



Australian Government

National Health and Medical Research Council

IACR Survey Forms Guide

Guide for Administering Institutions

Research Administration Section

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Guide to filling out the 2022 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 the Microsoft Form survey.

2. The IACR Survey

The 2022 IACR Survey is being conducted using Microsoft Forms. Note that the IACR Survey does not have a save function and cannot be saved in progress, so please ensure that you have all the required information prior to starting as the completion and lodgement is a single process.

The IACR survey can be left open in a window while being filled out and unless the window is closed the IACR survey will remain open. NHMRC recommends that Administering Institutions (AIs) collate all information in the offline form available on the NHMRC website that can be saved as you go, provided to enable input of all responses at the same time.

If the Institution accidentally submits an incomplete form, 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.

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

2022 NHMRC-IACR Survey

Welcome to the 2022 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* (www.nhmrc.gov.au/funding/manage-your-funding/funding-agreement) and other relevant policies and information kept on record.

All AIs must submit a report by COB 10 May, even if they did not administer NHMRC funds during the reporting year.

You are required to answer all questions in the survey, even if your AI has not administered any NHMRC funding in the reporting year. Primary Research Administration Officers (RAOs) are advised that an offline or writable form of the full IACR 2022 survey questions is available for download from NHMRC's Institutional Annual Compliance Reporting webpage (www.nhmrc.gov.au/funding/manage-your-funding/reporting/institutional-annual-compliance-reporting). This offline form supports AIs in collating the response on behalf of multiple areas of the institution ahead of the submission of the survey.

Please note that some questions in the offline form may not appear in the online survey as only relevant questions will appear and this will depend on your responses. NHMRC suggests that AIs answer all questions in the offline form and use this as part of their official record.

If your institution no longer requires AI status, for example because the institution will not be administering grants as an AI in future please advise NHMRC via a letter from your Chief Executive Officer or Delegate to administering.institutions@nhmrc.gov.au.

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

NHMRC may contact the AI to seek more information in relation to answers given. If you have any questions, please email administering.institutions@nhmrc.gov.au.

2.1. How to answer the IACR survey

You are required to answer all questions that appear in the IACR survey, even if your AI 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, if for instance a response provided to a question is "NO" then only the questions relating to that response will appear. This means some institutions will have less and some more to fill out. It also means that not all your answers on the offline form will be required in the IACR survey.

2.2. IACR Survey Due Date

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

The IACR is due **on or before 5.00pm AEST on 10 May 2023**.

2.3. Contact information for NHMRC

Should AIs need to contact NHMRC to seek more information in relation to answers given or have any questions, please email [Useful Links](#)

3.1. General AI information

- [NHMRC Funding Agreement](#)
- [NHMRC's Institutional Annual Compliance Reporting webpage](#)
- [NHMRC policies and requirement](#)
- The [requirements of being an AI](#)
- [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 AI. 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

- The [Guidelines to Counter Foreign Interference in the Australian University Sector](#)
- [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. AI Nominated Individuals Confirmation

- [Sapphire Institutional Account Access Form](#)
- [Sapphire Tutorial for Administering Institutions](#)

4. How to answer the IACR survey

There are four types of responses to the IACR survey, most of which will be either type one (short answer) or selection of response from a predetermined list of responses. Please read questions carefully prior to responding.

4.1. Type One - Short text response

This type of response requires you input an answer in free text (short). Such as, in the example below please ensure you put the full legal name of the Administering Institution in question one with the Institution's preferred name in question two.

This might be the exact same name as question one or it might be an alternative name that the institution is more commonly known as.

1. Institution Name (AI's legal name that is registered with your ABN) *

National Health and Medical Research Council

2. What's your AI's trading name/preferred name for NHMRC Administering Institutions List? ('trading name' can be the same as the legal name or the name the company uses every day) *

NHMRC

4.2. Type Two - Long text response

This type appears as a larger box for free text providing greater space to provide a response. Noting the word limit is 1000 words.

25. Please specify procedures *

Enter your answer

4.3. Type Three - Select one option from the options provided

This type appears with a list of options and only the most appropriate response is to be selected by clicking on the round circle next to the written option. AIs are only able to select one response.

4. Did the AI administer NHMRC funds during the reporting period as an AI? *

Yes

No

N/A - Received AI status since July 2022

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

This type appears with a square box. AIs can choose as many options as applicable to their institution.

32. 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)*. (Select as many options as needed) *

- 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
- Further comments in next question

4.5. Type Five - Select date

This type appears with a date field and small calendar on the right-hand side. This will require a date to be selected.

34. Date of implementation completion? *

Please input date (M/d/yyyy)



4.6. Type Six - Table

This type appears in a table format and requires a response against a set of options along the top line for each category in rows. Only the most appropriate response is to be selected by clicking on the round circle under the heading at the top of the table. AIs are only able to select one response.

16. Is the AI aware of the laws, approval requirements and obligations applicable to NHMRC funded research under the following NHMRC applicable laws and obligations?
*

	Yes	No	Not applicable
Foreign Arrangements Scheme	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Registration of Clinical Trials - Australian New Zealand Clinical Trials Registry (ANZCTR)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research Involving Human Embryos Act 2002 and the Prohibition of Human Cloning for Reproduction Act 2002.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

5. Part M: AI Nominated Individuals Confirmation

Please note that NHMRC now requires AIs to confirm that it has reviewed, updated, and confirmed the individual's named as the position holders are correct and still employed by the organisation.

Ensure 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 through RAO Alert.

All AIs must meet the requirements as listed below.

5.1. Research Administration Officers (RAOs)

The AI is required to review all its named Research Administration Officers (RAOs) and respective contact information and can confirm that all named individuals are still employed with the AI and their contact details are correct or if incorrect a request has been made to the

NHMRC to have details corrected or individuals removed/added via [the Sapphire Institutional Account Access Form](#).

AI understands that the RAO is the first point of contact between NHMRC and that those listed have the authority to act on behalf of the AI. RAOs are responsible for all pre- award requirements such as reviewing and submitting grant proposals on behalf of the Institution and CIA. Ensuring at award requirements including ethics approvals and necessary agreements are in place and that the grant can start on time, and post-award requirements are completed in a timely and concise manner by the CIA and organisation. The RAO might also be responsible for the financial and reporting requirements or the facilitation of these on behalf of the Institution.

Als are required to have a minimum of two named RAOs, including a Primary RAO.

5.2. Research Officers (ROs)

The AI is required to review all its named Research Officers (ROs) and respective contact information and can confirm that all named individuals are still employed with the AI and their contact details are correct or a request has been made to the NHMRC to have details corrected or individuals removed/added via [the Sapphire Institutional Account Access Form](#).

The AI confirms that it understands that the ROs are responsible for ensuring the funding requirements can be adhered to and are authorised to execute grant schedules on behalf of the AI.

Als are required to have a minimum of two ROs including a primary RO.

5.3. Chief Financial Officers (CFOs)

The AI is required to review its named Chief Financial Officer (CFO) and the respective contact information and can confirm that the named individual is still employed with the AI and their contact details are correct or a request has been made to the NHMRC to have details corrected or individuals removed/added via [the Sapphire Institutional Account Access Form](#).

The AI confirms that it understands that the CFO is responsible for ensuring all financial reports are correct on behalf of the AI are correct. There is only one CFO per AI.

Als are required to have one CFO 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."

5.4. Financial Officers (FOs)

The AI is required to review all its named Financial Officers (FOs) and respective contact information, that all named individuals are still employed with the AI and their contact details are correct or a request has been made to the NHMRC to have details corrected or individuals removed/added via [the Sapphire Institutional Account Access Form](#).

The AI confirms that it understands that the FOs are responsible for ensuring all financial reports are correct on behalf of the AI.

Als are required to have a minimum one FO.

6. Part N: RAO Certification and Submission

This is the area that asks who the respondent is on behalf of the AI and that they certify the IACR survey responses are correct and complete on behalf of the Institution.

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

Note that the IACR survey cannot be printed. NHMRC recommends that Institutions either use the offline form as the record of responses for internal use and/or request a copy of the submitted form from NHMRC administering.institution@nhmrc.gov.au.

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)	RAO means the officer nominated by the Administering Institution as its contact person for the purpose of this Agreement. 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.
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)	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". 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.
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.

Term	Definition
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.