tap here to enter text.

1. How does the Administering Institution ensure Participating Institutions are compliant with the [NHMRC Funding Agreement](https://www.nhmrc.gov.au/funding/manage-your-funding/funding-agreement) and all NHMRC requirements?

(Required)

 Click or tap here to enter text.

### PART G: Research integrity

#### Part G.1 - Research integrity

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

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

[ ]  None of the above

If the Administering Institution has not implemented all the guides, please provide further information as to why not. If not applicable, enter 'N/A' in the text box.

(Required)

 Click or tap here to enter text.

1. In 2024, did the Administering Institution receive any concerns, complaints and/or allegations about potential breaches of the Code relating to NHMRC funding or NHMRC-funded researchers?
(Required)

 [ ]  Yes (Proceed to Question 35)

 [ ]  No, no research integrity concerns, complaints or allegations were received by the Administering Institution (Skip to Question 36)

#### Part G.2 – Code breaches

1. How many concerns, complaints and/or allegations about potential breaches of the Code relating to NHMRC funding or NHMRC funded researchers were received by the Administering Institution in 2024?

 Click or tap here to enter text.

Of the number received by the Administering Institution in 2024, how many:

* were resolved without proceeding to preliminary assessment or investigation?

 Click or tap here to enter text.

* proceeded to preliminary assessment?

 Click or tap here to enter text.

* proceeded to investigation?

 Click or tap here to enter text.

#### Part G.3 – Mandatory notification for potential breaches of the Code

1. Did the Administering Institution notify NHMRC of all concerns, complaints and/or allegations about potential breaches of the Code relating to NHMRC funding or NHMRC-funded researchers, 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)

 [ ]  Yes

 [ ]  No, no concerns, complaints or allegations about potential breaches of the Code relating to NHMRC funding or NHMRC-funded researchers required notification to NHMRC

 [ ]  No, some concerns, complaints or allegations about potential breaches of the Code relating to NHMRC funding or NHMRC-funded researchers that required notification to NHMRC were not reported

If 'No, some concerns, complaints or allegations about potential breaches of the Code relating to NHMRC funding or NHMRC-funded researchers 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.

 Click or tap here to enter text.

### PART H: Research involving humans

#### Part H.1 - Research involving humans

1. Did the Administering Institution undertake any research involving humans? (Required)

 [ ]  Yes (Proceed to Question 38)

 [ ]  No (Skip to Question 40)

**Note –** As stated in the [National Statement on Ethical Conduct in Human Research 2023](https://www.nhmrc.gov.au/about-us/publications/national-statement-ethical-conduct-human-research-2023#block-views-block-file-attachments-content-block-1) – “Human research is research conducted with or about people, or their data or tissue.“

#### Part H.2 - Research involving humans

1. Were all the required ethics approvals (HREC or low risk review pathway) in place?
(Required)

 ☐ Yes

 ☐ No

If 'No', provide an explanation. If not applicable, enter 'N/A' in the text box.

(Required)

 Click or tap here to enter text.

#### Part H.3 – Embryo research

1. Did the Administering Institution undertake any research involving the creation or use of a human embryo, as defined under the [Research Involving Human Embryo Act 2002](https://www.nhmrc.gov.au/research-policy/embryo-research-licensing)?
(Required – check one box only)

 ☐ Yes

 ☐ No

### Part I: Research involving animals

#### Part I.1 Research involving animals

1. Did the Administering Institution undertake any research involving animals?
(Required)

 [ ]  Yes (Proceed to Question 41)

 [ ]  No (Skip to Question 46)

#### Part I.2 - Research involving animals

1. Were all required Animal Ethics Committee (AEC) approvals in place as required?
(Required)

 [ ]  Yes

 [ ]  No

If 'No', provide an explanation. If not applicable, enter 'N/A' in the text box below.

(Required)

 Click or tap here to enter text.

**For more information, see the**[**Regulation and the Australian code for the care and use of animals for scientific purposes**](https://www.nhmrc.gov.au/research-policy/ethics/animal-ethics/regulation-and-the-code)**section of the NHMRC website.**

1. When did the Administering Institution conduct the most recent independent external review of its procedures to meet its responsibilities under the Australian code for the care and use of animals for scientific purposes, 8th Edition (2013)?

(Required)

 [ ]  2018

[ ]  2019

 [ ]  2020

 [ ]  2021

 [ ]  2022

 [ ]  2023

 [ ]  2024

[ ]  2025

 [ ]  No independent external review has been conducted

If response to the question above is 'No external review', provide an explanation in the text box below. If not applicable enter 'N/A' in the text box (Required)

 Click or tap here to enter text.

For more information, see Section 2.1.9 of the [Australian code for the care and use of animals for scientific purposes](https://www.nhmrc.gov.au/about-us/publications/australian-code-care-and-use-animals-scientific-purposes)*.*

1. Please provide the name of the organisation that conducted the independent external review.

If not applicable, enter N/A in text box below.
(Required)

 Click or tap here to enter text.

1. Has the Administering Institution published its most recent independent external review?
(Required – check one box only)

 [ ]  Yes

 [ ]  No

If 'Yes', please provide the URL in text box below. If 'No', please provide a response for why not in the text box below. f not applicable, enter 'N/A' in the text box.
(Required)

 Click or tap here to enter text.

This publication could be as a whole or in summary; for example, as part of an institutional annual report or on a website.  For more information see clause 6.2 of [Australian code for the care and use of animals for scientific purposes (2013)](https://www.nhmrc.gov.au/about-us/publications/australian-code-care-and-use-animals-scientific-purposes#toc__2045).

1. When is the next independent external review planned?

(Required)

If not applicable, enter N/A in the text box.

 Click or tap here to enter text.

 (Required)

### PART J: 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 clause 25 of [NHMRC’S Funding Agreement](https://www.nhmrc.gov.au/funding/manage-your-funding/funding-agreement)?
(Required)

 [ ]  Yes

 [ ]  No

If 'No', provide an explanation. If not applicable, enter 'N/A' in the text box below.

 Click or tap here to enter text.

### PART K: Gender Equity

#### Part K.1 - Gender Equity

1. Does the Administering Institution have policies in place to ensure its research environments meet NHMRC’s gender equity requirements for Administering Institutions?

(Required – check one box only)

 [ ]  Yes

 [ ]  No

If ‘No’, what requirements have not been met and what is the Administering Institution doing to remedy this? If not applicable, please enter 'N/A' in the text box.

(Required)

 Click or tap here to enter text.

For more information, see the [Administering Institutions – consideration of gender equity](https://www.nhmrc.gov.au/research-policy/gender-equity/administering-institutions-consideration-gender-equity) section of the NHMRC website.

#### Part K.2 – Indigenous research

1. Does the Administering Institution retain evidence, consistent with AIATSIS guidance, of a Chief Investigator A's identification as an Aboriginal and/or Torres Strait Islander person when they apply for NHMRC grants?

(Required)

 [ ]  Yes (Proceed to Question 49)

 [ ]  No (Skip to Question 51)

 [ ]  N/A, we do not have applicants in this category (Skip to Question 51)

For more information on the AIATSIS guidance, see the [Proof of Aboriginality](https://aiatsis.gov.au/proof-aboriginality) section of the AIATSIS website.

#### Part K.3 – Evidence of Indigenous heritage

1. What section/department of the Administering Institution is responsible for the collection and retention of this evidence of the CIA’s Indigenous heritage?

(Required – tick all that apply)

 [ ]  HR department

 [ ]  The relevant faculty

 [ ]  Research or Grants Office

[ ]  Other

If 'Other', provide an explanation. If not applicable, enter 'N/A' in the text box below.

(Required)

 Click or tap here to enter text.

1. What systematic process have you found to be effective in the collection and retention of this evidence of the CIA’s Indigenous heritage?

(Required)

 Click or tap here to enter text.

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

#### Part L.1 – 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, even if they are not an Australian University.**
(Required)

 [ ]  Yes

 [ ]  In the process of implementation

 [ ]  No

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.

(Required)

 Click or tap here to enter text.

**Reference:** All Administering Institutions are required to comply with the *Guidelines to Counter Foreign Interference in the Australian University Sector*even if they are not an Australian university.

For more information on the Guidelines, see the [Guidelines to counter foreign interference in the Australian university sector](https://www.education.gov.au/guidelines-counter-foreign-interference-australian-university-sector) section of the Department of Education's website.

1. What elements of the Guidelines have been implemented thus far?
(Required – tick 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

[ ]  None of the above

If 'Other', provide an explanation. If ‘None of the above’, outline barriers to Guideline implementation. If not applicable, enter ‘N/A’ in text box below.

(Required)

 Click or tap here to enter text.

1. Date of or expected date of implementation completion?

Please input date as 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 NHMRC?
(Required)

 [ ]  Yes, reported to NHMRC (Proceed to Question 55)

 [ ]  Yes, reported to Commonwealth or State authority/authorities (Proceed to Question 55)

 [ ]  No, no significant risks identified (Skip to Question 56)

 [ ]  No, significant risks identified but were not reported (Proceed to Question 55)

#### Part L.2 – Types of Countering Foreign Interference (CFI) risk or issue identified

1. For those risks and issues identified, please provide information on the type of risk or issue.
(Required)

 If not applicable, enter ‘N/A’ in text box below.

(Required)

 Click or tap here to enter text.

Examples of CFI:

* Unwanted access and potential interference to research, sensitive or personal data
* Loss of future partnerships / collaborations / talent attraction
* Breach of legal obligations – contractual or legislative
* Loss of intellectual property / commercialisation opportunity
* Cultivation of the university community for information gathering
* Undue influence of an agenda within or outside the classroom.

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

#### Part M.1 - National Principles for Child Safe Organisations

1. Does the Administering Institution work with children or young people, including where they are participants in research grants?
(Required)

 [ ]  Yes (Proceed to Question 57)

 [ ]  No (Skip to Question 58)

#### Part M.2 - National Principles for Child Safe Organisations activities

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?
(Required – tick all that apply)

☐ Policy or framework that supports adherence to the National Principles for Child Safe Organisations

☐ 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

If 'Other', provide explanation. If not applicable, enter 'N/A' in the text box below.

(Required)

 Click or tap here to enter text.

For more information, see the [National Principles for Child Safe Organisations](https://www.childsafety.gov.au/resources/national-principles-child-safe-organisations)section of the National Office for Child Safety website.

### PART N: Participation in peer review

#### Part N.1 - Participation in peer review

1. Does the Administering Institution monitor specified personnel’s participation in NHMRC peer review?
(Required)

☐ Yes (Proceed to Question 59)

☐ No (Skip to Question 60)

#### Part N.2 - Peer review strategies

1. What strategies does the Administering Institution have in place to monitor specified personnel’s participation in NHMRC peer review?
(Required)

 Click or tap here to enter text.

#### Part N.3 - Peer review support

1. In relation to clause 23 of the [NHMRC Funding Agreement](https://www.nhmrc.gov.au/funding/manage-your-funding/funding-agreement), how does the Administering Institution support specified personnel to undertake peer review?
(Required – tick 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 researchers are encouraged 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

If 'Other', provide an explanation. If not applicable, enter 'N/A' in the text box below.

 Click or tap here to enter text.

### PART O: Administering Institution 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), and their respective contact information.
* That all named individuals are still employed directly by the Administering Institution and their contact details are correct. If not, a request has been sent to NHMRC to have details corrected and/or individuals removed/added.

 The Administering Institution can confirm:

* The Primary RAO is the first point of contact between NHMRC and that individuals listed as Primary and Additional RAOs have the authority to act on behalf of the Administering Institution.
* The ROs (Primary and Additional) 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 CFO is 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.

That minimum account requirements of named individuals has been provided ([Sapphire Help](https://healthandmedicalresearch.gov.au/help.html)):

* Two RAOs and RO's (including both a Primary and Additional contact)
* One FO (may be more than one)
* One CFO (can only be one)
* That all Primary positions (RAO, RO and CFO) 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)

 ☐ Confirm all nominated persons are correct as at submission of 2024 IACR survey

 ☐ Confirm that all nominated persons are either correct or NHMRC has been notified of corrections as at submission of 2024 IACR survey

 ☐ Administering Institution would like to seek advice from NHMRC

1. The Administering Institution is aware of NHMRC’s requirements for separation of duties by nominated position holders, and can confirm that there is appropriate governance in place to adhere to these requirements?

[Sapphire Help](https://healthandmedicalresearch.gov.au/help.html)
 (Required)

 ☐ Yes

 ☐ No

### PART P: 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)

 ☐ Yes, by answering ‘Yes’ you are certifying that this 2024 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 an effective, 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/feedback on the survey.

(Not Required)

 Click or tap here to enter text.

1. Name of RAO certifying this survey.(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 IACR survey for NHMRC. The survey is required to be filled out online via Citizen Space using the link provided to the Primary RAO via email.**

If you have any questions, please email: administering.institutions@nhmrc.gov.au