## Animal Welfare Victoria logo

Scientific Procedures and Specified Animal Breeding Licence

Audit application form checklist

# Audit details

| License information | Details required |
| --- | --- |
| Licence name and number |  |
| Licence nominee |  |
| Nominated AEC name(s) |  |
| Other licences using same AEC |  |
| AEC Chair |  |
| Executive Officer |  |
| Date of last audit |  |

|  |  |
| --- | --- |
| Audit information | Details required |
| Date this audit commenced |  |
| Name of auditor(s) assigned |  |
| Name of auditor undertaking document review |  |
| Date document review completed |  |

# CHECKLIST — APPLICATION TO THE AEC FOR APPROVAL TO COMMENCE A PROJECT OR ACTIVITY

## As applicable, application forms used to apply to commence activities associated with the care and management of animals in facilities should include information as appropriate (code 2.7.5)

## 2.7 Application form design

| Code reference | Does the form require or facilitate the applicant to provide the following? | Y/N | Comment |
| --- | --- | --- | --- |
| 2.7.2  (1.3)  (2.3.4) | Require provision of information required by the AEC to assess the ethical acceptability of the proposed use of animals. |  |  |
| 2.7.3 | Requirement to use plain English. |  |  |

## 2.4.6 (i) - Using animals only when it is justified

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| Code reference | Does the form require or facilitate the applicant to provide the following? | Y/N | Comment |
| 2.7.4 (i) | The scientific or educational aims of the project. |  |  |
| 1.5 | Evidence to support a case to use animals   * the project has scientific or educational merit, and has potential benefit for humans, animals or the environment, and * the use of animals is essential to achieve the stated aims, and suitable alternatives to replace the use of animals to achieve the stated aims are not available, and * the project involves the minimum number of animals required to obtain valid data, and * the project involves the minimum adverse impact on the wellbeing of the animals involved. |  |  |
| 1.6 | Evidence the purpose of the project is to:   * obtain and establish significant information relevant to the understanding of humans and/or animals, or * maintain and improve human and/or animal health and welfare, or * improve animal management or production, or * obtain and establish significant information relevant to the understanding, maintenance or improvement of the natural environment, or * achieve educational outcomes in science, as specified in the relevant curriculum or competency requirements. |  |  |
| 2.7.4 (ii)  2.4.8 (i) | The potential benefits of the outcomes, and the evidence that supports the use of animals   * for teaching — justification must include an outline of how the attainment of educational outcomes will be assessed, including, as applicable, national educational outcomes, required Vocational Education and Training (VET) package competency achievements, endorsed program outcomes and other curriculum-related outcomes. |  |  |
| 2.7.4 (iii)  2.4.8 (ii) | Details of:   * why the use of animals is essential to achieve all the stated aims * potential alternatives that are available to replace the use of animals in all or part of the project * why these alternatives are not suitable |  |  |
| 2.7.4 (iv)  2.4.8 (iii) | Information to support the case for ethical acceptability of the proposed use of animals, based on:   * whether such use demonstrates the principles of the Code * balancing whether the potential effects on the well-being of the animals involved is justified by the potential benefits. |  |  |
| 2.7.4 (v) (a)  2.4.8 (iv)  (1.12 and 3.1.18–3.1.19)  (1.13)  (1.22–1.24 and 2.3.15)  (3.3.4) | Particular justification for activities that involve severe compromise to animal well-being, and for which the 3Rs cannot be fully applied, including:   * unrelieved pain and distress, including where the planned endpoints will allow severe adverse effects to occur * death as the endpoint * reuse and repeated use of animals * prolonged restraint or confinement. |  |  |
|  | Requirement for ministerial approval for death as endpoint scientific procedures prior to commencement of the project. |  |  |
| 2.7.4 (v) (b)  2.4.8 (iv) | Particular justification for activities that involve use of non-human primates. |  |  |
| Not applicable | Requirement for ministerial approval for scientific procedures on non-human hominids prior to commencement of the project.  Refer to POCTA Regulations 2019 (Regulation 116 for Scientific Procedure Premises License, or Regulation 128 for Scientific Procedures Field Work License). |  |  |
| 1.12 | Information to support AEC consideration that experimental or planned endpoint is as early as feasible to avoid or minimise pain and distress in the animals. |  |  |

## 2.4.6 (ii) - Applying high standards of scientific integrity

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| Code reference | Does the form require or facilitate the applicant to provide the following? | Y/N | Comment |
| 2.7.4 (vi) | An overview of how the project is designed in relation to its aims. |  |  |
| 1.15 | Information to support the AECs consideration of the standard of scientific integrity:   * regardless of the potential benefits of a project, the methods used must be scientifically valid, feasible, well designed and carefully conducted so that there is a reasonable expectation that the aims of the project will be achieved. * projects that are not scientifically valid must not be performed, no matter how mild the impact on the wellbeing of the animals. |  |  |
| 2.7.4 (vii) (a)  2.4.8 (v) | Details of species, strain or breed of animals chosen, and the reason for this choice. |  |  |
| 2.7.4 (vii) (b)  2.4.8 (v)  POCTA Regs | Details of source of animals. |  |  |
| 2.4.8 (vi) | Factors that may contribute to variability of results are taken into account, including the biological status of the animals and their living conditions (e.g. physical, environmental and social conditions). |  |  |
| 2.4.8 (vii) | Unintended adverse impacts on animal well-being that may confound experimental data are avoided or minimised. |  |  |
| 2.4.8 (viii) | The proposed methods and procedures accord with current best practice and are appropriate for the purpose of the project. |  |  |

## 2.4.6 (iii) - Applying the 3Rs

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| Code reference | Does the form require or facilitate the applicant to provide the following? | Y/N | Comment |
| 2.7.4 (viii)  2.4.8 (ix) | A clear description of the steps taken to consider and apply the 3Rs. |  |  |
| 2.7.4 (ix) (a)  2.4.8 (x) | Reduction:   * the number of animals required * the justification for this number * requirement for experimental design and statistical considerations (using the minimum number to obtain valid data) |  |  |
| 2.7.4 (ix) (b)  2.4.8 (x) | Reduction - teaching projects:   * the number of animals required * the justification for this number * information provided on the ratio of students to animals, and the number of times that each animal will be used in each class, and/or handled per day and/or per week for teaching projects; (using the minimum number to achieve educational objectives) |  |  |
| 2.7.4 (x) | Opportunities for sharing of tissues and other biological material (from animals killed at conclusion of project). |  |  |

## 2.4.6 (iv) - Supporting the well-being of animals

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| Code reference | Does the form require or facilitate the applicant to provide the following? | Y/N | Comment |
| 2.7.4 (xi) | Details of:   * housing * husbandry * care of the animals. |  |  |
| 2.4.8 (xi) | Living conditions and management that are appropriate for the species are available, including suitable housing facilities. |  |  |
| 2.4.8 (xii)  (3.2) | Any special requirements for the care and management of the animals. |  |  |
| 2.4.8 (xiv)  (3.2.1) | Procedures for monitoring and managing animal health during the project. |  |  |
| 2.7.4 (xii) | Details of the locations:   * where animals will be housed * where procedures will be conducted |  |  |
| 2.7.4 (xiii)  2.4.8 (xiii) | Details and justification for care and management of animals that does not accord with current best practice. |  |  |

## 2.4.6 (v) - Avoiding or minimising harm, including pain and distress, to animals

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| Code reference | Does the form require or facilitate the applicant to provide the following? | Y/N | Comment |
| 2.7.4 (xiv)  2.4.8 (xvi) | Assessment of the potential adverse impact on animal well-being for the duration of the project including:   * a step-by-step description of what will happen to each animal, or group of animals, for the duration of the project * provisions for the animal at the conclusion of their use |  |  |
| 2.7.4 (xv)  (2.4.26–2.4.27)  (2.5.15 [i]) | Assessment of the potential adverse impact on animal well-being for the duration of the project.   * as applicable includes the creation of a new line of animals, including genetically modified or cloned animals   Where applicable, assessment of procedures that apply to breeding programs and maintenance of a line of animals in a facility |  |  |
| 2.7.4 (xvi)  2.4.8 (xv)  (3.1.2–3.1.19) | Assessment of the potential adverse impact on animal well-being for the duration of the project, including:   * identification of known and potential causes of adverse impacts on the well-being of an animal * how such impacts will be avoided or minimised   Addressing:   * experimental factors * non-experimental factors |  |  |
| 2.7.4 (xv)  2.4.8 (xvii)  (3.1.20–3.1.28) | Details of:   * how the well-being of animals will be monitored and assessed throughout the project * the frequency of monitoring and assessment * the actions to be taken if problems are identified * the criteria for intervention points and humane endpoints |  |  |

## 2.2.33-2.2.36 - Use of standard operating procedures (as applicable when SOPs are referenced)

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| Code reference | Does the form require or facilitate the applicant to provide the following? | Y/N | Comment |
| 2.2.33, 2.2.34 | Instruction as to the use of SOPs (as applicable) .  SOPs must:   * have current approval from the AEC * include in its title the date of approval or last review by the AEC * be available to all relevant people including AEC members |  |  |

## 2.4.6 (vi) - Knowing and accepting responsibilities

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| Code reference | Does the form require or facilitate the applicant to provide the following? | Y/N | Comment |
| 2.7.4 (xvi)  2.4.7  (2.4.5 and 2.5.3) | Identification of the person with ultimate responsibility for the conduct of the project and/or the care of the animals |  |  |
| 2.7.4 (xvii) | The name of the project.  The people involved and their responsibilities. |  |  |
| 2.7.4 (xviii)  2.4.8 (xix) | The competence of people for all procedures they will undertake using animals.  As applicable, details of their supervision by a person who is competent to perform the procedures. |  |  |
| 2.7.4 (xix) | Assurance that adequate resources will be available for the conduct of the project. |  |  |
| 2.7.4 (xx)  2.4.9 | Details of any participation of staff from other institutions.  How the facilities of another institution will be used.  If project applicants are involved in collaborative studies using animals at another institution, or named in an application to the AEC of another institution. |  |  |
| 2.7.4 (xxi) | Any actual or potential interest, including any financial interest or other relationship or affiliation, that may affect judgments and decisions regarding the well-being of the animals involved |  |  |
| 2.7.4 (xxii)  2.4.8 (xxi) | Any additional administrative details as required by the institution and the AEC e.g. details of: :   * collaborations * permits and licences * certification of the biological status of the animals * work health and safety considerations |  |  |
| 2.7.4 (xxiii)  2.4.8 (xviii) | Declaration by the responsible investigator(s) stating that they and all others involved in the project will:   * comply with the requirements of the Australian code * ensure adequate resources will be available to undertake the project |  |  |