

Independent External Review Checklist

Independent External Reviews are arranged by institutions to assess whether the procedures they have established meet the goals set out in the Australian code for the care and use of animals for scientific purposes (the Code) and to provide assurance that the institution, through its Animal Ethics Committee (AEC), is delivering effective oversight of the care and use of the animals in its charge. This checklist is intended to provide guidance for the scope of an Independent External Review in accordance with the Code.

This checklist is intended as a resource only and its use is not compulsory. It is the responsibility of the institution and the review panel to ensure that the review is conducted in accordance with the Code. In completing this checklist, the Independent External Review Panel should also consider the Guiding Principles (Section 1) of the Code and should refer to the relevant clauses of the Code that are identified. The review panel should consider the checklist in the context of the activities and operations of the institution, as not all components may be applicable, or some aspects may require additional scrutiny beyond the scope of this checklist (e.g., the conduct of high-risk activities such as lethal testing or the use of non-human primates).

In NSW, institutions are also required to comply with the *Animal Research Act 1985*, the *Animal Research Regulation 2021*, and any accreditation and/or licence conditions to which they are subject. These requirements are addressed in sum in the “Legislated requirements” section.

In the checklist, “Section” refers to the relevant section in the Code.

Appendices 1, 2 and 3 provide additional checklists that may assist the review panel in assessing facilities, documents and applications for the use of animals in research. Appendix 4 includes additional guidance for the review panel in the conduct of the review.

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Review panel declaration

Please complete the following declaration for each member of the review panel, adding or removing reviewers as needed.

Reviewer 1**Summary of qualifications
& experience****Statement of
independence / conflicts of
interest****Name****Signature****Date****Reviewer 2****Summary of qualifications
& experience****Statement of
independence / conflicts of
interest****Name****Signature****Date****Reviewer 3****Summary of qualifications
& experience****Statement of
independence / conflicts of
interest****Name****Signature****Date**

Summary of the institution				
Please complete this section to provide a background summary of the institution, and the date/s the review was carried out.				
Name of institution		Head of the institution		Regulatory licensing/ accreditation numbers
Animal Ethics Committee (AEC) membership	Committee name		Summary of the institution's animal research activities <i>(e.g. biomedical research, wildlife surveys)</i>	
	Chair			
	Category A			
	Category B			
	Category C			
	Category D			
	Category Other			
	Executive officer/s			
Summary of animal species held & approximate numbers <i>(both generally, and at the time of the review)</i>				
Description of animal facilities				
Source/s of animals		Summary of any animal breeding & supply conducted by the institution		
Date/s of review	Date	Aspects reviewed <i>(e.g. documents, AEC, animal facilities, meetings attended, etc)</i>		

Summary of key findings

Please summarise the major findings from the independent external review, including non-compliances, areas for improvement, and commendations (recognising actions and behaviours that support compliance). Please provide recommendations to the institution to address the findings or improve processes, in the below list. Add additional rows as needed.

Finding	Summary / explanation	Recommendation
1		
2		
3		

Areas for improvement	Summary / explanation	Recommendation
1		
2		
3		

Commendations	Summary / explanation	Recommendation
1		
2		
3		

Legislated requirements

In NSW, the conduct of animal research is regulated by the *Animal Research Act 1985* (Act) and the *Animal Research Regulation 2021* (Regulation). This legislation places additional obligations on institutions that are based in, or otherwise carry out animal research in (e.g., field studies), NSW, and outlines offences. The below questions are intended to broadly capture the legislated requirements in NSW. Please refer to the Act and Regulation for more information.

References (s=section; c=clause)	Question	Yes/No/Partial	Recommendations / Comments
Act: s18, s37, s46, s48,	Does the institution hold an appropriate accreditation and/or supply licence? <i>The following additional questions may assist in assessing this:</i> <ul style="list-style-type: none"> - Is an accreditation/licence required under the Act for the activities being conducted? - Are all animal species used or supplied by the institution covered (unless exempt)? - Are all locations ("designated lands") where animals are used listed? 		
Act: s22(1)(d), s42(1)(c)	Is the institution complying with the conditions imposed on its accreditation and/or supply licence?		
Act: s25-28, s47	Are animal research authorities being issued in accordance with the Act? <i>The following additional questions may assist in assessing this:</i> <ul style="list-style-type: none"> - Are animal research authorities held for all animal research being carried out at the institution? - Are authorities being issued for a maximum period of up to 12 months? - Are authorities allowing animal research that would contravene the Code? - Has the AEC recommended the issuing of all authorities? - Are authorities being issued to disqualified persons? - Are all animals covered under the authority obtained from the holder of an animal supplier's licence (unless they are exempt animals)? - Are any authorities authorising LD50 or Draize testing? (If so, is there Ministerial concurrence and/or does the Draize testing meet the Act's requirements?) 		
Regulation: c11, c23, schedule 1 c9, schedule 2 c9	Are records adequate, and retained for the appropriate periods (where prescribed)?		
Regulation: c7, c24	Has any required reporting and/or notifications been submitted to the regulator?		
Act: Part 6A (s54A-54G)	If the institution keeps cats and/or dogs for use in research, are the requirements for rehoming cats and dogs being followed?		

Section 2.1 - Responsibilities of Institutions

Each person involved in the care and use of animals for scientific purposes must consider the governing principles in Section 1 when applying the Code to their specific circumstance; in particular:

1. Institutions, AECs, and people involved in any aspect of the care and use of animals for scientific purposes must be aware of and accept their responsibilities, and act in accordance with the Code (see Clause 1.31).

Clause	Question	Yes/No/Partial	Recommendations / Comments
2.1.1	Has the governing body of the institution ensured that the care and use of animals for scientific purposes conducted on behalf of the institution complies with the code?		
2.1.2(1), 2.1.3 & 2.1.4	Has the institution ensured, through the operation of an AEC, that all activities involving the care and use of animals comply with the Code?		
2.1.2(2), 2.1.5(1-7)	Has the institution promoted compliance with the Code?		
2.1.2(3), 2.1.6(1-5)	Has the institution ensured and supported the effective operation of the AEC?		
2.1.2(4), 2.1.7(1-2)	Has the institution identified clear lines of responsibility, communication and accountability?		
2.1.2(5), 2.1.8(1-8)	Has the institution ensured that all people involved in the care and use of animals understand their responsibilities and the requirements of the Code, have the necessary skills and knowledge and have access to appropriate education programs and resources?		
2.1.2(6), 2.1.9(1-3)	Has the institution regularly monitored and reviewed its compliance with the Code?		
2.1.10	Has the institution considered making public an annual report on compliance with the code and a summary of the independent external review report?		

Section 2.2 - Responsibilities of institutions regarding the governance of Animal Ethic Committees

Each person involved in the care and use of animals for scientific purposes must consider the governing principles in Section 1 when applying the Code to their specific circumstance; in particular:

1. Institutions, AECs, and people involved in any aspect of the care and use of animals for scientific purposes must be aware of and accept their responsibilities, and act in accordance with the Code (see Clause 1.31).
2. All activities, including projects, that involve the care and use of animals for scientific purposes must:
 - (1) be subject to ethical review, approval and monitoring by an AEC
 - (2) commence only after approval has been granted by an AEC
 - (3) be conducted in accordance with AEC approval
 - (4) cease if approval from the AEC is suspended or withdrawn (see Clause 1.32).

Clause	Question	Yes/No/Partial	Recommendations / Comments
2.2.1(1), 2.2.4	Does the AEC comprise at least four people, one from each of four categories (A, B, C & D) of membership? <i>In this assessment, the review panel should consider whether each member of the AEC meets the Code's requirements for their category (including holding appropriate qualifications, where applicable).</i>		
2.2.1(2), 2.1.6(2), 2.2.18,	Has the institution ensured that the AEC has terms of reference (which provide details of the scope of ethical review, institutional accountability, reporting mechanisms, AEC membership, monitoring of animal care and use) and that these are publicly available?		
2.2.1(3), 2.2.19(1-3)	Has the institution provided the AEC with the resources required to carry out its responsibilities, and to maintain the AEC? Resources should include: <ul style="list-style-type: none"> • staffing and administrative assistance, and financial resources • orientation and education of AEC members • where appropriate, the reimbursement of out-of-pocket expenses and/or payment of an allowance to AEC members. 		
2.2.1(4)	Has the institution established procedures for the effective governance and operation of the AEC that will enable the AEC to meet its responsibilities under the Code and relevant institutional policies, and promote competent and timely ethical review of animal care and use?		
2.2.1(5)	Has the institution conducted an annual review of the operation of the AEC?		
2.2.2, 2.2.4	Has the institution appointed a chairperson of the AEC? <i>Institutions should consider appointing a chairperson who holds a senior position in the institution. If the chairperson is an external appointee, institutions must provide the chairperson with the necessary support and authority to carry out the role. The chairperson may be appointed in addition to Category A to D members.</i>		
2.2.3	Has the institution considered appointing a chairperson who is independent of the care and use of animals for scientific purposes?		
2.2.5	Has the institution appointed to the AEC a person responsible for the routine care of animals within the institution?		
2.2.6	Has the institution appointed additional members with skills and background of value to the AEC?		

2.2.7	Has the AEC invited people with specific expertise to provide advice, as required?		
2.2.8	Do Categories C and D together represent at least one-third of the AEC membership?		
2.2.9, 2.2.10	Has the institution developed procedures for the appointment, reappointment and retirement of AEC members? Has the procedure included the declaration of interests by prospective members and the management of conflicts of interest in making appointments?		
2.2.11	Did all members of the AEC before the appointment, acknowledge in writing their acceptance of the terms of reference of the AEC and any requirements for confidentiality required by the institution?		
2.2.12	Has the institution ensured that AEC members undergo appropriate induction, and have access to appropriate education programs and resources?		
2.2.13	Is the chairperson impartially guiding the operation of the AEC, resolving conflicts of interest related to the business of the AEC, and representing the AEC in any negotiations with the institution's management?		
2.2.14, 2.2.15(1-2)	Is each member of the AEC deciding whether, in their own judgement, an application or other matter under consideration by the AEC is ethically acceptable and meets the requirements of the Code? To fulfil this responsibility, members should: <ul style="list-style-type: none"> • be familiar with the Code and other policies and guidelines relevant to the business of the AEC. • provide opinions on the ethical acceptability of applications and other matters under consideration by the AEC. 		
2.2.16	Have the members of the AEC declared any interest that could influence the objectivity of their decision making during the appointment, and before any deliberations of the AEC?		
2.2.20	Has the institution established procedures for the effective governance and operation of the AEC including: appointment of and delegation of functions to an AEC Executive, administrative processes, documented AEC meeting procedures and AEC business records (including follow-up review and reporting on AEC Approvals), communication, complaints and non-compliance, records and associated documentation?		
2.2.21	Does the institution have procedures for the declaration of interests and management of perceived or actual conflicts of interest involving AEC members, and experts whose advice is sought by the AEC? Do the procedures require people with a conflict of interest to remove themselves from the AEC's decision making on matters that relate to the conflict of interest?		
2.2.22	Has the institution developed policies for maintaining confidentiality regarding the content of applications and the deliberations of the AEC, including how members may seek advice without breaching confidentiality?		
2.2.24	Has the institution developed policies and procedures for the submission, receipt and processing of applications and reports to the AEC, and made these policies and procedures readily available?		

2.2.26(1-5)	<p>Has the institution developed documented meeting procedures that include:</p> <ul style="list-style-type: none"> • timely distribution of papers to AEC members in advance of a meeting to enable members to be fully informed. • the conduct of quorate AEC meetings, including circumstances where a face-to-face meeting is not possible. • management of any perceived or actual conflicts of interest that may arise. • frequency of meetings, which should be sufficient to allow for effective functioning of the AEC. • review and approval of new and ongoing activities? 		
2.2.27	<p>Has the institution ensured that the AEC clearly communicates its decisions, the reasons for its decisions and any conditions attached to an approval to investigators in writing as promptly as possible?</p>		
2.2.29	<p>Has the institution developed procedures for dealing with complaints and non-compliance with the Code, complaints related to the AEC process, and irreconcilable differences between the AEC and an investigator? (See also Section 5)</p>		
2.2.30(1-3)	<p>Does the institution have records related to the AEC business including:</p> <ul style="list-style-type: none"> • a register of all applications to the AEC, including the outcomes of deliberations • minutes that record decisions and other aspects of the AEC's operation • records of inspections conducted by the AEC? 		
2.2.32(1-3)	<p>Has the institution (in consultation with the AEC) developed documentation for:</p> <ul style="list-style-type: none"> • an application for AEC approval to commence a project or activity that addresses clause 2.7.4 and the governing principles of the Code. • follow-up review of an approved project or activity at scheduled times and when circumstances trigger additional follow-up review, including: <ul style="list-style-type: none"> • a proposed amendment to an approved project or activity. • review of annual progress of an ongoing project or activity. • unexpected adverse events. • reporting on an approved project or activity that has been completed or discontinued? 		
2.2.33, 2.2.34, 2.2.35, 2.2.36	<p>Has the institution put appropriate measures in place regarding the use and approval of standard operating procedures (SOPs)?</p>		
2.2.37	<p>Has the institution conducted an annual review of the operation of the AEC to ensure that it is effective and consistent with the Code and institutional policies? <i>This must include an assessment of the AEC's annual report and a meeting with the AEC chairperson.</i></p>		

Section 2.3 - Responsibilities of Animal Ethics Committees

Each person involved in the care and use of animals for scientific purposes must consider the governing principles in Section 1 when applying the Code to their specific circumstance; in particular:

1. Institutions, AECs, and people involved in any aspect of the care and use of animals for scientific purposes must be aware of and accept their responsibilities, and act in accordance with the Code (see Clause 1.31).
2. All activities, including projects, that involve the care and use of animals for scientific purposes must:
 - (1) be subject to ethical review, approval and monitoring by an AEC
 - (2) commence only after approval has been granted by an AEC
 - (3) be conducted in accordance with AEC approval
 - (4) cease if approval from the AEC is suspended or withdrawn (see Clause 1.32).

Clause	Question	Yes/No/Partial	Recommendations / Comments
2.3.2(1)	Has the AEC approved only those projects that are ethically acceptable and conform to the requirements of the Code?		
2.3.2(2)	Has the AEC reviewed applications for activities associated with the care and management of animals in facilities, including procedures applicable to breeding programs integral to the maintenance of an animal line, and approved only those activities that are ethically acceptable and conform to the requirements of the Code?		
2.3.2(3)	Has the AEC conducted follow-up review of approved projects and activities and allowed the continuation of approval for only those projects and activities that are ethically acceptable and conform to the requirements of the Code?		
2.3.2(4)	Has the AEC monitored the care and use of animals, including housing conditions, practices and procedures involved in the care of animals in facilities?		
2.3.2(5), 2.3.24	Has the AEC taken appropriate action in response to unexpected adverse events to ensure that animal wellbeing is not compromised, the issue is addressed promptly, and activities that have the potential to adversely affect animal wellbeing cease immediately?		
2.3.2(6)	Has the AEC taken appropriate actions regarding non-compliance?		
2.3.2(7)	Has the AEC approved guidelines for the care and use of animals on behalf of the institution?		
2.3.2(8)	Has the AEC provided advice and recommendations to the institution to ensure that the requirements of the Code are met and that matters affecting animal wellbeing are addressed promptly?		
2.3.2(9), 2.3.28 & 2.3.29	Has the AEC reported on its operations to the institution at least annually?		
2.3.7	Does the AEC have procedures that describe how applications and reports will be assessed in a manner that is fair to applicants and acceptable to all members, including the need to provide AEC members with information in a timely manner?		
2.3.18	Has the AEC monitored all activities relating to the care and use of animals (including the acquisition, transport, breeding, housing and husbandry of animals) on a regular and ongoing basis to assess compliance with the Code and decisions of the AEC? <i>The AEC must ensure that identified problems and issues receive appropriate follow-up and, if necessary, refer suspected breaches of the Code to the institution.</i>		

2.3.22, 2.2.30(1)	Has the AEC maintained records of inspections that include the names of attendees, observations, any identified problems, recommended actions, ongoing or outstanding issues, and outcomes?		
2.3.25(1-4)	Has the AEC taken appropriate action when projects or activities that are in breach of the Code are detected?		

Animal Ethics Committee meeting

The below questions relate to the AEC meeting attended by the review panel, where applicable.

Clause	Question	Yes/No/Partial	Recommendations / Comments
2.2.25, 2.3.12	Was the AEC meeting always quorate (including during any withdrawals due to conflicts of interest)?		
	Did members with a conflict of interest declare their interest, and remove themselves from the meeting where appropriate?		
2.3.10	Are decisions based on "...a thorough, fair and inclusive process of discussion and deliberation"?		
2.3.11	Are decisions made on the basis of consensus?		
2.3.1, 2.3.2	Did the AEC adhere to its general responsibilities under the Code during the meeting observed?		
Summary of meeting			
Members & observers in attendance	<u>Chair:</u> <u>Category A:</u> <u>Category B:</u> <u>Category C:</u> <u>Category D:</u> <u>Category other:</u> <u>Executive officer:</u> <u>Observers:</u>		
Agenda & matters discussed			
General recommendations / comments			

Section 2.4 - Responsibilities of Investigators

Each person involved in the care and use of animals for scientific purposes must consider the governing principles in Section 1 when applying the Code to their specific circumstance; in particular:

1. Institutions, AECs, and people involved in any aspect of the care and use of animals for scientific purposes must be aware of and accept their responsibilities, and act in accordance with the Code (see Clause 1.31).
2. All activities, including projects, that involve the care and use of animals for scientific purposes must:
 - (1) be subject to ethical review, approval and monitoring by an AEC
 - (2) commence only after approval has been granted by an AEC
 - (3) be conducted in accordance with AEC approval.
 - (4) cease if approval from the AEC is suspended or withdrawn (see Clause 1.32).
3. An AEC must be satisfied that there is sufficient evidence to support a case that the proposed use of animals is justified (see Clause 1.7)

Clause	Responsibilities of Investigators	Yes/No/Partial	Recommendations / Comments
2.4.4(3)	Have investigators applied for and obtained written approval from an AEC before commencing a project that involves the use of animals, or an amendment to an approved project?		
2.4.4(7-8), 2.4.30	Have investigators maintained records of the care and use of animals, and reported to the AEC as required?		
2.4.9	Have investigators notified the AEC in writing if they are involved in collaborative studies using animals at another institution, or if they are named in an application to the AEC of another institution?		
2.4.13	Have investigators conducted all aspects of a project in accordance with the conditions and requirements of the AEC approval and any subsequent amendments approved by the AEC?		
2.4.15(1)	Have investigators confirmed that animals are suitable for their proposed use at the time they are supplied or procured for that use?		
2.4.15(2)	Have investigators ensured that procedures involving animals accord with current best practice?		
2.4.16	Have investigators considered the cumulative effects of the animal's lifetime experience, by providing an environment and management that are appropriate for the species and support animal wellbeing?		
2.4.17, 2.5.1(2)	Have investigators ensured that animal care is provided by an adequate number of competent people?		
2.4.18(1-10)	Have investigators taken steps to safeguard the wellbeing of animals by avoiding or minimising known or potential causes of harm, including pain and distress, to the animals?		
2.4.22, 3.3.45, 3.3.46	Have investigators ensured that humane procedures for killing an animal are appropriate to the species and circumstances?		
2.4.25(1)	For projects that involve hazards to other animals and humans, have investigators ensured that all personnel are aware of these hazards, and any potential pathogenic effects?		
2.4.25(2)	For projects that involve hazards to other animals and humans, have investigators ensured that appropriate procedures are implemented for quarantining and handling animals that		

	pose a risk to other animals and to humans because of naturally acquired or experimentally induced infectious disease.		
2.4.26, 2.4.27(1-7)	For creation and breeding of new animal lines where the impact on animal wellbeing is unknown or uncertain, have investigators ensured compliance with the Code?		
2.4.28(1)	Have investigators ensured that all people involved in the care and use of privately owned animals are aware of and accept their responsibilities relating to the animals?		
2.4.28(2)	Have investigators ensured that people responsible for the daily management of privately owned animals during the project are familiar with and understand the Code, and are competent?		
2.4.28(3)	Have investigators provided the owner of a privately owned animal with a document, to be included in the application to the AEC, clearly stating the details and duration of the owner's responsibilities?		

Section 2.5 - Responsibilities of Animal Carers

Each person involved in the care and use of animals for scientific purposes must consider the governing principles in Section 1 when applying the Code to their specific circumstance; in particular:

1. Respect for animals must underpin all decisions and actions involving the care and use of animals for scientific purposes (see Clause 1.1).
2. The obligation to respect animals, and the responsibilities associated with this obligation, apply throughout the animal's lifetime, including acquisition, transport, breeding, housing, husbandry, use of the animal in a project, and provisions for the animal at the conclusion of their use (see Clause 1.4).
3. Institutions, animal ethics committees (AECs) and people involved in any aspect of the care and use of animals for scientific purposes must be aware of and accept their responsibilities, and act in accordance with the Code (see Clause 1.31).
4. All activities, including projects, that involve the care and use of animals for scientific purposes must:
 - (1) be subject to ethical review, approval and monitoring by an AEC
 - (2) commence only after approval has been granted by an AEC
 - (3) be conducted in accordance with AEC approval.
 - (4) cease if approval from the AEC is suspended or withdrawn (see Clause 1.32).
5. Breeding of animals must be managed to avoid or minimise the production of excess animals (see Clause 1.27).

Clause	Question	Yes/No/Partial	Recommendations / Comments
2.5.2(7)	Are animal carers ensuring that their duties are performed competently?		
2.5.4(1)	Have animal carers ensured that animals are cared for and managed so that species-specific or strain-specific physiological and behavioural needs are met?		
2.5.4(2)	Have animal carers used procedures and practices that are based on current best practice?		
2.5.4(3) 3.2.1	Have animal carers ensured that the health and biosecurity status of animals is maintained in a manner that safeguards animal wellbeing and meets the requirements of their proposed use, in accordance with institutional and AEC policies and procedures?		
2.5.5(2), 2.5.1, 3.1.20 & 3.1.21	Have animal carers monitored and assessed the wellbeing of animals for which they are responsible with sufficient frequency to ensure that harm, including pain and distress, is promptly detected and managed?		
2.5.5(4) 2.5.6, 3.1.23 (1-2), 3.1.24, 3.1.26(1-3), 3.1.27(1-2), 3.2.1(1-4)	Have animal care staff acted promptly in response to the monitoring and assessment of animal wellbeing (including early intervention points and endpoints) and in response to unexpected adverse events and emergencies (including emergency welfare intervention), in accordance with the Code, as well as institutional and AEC policies and procedures? <i>Prompt action includes coordination of veterinary and animal management as well as necropsy and diagnostic services / ancillary testing as required.</i>		
2.5.7	Has the institution ensured that animal carers take prompt action regarding provisions for animals at the conclusion of their use, in accordance with procedures and protocols approved by the AEC?		
2.5.8	Have animal carers ensured they use humane procedures for killing animals that are appropriate to the species and circumstances?		
2.5.5(3), 2.5.11, 2.5.12, 2.5.13,	Have staff maintained sufficient records of animal care, monitoring and assessment in accordance with the Code, including records of health status and breeding performance of animals?		

3.1.22, 3.2.2. 2.4.27			
2.5.14	Is the facility manager competent, and holding appropriate animal care or veterinary qualifications or experience?		
2.5.14	Is the person who provides oversight of the program of veterinary care, including the care, husbandry and health of animals and biosecurity in a facility, competent and holding appropriate veterinary qualifications?		
2.5.15(1-14), 2.5.16, 2.5.17(1-3), 2.5.3, 3.1.31	Is the facility manager ensuring that all activities are implemented and conducted in accordance with the Code as well as institutional and AEC policies and procedures?		

Section 2.6 - Other responsibilities of institutions, investigators and animal ethics committees

Each person involved in the care and use of animals for scientific purposes must consider the governing principles in Section 1 when applying the Code to their specific circumstance; in particular:

1. Institutions, AECs, and people involved in any aspect of the care and use of animals for scientific purposes must be aware of and accept their responsibilities, and act in accordance with the Code (see Clause 1.31).
2. All activities, including projects, that involve the care and use of animals for scientific purposes must:
 - (1) be subject to ethical review, approval and monitoring by an AEC
 - (2) commence only after approval has been granted by an AEC
 - (3) be conducted in accordance with AEC approval
 - (4) cease if approval from the AEC is suspended or withdrawn (see Clause 1.32).

Clause	Question	Yes/No/Partial	Recommendations / Comments
2.6.2(1-5), 2.6.3, 2.6.4(1-6), 2.6.6, 2.6.7	Has a formal agreement been developed, in consultation with the AEC and in accordance with the Code, when an institution and/or investigators use an AEC established by another institution?		
2.6.4(1-6), 2.6.3, 2.6.8	Have procedures been developed and implemented when projects involving investigators from more than one institution require approval and monitoring by the responsible AECs, in accordance with the Code?		
2.6.9(1-2), 2.6.10, 7.9	Has the institution developed procedures to ensure that, as a minimum, projects conducted on behalf of the institution in other countries comply with the governing principles of the Code (provided that such compliance does not breach relevant local legislation), and are not conducted in other countries to avoid compliance with the Code?		
2.6.12	Has the AEC ensured that animal care and use in other countries is adequately monitored?		
2.6.13	Have the investigators responsible for a project conducted in another country ensured that, as a minimum, projects conducted in other countries comply with the governing principles of the Code (provided that such compliance does not breach relevant local legislation), and are not conducted in other countries to avoid compliance with the Code?		
2.6.14	Has the investigator obtained approval from their institutional AEC to use animals in another country?		
2.6.14, 7.9	Has the investigator provided the AEC with advice on how a proposed project conducted overseas can meet the principles of the Code, taking into account compliance with local requirements?		

Section 2.7 - Responsibilities of institutions when developing an AEC application Form

Each person involved in the care and use of animals for scientific purposes must consider the governing principles in Section 1 when applying the Code to their specific circumstance; in particular:

1. The care and use of animals for scientific purposes must be subject to ethical review (see Clause 1.2).
2. A judgement as to whether a proposed use of animals is ethically acceptable must be based on information that demonstrates the principles in Clause 1.1 and must balance whether the potential effects on the wellbeing of the animals involved is justified by the potential benefits (see Clause 1.3).
3. An AEC must be satisfied that there is sufficient evidence to support a case that the proposed use of animals is justified (see Clause 1.7).
4. All activities, including projects, that involve the care and use of animals for scientific purposes must:
 - (1) be subject to ethical review, approval and monitoring by an AEC
 - (2) commence only after approval has been granted by an AEC
 - (3) be conducted in accordance with the AEC approval
 - (4) cease if approval from the AEC is suspended or withdrawn (see Clause 1.32).

Clause	Question	Yes/No/Partial	Recommendations / Comments
2.7.3	Has the institution ensured that procedures for applying to an AEC include a requirement for the use of plain English in the application, so that all AEC members are provided with sufficient information to participate effectively in the assessment of the application?		
2.7.4(1-5)	Has the institution ensured that the application form allows the applicant to provide information regarding the use of animals only when it is justified?		
2.7.4(6-7)	Has the institution ensured that the application form allows the applicant to provide an overview of how the project is designed in relation to its aims and details of animals?		
2.7.4(8-10)	Has the institution ensured that the application form allows the applicant to provide information regarding applying the principles of Replacement, Reduction and Refinement (the 3Rs)?		
2.7.4(11)	Has the institution ensured that the application form allows the applicant to provide details of housing, husbandry and care of the animals?		
2.7.4(12)	Has the institution ensured that the application form allows the applicant to provide details of the locations where animals will be housed and where procedures will be conducted?		
2.7.4(13)	Has the institution ensured that the application form allows the applicant to provide details and justification for care and management of animals that does not accord with current best practice?		
2.7.4(14), 2.4.26, 2.4.27, 2.5.15, 3.1.2-3.1.19	Has the institution ensured that the application form allows the applicant to provide information regarding the assessment of the potential adverse impacts on animal wellbeing for the duration of the project as outlined in the Code?		
2.7.4(15), 3.1.20- 3.1.28	Has the institution ensured that the application form allows the applicant to provide details of how the wellbeing 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, and the criteria for intervention points and humane endpoints as outlined in the Code?		
2.7.4(16), 2.4.5, 2.5.3	Has the institution ensured that the application form allows the applicant to identify the person with ultimate responsibility for the conduct of the project and the care of the animals?		

2.7.4(17)	Has the institution ensured that the application form allows the applicant to provide the name of the project, the people involved and their responsibilities?		
2.7.4(18)	Has the institution ensured that the application form allows the applicant to provide the competence of people for all procedures they will undertake using animals, or details of their supervision by a person who is competent to perform the procedures?		
2.7.4(19)	Has the institution ensured that the application form allows the applicant to provide assurance that adequate resources will be available for the conduct of the project?		
2.7.4(20), 2.4.9	Has the institution ensured that the application form allows the applicant to provide details of any participation of staff from other institutions, and if and how the facilities of another institution will be used?		
2.7.4(21)	Has the institution ensured that the application form allows the applicant to declare any actual or potential interest, including any financial interest or other relationship or affiliation, that may affect judgements and decisions regarding the wellbeing of the animals involved?		
2.7.4(22)	Has the institution ensured that the application form allows the applicant to provide any additional administrative details as required by the institution and the AEC?		
2.7.4(23)	Has the institution ensured that the application form allows the applicant to provide a declaration by the responsible investigator(s) stating that they and all others involved in the project are familiar, and will comply, with the requirements of the Code, and providing assurance that adequate resources will be available to undertake the project?		

Section 3 - Animal Wellbeing

Each person involved in the care and use of animals for scientific purposes must consider the governing principles in Section 1 when applying the Code to their specific circumstance; in particular:

1. The wellbeing of animals used for scientific purposes must be considered in terms of the cumulative effects of the animal's lifetime experience. At all stages of the care and use of an animal, measures should be taken to ensure that the animal's environment and management are appropriate for the species and the individual animal, and support the animal's wellbeing (see Clause 1.8).
2. Animals have a capacity to experience pain and distress, even though they may perceive and respond to circumstances differently from humans. Pain and distress may be difficult to evaluate in animals. Unless there is evidence to the contrary, it must be assumed that procedures and conditions that would cause pain and distress in humans cause pain and distress in animals. Decisions regarding the possible impact of procedures or conditions on an animal's wellbeing must be made in consideration of an animal's capacity to experience pain and distress (see Clause 1.10).
3. Steps must be taken at all times to safeguard the wellbeing of animals by avoiding or minimising harm, including pain and distress, to the animals (see Clause 1.11).
4. The development of strategies to support and safeguard animal wellbeing must include the application of high standards of scientific integrity (see Clauses 1.15–1.17), and the application of Replacement, Reduction and Refinement (the 3Rs) (see Clauses 1.18–1.30).

Clause	Question	Yes/No/Partial	Recommendations / Comments
3.1.2, 3.1.3	Have circumstances with the potential to have an adverse impact on the wellbeing of an animal been identified? <i>Experimental and non-experimental causes must be considered, including acquisition and breeding, capture, transport, housing and care, social and physical environment, handling, restraint, sample collection, non-surgical & surgical procedures, anaesthesia, genetic modification, humane killing and provisions for the animal at the conclusion of use.</i>		
3.1.4	Has the incorporation of a pilot project been considered if the potential impact on the animal, or the validity and efficacy of criteria for intervention to minimise harm (including pain and distress) cannot be predicted on the basis of available evidence?		
3.1.5	Are animals cared for and managed so that species-specific or strain-specific physiological and behavioural needs are met?		
3.1.6	Has specific AEC approval been granted where the requirements of a project or activity preclude or modify current best practice (in relation to the specific species and/or strain of animal) used for the care and management of animals?		
3.1.7	Are the living conditions within indoor facilities in which animals are bred, held and used checked daily?		
3.1.9	Are animals that are sourced, bred or held for scientific purposes suitable for their proposed use (taking into account their biological characteristics, temperament, behavioural conditioning, microbiological and nutritional status, and general state of health)?		
3.1.10, 3.2.10, 3.2.11	Are animals acclimatised to the housing/holding conditions, experimental conditions and personnel, and any changes to such conditions, before they are used? <i>Animals that do not adapt satisfactorily should not be used. Prompt provisions should be made for such animals, as appropriate.</i>		
3.1.12	For animals that normally live in social groups, is social isolation or separation from a group avoided unless specific justification is provided to, and approval is obtained from, the AEC?		
3.1.13	Are animals identified either individually or in groups?		
3.1.28(1-2)	Is 'death as an endpoint' replaced with early experimental and humane endpoints whenever possible in accordance with the Code?		

3.1.29	Are strategies to support and safeguard animal wellbeing reviewed regularly for effectiveness during the lifetime of a project or activity? <i>Formal review must be conducted at least annually, but preferably more regularly during the course of a project or activity, and in response to adverse outcomes.</i>		
3.2.4	Is wildlife only taken from natural habitats (or otherwise disturbed) if essential for the work proposed, and no alternative source of animals or data is available?		
3.2.5, 3.2.6(1-3), 3.2.7, 3.2.8	Are animals transported in accordance with the Code (to support and safeguard the wellbeing of the animals before, during and after their transport), and in compliance with any other applicable legislation?		
3.2.9(1-3)	For new animals are admitted to breeding and holding facilities, is their wellbeing supported and safeguarded in accordance with the Code?		
3.2.13, 3.2.16, 3.2.24, 3.2.25	Are animals provided with accommodation, physical and social environmental conditions, food, water and care to meet species-specific or strain-specific physical and behavioural needs?		
3.2.14	Are all facilities appropriately staffed, designed, constructed, equipped, maintained and managed to achieve a high standard of animal care? <i>Facilities must be suitable for the type of animals kept and the aims of the activities undertaken.</i>		
3.2.15,	Are animals held outdoors protected from adverse environmental conditions and predation, and provided with access to adequate shelter, food and water?		
3.2.16	Have the potential risks to other animals and to humans, during the housing and care for animals that are administered infectious organisms, been taken into account?		
3.2.17(1-5), 3.2.18	Is the design and construction of indoor facilities compliant with the Code?		
3.2.21, 3.2.22, 3.2.23	Is the design and construction of pens, cages and containers compliant with the Code? This includes being: <ul style="list-style-type: none"> constructed of safe, durable materials kept clean maintained in good repair secure and escape-proof protective of animals against climatic extremes designed to minimise injury to animals large enough for the species and the number of animals held compatible with the behavioural needs of the species. 		
3.2.18, 3.2.19	Are indoor facilities always kept in a clean and hygienic state?		
3.2.20	Are chemicals used in the facility, including detergents, disinfectants, deodorisers and pesticides, kept and used in a manner that does not contaminate the animals' environment and is appropriate for the purpose?		
3.3.1(1-5)	Are all procedures conducted appropriately in accordance with the Code?		
3.3.2 - 3.3.4	Is the wellbeing of animals supported and safeguarded during their handling and restraint?		
3.3.6(1-4)	Are methods used to identify animals: <ul style="list-style-type: none"> appropriate for the species and the circumstances 		

	<ul style="list-style-type: none"> • compatible with the purpose and aims of the project or activity • involving non-invasive methods whenever possible. <i>The use of invasive methods must conform with Clause 3.3.1.</i> • causing the least harm, including pain and distress, to the animals? 		
3.3.7(1-3)	Are injections, blood sampling and non-surgical procedures undertaken in accordance with the Code?		
3.3.8 - 3.3.15	Is the wellbeing of animals supported and safeguarded during anaesthesia, analgesia and sedation, and is pain and distress managed as outlined in the Code?		
3.3.16(1-7)	Are surgical procedures undertaken in accordance with the Code?		
3.3.17 - 3.3.20	Is post-procedure care provided in accordance with the Code?		
3.3.21, 3.2.22	Are projects involving the use of foetuses or embryos conducted in accordance with the Code?		
3.2.23(1-6)	Has the induction of tumours been conducted in accordance with the Code, including by establishing and implementing early intervention points and humane endpoints?		
3.3.25 - 3.3.30	Have projects or activities involving modification of behaviour and neurological function been conducted in accordance with the Code?		
3.3.31, 3.3.32	Have projects or activities involving immunomodulation and production of antibodies been conducted in accordance with the Code?		
3.3.33 - 3.3.44	Are all wildlife and field techniques, including capture and handling, the use of traps, transport, holding and release, tracking the movement of wildlife, interference activities, voucher specimens and studies involving vertebrate pest animals, conducted in the accordance with the Code?		
3.3.45, 3.3.46	Are methods and procedures used for killing animals humane and conducted in accordance with the Code?		
3.4.1, 3.4.3, 3.4.4, 3.4.5	Are provisions for animals at the conclusion of their use compliant with the Code?		
3.4.2	Have opportunities to rehome animals been considered in accordance with the Code?		

Section 4 - The care and use of animals for the achievement of educational outcomes in science

This section covers the care and use of animals in teaching activities where the 'scientific purpose' is to impact or demonstrate knowledge or techniques to achieve an educational outcome in science, as specified in the relevant curriculum or competency requirements.

All parts of the Code apply to teaching activities. This section provides additional guidance on the responsibilities outlined in other sections when animals are used for teaching activities. It must be applied in addition to other parts of the Code, particularly Section 2 'Responsibilities' and Section 3 'Animal wellbeing'.

It is expected that animals used in teaching activities will receive a high standard of care, that their wellbeing will be supported and safeguarded in accordance with the governing principles outlined in Section 1, and that their use will occur only in accordance with approval from an animal ethics committee (AEC)

Each person involved in the care and use of animals for scientific purposes must consider the governing principles in Section 1 when applying the Code to their specific circumstance; in particular:

1. Respect for animals must underpin all decisions and actions involving the care and use of animals for scientific purposes
2. The obligation to respect animals, and the responsibilities associated with this obligation, apply throughout the animal's lifetime, including acquisition, transport, breeding, housing, husbandry, use of the animal in a project
3. People involved in any aspect of the care and use of animals for scientific purposes must be aware of and accept their responsibilities, and act in accordance with the Code (see Clause 1.31).
4. All activities, including projects, that involve the care and use of animals for scientific purposes must:
 - (1) be subject to ethical review, approval and monitoring by an AEC
 - (2) commence only after approval has been granted by an AEC
 - (3) be conducted in accordance with the AEC approval
 - (1) cease if approval from the AEC is suspended or withdrawn (see Clause 1.32).

Clause	Question	Yes/No/Partial	Recommendations / Comments
4.1, 4.2	Has the institution ensured compliance with areas outlined in Chapter 2.1 of the Code? And, has the institution ensured that it follows the same responsibilities outlined in Chapter 2.2 regarding the governance of an AEC overseeing the care and use of animals in teaching activities?		
4.3	Has the institution ensured that animals are only used for teaching when their use is essential to achieving an educational outcome in science (as specified by relevant curriculums or competency requirements)?		
4.4	Has the institution identified a person with ultimate responsibility for the care and use of animals in teaching activities as per the criteria outlined in Clause 4.4 of the Code?		
4.5	For teaching institutions in the primary or secondary education sector - does the institution have access to an AEC?		
4.6	For teaching institutions in the primary or secondary education sector – has the institution ensured that the activities outlined in Clause 4.6 are not demonstrated to, or carried out by, primary or secondary level students?		
4.7	For teaching institutions in the primary or secondary education sector - has the Institution ensured that humane killing of animals is not demonstrated to, or carried out by, primary or secondary level students (unless it is required to achieve an educational outcome in science as specified in the relevant curriculum or competency requirement, or as part of veterinary clinical management of an animal under the direction of a veterinarian)?		
4.12	Have teachers ensured that students have the opportunity to discuss the ethical and social issues, and legal responsibilities, involved in the care and use of animals for scientific purposes (at a level appropriate to their learning ability and comprehension, and before the use of animals commences)?		

4.13	Have the teachers ensured that the students are supervised by a person who is competent for the procedure being performed and that the level of supervision of students takes into account the competency and responsibilities of each student?		
4.14	<p>Have the teachers ensured that animals are not being released to students (including at the end of the program) unless the AEC has:</p> <ul style="list-style-type: none"> • Approved the release • Implemented safeguards to ensure the ongoing well-being of the animal. 		

Section 5 - Complaints and non-compliance

Each person involved in the care and use of animals for scientific purposes must consider the governing principles in Section 1 when applying the Code to their specific circumstance; in particular:

1. Institutions, AECs, and people involved in any aspect of the care and use of animals for scientific purposes must be aware of and accept their responsibilities (see Section 2), and act in accordance with the Code (see Clause 1.31).
2. All activities, including projects, that involve the care and use of animals for scientific purposes must:
 - (2) be subject to ethical review, approval and monitoring by an AEC
 - (3) commence only after approval has been granted by an AEC
 - (4) be conducted in accordance with AEC approval
 - (5) cease if approval from the AEC is suspended or withdrawn (see Clause 1.32).

Clause	Question	Yes/No/Partial	Recommendations / Comments
5.1(1-4), 5.2(1-7), 5.3	Has the institution developed and implemented procedures for addressing complaints and non-compliance, relating to the care and use of animals for scientific purposes, in accordance with the Code?		
5.4(1)	Has the institution ensured that, where complaints relate to activities that have the potential to adversely affect animal wellbeing, the activities cease immediately?		
5.4(2)	Has the institution ensured that, where complaints relate to the activities that would normally require AEC approval, the complaints are referred to the AEC to investigate whether such activities are conducted in accordance with AEC approval?		
5.4(3)	Has the institution ensured that complaints raising the possibility of 'research misconduct' are handled in accordance with procedures specified in the <i>Australian code for the responsible conduct of research</i> ?		
5.4(4)	Has the institution ensured that, where complaints allege misconduct that falls outside the range of 'research misconduct' (as described in the <i>Australian code for the responsible conduct of research</i>), the complaints are handled in accordance with institutional processes for dealing with other forms of misconduct?		
5.5(1)	Following the AEC's investigation of complaints referred to it by the institution, has the AEC ensured that, where activities are found to have been conducted in accordance with an AEC approval, the activities are reviewed in consultation with all relevant people to ensure that the reason for the complaint is addressed?		
5.5(2)	Following the AEC's investigation of complaints referred to it by the institution, has the AEC ensured that, where activities are found to NOT have been conducted in accordance with AEC approval, the matter is referred back to the institution for action?		
5.7	Has the institution ensured that the process for conducting an independent external review, developed in consultation with the review panel, includes an appeals process that relates to the process for the review?		
5.8	Has the institution identified a person or agency external to the institution to whom a person can take a complaint that has not been resolved by the processes referred to in Clauses 5.1-5.7? <i>Note: in NSW, complaints can be made to the NSW Department of Primary Industries via 1800 680 244 or quarantine@dpi.nsw.gov.au</i>		

5.9	Has the institution developed and implemented procedures for addressing non-compliance with the Code so that behaviours that create and support compliance are encouraged, and behaviours that compromise compliance are not tolerated?		
5.10	Has the institution maintained a record of breaches of the Code?		
5.12	<p>Has the institution advised relevant state or territory government authorities of alleged breaches of legislation that had a significant impact on animal wellbeing?</p> <p><i>Note: for alleged breaches of legislation occurring in NSW, the NSW Department of Primary Industries can be contacted via 1800 680 244 or quarantine@dpi.nsw.gov.au</i></p>		

Section 6 - Independent external review of the operation of institutions

Each person involved in the care and use of animals for scientific purposes must consider the governing principles in Section 1 when applying the Code to their specific circumstance; in particular:

1. Institutions, AECs, and people involved in any aspect of the care and use of animals for scientific purposes must be aware of and accept their responsibilities (see Section 2), and act in accordance with the Code (see Clause 1.31).
2. All activities, including projects, that involve the care and use of animals for scientific purposes must:
 - (1) be subject to ethical review, approval and monitoring by an AEC
 - (2) commence only after approval has been granted by an AEC
 - (3) be conducted in accordance with AEC approval
 - (4) cease if approval from the AEC is suspended or withdrawn (see Clause 1.32).

Note that in assessing this section, the review panel should consider if the processes and procedures in place at the institution for arranging and carrying out independent external reviews are suitable. If the institution has previously carried out an independent external review, the review panel should consider if the institution has responded appropriately to the findings of that review.

Clause	Question	Yes/No/Partial	Recommendations / Comments
6.1, 6.2	Has the institution ensured that an independent external review is conducted at least every four years to assess the institution's compliance with the Code, and to ensure the continued suitability, adequacy and effectiveness of its procedures to meet its responsibilities under the Code?		
6.2.2, 6.4	Has a written process been implemented to ensure the independence of the review panel and establish the requirements of confidentiality?		
6.4	Have the members of the review panel declared their interests before their appointment to the review panel and adhered to confidentiality requirements regarding the review?		
6.5	Has the review panel developed a process for the manner in which the review is to be conducted, in consultation with the institution, in order to document the findings and recommendations from the review and provide a report to the governing body of the institution?		
6.6	Has the independent external review covered all areas that are outlined in Clause 6.6 of the Code?		
6.7	Has the review panel provided recommendations that: <ul style="list-style-type: none"> • identify areas of non-compliance • support strategies for short-term and long-term continual improvement • give recognition to behaviours and actions by individuals and teams that support compliance? 		

Section 7 - Cosmetic Testing

The use of animals for cosmetic testing is banned in Australia. This section provides additional guidance about the responsibilities of institutions, animal ethics committees (AECs) and investigators with respect to this ban. This section must be read in conjunction with other sections of the Code. All those considering the use of animals for cosmetic testing must be aware of the requirements under the Industrial Chemicals Act 2019 and the Industrial Chemicals (General) Rules 2019 (as amended from time to time) as they apply to their specific circumstances.

Each person involved in the care and use of animals for scientific purposes must consider the governing principles in Section 1 when applying the Code to their specific circumstance; in particular:

1. Respect for animals must underpin all decisions and actions involving the care and use of animals for scientific purposes (see Clause 1.1).
2. Methods that replace or partially replace the use of animals must be investigated, considered and, where applicable, implemented (see Clause 1.18).
3. Before the use of animals is considered, all existing information relevant to the proposed aim(s), including existing databases, must be examined. Replacement techniques that must be considered include the use of epidemiological data; physical and chemical analysis; computer, mathematical and inanimate synthetic models; simulations; in vitro systems; non-sentient organisms; cadavers; and clinical cases (see Clause 1.19).
4. Institutions, AECs, and people involved in any aspect of the care and use of animals for scientific purposes must be aware of and accept their responsibilities, and act in accordance with the Code (see Clause 1.31).
5. All activities, including projects, that involve the care and use of animals for scientific purposes must:
 - (1) be subject to ethical review, approval and monitoring by an AEC
 - (2) commence only after approval has been granted by an AEC
 - (3) be conducted in accordance with AEC approval
 - (4) cease if approval from the AEC is suspended or withdrawn (see Clause 1.32).

Clause	Question	Yes/No/Partial	Recommendations / Comments
7.2	Does the institution have policies and procedures in place to ensure that animals are not used for the testing of: <ol style="list-style-type: none"> 1. finished cosmetic products 2. a chemical ingredient unless the proposed use of animals is justified by a purpose other than use in a cosmetic? 		
7.3, 7.4	Has the AEC approved a project or activity involving the use of animals for testing of finished cosmetic products?		
7.5, 7.6, 7.7	Have investigators used animals for testing of finished cosmetic products?		

Appendix 1 - Example assessment checklist for individual project applications for the use of animals in research

The below checklist provides additional guidance for the review panel in assessing project applications for compliance with the Code. Note that the checklist is a guide only and is not exhaustive. Additional categories and clauses may need to be assessed depending on the nature of the individual project application and the institution.

A = Acceptable

U = Unacceptable

N/A = Not applicable

Feature	Code	Description	Finding			Comments
			A	U	N/A	
Plain English	2.4.12, 2.7.3	Application is easy for all AEC members to read and understand	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Abbreviations and technical language are adequately explained	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Justification	2.7.4(1)	Aims and objectives (reasons for conducting the project) are clear and concise	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	1.5(1)	Application addresses who will benefit from the research	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	1.5(1), 1.15 & 2.4.8(1)	The animal use has scientific merit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	1.3 & 2.4.8(2)	The use of animals is essential to achieve the stated objectives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	2.4.6 (3) & 2.7.4 (3)	Alternatives have been seriously considered (and not using them justified)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	2.4.6 (1) & 2.7.4(2)	Sufficient evidence is provided to justify the proposed use of animals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	1.17 & 2.7.4(7)(1)	Species choice is clear and justified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	2.7.4(7)(2)	Animal source is clear and appropriate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	2.7.4(4)	Animal numbers are clear and justified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	1.21, 2.4.6 2.7.4(4)(2)	Appropriate statistical analysis has been performed regarding numbers of animals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	2.7.4(6)	Experimental design is justified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	1.18 & 2.7.4(8)	3Rs have been adequately addressed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	1.26 & 2.7.4(10)	Application addresses if tissues can be shared	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	1.7 & 2.4.8(3) & 2.7.4(4)	Application addresses if animal use is ethically acceptable – i.e., if the scientific value and potential benefits of the project justify the use of animals and the effect on their wellbeing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Impacts	2.7.4(14)(1)	Sufficient detail is provided to understand what will happen to the animals at every stage in the timeline of the project, including at the conclusion of use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	2.7.4(14)(3)	Potential adverse impacts have been identified, and strategies for minimisation described	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	2.4.8(11-14) & 2.7.4(14)(3)	Minimisation of pain and distress is adequately addressed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	2.4.8(4)	Particular justification has been given for high impact procedures, or animals experiencing unrelieved pain and distress	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	2.4.8(4)	Particular justification has been given for using non-human primates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	2.7.4 (14)(2)	The potential effects of genetic modification have been addressed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	1.14, 2.7.4(15) & 3.3.34(4)	Potential emergencies have been identified and plans are in place for these	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	2.7.4 (5)(1)	If it is likely that animals will die as part of the project, adequate justification is provided	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	1.22 & 2.7.4(5)(1)	Reuse of animals is justified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Monitoring	2.7.4(15)	Monitoring methods and frequency are described and are adequate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	1.14 & 22.7.4(15)	Intervention criteria and humane endpoints (and action plans for these) are identified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Housing, husbandry & transport	2.7.4(11-13)	Animal housing is appropriate for the species and the experiment, and accords with best practice and any other relevant guidelines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	2.7.4(11)	Animal husbandry (feeding, environmental enrichment) is described and is adequate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	3.1.12, 3.2.23	Individual housing of normally social animals is justified, and methods are appropriate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	3.2.5 – 3.2.8	Any transport methods are appropriate for the species/project	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Wildlife surveys	3.3.33	Animal wellbeing is adequately safeguarded in accordance with the Code, and the applicant shows consideration of the impacts of the project on target species, non-target species, dependent young, habitat, the environment, and disease transmission.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	3.3.34	Capture, handling and restraint methods are described and appropriate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	3.3.35	If traps are used, the protection of animal wellbeing has been considered, and methods are described and appropriate for target and non-target species	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	3.3.36	Wet pitfall traps are not used to capture vertebrates, and only used for invertebrates if in accordance with the Code	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	3.3.38	Procedures for the holding of wild animals in captivity are appropriate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	3.3.39	Methods for the release of wildlife are described and appropriate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	3.3.40	Details of tracking devices, attachment and retrieval are provided and appropriate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	3.3.41	Interference activities (e.g. call playback, spotlighting) are conducted in a manner that minimises risks to animal wellbeing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	3.3.42	Voucher specimens are collected in accordance with the Code	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	3.3.43 – 3.3.44	Captive feral and pest species are managed in accordance with the Code	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
SOPs	2.2.33 - 2.2.36	SOPs referenced have current (within the last 3 years) AEC approval	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Rehoming	3.4.2	Rehoming has been considered	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Personnel	1.29 & 2.7.4 (18)	Personnel are competent for the tasks they will be completing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Collaboration	2.7.4(22) & 2.6.4 - 7	Agreement is in place with any collaborating institutions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Declaration	1.31 & 2.7.4 (23)	Application is signed by the responsible investigator	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Appendix 2 - Example assessment checklist for animal facilities

The below checklist provides additional guidance for the review panel in assessing animal facilities for compliance with the Code. Note that the checklist is a guide only and each item will need to be assessed in the context of the species held, and the facility. The checklist is not exhaustive, and additional items may need to be added the reviewer.

A = Acceptable

U = Unacceptable

N/A = Not applicable

Item	Finding			Comments	Recommended Corrective Actions
	A	U	N/A		
General condition of animals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Food supply	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Water supply	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Bedding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Cages/pens (size, construction, cleanliness, etc)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Environmental and behavioural enrichment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Stocking rates & housing capacity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Social interaction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Cage/pen labels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Animal identification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Animal handling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Routine monitoring - frequency and quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Monitoring by investigators – frequency and quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Number of animal care staff (total and per shift)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Competency and training of animal care staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Record-keeping	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Emergency contact details readily available	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Program of veterinary care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Accessibility of veterinary support	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Emergency procedures (including appropriateness to facility, staff awareness)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Management of breeding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Noxious odours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Lighting type and cycles	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Ventilation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Temperature and humidity control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Environmental control, monitoring systems and back-up power	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Noise levels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
General hygiene and cleaning (including food storage areas)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Maintenance of equipment, pens, cages etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Transportation of animals (within the facility and external)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Locations and methods for euthanasia	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Shelter/shade (for animals housed outdoors)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Pest control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Storage areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Waste disposal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Biosecurity measures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Standard operating procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Appendix 3 - Example list of documents to be provided to the review panel

No.	Document/s	Observations/ Comments	Recommended actions
1	Copies of any licences, accreditations, permits or approvals the institution holds with the relevant regulatory authority		
2	Minutes of previous AEC meetings (~past 12 months)		
3	Most recent AEC annual report		
4	AEC operating procedures		
5	AEC Terms of Reference		
6	Grievance/complaint procedures		
7	Records of inspections carried out by the AEC in the previous 12 months		
8	Current membership of the AEC		
9	A list of all projects with current AEC approval		
10	Applications, recent reports and current animal research authorities for a representative sample of approved projects		
11	A list of the animal holding facilities used for animal research or supply, including locations and descriptions		
12	List of other institutions that the establishment does collaborative research with, and copies of collaborative agreements		
13	Procedures for how to manage collaborative research projects as per Code 2.6.4		
14	List of other institutions/ companies/ individuals that share the AEC		
15	Current template for the animal use application form to the AEC		
16	Current template for an Animal Research Authority		
17	Current template for an application for amendment to an approved project		
18	Current template for application for obtaining, keeping, breeding and supplying animals for use in research		
19	Current templates for annual, final and unexpected adverse event reports		
20	Current template for reporting to the AEC on obtaining, keeping, breeding and supplying animals for research		
21	List of AEC approved Standard Operating Procedures (SOPs), including date of last approval		
22	Copies of any SOPs relating to routine animal care and husbandry for each species or facility		
23	Emergency procedures		
24	Information regarding training and induction of AEC members, investigators/ teachers/ students, and animal care staff (including and how competency is assessed and recorded)		
25	Most recent breeding report submitted to the AEC		

26	Agenda papers for any AEC meeting to be attended, including all agenda items		
27	Most recent prior independent external review report & any responses to the report		
28	Most recent regulatory inspection report from the relevant authority & and responses to the report		
29	Examples of animal records and standard daily monitoring sheets		
30	Rehoming policies and procedures		
31	Animal supply records for dogs and cats		