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
 |  |