

Scientific Procedures Premises License

Animal Ethics Committee operations

## AUDIT DETAILS

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| **License details** | **Details required** |
| License Name and Number |  |
| License Nominee |  |
| AEC Name/s |  |
| Executive Officer/s |  |
| AEC Chair/s |  |
| Interview Date |  |
| Name of Auditors |  |

# PART A: Checklist to be used at interview of AEC Chair Executive Officer and other relevant persons such as AEC members (where applicable)

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| **Responsibility** | **Comments** |
| Interviewee’s opinion of:  Strengths in the function of the AEC |  |
| Weaknesses in the function of the AEC |  |
| Effectiveness of institutional compliance monitoring program |  |
| Does the AEC chair represent the AEC in negotiations with the institution? |  |
| Does the AEC consider that adequate resources are provided for:   * staffing/administrative support? * financial and expenses? * orientation and education?   post-approval monitoring? |  |
| Is the following information provided to new members:   * orientation? * acceptance of terms of reference? * confidentiality? * FOI legislation? * legal requirements? * privacy policy?   commercial-in-confidence? |  |
| Ongoing training for all members / compulsory training up to date? |  |
| Records of all projects/programs applications assessed   * number considered (per year of audit) * number rejected (not for resubmission)   *Ref: self-assessment checklist part 2* |  |
| Register of procedure SOPs:   * SOPs reviewed regularly – at least every 3 years? * available to members?   *Ref: self-assessment checklist part 2* |  |
| Who does the AEC report to? |  |
| Does the AEC provide an annual report to the institution?  *Ref: self-assessment part B* |  |
| Is there an annual meeting between the AEC chair and the governing body of the institution?  *Ref: self-assessment part B* |  |
| Is there communication with:   * the executive of the institution and the licence nominee(s)? * investigators / teachers? * animal care staff?   Animal Welfare Victoria, as required? |  |
| Competency assessment:   * Skills / competency register?   *Ref: Part A self-assessment* |  |
| AEC membership   * Is Animal Welfare Victoria notified of changes in membership before appointment or upon membership termination?   Is the ratio of members compliant with the Australian code? |  |
| Are AEC decisions communicated clearly in writing including:   * any conditions (wording ok?) * reasons for decision? * expiry of approval?   number of animals approved? |  |
| Additional information  e.g. multiple AECs, nominated under the licence   * Explain the relationship between the AECs. * How are researchers directed to an AEC? (is shopping managed), * Is there an overarching policy area etc? |  |
| Other (please specify) |  |

# PART B: CHECKLIST – AEC MINUTES REVIEW

*\*guideline link – Guidelines for conduct of AECS*

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| **Responsibility** | **Comments** |
| Period and number of AEC meeting minutes inspected |  |
| How many meetings are conducted per year? |  |
| Is there a quorum of members at meetings?   * Any inquorate meetings (date)? |  |
| Is the ratio of members at meetings compliant with the Australian code? |  |
| Are inquorate meetings conducted as executive ratified at the next meeting? |  |
| Is the approval process - outcomes of AEC deliberation - compliant with the Australian code:   * approved with or without conditions? * deferred subject to modification? * not approved? |  |
| Does use of the executive comply with the Australian code (minor modifications only)? |  |
| Are approvals by an executive ratified at the next meeting? |  |
| Are there any decisions proceed to vote?  (if yes, record project ID/s) |  |
| Is there timely circulation of agendas and papers? |  |
| Are members provided with:   * relevant institutional and regulator information? * other (e.g. ANZCCART) information? * reports ? |  |
| Is the chair effective in:   * impartially guiding the operation of the AEC? * resolving conflicts of interest related to the business of the AEC? |  |
| Is there confidentiality and are conflicts of interest declared? |  |
| Do members actively participate in meetings? (especially C and D members) |  |
| Is the use of the 3Rs encouraged? |  |
| Are annual project reports received/reviewed? |  |
| Are final project reports received/reviewed? |  |
| Are there adverse event reports received?   * Are the reports reviewed in accordance with institutional policy, including management of any non-compliance identified? |  |
| Are there version controls of modifications so that currently approved activities are clear? |  |
| Do investigators attend meetings? |  |
| Does the AEC request for further information, expert advice, other assistance as required? |  |
| Are fieldwork notifications completed and forwarded to Agriculture Victoria? (interstate AECs only) |  |
| Are guidelines for animal care and use are developed?  In consultation with the AEC?  Approved by the AEC?  Implemented and promoted within the institution?  *Refer to Part A of self-assessment* |  |
| Are there any DAEP projects?  Are these forwarded to Agriculture Victoria after AEC approval by the AEC? |  |
| Are there any non-human hominid projects?   * Are these forwarded to Agriculture Victoria after AEC approval by the AEC? |  |

## Site inspections and animal facilities

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| **Responsibility** | **Comments** |
| Is there annual inspection of animal facilities? |  |
| Is there inspection of new and refurbished facilities? |  |
| Is there independent AEC member participation? |  |
| Are there records of inspections (dates, locations, attendance etc)? |  |
| Are there follow-up mechanisms? |  |
| Are all activities in animal facilities approved? |  |
| Is the annual animal facility manager report considered? |  |
| Is AEC advice sought on matters that may affect the welfare of animals used for scientific purposes by the institution?   * Animal facilities / adjacent construction? |  |