

AEC Annual Self-Audit

Purpose:

Completion of this audit form annually will partially fulfil Section 2.1.9 (ii), conducting an annual review of the operation of the AEC, and replace the AEC Annual Report (Section 2.3.28 and 2.3.29).

The self-audit will only be deemed complete if all sections have been completed and signed off by the relevant person.

The original self-audit document must be retained by the institution for inspection during the triennial review by Department of Economic Development, Transport Jobs and Resources. In addition, copies should be provided to the AEC members to ensure continuous improvement in AEC activities and encourage continued training for relevant staff within the Institution and AEC members in accordance with Section 2.1.8.

Section 1. General information

1.1 Licence Number

1.2 Institution name

1.3 Postal Address

1.4 Licence Nominee's details

Name and Title (Prof., Dr., Mr., Ms., etc)	
Position: Department:	
Postal Address (if different from above)	
Phone:	()
Fax:	()
Email:	

1.5 Financial Year of this Self-Audit Report (eg 14/15)

1.6 Date of Last Bureau of Animal Welfare Audit:

Section 2. Animal Ethics Committee Composition

Please add additional boxes for categories as required.

2.1 Chairperson's Details:

Name and Title (Prof., Dr., Mr., Ms., etc)	
Position: Institution & Department:	
Postal Address	
Phone:	()
Fax:	()
Email:	

2.2 Category A Member's Details:

Name and Title (Prof., Dr., Mr., Ms., etc)	
Position: Institution & Department:	
Postal Address	
Phone:	()
Fax:	()
Email:	

2.3 Category B Member's Details:

Name and Title (Prof., Dr., Mr., Ms., etc)	
Position: Institution & Department:	
Postal Address	
Phone:	()
Fax:	()
Email:	

2.4 Category C Member's Details:

Name and Title (Prof., Dr., Mr., Ms., etc)	
Position: Institution & Department:	
Postal Address	
Phone:	()
Fax:	()
Email:	

2.5 Category D Member's Details:

Name and Title (Prof., Dr., Mr., Ms., etc)	
Position: Institution & Department:	
Postal Address	
Phone:	()
Fax:	()
Email:	

2.6 Category E Member's Details: (If applicable)

Name and Title (Prof., Dr., Mr., Ms., etc)	
Position: Institution & Department:	
Postal Address	
Phone:	()
Fax:	()
Email:	

**2.7 Other regular attendees of committee meetings
(including co-opted members and/or invited experts that have contributed to the quorum during the past 12 months):**

Name and Title (Prof., Dr., Mr., Ms., etc)	
Position: Institution & Department:	
Postal Address	
Phone:	()
Fax:	()
Email:	
Role within the AEC:	

Name and Title (Prof., Dr., Mr., Ms., etc)	
Position: Institution & Department:	
Postal Address	
Phone:	()
Fax:	()
Email:	
Role within the AEC:	

2.8 AEC Secretary's Contact Details:

Name and Title (Prof., Dr., Mr., Ms., etc)	
Position: Institution & Department:	
Postal Address	
Phone:	()
Fax:	()
Email:	

For additional regular committee member's in each category please attach a separate sheet.

2.9 Has the membership of this committee changed during the past 12 months?

Yes , please specify below

No

Please detail how the composition of the committee has altered in the past 12 months:

2.10 Each Committee member must individually complete the APPENDIX 1 form to be attached to this Self-Audit form.

Section 3. AEC Activities Report

3.1 How many formal, minuted meetings has the AEC conducted this year?

3.2 Please provide the dates of each of the formal meetings held during the past 12 months (day/month/year):

- | | | | |
|----|-----|-----|-----|
| 1. | 7. | 13. | 19. |
| 2. | 8. | 14. | 20. |
| 3. | 9. | 15. | 21. |
| 4. | 10. | 16. | 22. |
| 5. | 11. | 17. | 23. |
| 6. | 12. | 18. | 24. |

3.3 Are all meetings minuted?

Yes

No

If No, please detail reasons below (note that minutes of AEC decisions and other actions must be maintained, §2.2.12 of the Australian Code)

3.4 Please complete the following table outlining the number of research proposals your AEC has reviewed in the past 12 months:

Project Type	Number Approved	Number Approved with minor revisions	Number approved with major revisions	Number Approved out of Session	Number rejected	Total:
Understanding human/animal biology						
Improving human/animal welfare						
Improve animal management/ production						
Educational objectives						
Environmental objectives						
Total:						

3.5 Please list and provide details for any project applications that involve more than one AEC :

	Project Type	Additional AEC's involved (list Institution and licence/s involved)	Communication between AEC's Established? Yes/No	Additional Comments
1				
2				
3				
4				
5				
6				

Please add lines to the table where necessary

3.6 Please detail any project outcomes that have resulted in *conflict* between an Investigator and the AEC

	Project Type	Outline Issues raised in the dispute	Outline steps taken to resolve conflict	Detail outcome : Resolved/Not resolved
1				
2				
3				

Please add lines to the table where necessary

3.7 Please detail any project outcomes that have resulted in *conflict* between AEC Members

	Members involved (names and/or category)	Outline Issues raised in the dispute	Outline steps taken to resolve conflict	Detail outcome: Resolved/Not resolved
1				
2				

Please add lines to the table where necessary

3.8 Please detail any *adverse incidents* reported by investigators

	Project Number	Summary of incident	AEC Action	Outcome: resolved to AEC satisfaction
1				
2				

Alternatively, attach adverse incident register

3.9 Please detail any administrative difficulties faced by the AEC:

3.9.1 Please outline recommendations to improve administrative function of the AEC

3.10 Please detail any other difficulties experienced by the AEC in the past 12 months

3.10.1 Please outline recommendations for improving/correcting/avoiding future difficulties:

3.11 Please provide details of any other matters impacting on the institution's ability to maintain compliance with the Code:

3.12 Please provide recommendations for returning or maintaining compliance with the Code

Section 4. Institutional Animal Care/Use Facilities

4.1 Does your institution have animal facilities?

Yes

No , please go to Section 5

4.2 Are all the facilities where animals are housed /used visited at least once a year by all or some of the AEC members?

Yes

Yes and No

No

Please provide further detail if your answer was "Yes and No" or "No":

4.3 Are all visits conducted by the AEC documented in committee minutes or in a written report?

Yes

Yes and No

No

Please provide further detail if your answer was "Yes and No" or "No":

4.4 Does each AEC Member attend at least 1 Facility visit per year?

Yes

Yes and No

No

Please provide further detail if your answer was "Yes and No" or "No":

4.5 Are the results of Facility visits discussed and followed up with the Facility Manager/director or the relevant institutional person?

Yes

Yes and No

No

Please provide further detail if your answer was "Yes and No" or "No":

4.6 Are any serious concerns noted during a facility visit or meeting discussed with the licence nominee or appropriate institution representative?

Yes

Yes and No

No

Please provide further detail if your answer was "Yes and No" or "No":

4.7 Do the Licence Nominee /Appropriate institution representative and the AEC work together the address concerns identified by the AEC?

Yes

Please provide some brief examples:

Yes and No

Please provide details:

No

Please provide details:

4.8 Please provide an additional comments or recommendations regarding animal care/use facilities held/used by the institution

Section 5. Continuing Education and Training & Occupational Health and Safety

5.1 Please specify training and continuing education opportunities (eg conferences, workshops, training sessions etc.) *provided by the institution for the following groups* (where applicable):

- A. AEC Members

- B. Animal Carers

- C. Scientists/investigators

- D. other animal users/students

5.2 Please outline training and continuing education opportunities recommended for each of the following groups:

- A. AEC Members

- B. Animal Carers

- C. Scientists/investigators

- D. other animal users/students

5.3 Comment on the ability of the AEC to accurately assess the competence of staff in procedures relevant to project requirements for each of the following groups:

- A. Animal Carers

- B. Scientists/investigators

- C. other animal users/students

5.4 Comment on the ease of obtaining adequate training for animal carers/users

5.5 Comment on the ease of obtaining adequate training for AEC Members

5.6 Is the institutional OH&S program sufficient to provide AEC Members with good health and safety during meetings and facilities visits?

Yes

Yes and No

No

Please provide recommendations if your answer was "Yes and No" or "No":

Section 6. Summary and Recommendations

This section is to be completed by the Chairperson the committee in consultation with the Licence Nominee

6.1 Please outline the main strengths of your AEC

6.2 Please provide an analysis of the weaknesses of your AEC, indicating provisions for improvements in the next 12 months.

6.2.1 Please indicate any further resources or training that the Bureau of Animal Welfare could provide to assist you in meeting your challenges

6.3 Please detail any recommendations you have for improving the Institution's animal care program and facilities and note any resources required:

6.4 Additional information/comments

Section 7. Declarations

To be completed by the AEC Chairperson/s and the Licence Nominee or Institution Representative

I declare that the information contained in this AEC Annual Self-Auditing Document is an accurate account of the functioning of this AEC. I understand that completion of this report meets the reporting requirements set out in Section 2.3.28 and 2.3.29 of the Australian Code for the care and use of animals for scientific purposes.

I declare that the content of this report, particularly recommendations regarding animal facilities, training and continuing education requirements and opportunities and AEC functioning have been the subject of discussion between the AEC Chairperson/s and the Institution's Licence Nominee/Representative signed below.

We agree to undertake as many of the recommendations as practical in the coming year to ensure continual improvement in the functioning of our AEC and to ensure continued ethical and humane use of animals for scientific and teaching purposes.

Signed by Chairperson/s: _____ / _____

Name/s in Full: _____ / _____

Date: _____ / _____

Signed by Licence Nominee/Institution Representative: _____

Name in Full: _____

Date: _____

Appendix 1: AEC Member Summary

Name:

Position on AEC:

Date:

Signature _____

A1.1 In the past 12 months, how many meetings did you attend?

A1.2 Please provide dates of each meeting you attended over the past 12 months (day/month/year):

- | | | | |
|----|-----|-----|-----|
| 1. | 7. | 13. | 19. |
| 2. | 8. | 14. | 20. |
| 3. | 9. | 15. | 21. |
| 4. | 10. | 16. | 22. |
| 5. | 11. | 17. | 23. |
| 6. | 12. | 18. | 24. |

A1.3 Please provide details of Animal Use/Care facilities held by the institution that you reviewed as part of your AEC membership responsibilities: (include: date, name of facility, facility manager, outcome of meeting, personal comments regarding the conduct of the facility inspection and any recommendations for future inspections)

A1.4 Please provide details of any TRAINING relevant to your role as an AEC member you have obtained in the past 12 months:

A1.5 Please detail any references and/or additional training you would like to improve your ability to contribute effectively to your AEC:

A1.6 Please provide your analysis of the main STRENGTHS of your AEC Program:

A1.7 Please provide your analysis of the main WEAKNESSES of your AEC Program:

A1.8 Comments or additional information: