



IACR Survey User Guide

Guide for Administering Institutions

1 February 2024



Guide to filling out the 2023 IACR 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) using Citizen Space.

2. The IACR Survey

The 2023 IACR Survey is being conducted using [Citizen Space](#), a public engagement survey platform.

The 2023 IACR questions relate to events and activities that occurred from 1 January 2022 to 31 December 2023 (the reporting year) only unless otherwise specified.

2023 Institutional Annual Compliance Reporting Survey

<h4>Overview</h4> <p>NHMRC funding is awarded through Administering Institutions, which include universities, hospitals and medical research institutes that meet defined research governance requirements.</p> <p>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.</p> <p>To retain NHMRC Administering Institution status, all Administering Institutions are required to submit an Institutional Annual Compliance Report (IACR) to NHMRC, detailing ongoing compliance with the NHMRC Funding Agreement and other relevant policies for the previous calendar year.</p> <p>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.</p>	<p>Closes 27 Mar 2024 Opened 12 Feb 2024</p> <hr/> <p>Contact +61 2 6217 9814 administering.institutions@nhmrc.gov.au</p> <hr/>
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To support this process, NHMRC has provided an offline form available on the NHMRC website and recommends that Administering Institutions fill in the offline form in the first instance to enable input of all responses at the same time.

If the Institution accidentally submits an incomplete survey, please contact NHMRC and request the response be deleted. The IACR survey will need to be filled out again and resubmitted by the Institution prior to the due date.

2.1. IACR Survey Due Date

All Administering Institutions are required to complete and submit the IACR survey and 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 5.00pm AEDT on 27 March 2024.**



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 note that depending on your institution's responses, the questions available to you may change. For instance, if the institution does not conduct research on animals, then the subsequent questions for this section about research on animals will not appear. This means some institutions will be able to skip some questions. It also means that not all your answers on the offline form will be required in the IACR survey.

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' - which you should make a note of right away. 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 but, will need to complete the page you are on with the required responses, before being able to use this button.

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. Useful Links

3.1. General Administering Institution information

- [NHMRC Funding Agreement](#)
- [NHMRC's Institutional Annual Compliance Reporting webpage](#)
- [NHMRC policies and requirement](#)
- The [requirements of being an Administering Institution](#)
- [NHMRC Approved standards and guidelines](#)
- [NHMRC Applicable laws and obligations](#)
- [Commonwealth Grants Rules and Guidelines \(2017\)](#)
- [Medical Research Future Fund \(MRFF\) – Eligible Organisation](#)

3.2. Open Access

- [NHMRC Open Access Policy](#)

3.3. Redress Scheme and National Principles for Child Safe Organisations

- The [National Redress Scheme for Institutional Child Sexual Abuse](#) (the Redress Scheme)
- [Redress Grant Connected Policy \(GCP\)](#)
- [National Principles for Child Safe Organisations](#)

3.4. Research Integrity

- [NHMRC Research Integrity and Misconduct Policy](#)
- [Australian Code for the Responsible Conduct of Research \(2018\)](#)
- [Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research \(2018\)](#)
- [Guides that support the Code have been implemented by the Administering Institution. The guides are available at: Australian Code for the Responsible Conduct of Research \(2018\)](#)

3.5. Human Research Ethics

- [National Statement on Ethical Conduct in Human Research, 2007 \(Updated 2018\)](#)
- [Human Research Ethics Committee \(HREC\)](#)

3.6. Animal Research Ethics

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

3.7. Gender Equity

- [Policies to support gender equity](#)

3.8. Foreign Interference

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

3.9. Intellectual property

- [Requirements around IP](#)

3.10. NHMRC Peer Review

- [NHMRC Principles of peer review](#)

3.11. Cyber-security and data breaches

- [Data Spill Management Guide](#)

3.12. Administering Institution Nominated Individuals Confirmation

- [Sapphire Institutional Account Access Form](#)

4. Types of responses in the IACR survey

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

Additional information to support filling in the survey is available if you click on the 'Reference' links provided with some questions.

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, ensure you put the full legal name of the Administering Institution in question one with 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 no word limit unless specified.

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.

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)

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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 (yes, no, 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 and in the free text field provide an explanation to clarify the answer(s) selected, if required.

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 and if the response is 'Other' then provide an explanation for this in the free text field.

5. Part P: Administering Institution Nominated Individuals Confirmation

Please note that NHMRC requires Administering Institutions to confirm that the individual's named as the institution's position holders are correct and still employed by the organisation.

To support Administering Institutions, NHMRC will provide an Excel listing of current position holders with the survey for the RAO to review.

We ask that the RAO ensures that the individual contact details such as phone number and email addresses are up to date. These are used by NHMRC to contact the organisation when required and to provide updates, such as via RAO Alerts.

If changes to position holder roles or individual contact details are necessary, the [Sapphire Institutional Account Access Form](#) must be used to request institutional access for individuals not currently listed or individuals changing position holder roles. The completed form and any requests to remove institutional access for listed individuals should be emailed to help@nhmrc.gov.au

The Administering Institution is required to review all its named 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 the NHMRC to have details corrected or individuals removed/added.

6. Part Q: RAO Certification and Submission

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 give false or misleading information in the IACR may result in the suspension of all or part of NHMRC funding to the institution.

7. Terms & Definitions

Term	Definition
Administering Institution (AI)	Administering Institution means those institutions that have the status of NHMRC Administering Institution for administering NHMRC Funding.
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 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, an organisation that contributes to the Research Activity in accordance with its Formal Agreement with, and under the leadership of, the Administering Institution and where the context permits, includes its employees, advisers, officers, agents, and contractor staff.
NHMRC Approved Standards and Guidelines	NHMRC Approved Standards and Guidelines are those listed as such on the NHMRC website as may be introduced, amended or replaced from time to time by NHMRC in accordance with clause 17.3.