Scientific Procedures Licence Audit template

* Core Module - Animal Ethics Committee operations

## Audit details

| Licence name and number: |  | |
| --- | --- | --- |
| Licence nominee/s: |  |  |
| AEC name/s: |  |  |
| Executive officer/s: |  |  |
| AEC Chair/s: |  |  |
| Date/s of interview: |  | |
| Name of auditor/s: |  | |
| Additional information: | e.g., for multiple AECs, explain relationship between AECs; how are researchers directed to an AEC, is there an overarching policy area, is shopping managed, etc | |

**Part A: Checklist to be used at interview OF:**

* **AEC Chair**
* **Executive officer**
* **Other relevant persons such as AEC members (where applicable)**

|  | Comment |
| --- | --- |
| Interviewee’s opinion of:   * Strengths in the function of the AEC |  |
| * Weaknesses in the function of the AEC |  |
| * Effectiveness of institutional compliance monitoring program |  |
| Chair represents the AEC in any negotiations with AEC |  |
| Does AEC consider that adequate resources are provided for:   * Staffing/administrative support * Financial and expenses * Orientation and education * post-approval monitoring |  |
| Information for new members:   * Orientation * Accept ToR * Confidentiality * FOI legislation * Legal requirements * Privacy policy * Commercial-in-confidence |  |
| Ongoing training for all members |  |
| Records of all projects/programs applications assessed   * Number considered (per year of audit) * Number rejected(not for resubmission)   *Ref: self-assessment part 2* |  |
| Register of procedure SOPs:   * reviewed regularly – at least every 3 years * available to members   *Ref: self-assessment part 2* |  |
| Who does the AEC report to? |  |
| Does the AEC provide an annual report to the institution?  *Ref: Part B self-assessment* |  |
| Is there an annual meeting between AEC chair and governing body of institution?  *Ref: Part B self-assessment* |  |
| Communication:   * With executive of institution and licence nominee(s) * With investigators/ teachers * With animal care staff * With Agriculture Victoria, as required |  |
| Competency assessment:   * Skills / competency register?   *Ref: Part A self-assessment* |  |
| AEC membership   * Change of membership notified to Agriculture Victoria before appointment or upon membership terminating? * Ratio of members compliant with Australian code? |  |
| AEC decisions communicated clearly in writing including   * any conditions (wording ok?) * reasons for decision * expiry of approval * number of animals approved |  |
| Projects conducted by Australian investigators and institutions in other countries:   * Does the AEC ensure that animal care and use in the other country is adequately monitored |  |
| Other (please specify) |  |

## Part B: Checklist AEC Minutes

*\*guideline link – Guidelines for conduct of AECS – under development as of September 2017*

| Responsibility | Comment |
| --- | --- |
| Period and number of AEC meeting minutes inspected; no. meetings per year. |  |
| Quorum of members at meetings   * Any inquorate meetings (date)? |  |
| Inquorate meetings conducted as Executive, ratified at next meeting? \**Guideline link* |  |
| Ratio of members at meetings (compliant with code) |  |
| Approval process - outcomes of AEC deliberation compliant with code:   * approved with or without conditions * deferred subject to modification * not approved   *Guideline link* |  |
| Any decisions proceed to vote? (if yes record project ID/s) |  |
| Timely circulation of agendas & papers? |  |
| Members provided with:   * relevant institutional and regulator information * other (eg ANZCCART) information * reports |  |
| Chair effective:   * impartially guiding the operation of the AEC * resolving conflicts of interest related to the business of the AEC |  |
| Confidentiality and conflict of interest declared |  |
| Membership participation (especially C and D members) |  |
| Encouragement of the 3Rs |  |
| Annual project reports received/reviewed |  |
| Final project reports received/reviewed |  |
| Adverse event reports   * Any received * Review in accordance with institutional policy including management of any non-compliance identified |  |
| Version control of modifications so that currently approved activities are clear? |  |
| Attendance of investigators at meetings |  |
| Request for further information, expert advice, other |  |
| Fieldwork notifications completed and forwarded to Agriculture Victoria |  |
| DAEP projects forwarded to Agriculture Victoria after AEC approval |  |
| Non-human hominid projects forwarded to Agriculture Victoria after AEC approval |  |
| Site inspections and animal facilities | |
| Annual inspection of animal facilities |  |
| Inspection of new and refurbished facilities |  |
| Independent AEC member participation |  |
| Records of inspections (dates, locations, attendance etc) |  |
| Follow-up mechanisms |  |
| Approval of all activities in animal facilities |  |
| Consideration of annual animal facility manager report |  |
| Guidelines for animal care and use are developed:   * in consultation with the AEC * approved by the AEC * implemented and promoted within the institution   *Ref Part A self assessment* |  |
| AEC advice is sought on matters that may affect the welfare of animals used for scientific purposes by the institution?   * Animal facilities / adjacent construction |  |