

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 informatione.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?
 |       |