

2018

INSTITUTIONAL ANNUAL COMPLIANCE REPORT

Please note that this template is for **reference only**. All Institutional Annual Compliance Reports must be submitted using RGMS. For Instructions on how to submit the report, refer to the *RGMS User Guide - Grant Administration* on the [RGMS Training Program](#) page.

** indicates a “mandatory” question

GENERAL

Additional Information	Instructions to assist in completing and submitting this report are available in the ‘RGMS User Guide - Grant Administration’ at https://nhmrc.gov.au/about-us/publications/rgms-training-program
Important notes	NOTE 1: Questions relate to events/activities that occurred during the reporting period only unless otherwise specified.
	NOTE 2: NHMRC may contact the Administering Institution to seek more information in relation to answers given. For example, if a potential breach of the Funding Agreement is identified, NHMRC will contact the Administering Institution to seek further information and to identify what processes are in place to address this.
Report year	[populated from entry on first screen]
RAO	[populated by login details]
NHMRC funds administered?	**Did your Institution administer NHMRC funds during the reporting period as the Administering Institution? If No, you do not need to answer any further questions in this report – proceed to the RAO Certification page. YES/NO

PART A: GENERAL ADMINISTRATION and USE OF FUNDS

Recent audit	**When was the income and expenditure related to NHMRC funded research last audited by an external, independent auditor? (This may be prior to the period this IACR covers). Calendar to select report date
	**Provide the name of the audit company that conducted the audit and prepared the report. Free text field
	**Were there any recommendations made by the auditor in the report? YES/NO
	If Yes, what were the recommendations and have they been actioned? Free text field

Institutional Approvals	<p>**Were all Institutional Approvals sought and approved before the Research Activity requiring those Approvals commenced? YES/NO/None required</p>
Full time Fellows	<p>**Were all Fellows who held a full time fellowship engaged by your Institution or the Participating Institution as a full time equivalent? YES/NO/No Fellows</p>
Part time Fellows	<p>**Were all Fellows who were awarded a part time fellowship or varied their grant to a part time fellowship engaged by your Institution or the Participating Institution for the same proportion of a full time equivalent? For example, was a Fellow who held a 0.6 fellowship engaged as a 0.6 full time equivalent? YES/NO/No Fellows</p>
CIA engagement	<p>**Were all Chief Investigator As and Fellows either employed by your Institution or the Participating Institution OR had a legally enforceable written agreement with your Institution or the Participating Institution? YES/NO</p>
Use of funds	<p>**Were NHMRC funds spent in accordance with the Funding Agreement and NHMRC Direct Research Costs Guidelines? YES/NO</p>
Participating Institutions	<p>**Did your Institution have a Formal Agreement in place with each Participating Institution that was performing any part of a Research Activity? Note that the overseas Institution for overseas based Early Career Fellowships is also considered a Participating Institution. YES/NO/No Participating Institutions</p>
Delays in Research Activity	<p>**Were all delays in a Research Activity of 6 months or more notified to NHMRC? YES/NO/No delays</p>
Allegations of fraud against the Commonwealth	<p>**Was NHMRC notified of all allegations of fraud that related to NHMRC funding? YES/NO/No Allegations</p>
	<p>If NO, explain why NHMRC was not notified. Free text field</p>

PART B: RESEARCH INTEGRITY

Important note	Information collected in Part B is aimed at better understanding how research integrity and research quality are managed in Administering Institutions. This will inform collaborative work with the research sector to strengthen research integrity and research quality in Australia. Some of the data collected may be aggregated and used to present high level information in NHMRC's annual report or other publications. Individual institutions will not be identified in this reporting.
Research integrity matters	<p>**Did the institution take active measures to implement the <i>NHMRC Policy on Misconduct related to NHMRC Funding 2016</i>? YES/NO</p>
	<p>If yes, provide details (e.g. implementation of notification requirements via institutional policies) Free text field</p>
	<p>**Did the Institution receive or investigate any allegations of research misconduct relating to NHMRC funding? YES/NO</p>
	<p>If Yes, was NHMRC notified of research misconduct matters in line with the requirements of the <i>NHMRC Policy on Misconduct related to NHMRC Funding 2016</i>? For information on notification requirements please refer to the policy, available on the NHMRC website at https://nhmrc.gov.au/about-us/publications/nhmrc-policy-misconduct YES/NO</p>
	<p>If NHMRC was NOT notified as per the requirements of the policy, explain why NHMRC was not notified. Free text field</p>
Implementation of the Code	<p>**Has the Institution taken steps to implement the <i>Australian Code for the Responsible Conduct of Research, 2018</i> (the Code)? YES/NO</p>
	<p>If no, provide details on the reasons for this. Free text field</p>
	<p>**Has the Institution taken steps to implement the <i>Guide to Managing and Investigating Potential Breaches of the Code, 2018</i>? YES/NO</p>
	<p>If no, provide details on the reasons for this. Free text field</p>
	<p>**Has the Institution appointed Research Integrity Advisors (or individuals serving an equivalent function)? YES/NO</p>
	<p>If so, how many Advisors did the institution have in 2018? Free text field</p>
	<p>**Does the institution have a Research Integrity Office (or a</p>

	central office performing an equivalent function)? YES/NO
	If no, does the institution use the services of another institution to manage and investigate potential breaches of the Code? YES/NO
	** Do staff or others managing or conducting investigations into potential breaches of the Code receive training in the conduct of investigations? YES/NO
	If yes, is this training provided in-house or through an external training provider? In-house/External Training Provider
Research Quality	** Does the Institution have a program to support research quality? YES/NO
	If yes, please briefly list the key elements of your program. Free text field

PART C: RESEARCH INVOLVING HUMANS

Research involving humans	** As the Administering Institution, did the Institution administer NHMRC funds for research involving humans? YES/NO
	If Yes, provide the Human Research Ethics Committee (HREC) EC number/s for the HREC/s that reviewed the NHMRC-funded research involving humans. HREC EC numbers are listed on the NHMRC website at https://nhmrc.gov.au/research-policy/ethics/human-research-ethics-committees Free text field
	NOTE: NHMRC will be cross referencing the information provided in this report with the HREC Annual Report.

PART D: RESEARCH INVOLVING ANIMALS

Research involving animals	** As the Administering Institution, did the Institution administer NHMRC funds for research involving animals? YES/NO
	If Yes, provide the name/s of the Animal Ethics Committee/s (AEC/s) used by the Institution to review the NHMRC-funded research involving animals. Free text field
Implementation of the code	** Has the Institution had any difficulty in implementing the <i>Australian code for the care and use of animals for scientific purposes 8th edition (2013)</i> ? YES/NO
	If Yes, provide details on the areas in which difficulties implementing the <i>Australian code for the care and use of</i>

	<p><i>animals for scientific purposes 8th edition (2013)</i> were encountered and the reasons behind those difficulties.</p> <p>Free text field</p>
Independent external review	<p>**When was the last independent external review to ensure the continued suitability, adequacy and effectiveness of your institution's procedures to meet its responsibilities under the <i>Australian code for the care and use of animals for scientific purposes 8th edition (2013)</i>? (An independent external review must be conducted at least every four years.)</p> <p>Free text field</p>

PART E: DISSEMINATION OF RESEARCH FINDINGS

	<p>From 1 July 2012, the NHMRC Open Access Policy (previously known also as the NHMRC Policy on Dissemination of Research Findings) has required that any publications arising from an NHMRC supported research project must be deposited into an open access institutional repository and/or made available in another open access format within a 12 month period from the date of publication. From 15 January 2018, the revised NHMRC Open Access Policy (https://nhmrc.gov.au/about-us/publications/open-access-policy) also includes the following requirements:</p> <ul style="list-style-type: none"> • Peer-reviewed conference papers to be included in the term 'publications'. • The metadata for the peer-reviewed publication must be made openly accessible via an institutional repository as soon as possible but no later than 3 months from the date of publication. • Australian filed patents arising from NHMRC funding to be listed on Source IP (https://sourceip.australia.gov.au/) by Administering Institutions.
Open access repository	<p>**Does the Institution host or provide alternative options for researchers to access an open access repository? (Alternative options may mean partnerships with another institution to access their repositories).</p> <p>YES/NO</p> <p>If No, explain why.</p> <p>Free text field</p>
Publication links to Grant IDs	<p>**Does the Institution ensure all publications arising from NHMRC-funded research include the relevant NHMRC Grant Identification Number(s)?</p> <p>YES/NO</p> <p>If No, explain why.</p> <p>Free text field</p>
Patents listed on Source	<p>**Is the Institution listed as a Research Organisation with Source</p>

IP	IP? YES/NO
	If No, explain why. Free text field
	**Does the Institution ensure that Australian filed patent publications arising from NHMRC funded research are published on Source IP and include the relevant NHMRC Grant Identification Number(s) in the patent description on Source IP? YES/NO
	If No explain why. Free text field

RAO Certification

	As specified in the NHMRC Funding Agreement, the Institution accepts responsibility for compliance with the Funding Agreement and is aware that failure to comply with the Funding Agreement or to give false or misleading information in this Institutional Annual Compliance Report may result in the suspension of all or part of NHMRC funding to the Institution.
Certify RAO	**Please Certify this Report by selecting 'Yes' below and clicking SAVE. You are certifying that this Report has been finalised and is ready for RGMS to process. Note that once you do this, RGMS will lock your request and you will not be able to make changes to it. YES/NO
Certify RAO Comment	Free text field