Form: Ethics Committee – Annual monitoring report

# Purpose of this form

This form is used to record the progress of projects approved by the Australian Institute of Health and Welfare Ethics Committee (the Committee). Internal AIHW **data collections** require a different monitoring form which can be obtained from the intranet or from [ethicssec@aihw.gov.au](mailto:ethicssec@aihw.gov.au)

# Guidance for completion of the report

Consistent with the legislative and ethical requirements set out in [*Australian Institute of Health and Welfare Act 1987*](https://www.legislation.gov.au/Details/C2018C00474)*,* the[*Australian Institute of Health and Welfare (Ethics Committee) Regulations 1989*](https://www.legislation.gov.au/Details/F2018L00317), the [*Australian Privacy Principles*](https://www.oaic.gov.au/privacy/australian-privacy-principles) (APPs), and the[*National statement on ethical conduct in human research*](https://www.nhmrc.gov.au/guidelines-publications/e72), reporting on progress for Committee approved research is normally on an annual basis (in rare circumstances, more frequent reports may be required).

The Principal Investigator (PI) is responsible for ensuring that the project continues to meet the terms and conditions of Committee approval as stated in the approval letter from the Committee (see Section 7 of this form).

The due date for reports is 12 months from the date of Committee approval (see approval letter). The report is required on an annual basis up to the time of data destruction as approved by the Committee (usually 7 years from the project completion date). At that time, a separate [Final Monitoring Report](https://www.aihw.gov.au/getmedia/21028c61-c4a0-4e26-be1d-da2cc47cbe4b/AIHW-ethics-final-monitoring-report.docx.aspx) is submitted.

Approximately 2 months prior to the anniversary of project approval AIHW will send the PI an email requesting submission of the annual monitoring report. Continued approval from the Committee is subject to submission of the report by the date specified in that email. Please send completed reports to [ethicssec@aihw.gov.au](mailto:ethicssec@aihw.gov.au). Penalties apply for non-submission, including withdrawal of access to AIHW supplied data.

**NOTE**: The form will not be accepted if it is incomplete or used for another purpose (for example, to request an amendment).

For assistance contact the Ethics Manager at [ethicssec@aihw.gov.au](mailto:ethicssec@aihw.gov.au%20) or (02) 6249 5004.

## Current project details (refer to [EthOS](https://ethos.aihw.gov.au/login?redirectUrl=%2F) or the project approval letter)

1. **EC or EO reference number Project title** (as approved by the Committee)

|  |
| --- |
|  |

1. **Principal Investigator**

|  |  |
| --- | --- |
| Name and title: |  |
| Organisation and Centre/ Section: |  |
| Position in the organisation: |  |
| Email and phone number: |  |
| Physical location (not postal address): |  |

1. **Contact person if different to Principal Investigator**

|  |  |
| --- | --- |
| Name and title: |  |
| Organisation and Centre/ Section: |  |
| Position in the organisation: |  |
| Email and phone number: |  |

## Progress of the approved project (mark n/a to any that do not apply)

* 1. **Approvals up to and including data destruction**  
     Note: At data destruction time, a separate [Final Monitoring Report](https://www.aihw.gov.au/getmedia/21028c61-c4a0-4e26-be1d-da2cc47cbe4b/AIHW-ethics-final-monitoring-report.docx.aspx) is submitted.

|  |  |
| --- | --- |
| Date of original approval: |  |
| Current project completion date (see 2 (d) below): |  |
| Approved data destruction date (if different): |  |

* 1. **Project commencement** (not the date the project was approved but the date it actually commenced)

|  |  |
| --- | --- |
| Date the AIHW-approved aspects of the research commenced: |  |
| If the approved research has not yet commenced, provide brief reasons and attach any supporting documentation: |  |

**Human Research Ethics Committee (HREC) approvals**

|  |  |
| --- | --- |
| Date home institution HREC approval expires: |  |
| Date other HREC approvals expire (list as applicable): |  |
| If any HREC approvals have expired, briefly explain how those approvals have been renewed including (indicative) dates: |  |

**Changes to the project (amendment requests)**

(Do not attach amendment requests or approval letters)

|  |  |  |
| --- | --- | --- |
| Has the Committee approved any amendments to the project? | | ⬜ Yes ⬜ No |
| If Yes, briefly describe the nature of those approved amendments, for example, an extension of time (see 2 (a) above) and the date they were approved. | | |
| Approval date: | **Description of approved amendments:** | |
|  |  | |

## Terms and conditions (mark n/a if not applicable – refer to approval letter for details)

* 1. **Special conditions**

|  |  |
| --- | --- |
| Was the Committee approval subject to any special conditions? | ⬜ Yes ⬜ No |
| If Yes, briefly describe what those conditions were and how they have been met (attach any supporting documentation) |  |

## Compliance including privacy and data storage (refer to approval letter for details)

* 1. **Data storage and security** (paper and electronic data)

|  |  |
| --- | --- |
| The data storage and security arrangements approved by the Committee continue to be met. | ⬜ Yes ⬜ No |
| *A ‘No’ answer is potentially serious: contact* [*ethicssec@aihw.gov.au*](mailto:ethicssec@aihw.gov.au) *to discuss.* | |
| If No, briefly outline the reasons and what has been done to address the issue/s, including any amendments approved by the Committee (attach any supporting documentation) |  |

* 1. **Confidentiality and privacy** (for example, a waiver of consent)

|  |  |
| --- | --- |
| The confidentiality and privacy provisions approved by the Committee have been implemented and continue to be met | ⬜ Yes ⬜ No |
| *A ‘No’ answer is potentially serious. Contact* [*ethicssec@aihw.gov.au*](mailto:ethicssec@aihw.gov.au) *to discuss.* | |
| If No, briefly outline the reasons and explain what has been done to address the matter (attach any supporting documentation) |  |

* 1. **General compliance** (*Refer to the Chapter 5.5 of the* [*National Statement*](https://www.nhmrc.gov.au/guidelines-publications/e72))

|  |  |
| --- | --- |
| The ethical conditions for research continue to be observed and applied | ⬜ Yes ⬜ No |
| If No, briefly outline the reasons and explain what has been done to address the matter (attach any supporting documentation). |  |

## Dissemination of results (refer to approval letter for details)

1. **Approved method of dissemination of results** (For example: a paper in a referred journal or a report to government)

|  |  |
| --- | --- |
| The method/s of dissemination approved by the Committee have been met? | ⬜ Yes ⬜ No |
| If No, briefly explain the reasons and attach any supporting documentation. |  |
| If Yes, provide citation details (including web-links) for any publications arising from the research. |  |

## Other (mark n/a if not applicable)

1. **Other** (Do not use this section to request an amendment)

|  |  |
| --- | --- |
| Briefly outline other matters that have risen in the reporting period which directly relate to the approved project but are not covered in any of the above fields (attach any supporting documentation) |  |

## Declaration (principal investigator to sign)

I confirm that the details in this report are a true and accurate record of the above-named project as approved by the AIHW Ethics Committee:

|  |  |
| --- | --- |
| **Printed name:** |  |
| **Title:** |  |
| **Signature:** |  |
| **Date:** |  |

Thank you