

## NHMRC 2020 Institutional Annual Compliance Report (IACR) Welcome to the 2020 NHMRC-IACR Survey

To retain Administering Institution (AI) status, all AIs are required to submit an Institutional Annual Compliance Report (IACR) annually, detailing their ongoing compliance with the NHMRC Funding Agreement and other relevant policies. Additionally, the IACR provides annual cross-referencing of the AI's key contact and general information to verify currency of existing information kept on record.

All AIs must submit a report, even if they did not administer NHMRC funds during the reporting year.

You are required to answer all questions in the survey. The survey has been prepared in such a way that multiple areas of the Institution who may need to provide responses can access the survey and the survey can be saved 'in progress' prior to submitting to allow this.

The survey relates to NHMRC funding, however compliance applies to all grants that NHMRC administer including MRFF grants where applicable.

If your institution no longer requires AI status (for example because the institution will not be directly administering NHMRC or Medical Research Future Fund grants, and this status is not required for any other reason), please advise NHMRC via a letter from your chief executive to: [administering.institutions@nhmrc.gov.au](mailto:administering.institutions@nhmrc.gov.au).

Questions relate to events/activities that occurred from 1 January 2020 to 31 December 2020 (the reporting year) only unless otherwise specified.

NHMRC may contact the Administering Institution to seek more information in relation to answers given.

If you have any questions please email [administering.institutions@nhmrc.gov.au](mailto:administering.institutions@nhmrc.gov.au)

## NHMRC 2020 Institutional Annual Compliance Report (IACR) PART A: General Administration and Use of Funds

Confirmation of Administering Institution (AI) information and details.

**Note:** NHMRC will use this information to verify currency of existing information we have on record.

NHMRC's purposes support our mission of *building a healthy Australia*. They reflect NHMRC's legislated functions to fund health and medical research and training, and to issue guidelines and to advise on improving health outcomes, through prevention, diagnosis and treatment of disease and the provision of health care. They also reflect NHMRC's role in promoting the highest standards of ethics and integrity in health and medical research.

Als support NHMRC by ensuring that their research activities are conducted in accordance with these purposes. Als should be able to demonstrate significant abilities in health and medical research for improving health and medical outcomes for Australia.

\* 1. Administering Institution name:

\* 2. Administering Institution acronym:

\* 3. Administering Institution web URL:

\* 4. What is the approximate FTE size of the institution?

- 1-20
- 21-100
- 100-200
- 200+

**\* 5. Approximately what proportion of FTE are conducting health and medical research?**

- 0-25%
- 26-50%
- 51-75%
- 76-100%

**\* 6. Approximately what proportion of FTE provides operational and administrative support for those mentioned in Q5?**

- 0-25%
- 26-50%
- 51-75%
- 76-100%

### **7. Primary Research Administration Officer (RAO) contact details**

The RAO is the first point of contact between NHMRC and the AI. The RAO has the AI's authority to act on behalf of the institution regarding the information provided in the survey form.

**Name**

**Email Address**

**Phone Number**

### **8. Responsible Officer (RO) contact details**

The RO must be a person authorised to execute grant schedules on behalf of the AI.

**Name**

**Email Address**

**Phone Number**

## 9. Chief Finance Officer (CFO) contact details

The CFO must be a person authorised to approve grant financial information and other financial reporting.

Name

Email Address

Phone Number

## 10. Finance Officer (FO) contact details

The FO must be a person authorised to be contacted regarding grant financial information and other financial reporting.

Name

Email Address

Phone Number

\* 11. Did the Institution administer NHMRC funds in the reporting year?

Yes

No

\* 12. Were NHMRC funds spent in accordance with NHMRC Funding Agreement and NHMRC Direct Research Cost Guidelines (DRC)?

Yes

No, provide details on funds not spent in accordance with the funding agreement and DRCs

Not applicable

\* 13. Did the AI conduct health and medical research in Australia during 2020?

Yes

No

**\* 14. Do the objectives of the AI align with NHMRC's purposes?**

Yes

No

**\* 15. Please confirm the Institution's legal entity type**

Incorporated association under Australian State/Territory legislation

Incorporated co-operative incorporated under Australian State/Territory legislation

Aboriginal Corporation incorporated under the Corporations (Aboriginal and Torres Strait Islander) Act 2006 (Cth)

Body established under specific Commonwealth or State/Territory legislation

Company incorporated under the Corporations Act 2001 (Cth)

Partnership

Trustee on behalf of a trust

Australian local government entity

Australian State/Territory government entity

Australian corporate Commonwealth government entity

Other (please specify)

[Redacted area]

**\* 16. What is the Institution's reason for maintaining AI status?**

Select any or all options that apply. You must select at least one

- To apply for and administer NHMRC funding from the Medical Research Endowment Account (MREA)
- To apply for and administer funding from the Medical Research Future Fund (MRFF) that is administered through NHMRC
- Both of the above
- Other (please specify)

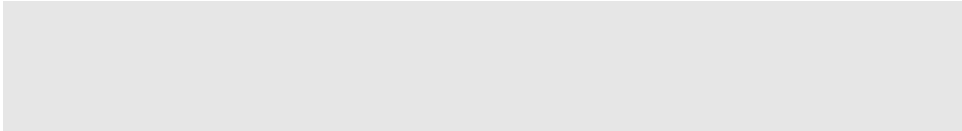
**\* 17. With respect to the AI's income from and expenditure of NHMRC funding, when was this last audited by an external, independent auditor? (This may be prior to the period this IACR covers)**

- 2020
- 2019
- 2018
- 2017
- 2016
- Other (please specify)

**\* 18. Were there any recommendations in the audit report that relate to NHMRC funding?**

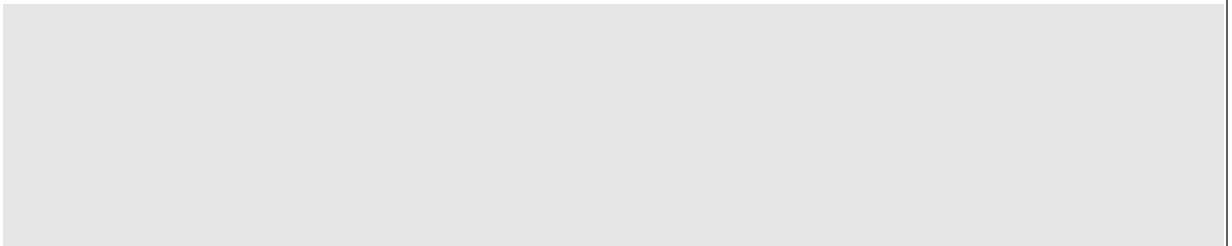
- Yes
- No
- Not applicable

**19. If yes to the previous question, briefly describe the recommendations**



**\* 20. Have all audit recommendations that relate to NHMRC funding been actioned?**

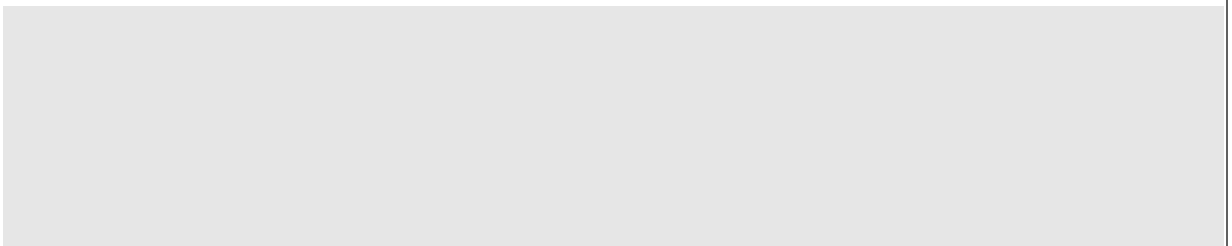
- Yes
- No - please specify what actions have NOT been completed and include details of planned completion dates for all outstanding NHMRC related recommendations



- Not applicable

**\* 21. Was NHMRC notified of all allegations of fraud that related to NHMRC funding**

- Yes
- No - If NHMRC was not notified please provide an explanation



- No allegations (none of the above)

## NHMRC 2020 Institutional Annual Compliance Report (IACR) Part B: Research Policies and Procedures

Administering Institutions are required to review their internal policies and procedures to ensure compliance with NHMRC policies and requirements, including the NHMRC Open Access Policy, NHMRC Research Integrity and Misconduct Policy and policies to support gender equity, ensuring that they can meet all of the requirements of the NHMRC Funding Agreement.

**\* 22. Has the AI reviewed its internal policies and procedures to ensure compliance with NHMRC policies and requirements?**

Yes

No

**\* 23. How often does the AI review compliance against NHMRC policies and requirements?**

Annually

Bi-annually

Other (please specify)



**\* 24. When reviewing compliance against NHMRC policies and requirements, how is the review conducted?**

- Internal audit team
- Internal legal team
- Internal grants management team
- Internal business management team
- Other (please specify)
- Internal risk management team
- Assigned to a member of staff
- External consultant

## NHMRC 2020 Institutional Annual Compliance Report (IACR) Part C: Participating Institutions (PIs)

Institutions that do not meet the requirements for Administering Institution (AI) status are encouraged to partner with an existing AI as a Participating Institution (PI) in order to receive funding.

A PI is an organisation that operates under the leadership of an AI to contribute to research activities conducted by the AI in accordance with its formal agreement with the AI.

NHMRC is required by law to ensure the accountability of funding and, accordingly, the AI is required to account for all NHMRC funding it and its PIs receive under the NHMRC Funding Agreement.

The AI is to ensure its PI perform the Research Activities and administer the funds so as to give effect to the Funding Agreement with NHMRC.

**\* 25. Does the AI work with PIs?**

Yes

No

**\* 26. Does the AI have a formal agreement with all PIs?**

Yes

No - which are not covered and why (please specify)

Not applicable

**\* 27. How many PI Agreements are currently active with the AI?**

- 1-10
- 11-20
- 21-40
- 41-50
- 50+
- Not applicable

**\* 28. Does the AI have a procedure in place to monitor PIs for their compliance with the NHMRC Funding Agreement?**

- Yes
- No

**\* 29. Does the monitoring procedure include assurance that a PI complies with the current NHMRC Approved Standards and Guidelines, in particular the NHMRC Research Integrity and Misconduct Policy and policies to support gender equity?**

- Yes
- No

**If no (please specify)**

## NHMRC 2020 Institutional Annual Compliance Report (IACR) Part D: Accountability

An AI is to be financially viable and of sufficient size to provide assistance, resources, facilities, infrastructure and services to support research activity.

Als 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. The responsibilities of AIs include all necessary arrangements to ensure compliance with:

- The requirements of being an AI
- The Funding Agreement
- The Funding Policy applicable to each scheme
- All applicable NHMRC Approved Standards and Guidelines including NHMRC's Open Access Policy, the NHMRC Research Integrity and Misconduct Policy and policies to support gender equity
- The Australian Code for the Responsible Conduct of Research, 2018
- The Guidelines to Counter Foreign Interference in the Australian University Sector
- The National Redress Scheme for Institutional Child Sexual Abuse (the Redress Scheme)

**\* 30. Does the AI have procedures in place to monitor use and accountability of funds in line with NHMRC Funding Agreement clauses 7.1 to 7.15?**

Yes

No

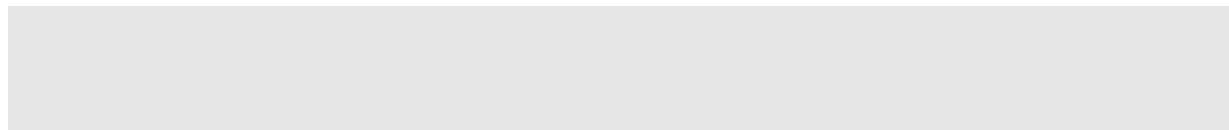
**Comment field**

**\* 31. Does the AI have internal procedures in place to prepare and submit financial statements and acquittals as per Funding Agreement clauses 9.3 – 9.17?**

Yes

No

**Comment field**



## NHMRC 2020 Institutional Annual Compliance Report (IACR) Part E: Open Access Policy

From 1 July 2012, the NHMRC Open Access Policy (previously known as 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 includes the following requirements:

- 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

In November 2018, this policy had another update to refer to the 2018 Code for the Responsible Conduct of Research and further clarify requirements around IP.

**\* 32. Does the AI host an open access repository for publications, or provide alternative options such as through partnerships with another institution to access their repositories?**

- Yes - AI hosted open access repository (provide hyperlink details in the comment field below)
- Yes - alternative hosted open access repository (provide hyperlink details in the comment field below)
- No - how do you plan to meet this requirement? Provide details in the comment field below

Comment field

**\* 33. Does the AI host an open access repository for data, or provide alternative options such as through partnerships with another institution to access their repositories?**

- Yes - AI hosted open access repository (provide hyperlink details in the comment field below)**
- Yes - alternative hosted open access repository (provide hyperlink details in the comment field below)**
- No - how do you plan to meet this requirement? Provide details in the comment field below**

**Comment field**

## NHMRC 2020 Institutional Annual Compliance Report (IACR) Part F: Research Integrity

Information collected here is aimed at better understanding how research integrity is managed in Administering Institutions. 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.

For information on the questions about the Australian Code for the Responsible Conduct of Research, 2018 and the Guide to Managing and Investigating Potential Breaches of the Code 2018, and the other Guides that support the Code, these documents are available on the NHMRC website at: [Australian Code for the Responsible Conduct of Research, 2018](#).

The NHMRC Policy on misconduct (2016) was superseded on 1 July 2019 by the Research Integrity and Misconduct Policy (2019) which is available on the NHMRC website at: [NHMRC Research Integrity and Misconduct Policy, 2019](#).

**\* 34. Has the AI implemented the Australian Code for the Responsible Conduct of Research, 2018?**

Yes

No



**\* 35. Please indicate from the list below which of the Guides that support the Code have been implemented by the AI.**

The guides are available at: [Australian Code for the Responsible Conduct of Research, 2018.](#)

	Yes	No	Partially
Managing and investigating potential breaches of the Australian Code for the Responsible Conduct of Research	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Authorship	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Management of data and information in research	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Peer review	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Disclosure of interests and management of conflicts of interest	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Supervision	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Collaborative research	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Publication and dissemination of research	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comment field

**\* 36. Has the AI received or investigated any concerns, complaints or allegations about potential breaches of the Code relating to NHMRC funding?**

Yes

No

**\* 37. Has the AI notified NHMRC of any concerns, complaints or allegations about potential breaches of the Code relating to NHMRC funding, where notification is required by the NHMRC Research Integrity and Misconduct Policy (2019)?**

Yes

No - please provide reason in the free text box below

Not applicable

Comments field

**\* 38. Has the AI completed the implementation of the NHMRC Research Integrity and Misconduct Policy (2019), which came into effect on 1 July 2019?**

**Yes - please provide date of implementation**

**No - please provide date when implementation is planned to be completed**

## NHMRC 2020 Institutional Annual Compliance Report (IACR) Part G: Research Involving Humans

NHMRC funded research involving humans must be conducted in accordance with the National Statement on Ethical Conduct in Human Research, 2007 (Updated 2018). Refer to: [National Statement on Ethical Conduct in Human Research \(2007\) - Updated 2018](#)

\* 39. Did the AI administer NHMRC funds for research involving humans?

Yes

No

\* 40. If YES to the previous question, were all the appropriate Human Research Ethics Committee (HREC) approvals in place as required?

Yes

No - please provide an explanation in the comments field below

Comments field

## NHMRC 2020 Institutional Annual Compliance Report (IACR) Part H: Research Involving Animals

NHMRC funded research involving animals must be conducted in accordance with the Australian code for the care and use of animals for scientific purposes 8th edition (2013). Refer to: [Australian code for the care and use of animals for scientific purposes 8th edition \(2013\)](#).

\* 41. Did the AI administer NHMRC funds for research involving animals?

Yes

No

\* 42. If YES to the previous question, were all the appropriate Animal Ethics Committee (AEC) approvals in place as required?

Yes

No - please provide explanation in comments field below

Comments field

**\* 43. When was the most recent independent external review to ensure the continued suitability, adequacy and effectiveness of the AI's procedures to meet its responsibilities under the Australian code for the care and use of animals for scientific purposes 8th edition (2013)?**

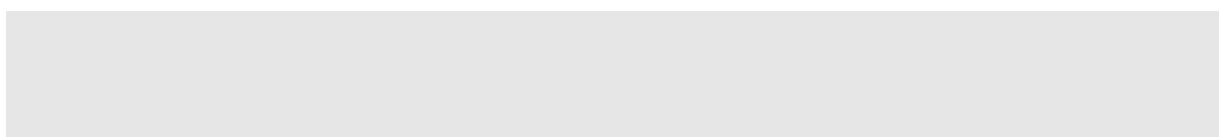
2020

2019

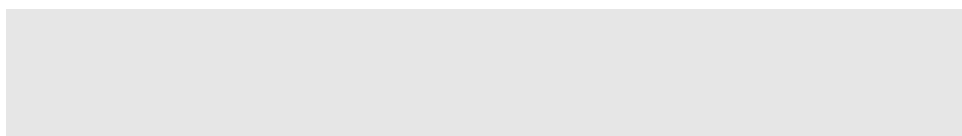
2018

2017

Other (please specify)

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**\* 44. Please provide the name of the reviewing organisation and URL of any published review report or summary**

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## NHMRC 2020 Institutional Annual Compliance Report (IACR) Part I: Participation in Peer Review

Peer Review - A guide supporting the Australian Code for the Responsible Conduct of Research, 2018 requires that AIs recognise the importance of peer review processes to academic and scientific endeavour by encouraging and supporting the participation of its researchers.

The guide also requires that Institutions must provide ongoing training and education that promotes and supports responsible research conduct and assists all researchers in relevant aspects of peer review processes.

It is a condition of the NHMRC Funding Agreement (Clause 23) that the AI must make available to NHMRC the services of suitable personnel to provide professional input into reviewing or assessing applications made under a Scheme in the personnel's area of expertise.

**\* 45. In relation to Clause 23 of the Funding Agreement how does the AI support Specified Personnel to undertake peer review?**

- Time allocated for participation
- Peer review mentoring
- Peer review training
- All of the above
- Other (please specify)

**\* 46. In relation to Clause 23 of the NHMRC Funding Agreement, does the AI monitor the participation of Specified Personnel in NHMRC peer review?**

**Yes - briefly outline how this is monitored**

**No - provide explanation**

**Not applicable - provide explanation**

**\* 47. Does the AI have strategies in place for encouraging Specified Personnel to nominate for participation in NHMRC peer review?**

**Yes - briefly outline strategy**

[Redacted]

**No - provide explanation**

[Redacted]

**Not applicable - provide explanation**

[Redacted]

## NHMRC 2020 Institutional Annual Compliance Report (IACR) Part J: Gender Equality

NHMRC requires Administering Institutions to have policies in place to support gender equality in health and medical research. Further information is available on the NHMRC website at: [Administering Institutions - consideration of gender equality](#)

**\* 48. Has the AI implemented the NHMRC gender equality requirements that were revised in 2019?**

Yes

No

**\* 49. If yes to the previous question does the AI have a policy to support research environments that are free from gender bias, discrimination and sexual or other harassment and procedures in place to fairly address any instances of such behaviour?**

Yes

No

Comments field

**\* 50. If yes to previous question are these policies publicly available?**

**Yes - provide  
hyperlinks**

**No - provide  
explanation**



## **NHMRC 2020 Institutional Annual Compliance Report (IACR)**

### **Part K: Australian Government Guidelines to Counter Foreign Interference**

The Australian Government Guidelines to counter foreign interference in the Australian university sector apply to all Administering Institutions (AIs) and Participating Institutions (PIs) and require them to make all necessary arrangements to ensure compliance.

These guidelines have been developed for, and in partnership with, the Australian university sector to help manage and engage with risk to deepen resilience against foreign interference.

They are designed to build on risk management policies and security practices already in place, as well as assist decision makers to assess the risks from foreign interference.

NHMRC is seeking information on your AI's awareness of the Guidelines as an initial step with the intention of seeking more information about their implementation in subsequent surveys.

**\* 51. What is the AI's level of awareness of the Australian Government Guidelines to counter foreign interference in the Australian university sector?**

- Not at all aware
- Somewhat aware
- Very aware

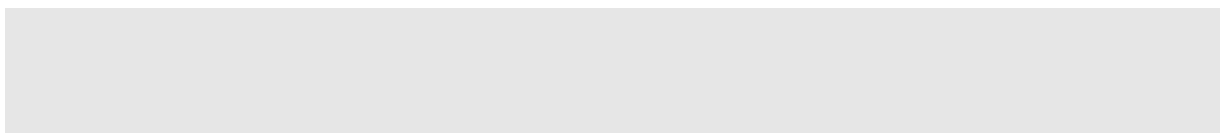
**\* 52. What progress has the AI taken to implement the counter foreign interference guidelines?**

- Not started
- 20% implemented
- 50% implemented
- 70% implemented
- Implementation complete

**\* 53. If the implementation of the counter foreign interference guidelines has not started or partially complete, provide a short summary of any plans for implementation including target dates for the completion of the counter foreign interference guidelines**

Not applicable

Summary



## NHMRC 2020 Institutional Annual Compliance Report (IACR) Part L: National Redress Scheme Grant Connected Policy (Redress GCP)

The National Redress Scheme for Institutional Child Sexual Abuse (the Redress Scheme) was established in response to the Royal Commission into Institutional Responses to Child Sexual Abuse (Royal Commission) and holds institutions accountable for past abuse. In order for an eligible applicant to access redress, the responsible institution must be participating in the Redress Scheme.

Non-government institutions named in applications to the Redress Scheme or to the Royal Commission that have not joined the Redress Scheme or signified their intent to join within the required timeframe, will be ineligible to access Australian Government grant funding.

The [Redress Grant Connect Policy \(GCP\)](#) sets this out in more detail. Implementation of the Redress GCP commenced on 1 January 2021. The Redress GCP is mandated across Australian Government entities that administer grants under the Commonwealth Grants Rules and Guidelines (CGRGs).

In accordance with the requirements of the Redress GCP, NHMRC funding will not be awarded to institutions who are named in applications to the Redress scheme or Royal Commission and have not joined the Redress Scheme.

NHMRC is seeking information on your AI's awareness of the Redress Scheme as an initial step with the intention of seeking more information in subsequent surveys.

### \* 54. Is the AI aware of the Redress Scheme?

- Not at all aware
- Somewhat aware
- Very aware

## NHMRC 2020 Institutional Annual Compliance Report (IACR) Part M: COVID-19 Impacts

NHMRC acknowledges the large impacts of the COVID-19 pandemic on the health and medical research sector and is working to support the sector during the pandemic, whilst continuing to fulfil its key responsibilities to invest in health and medical research.

**\* 55. Did the AI experience financial and/or operational difficulty as a result of COVID-19?**

- Yes - financial difficulty
- Yes - operational difficulty
- Yes - both financial and operational difficulty
- No
- Other (please specify)

- Not applicable

**\* 56. If yes to the previous question as a result of COVID-19, please provide a brief summary in the comments field below, specific examples or hyperlinks to illustrate these difficulties and the AI's management response**

**\* 57. Clause 7 of the NHMRC Funding Agreement requires AIs to ensure that NHMRC funds are only used for the Research Activity for which they are provided.**

**Has the Institution implemented measures to meet this obligation?**

- Yes
- No
- Other (please specify)

**\* 58. If YES to the previous question, did any of these measures change during 2020?**

- No
- Not applicable
- Yes - please provide a short summary here

## NHMRC 2020 Institutional Annual Compliance Report (IACR) Part N: 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.

**\* 59. Is the AI at all times willing and able to comply with relevant NHMRC policies and guidelines, and to report on compliance when required.**

- Yes - by answering YES you are certifying that this 2020 IACR has been finalised and is ready for NHMRC to process
- No - by answering NO you are indicating that the AI no longer seeks to maintain AI status. NHMRC will contact you to discuss

**60. Do you have any comments or recommendations to make on how the next IACR process could be improved?**

**\* 61. Name of RAO certifying this survey**

**\* 62. Date this survey was completed**

Date [DD/MM/YYYY]

Date

## **NHMRC 2020 Institutional Annual Compliance Report (IACR) End of Survey**

Thank you for taking the time to complete this survey. If you have any questions please email [administering.institutions@nhmrc.gov.au](mailto:administering.institutions@nhmrc.gov.au)