



**NSW DEPARTMENT OF  
PRIMARY INDUSTRIES**

## **FORM A**

# **APPLICATION FOR ACCREDITATION OF A CORPORATION AS AN ANIMAL RESEARCH ESTABLISHMENT**

Please return this form to:

Animal Welfare Unit  
NSW Department of Primary Industries  
Locked Bag 21  
ORANGE NSW 2800

ABN 51 734 124 190

Revised September 2000

(Form A approved by the Director-General on 19<sup>th</sup> October 2000)

**APPLICATION FOR ACCREDITATION OF A CORPORATION AS AN ANIMAL RESEARCH ESTABLISHMENT UNDER THE ANIMAL RESEARCH ACT 1985 AND ANIMAL RESEARCH REGULATION 2005**

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**Introduction**

Since 1st January 1991 it has been an offence for a corporation to carry on the business of animal research unless the corporation is an accredited research establishment. To apply for accreditation a corporation must submit a completed Form A, "Application for Accreditation of a Corporation as an Animal Research Establishment", with an application fee (see Question 16), to the Animal Welfare Unit of NSW Department of Primary Industries. Accreditation will be based on the evidence which the corporation supplies that it is complying with the Animal Research Act 1985 and Regulation 2005. This may be supported by information collected by the Animal Research Review Panel and Veterinary Officers of NSW Department of Primary Industries during a site visit. Penalty for false or misleading information: 30 penalty units (\$3,300 as at April 1998).

**Note: Corporations which are schools should apply on form D "Application for Accreditation of a Corporation as an Animal Research Establishment (Schools)".**

**Explanation of terms used in this form**

*Animal:* Any vertebrate animal, including; mammals, fish, amphibia, reptiles and birds, but not humans.

*Animal Research:* Means any procedure, test, experiment, inquiry, investigation or study in connection with which an animal is used and, without limiting the generality of the foregoing, includes any procedure, test, experiment, inquiry, investigation or study in the course of which-

- (a) an animal is subjected to-
  - (i) surgical, medical, psychological, biological, chemical or physical treatment;
  - (ii) abnormal conditions of heat, cold, light, dark, confinement, noise, isolation or overcrowding;
  - (iii) abnormal dietary conditions; or
  - (iv) electric shock or radiation treatment; or
- (b) any material or substance is extracted or derived from the body of an animal,

but does not include any procedure, test, experiment, inquiry, investigation or study which is carried out in the course of-

- (c) the administration of veterinary treatment to an animal for the purpose of protecting the welfare of the animal; or
- (d) the conduct of normal animal husbandry operations;

*Code of Practice:* The Code of Practice is prescribed under Section 4 of the Act via the 2005 Regulation as being the "Australian Code of Practice for the Care and Use of Animals for Scientific Purposes", published by the National Health and Medical Research Council.

*Corporation:* Under the Act "corporation" includes-

- (a) any government department or administrative office and any branch thereof; and
- (b) any prescribed body of persons or body of persons of a prescribed class;

This definition encompasses research establishments, institutions, organisations or other groups using animals for research if they are incorporated under the Companies Code or Act of Parliament. Organisations that are unsure of their status as a corporation should consult the Animal Welfare Unit and/or seek their own legal advice.

*Proposal:* A written outline of research put forward by an investigator to an Animal Care and Ethics Committee (AEC) for approval to perform animal research.

**If you need further information:**

Contact the Animal Welfare Unit of NSW Department of Primary Industries

Locked Bag 21  
ORANGE NSW 2800  
Telephone: 02 6391 3715  
Facsimile: 02 6391 3570  
(Located at 161 Kite Street, Orange 2800)

PO Box 100  
BEECROFT NSW 2119  
Telephone: 02 9872 0571  
Facsimile: 02 9872 0595  
(Located at 95 Castle Hill Rd,  
West Pennant Hills NSW 2125)

**1. Name and Address**

**1.1 Name of the corporation**

This is the name which will appear on the accreditation certificate

**1.2 Registered address of the corporation**

This is the address which will appear on the accreditation certificate.

  
  

**1.3 Name of Chief Executive Officer**

**1.4 Address of Chief Executive Officer**

  
  

**1.5 Address for service of notices**

  
  

**1.6 Telephone**

  
( )

**1.7 Facsimile**

  
( )

**1.8 Email**

**1.9** Type of establishment

Place an X next to the answer that is applicable.

Hospital/Medical Research Institute or Area Health Service	
University	
Educational Institution other than a University	
Government Agency	
Registered Corporation	
Other (specify, for example, Registered Trust or Charity)	

**2. Corporation Directors**

The Animal Research Regulation 2005 Clause 8 requires that all directors must be named. The Act (Section 3) defines a "director" in relation to the corporation as:

- a) any person who holds office or acts as a director of the corporation (by whatever name called), or  
 b) any person who is involved in the management of the corporation.

Name all the directors of the corporation


**3. Convictions for Offences**

The Animal Research Regulation 2005 Clause 3 defines "prescribed offences" for which information must be provided.

Has the corporation or any of its directors been convicted in the last 3 years of an offence under:

Place an X next to any answer that is applicable.

<b>3.1</b>	The Animal Research Act 1985 or Regulation 2005	YES		NO	
<b>3.2</b>	The Prevention of Cruelty to Animals Act 1979 or Regulation	YES		NO	
<b>3.3</b>	The National Parks and Wildlife Act 1974 or Regulation	YES		NO	
<b>3.4</b>	The Exhibited Animals Protection Act 1986 or Regulation	YES		NO	
<b>3.5</b>	The Non-Indigenous Animals Act 1987 or Regulation	YES		NO	
<b>3.6</b>	Any equivalent Commonwealth or other State or Territory Statute or Regulation	YES		NO	
<b>3.7</b>	An offence committed in New South Wales for which the penalty is imprisonment or 2 or more years or any equivalent offence committed outside New South Wales	YES		NO	

If **Yes** to any of the above, please provide details including the nature of the offence, the penalty imposed and the date of the conviction

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#### 4. Description of Research or Teaching

Please give a short description of the type of research and/or teaching using animals that is conducted by the corporation.

The description should be brief, for example: *carrying out field trials of pharmaceutical products on commercial cattle and sheep properties.*

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#### 5. Animal Ethics Committees (AECs)

##### 5.1 How many AECs does the corporation have?

The corporation must have one or more AECs.

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Provide the following information for each AEC:

##### 5.2 Name of AEC(s)


##### 5.3 Terms of reference of the AEC

Terms of reference for AECs should include the provisions set out in Clause 2.2.1 of the Code of Practice. Attach additional pages if necessary.

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#### 5.4 AEC procedures

The AEC should have **written** procedures which include;

- the number of members required for a quorum
- procedures for reaching and recording decisions
- procedures for notifying investigators of decisions
- animal house and animal research inspection procedures

*The AEC may be asked to supply details of these procedures.*

Place an X next to the answer that is applicable.

Does the AEC have an accepted set of procedures for conducting its business?	YES		NO	
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#### 5.5 AEC meetings

5.5.1 List the proposed dates for full AEC meetings in the next 12 months from the date of application


5.5.2 Place an X next to whichever is applicable.

Has the AEC been operating during the 12 months up to the date of application?	YES		NO	
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If **No**, please proceed to question **5.7 Application Forms**.

5.5.3 List the dates of full AEC meeting during the last accreditation period.


#### 5.6 Research Proposals

5.6.1 How many research proposals are currently approved?

5.6.2 How many research proposals were approved during the last accreditation period?

5.6.3 How many research proposals were rejected in the last accreditation period?

*Number of proposals rejected by the AEC refers to those which were submitted but were never approved.*

5.6.4 Place X next to whichever answer is applicable

Did the corporation on the recommendation of the AEC terminate any project prior to completion in the last accreditation period	YES		NO	
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If **Yes**, how many were terminated?

**5.6.5** How many long term projects did the AEC review and re-approve in the last accreditation period? *Long term projects* refers to projects which are conducted for more than 12 months.

**5.7 Application Forms**

Does the AEC have application forms for approval to undertake animal research?	YES	NO	
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Application forms should comply with Clauses 2.2.15 and 2.2.16 of the Code of Practice. The Animal Research Act (Section 25B) and Regulation (Clause 14) prescribe information that must be obtained by an AEC so that Animal Research Authorities may be issued. For an example see Animal Research Review Panel Guideline 12: *Animal Research Model Application Form*

If **Yes**, please attach 1 copy of each type of form.

## 5.8 AEC Membership

### 5.8.1 How many members does the AEC have?

### 5.8.2 Please provide details about each AEC member as listed below.

Information on the qualifications and relevant experience should be related to the Category of membership  
 A corporation cannot be accredited unless it has an appropriately constituted AEC. The requirements for constitution of AECs are found in Clause 6 of the Animal Research Regulation 2005 and Clause 2.2.2 to 2.2.8 of the Code of Practice. The Animal Research Review Panel Policy 9: *Criteria for Assessment of AEC Membership* should also be referred to.

### AEC MEMBER DETAILS

Category	Name	Qualifications and Relevant Experience
<b>Category A</b> <b>Veterinarian</b>		
<b>Category B</b> <b>Animal</b> <b>Researcher</b>		
<b>Category C</b> <b>Animal Welfare</b>		
<b>Category D</b> <b>Independent</b>  *Note: Statement must be supplied confirming the independence of the Category D members from research.		
<b>Additional Members</b> For example, animal care staff, statistician		

**5.9 Inspections**

In the last accreditation period how many inspections has the AEC undertaken of animal care facilities and animals being used in research?

Copies of AEC inspection reports or records of AEC inspections may be requested prior to the conduct of a site visit.

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**5.10 Supervision**

Place an X next to the answer that is applicable

Does the AEC supervise any independent researchers?	YES	NO	
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The Animal Research Act (Section 25C (5)) defines an "independent researcher" as "a person who carries out animal research, or applies for an authority to carry out animal research, otherwise than on behalf of the accredited establishment". Place an X next to the answer that is applicable.

If **Yes** please list their names and addresses.

Name of Independent Researcher	Address

**5.11 AEC Guidelines**

Place an X next to the answer that is applicable

Does the AEC use any written guidelines for animal care, husbandry and research procedures?	YES	NO	
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Accredited research establishments must ensure that their AECs develop guidelines for the care and use of animals within their establishment (Clause 2.1.1(vii), Code of Practice). Clause 4.5.5 also stipulates that the person in charge of animal holding and breeding facilities should contribute to the development and maintenance of these guidelines. A copy of these guidelines and any other written procedures used for animal research may be required.

**5.12 Animal Research Authorities**

Accredited research establishments must issue Animal Research Authorities to researchers before they conduct animal research. Animal Research Authorities should be issued by the establishment on advice from the AEC for each research project. Animal Research Authorities must be issued on the "approved form" or on a form that contains all the information that appears on the "approved form" (Form C). Copies of the approved form are available from the Animal Welfare Unit.

Further information about the people who were issued with authorities may be required prior to the conduct of a site visit.

**5.12.1 Place an X next to the answer that is applicable.**

Does the corporation have procedures to issue Animal Research Authorities according to the approved form?	YES	NO	
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**5.12.2 Place an X next to the answer that is applicable.**

Are these issued by the AEC?	YES	NO	
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**5.12.3 How many were issued in the last accreditation period?**

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**5.13 Shared AECs**

Where AECs are being shared, a copy of an agreement between the corporations will need to be provided. Information to assist is available in the Animal Research Review Panel Policy 11: *Formal Agreements Between Accredited Research Establishments Sharing AECs*, which attaches a sample agreement.

Place an X next to the answer that is applicable.

Does the corporation share the AEC of another corporation?	YES	NO
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If **Yes**, please attach a copy of any agreement between the corporations.

**6. Designated Land**

Section 18(2)(c) of the Animal Research Act requires that the land in or on which the business of research is to be carried out is identified. If the corporation conducts field studies, “designated land” is land on which it is intended that research will be conducted by the corporation. If the corporation conducts field studies, does not hold any animals and does not know exactly where research will be carried out, please answer “locations in New South Wales identified in proposals approved by the (name of AEC)”. Locations where records are kept related to the conduct of animal research should also be included.

Please list all the land the corporation wishes to have included as “designated land” on the accreditation certificate


**7. Responses to Conditions of Accreditation**

**7.1** Place an X next to the answer that is applicable.

Is this an application for renewal of an existing Accreditation?	YES	NO
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If yes, how has the corporation responded to any conditions that were imposed on its previous accreditation?  
**A response to all conditions of accreditation must be provided.**

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## 8. Animal Accommodation – Facilities

- Briefly describe the style of housing or containment at each location.
- What is the maximum number of animals which can be held in each facility?
- Name the species of animals you will be holding.
- Please attach a sketch or map of all the facilities.

Section 4 of the Code of Practice describes the requirements for the acquisition and care of animals in breeding and holding areas. Section 5 details special requirements for free-living animals.

For each location a brief description should be provided. For example:

- Location 1: Specific pathogen free facility of brick construction for mice and rats. The facility has two animal housing rooms which contain plastic boxes with wire lids for rodents. The unit holds approximately 2,000 animals at full capacity.
- Location 2: Timber and masonry stable complex with 20 individual loose boxes for horses.
- Location 3: Galvanised iron and cement dog kennels with runs for 30 small dogs and kennels and runs for 10 large dogs. Also includes a large outdoor wire enclosed exercise run on a cement base.
- Location 4: 4 Hectare paddock divided into four yards, each holding two sheep.

### Location 1

### Location 2

### Location 3

### Location 4

### Location 5

## 9. Animal Accommodation - Species of animals

For each facility or location listed in 8 above, list the species of animals to be held.

If the corporation will be keeping animals which need to be housed separately or isolated, for example different strains of mice or pathogen free animals, list these separately.

- (i) Facility - Name the location of the housing.  
For example, Location 1: 22 Smith Rd, Timbertown.
- (ii) Species -  
For example, rats, mice, guinea pigs
- (iii) Number to be held -  
For example, 200 rats, 1500 mice, 20 guinea pigs
- (iv) Predicted turnover in first year - Animal turnover or use covers all animals to be housed or used in the research establishment during the next year. Only an approximate figure is required as an indication of the size and level of activity of the facilities. For example, 600 rats, 5000 mice, 50 guinea pigs.

Please Note: Each year the corporation will be required to submit detailed, accurate information on the numbers of animals used on form L, "Annual Return on Animal Use". The corporation will be contacted, at the appropriate time, regarding this information.

Facility	Species/Strain	Approximate number to be held	Estimated turnover in next 12 months

**10 Personnel**

**10.1 Animal Care Staff**

The Code of Practice (Clauses 2.1.1(xiv), and 4.5.11 to 4.5.15) makes research establishments responsible for ensuring adequate staff levels, competence and training.

List the number of staff and their positions of employment.

For example:

- 2 animal attendants
- 1 animal technician
- 5 farm assistants
- 1 stable hand

If the corporation is large, for example if it has multiple research locations and large numbers of staff, please attach extra pages for each location.

Number	Positions

**10.2 Training**

Clause 4.5.12 of the Code of Practice requires research establishments to promote formal training of staff.

Place an X next to the answer that is applicable

Does the corporation

Encourage staff to undertake TAFE animal care training?	YES		NO	
Provide in-house or external training for animal care staff?	YES		NO	
Provide in-house or external training for animal researchers?	YES		NO	

## 11. Monitoring Procedures and Records

Clauses 2.2.26 – 2.2.36 of the Code of Practice require monitoring, and the keeping of records of matters affecting animals used in research and teaching such as:

- (i) Acquisition (information about whether animals were bought, donated or bred and from where they were obtained and to which project they were allocated)
- (ii) Movement of animals between locations within the establishment, or to and from a Licensed Animal Supply Unit
- (iii) Use (experimental procedures undertaken on animals)
- (iv) Disposal (method of euthanasia or transfer to new owner)
- (v) Care (routine animal husbandry and care procedures such as feeding, housing and special conditions of care for particular animals, eg. nude mice)
- (vi) Breeding performance (for example the number of offspring born and weaned each year per mating)
- (vii) Genetic identity (for example isoenzyme tests on specific strains of mice)
- (viii) Environmental factors. For example
  - \* temperature, humidity, light intensity and stocking density in rodent housing
  - \* number of air exchanges, temperature and drainage of excess water in dog kennels
  - \* food and water quality in sheep and cattle paddocks
- (ix) Health (for example examination before allocation to a project, detailed clinical records during experimental use which are appropriate to the project, day book where problems are noted, preventative medicine)

*Further information on the corporation's procedures may be required.*

Does the corporation monitor and keep records of the following items?

Place an X next to the answer that is applicable. N/A denotes "not applicable".

Acquisition of animals and allocation to projects	YES	NO	N/A
Movement of animals between locations	YES	NO	N/A
Use of animals	YES	NO	N/A
Disposal of animals	YES	NO	N/A
Care of animals	YES	NO	N/A
Breeding performance of animals	YES	NO	N/A
Genetic constitution of animals	YES	NO	N/A
Monitoring of environmental factors in animal housing areas	YES	NO	N/A
Health, disease incidence and diagnosis in animals	YES	NO	N/A

## 12. Animal Care Emergency Procedures

Clauses 2.1.1(vii), 2.2.35 and 2.2.36 of the Code of Practice require AECs to develop procedures for detecting and responding to animal care emergencies. These procedures may include provision for after hours and emergency contact of investigators, access to veterinary advice and care in emergencies and access to the necessary equipment, drugs and facilities to effectively treat or euthanase animals in emergencies.

*Further information on these procedures may be required.*

Place an X next to the answer that is applicable

Does the corporation have procedures for identifying and responding to emergencies in animal care?	YES	NO
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**13. Grievance Procedures**

Accredited research establishments must establish mechanisms to respond to enquiries and complaints made regarding the use of animals (Clause 2.1.1.(xi) of the Code of Practice) and must establish grievance procedures for AEC members and investigators who are dissatisfied with AEC procedures or decisions (Clauses 2.1.1(xii) and 2.2.14 of the Code of Practice).

Procedures should also be developed to handle the following:

- serious disagreements between members of the AEC
- complaints from independent people who are not associated with research
- complaints from within the establishment (ensuring that staff may voice concern without jeopardising their employment)
- disagreements between the AEC and the establishment's management.

See Animal Research Review Panel Policy 8: *Establishment of Protocols for Grievance Procedures.*

Place an X next to the answer that is applicable

Does the corporation have procedures for dealing with enquiries and complaints and for settling disputes about animal research projects?	YES		NO	
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If **Yes**, please attach a copy of these procedures.

**14. Animal Supply**

Animals for research may only be legally obtained from the holder of an Animal Supplier's Licence unless the animals are "exempt" animals. The legislation (Animal Research Act 1985 Section 3; Animal Research Regulation 2005 Schedule 3) defines the following "exempt" animals:

- a) Any animal (including any animal that is in the wild) that belongs to the class of animals comprising cattle, horses, sheep, goats, swine, poultry, commercially farmed deer and commercially hatched fish.
- b) Any animal (including any native animal and any exotic animal) that is in the wild.  
(National Parks and Wildlife Service approval may be required to keep these native species or remove them from the wild).
- c) Unowned animals under conditions stipulated in Schedule 3, Clause 2 of the Animal Research Regulation 2005.
- d) Privately owned animals under conditions stipulated in Schedule 3, Clause 3 of the Animal Research Regulation 2005.
- e) Bred for the purpose animals under conditions stipulated in Schedule 3, Clause 5 of the Animal Research Regulation 2005.
- f) Any animal which has a specific medical or genetic condition for which it has not been specifically bred under conditions stipulated in Schedule 3, Clause 9 of the Animal Research Regulation 2005.

Note: The exemption is from the supply provisions of the Animal Research Act only.

Please provide the following information for each Animal Supply Unit from which the corporation intends to acquire animals.

Name of Animal Supply Unit	Address	Species/Strain

**15. Contact Officer and AEC Chair**

If the corporation has a veterinarian or other professional executive officer in charge of animal care this person would be the most appropriate contact officer. If it does not have someone in this role then the person with the chief managerial or supervisory role in controlling animal care should be named.

Who is the appropriate person to contact if clarification of the information provided is required?

Name	
Postal address	
Telephone	
Facsimile	
Email	

Contact details of AEC Chair for correspondence

Name	
Postal address	
Telephone	
Facsimile	
Email	

**16. Application Fee**

The fee must be paid before the application will be processed. The fees payable are:

- \$250 for corporations with less than 10 holders or proposed holders of Animal Research Authorities
- \$500 for corporations with 10 to 75 holders or proposed holders of Animal Research Authorities
- \$1,500 for corporations with more than 75 holders or proposed holders of Animal Research Authorities.

This fee is for 12 months initially and then payable every three years on renewal of Accreditation.

The fee must be received before the application will be processed.

Place an X next to the type of payment that is applicable

Cheque <i>(Payable to NSW DPI)</i>	Money order <i>(Payable to NSW DPI)</i>	Credit Card <i>(see below)</i>
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Place an X next to the amount that is applicable

\$250	\$500	\$1,500
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Payment for \$ _____ via Bankcard / Visa / Mastercard
Card No _____ Expiry ____ / ____
Cardholders Name _____
Signature _____

**17. Signature (The Chief Executive of the Corporation or a person authorised by the Chief Executive)**

Signature	
Name	
Date	
Relationship to corporation	

Receipt of application will be acknowledged

**Privacy Notice**

The information provided by the applicant is being collected for the purpose of enabling assessment of the application for accreditation under the Animal Research Act 1985. It will be used by NSW Department of Primary Industries for administration of the Act and may be provided to the Animal Research Review Panel. The information has been provided because it is required by law and will be stored securely within the Animal Welfare Unit of NSW Department of Primary Industries. You may access or correct your personal information by contacting the Animal Welfare Unit on 02 6391 3715 or by writing to the Animal Welfare Unit, NSW Department of Primary Industries, Locked Bag 21, Orange NSW 2800.

**Consent for names and addresses to be included on mailing lists**

The Privacy and Personal Information Protection Act 1998 obliges NSW Department of Primary Industries to make you aware of the purposes for which we might use the contact details with which you supply us. In order to comply with the requirements of the Act we are obliged to ask you to indicate whether or not you wish to have your name and address included on a mailing list for the purpose of distributing information regarding the Animal Research Act 1985. The mailing list will remain in use until your next accreditation renewal and you may amend, or remove, your contact details from the mailing list at any time by contacting the Animal Welfare Unit, NSW Department of Primary Industries, Locked Bag 21, Orange NSW 2800; telephone: 02 6391 3715.

**Contact Officer**

Please indicate your preference with an X next to the applicable answer.

Include my personal details on the Animal Welfare Unit mailing list	
Do not include my personal details on the Animal Welfare Unit mailing list.	

Name	
Address	
Signature	
Date	

**AEC Chair**

Please indicate your preference with an X next to the applicable answer.

Include my personal details on the Animal Welfare Unit mailing list	
Do not include my personal details on the Animal Welfare Unit mailing list.	

Name	
Address	
Signature	
Date	

**Chief Executive Officer**

Please indicate your preference with an X next to the applicable answer.

Include my personal details on the Animal Welfare Unit mailing list	
Do not include my personal details on the Animal Welfare Unit mailing list.	

Name	
Address	
Signature	
Date	

Please return the completed form to:

Animal Welfare Unit  
 NSW Department of Primary Industries  
 Locked Bag 21  
 Orange NSW 2800