



Institutional Annual Compliance Report Survey User Guide

Guide for Administering Institutions

3 February 2025

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Guide to filling out the 2024 Institutional Annual Compliance Report Survey

1. Purpose

The purpose of this guide is to provide advice on how to successfully fill out and lodge the Institutional Annual Compliance Report (IACR) survey response using Citizen Space.

2. The IACR Survey

The 2024 IACR Survey is being conducted using [Citizen Space](#), a public engagement survey platform.

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

To support this process, NHMRC has provided an offline form available on the [NHMRC website](#). It recommends that Administering Institutions fill in the offline form in the first instance to enable input of all responses at the same time.

2024 Institutional Annual Compliance Report survey

Overview

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](#) 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.

Closes 14 Mar 2025
Opened 23 Jan 2025

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2.1. IACR Survey Due Date

All Administering Institutions are required to complete and submit the IACR survey. Failure to do so may affect the Administering Institution's ability to apply for, and be awarded, grants.

The IACR is due on or before 17:00 AEDT on 14 March 2025.

2.2. How to answer the IACR survey

You are required to answer all questions that appear in the IACR survey, even if your Administering Institution has not administered any NHMRC funding in the reporting year.

Please be aware that, depending on your institution's responses, the questions available to you may change. For instance, if your institution does not conduct research on animals, the subsequent

questions for this section about research on animals will not appear. However, the 2024 offline form will feature all the questions from the IACR survey.

The survey must be completed in sequential order. For example, you cannot skip a section to come back to later. Therefore, use the offline form to collate all responses before logging into the online survey. Citizen Space allows you to save your survey at the end of a completed page by selecting the “Save and come back later” button and you will be asked for your email address. Once filled in, you will receive an email with a return link, individual response ID and a ‘response key’ – which you should make a note of. You can then use these details to resume your incomplete response at any time.

As you proceed through the survey, you can navigate back to previous responses using the “First” button once all questions on the current page have been answered.

2.3. Contact information for NHMRC

Should Research Administration Officers (RAOs) need to seek more information about the survey or have any questions, please email administering.institutions@nhmrc.gov.au

3. Survey links and supporting information

Overview

- [NHMRC Funding Agreement](#)
- [NHMRC’s Institutional Annual Compliance Reporting webpage](#)

Part A.7 – Notification of fraud events

- [The Our policy on Research Integrity section of NHMRC’s website](#)

Part A.8 - Fraud and corruption management

- [Australian Government Investigation Standards \(2022\)](#)

Part B – Accountability

- [Financial reporting](#)

Part C.3 – Models or standards of cyber security posture

- [Australian Signals Directorate website](#)

Part D.1 - Probity events

- [NHMRC Funding Agreement](#)
- [Probity Event - Additional Guidance](#)

Part E - Research policies and procedures

- [NHMRC Funding Agreement \(and approved standards and guidelines\)](#)
- [Policies and priorities](#)
- [Applicable laws and obligations](#)

Part F - Awareness of laws, approval requirements and obligations

- [Applicable laws and obligations](#)

Part G.1 - Research integrity

- [Australian Code for the Responsible Conduct of Research \(2018\)](#)

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

- [NHMRC Research Integrity and Misconduct Policy](#)

Part H.1 - Research involving humans

- [National Statement on Ethical Conduct in Human Research 2023](#)
- [Research Involving Human Embryo Act 2002](#)
- [Ethics and integrity](#)

Part H.2 - Ethics approvals

- [Ethics and integrity](#)

Part H.3 - Embryo research

- [Embryo research licensing](#)
- [Ethics and integrity](#)

Part I.2 - Animal ethics approvals and external review

- [Regulation and the Australian code for the care and use of animals for scientific purposes](#)
- [Ethics and integrity](#)
- [Australian code for the care and use of animals for scientific purposes 8th edition 2013 \(updated 2021\)](#)

Part J - Privacy

- [Guidelines under Section 95 of the Privacy Act 1988](#)
- [Guidelines approved under Section 95A of the privacy Act 1988](#)

Part K.1 - Gender equity

- [Administering Institutions - consideration of gender equity](#)

Part K.2 - Indigenous research

- [AIATSIS - Proof of Aboriginality](#)

Part L.1 - Australian Government Guidelines to Counter Foreign Interference

- [Guidelines to Counter Foreign Interference in the Australian University Sector](#)

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

- [National Principles for Child Safe Organisations](#)
- [Royal Commission into Institutional Responses to Child Sexual Abuse](#)

Part N.1 - Participation in peer review

- [Guiding principles for peer reviewer nomination and appointments](#)

Part O - Administering Institution nominated individuals confirmation

- [Sapphire Institutional Account Access Form](#) [Sapphire Help \(Account\)](#)

4. Types of responses in the IACR survey

There are various types of responses to the IACR survey, as explained below. Please read the questions carefully prior to responding.

Some questions have 'Reference' links that will provide you with additional information to support filling in the survey.

2. What's your Administering Institution's trading name or preferred name for NHMRC Administering Institutions List?

▶ [Reference](#)

4.1. Type One - Short text response

This response type requires you to provide a short answer in the free text field. In the example below, please ensure you enter the full legal name of the Administering Institution in question one, followed by the institution's trading or preferred name in question two.

PART A: General Administration and Use of Funds

▶ [For note](#)

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

(Required)

2. What's your Administering Institution's trading name or preferred name for NHMRC Administering Institutions List?

▶ [Reference](#)

(Required)

4.2. Type Two - Long text response

This response type appears as a large free text field. Enter the response in the text box. There is a 1000 word limit on each text box. If you would like to provide supplementary information for a particular question that exceeds the word limit, please email to NHMRC at administering.institutions@nhmrc.gov.au.

7. Briefly describe the recommendations and if available provide a URL link to the report.

Please specify (Required)

4.3. Type Three - Select one option from a set of options provided

This response type appears with an open circle next to each option. Select only one option by clicking on the open circle next to the appropriate answer.

6. Were there any recommendations in the most recent audit report that relate to NHMRC funding?

(Required)

Yes

No

4.4. Type Four - Select as many options as needed from the options provided

This response type appears with an open square next to each option. You can select as many options as applicable by clicking on the open square next to each answer.

20. 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. (tick all that apply)

▶ [Reference](#)

(Required)

- 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.

4.5. Type Five - Select date

This response type appears with a date field requesting input using the Day (dd) Month (mm) Year (yyyy) format. Select a date. A notification will appear if the date is not within the expected range.

56. 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)

Day (dd) Month (mm) Year (yyyy)

- -

4.6. Type Six - Table

This response type appears in a table format and requires an answer for each category (row) from a set of options (e.g., yes, no, or not applicable). Select only one answer per row by clicking on the appropriate open circle.

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

[▶ Reference](#)

(Required)	Yes	No	Not applicable
Australian Code for the Responsible Conduct of Research (2018)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Australian code for the care and use of animals for scientific purposes 8th edition (2013)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
National Statement on Ethical Conduct in Human Research 2007, updated 2018	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

4.7. Type Seven – Multiple field responses

For this response type, select a single (open circles) or multiple (open squares) options from the list provided. System functionality requires all respondents to provide a response in the free text field. Where instructed, provide an explanation to clarify the answer(s) selected or enter N/A if not applicable.

17. How frequently does the Administering Institution have a regular review cycle to review compliance with ALL NHMRC policies and requirements?

▶ [Reference:](#)

(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: (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.

In this example, you must select one response from the list provided to answer the question. If the response is 'Other' then provide an explanation for this in the free text field.

5. Part O: Administering Institution nominated individuals confirmation

NHMRC requires Administering Institutions to confirm that the contact details for the individuals named as the institution's position holders are correct.

The Administering Institution must review all of its nominated position holders and their contact information, confirming that:

- all named individuals are still employed with the Administering Institution
- their contact details are correct or,
- if incorrect, a request has been made to NHMRC to have the details corrected or individuals removed/added.

To support Administering Institutions, when emailing the link to the survey, NHMRC will also provide an Excel list containing the current position holders for the RAO to review.

Our Research Help Centre manages Sapphire institutional account access. Therefore, account updates should be emailed directly to help@nhmrc.gov.au. Please amend and return the attached list to indicate:

- Where accounts should be deleted for staff members who no longer require Sapphire 'institutional' access (i.e. where a staff member no longer works for the institution or has moved to a role not requiring Sapphire institutional access).
- Changes to existing staff member accounts (i.e. reassignment of position). Note, a completed [Sapphire Institutional Account Access Form](#) needs to be completed in this instance.

The [Sapphire Institutional Account Access Form](#) should also be completed and returned for the creation of an account for new staff members requiring 'institutional' access.

6. Part P: Certification and feedback

This section asks who the respondent is on behalf of the Administering Institution and requires them to certify that the IACR survey responses are correct and complete.

As specified in the NHMRC Funding Agreement, the Administering Institution accepts responsibility for compliance with the NHMRC Funding Agreement and is aware that failure to comply or giving false or misleading information in the IACR may result in the suspension of all or part of NHMRC funding to the institution.

7. Terms and Definitions

Term	Definition
Administering Institution (AI)	Administering Institution means those institutions that have the status of NHMRC Administering Institution for administering NHMRC funding.
Sapphire	NHMRC's grant management system to support end-to-end management of NHMRC administered grant opportunities.
Research Administration Officer (RAO)	<p>RAO means the officer nominated by the Administering Institution as its contact person for the purpose of this Agreement.</p> <p>This will be the primary contact for the organisation and is responsible for both pre-award (application) and post-award (following the awarding of a grant) requirements for grant administration.</p>
Financial Officer (FO)	FO means the officer nominated by the Administering Institution as its contact person regarding financial reporting and reconciliations.
Chief Financial Officer (CFO)	<p>CFO is defined in the NHMRC Funding Agreement 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, the Institute of Chartered Accountants in Australia, or the Institute of Public Accountants".</p> <p>For the purposes of NHMRC's grants management system (Sapphire), the individual designated for the CFO role holder is expected to meet the above definition.</p>
Responsible Officer (RO)	RO means a senior manager (e.g., Chief Financial Officer, Vice-chancellor, Deputy Vice Chancellor (Research), Executive Director) appointed by the Administering Institution to be accountable for the administration of the Funds, the conduct of a Research Activity or other matter.
Participating Institution (PI)	Participating Institution (PI), in respect of a Research Activity, is an organisation that contributes to the Research Activity in accordance with its Formal Agreement with, and under the leadership of, the Administering Institution. Where the context permits, this includes its employees, advisers, officers, agents, and contractor staff.
NHMRC Approved Standards and Guidelines	NHMRC 'Approved Standards and Guidelines' are those listed on the NHMRC website . Note, these documents may be introduced, amended or replaced by NHMRC when necessary, in accordance with clause 17.3.

7.1. Frequently asked questions

What is the offline form? Why does it look different to the online version of the survey?

The offline form is available as a Word document. As such, it does not mirror the Citizen Space survey exactly but is a close approximation. The offline forms serves as a useful tool, supporting Administering Institutions to collate responses from various areas within the institution before submitting the survey online. NHMRC recommends that Administering Institutions answer all relevant questions in the offline form and retain it for their internal records.

Will the survey save my responses as I go?

Citizen Space allows you to save your survey. If you have started filling in a survey response, you can select the “Save and return” button and you will be asked for your email address. Once filled in, you will receive an email with a return link, individual response ID and a ‘response key’. You can then use these details to resume your incomplete response at any time.

In order to navigate back to a previous question you will need to have completed all questions on the current page in order to save details entered to that point of the survey.

Who do I contact if I make a mistake in the survey?

Please contact NHMRC at administering.institutions@nhmrc.gov.au.

What do I do if I submit the form before it is fully completed?

If you submit an incomplete survey, please contact NHMRC at administering.institutions@nhmrc.gov.au to request your response be deleted. You must complete the IACR survey again and resubmit it before the due date.

Who do I contact if I need an extension?

Please contact NHMRC at administering.institutions@nhmrc.gov.au.

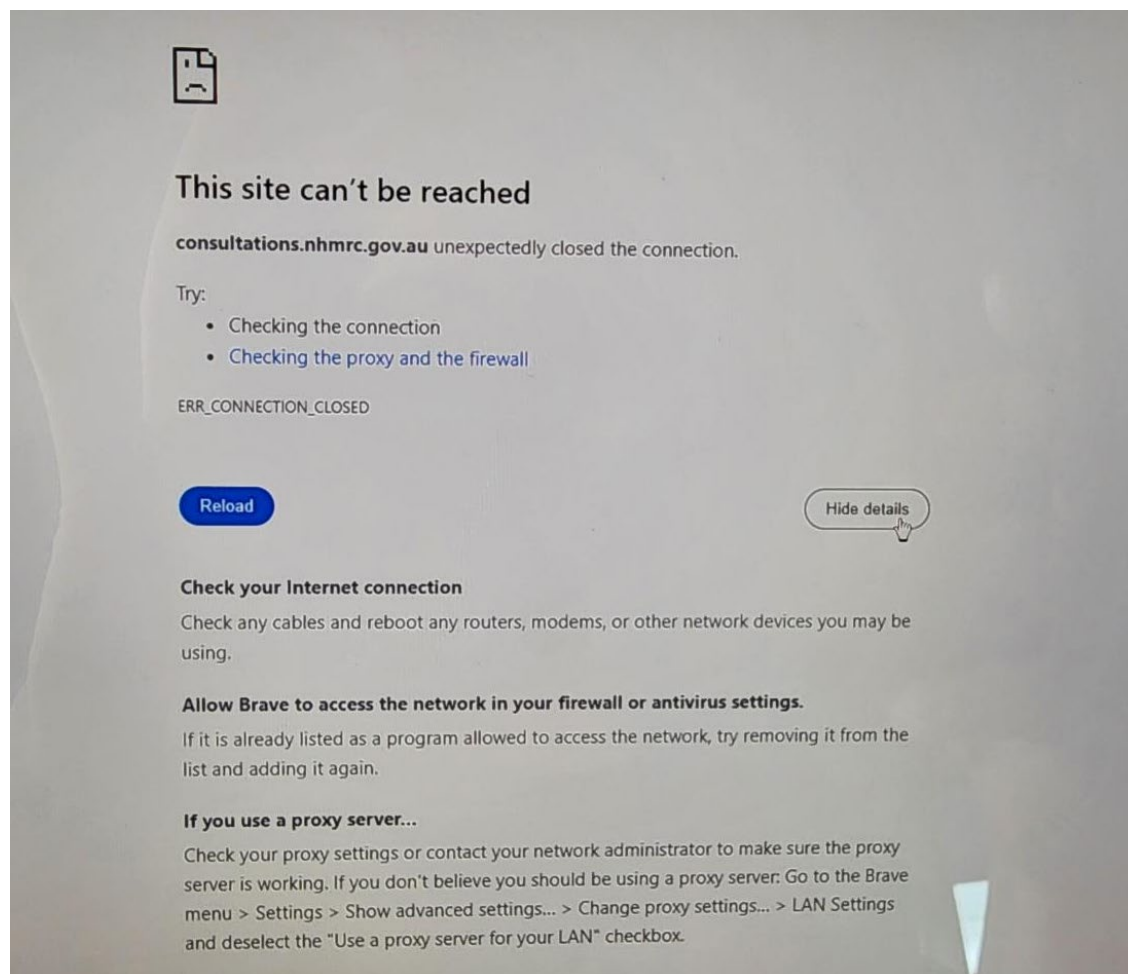
What can I do if I am unable to save the document?

Ensure there is a response to all questions on the page before saving and exiting the survey.

What should I do if more than one person will be completing the survey?

The online survey has mandatory and sequential questions that need to be answered before you can progress through the form. Therefore, it is best to have all the responses prepared offline before entering them into the online form. It is possible to save your progress throughout the form; however, you will need to ensure that there is a response to all questions on the page before you are able to save and exit the survey using the ‘save and come back later’ button. Further information may be found at the [Citizen Space website](#).

I am unable to move to next page of the survey and receive the following error message:



If you encounter this error, please follow these steps:

- Confirm that your WIFI network has internet access by opening a search engine such as Google (<https://google.com.au>) or another reputable site. Then, try accessing the provided link again.
- In Google Chrome, if you receive a notification about third-party cookies being blocked, allow them for this reputable site.
- If the issue continues in Google Chrome, try using Microsoft Edge as an alternative browser.
- If the issue still persists, use a computer that is not connected to your institution's network.