

**UNIVERSITY OF NEW ENGLAND**



**ANIMAL ETHICS  
COMMITTEE**

**CONSTITUTION**

**August 2011**

**CONSTITUTION**  
**of**  
University of New England  
**ANIMAL ETHICS COMMITTEE (AEC)**

as required by the *NSW Animal Research Act 1985*

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## **1. Introduction**

The University of New England (the University/UNE) operates as an animal research establishment accredited under the following provisions:

- The NSW Animal Research Act 1985, No.123;
- The Animal Research Regulation 1995 (made under the authority of the Act);
- The Australian Code of Practice for the Care and Use of Animals for Scientific Purposes, 2004 (made applicable by Sec. 4 of the Regulation); and
- Animal Research Review Panel Policies and Guidelines.

These documents, as amended from time to time, together with any other relevant legal provisions, are jointly here called “the Governing Provisions.”

A central feature of the Governing Provisions is that the University must have an Animal Ethics Committee (“the AEC”), and that no animal may be used for research or teaching without the AEC’s prior approval.

## **2. Obligations of Researchers and Teachers**

The Governing Provisions place ultimate responsibility for the care and well-being of experimental animals on the researcher or teacher. This includes, but is not limited to, compliance with the conditions set by the AEC for a particular protocol. These and other University provisions are included in the UNE AEC Constitution and attachments.

The conduct of research on animals is bound by the provisions of the UNE Code of Conduct for Research.

## **3. Guiding Principles**

In carrying out its Terms of Reference (see Attachment 2), the AEC must satisfy the legal and ethical requirements of the Governing Provisions, while facilitating appropriate research and teaching activities. It aims to do so primarily by encouraging awareness of legal and ethical issues of animal welfare among researchers and teachers, while also reserving the power to enforce compliance with the Governing Provisions.

In pursuance of these aims, the AEC must ensure that the care of all animals on University properties minimises pain, distress and discomfort. Animal use in research and teaching is allowable only when:

- (i) there is not available an acceptable procedure alternative to the use of animals;
- (ii) justification is provided in terms of expected advancement in knowledge;
- (iii) facilities and techniques are available to ensure that pain, distress and discomfort to animals is minimised; and
- (iv) the researcher or teacher is competent in the appropriate procedures.

In applying these principles, the AEC follows what is widely regarded as best practice, namely the “three Rs” of Replacement, Reduction and Refinement in the use of animals.

## **4. Membership and Functioning**

Refer to the Terms of Reference - Attachment 2, of this document.

## **5. Further AEC Obligations**

The AEC has the following further obligations:

- (i) Develop and maintain Emergency Procedures for experimental animals (see Attachment 6).
- (ii) Develop and maintain Grievance Procedures (see Attachment 8).
- (iii) Develop and maintain Application and Reporting Procedures (see Attachment 9).

## **6. Attachments**

The attachments to this Constitution are policies created by the AEC and are to be read in conjunction with the Constitution. These policies may be varied from time to time without altering the Constitution.

*Attachment 1*

UNIVERSITY OF NEW ENGLAND  
ANIMAL ETHICS COMMITTEE

***GUIDELINES COVERING THE WELFARE OF ANIMALS  
USED FOR RESEARCH AND TEACHING***

**(i) GENERAL PROVISIONS**

- (a) The following provisions supplement, and are to be read in conjunction with, the Constitution of the Animal Ethics Committee. The Governing Provisions there mentioned set out the legal obligations imposed on the University and its members.
- (b) In these Guidelines, “researcher” refers to the person named as Principal Investigator in an application (whether for research or for teaching) which has been approved by the AEC.
- (c) Unless otherwise provided, the Guidelines apply to all dealings with vertebrate animals kept on University properties, including observational, nutritional, metabolic, physiological, surgical or psychological activities.
- (d) Scientific and teaching activities must not commence until written approval has been obtained from the AEC.
- (e) All experiments involving live animals shall be carried out under the supervision of a member of staff with appropriate training and experience.
- (f) Daily animal care records should be kept, in order to determine the duration of problems, should they arise, concerning the animals’ wellbeing, and to monitor the efficiency of husbandry practices. A ***Daily Activity Log*** must be maintained and displayed where the animals are held. A template for the Daily Activity Log may be obtained from the Animal House Manager.
- (g) On completion of experiments, researchers shall ensure that animals returned to grazing paddocks or animal houses are clearly identified and that the exact nature of the experiment is recorded on individual animal records. Individual animal records must be maintained for animals that a used for more than one research protocol.
- (h) Any unforeseen sign of pain, suffering or distress in any animal must be reported promptly to the Emergency Contact listed on the Authority and/or the Animal House Manager (see Attachment 6).
- (i) Researchers in doubt as to their responsibilities should seek guidance from the Research Ethics Officer or AEC Chair.
- (j) The justification for continuing or repeating experiments must be on the basis of the results obtained as well as the potential effects on the welfare of the animals, and must be constantly subject to review.
- (k) Researchers should note that, apart from legal and moral considerations, activities involving the use of animals that produce undue pain, distress or discomfort may result in data that are unsatisfactory or misleading when extrapolated to normal conditions.

**(ii) SPECIFIC PROVISIONS**

- (a) Other than in exceptional circumstances, any large mammals may not be tethered as part of a research protocol. Any large mammals may not normally be tethered in metabolism cages. Should tethers be required during acclimatisation they may be used for a maximum of one week. Alternatives to tethering in terms of conditioning are to be investigated, and researchers are advised to seek advice from the Animal Ethics Committee. The maximum time that sheep may be held in metabolism cages is 28 days.

- (b) Wild animals can suffer severe stress on their first contact with humans and new surroundings. Researchers must use the most effective techniques for minimising stress during restraint, capture, marking, transport, maintenance and killing of wild animals. In appropriate instances prior permission to carry out these procedures on wild vertebrates must have been granted by the appropriate State authority.
- (c) All animals should be pre-adapted to close confinement prior to entry to the UNE Animal House.
- (d) Domestic farm animals should be healthy, well grown, adequately vaccinated and treated for internal and external parasites, unless this specifically affects the research proposed, before entry on to any UNE property.

#### ANIMAL SURGERY

- (a) In these Guidelines, chronic surgical experiments are those in which a surgically manipulated animal is allowed to recover from anaesthesia, while acute experiments are those in which it is not.
- (b) Persons undertaking chronic surgical experimentation will normally be required to have satisfactorily completed appropriate training or have an equivalent amount of practical experience in undertaking surgical techniques.
- (c) Acute surgical experiments may be carried out by persons without surgical training provided the animal is suitably anaesthetised and the operation is supervised by a suitably qualified person.
- (d) The AEC may on application grant exceptions to the above where it is satisfied that the reason given and the supervision and training provided are adequate.
- (e) Neither this Section nor the AEC Constitution apply to surgical operations on University farms which are considered a normal part of routine husbandry practices.

#### (iii) STUDENT RESEARCHERS

- (a) Postgraduate or other students involved in animal research may not be listed as a Principal Investigator on an application submitted to the AEC, but they must be mentioned in the application as students.
- (b) Before commencing their work, all such students should complete an appropriate training course in animal welfare, such as the Animal Ethics Workshop. The AEC could recommend any person named on an application attend the Animal Ethics Workshop, unless the person can demonstrate that they have attended or completed equivalent training.

#### (iv) PUBLICATIONS

Publications on the care of experimental animals are held in the Dixson Library in the subject catalogue "Laboratory Animals".

#### (v) FURTHER INFORMATION

The following documents are available at the Research Ethics web page:

1. Post-operative Care of Animals allowed to return to Consciousness following Surgery
2. The Disposal of Dead Animals and their Parts
3. The Re-use of Ruminants with Gastrointestinal Cannulae
4. The Use of Pentobarbitone for the Purpose of Humane Animal Destruction
5. Sheep which are housed on a Long-term Basis
6. Animal Quarantine and Animal Holding Facilities at The University of New England.

7. Tethering of Sheep
8. Use of Treadmills

(vii) **STANDARD OPERATING PROCEDURES**

The AEC has developed a number of Standard Operating Procedures in consultation with UNE Researchers. These Standard Operating Procedures are available from the AEC web pages.

## *Attachment 2*

# THE UNIVERSITY OF NEW ENGLAND ANIMAL ETHICS COMMITTEE ***TERMS OF REFERENCE***

### ***Decision-making***

The Animal Ethics Committee (AEC) is obliged to consider all ethical and welfare aspects, as well as the scientific or educational value of the use of animals for research and teaching purposes, in accordance with the UNE AEC Constitution and associated Governing Provisions, and specifically, in accordance with the Australian code of practice for the care and use of animals for scientific purposes 2004 (Code). These terms of reference should be read in conjunction with the AEC Constitution. In particular, the AEC must:

- (i) approve guidelines for the care of animals that are bred, held and used for scientific purposes on behalf of the institution;
- (ii) examine all applications for the use of animals, and approve, modify or reject them in accordance with the Guiding Principles;
- (iii) approve only those studies for which animals are essential and justified and which conform to the requirements of the Code, taking into consideration factors including ethics, the impact on the animal or animals and the anticipated scientific or educational value;
- (iv) withdraw approval for any project which no longer complies with the Governing Provisions; or has been seen to be misleading to the AEC;
- (v) maintain a record of proposals and projects;
- (vi) comply with the reporting requirements of the University and the Code;
- (vii) monitor the acquisition, transport, production, housing, care of , use and fate of animals;
- (viii) ensure that any unexpectedly suffering animal is treated or humanely euthanased, and that the matter is reported to the AEC in a timely manner;
- (ix) examine and comment on all plans and policies of the University which may affect the welfare of animals used for scientific purposes;
- (x) determine any measures, develop appropriate policies, make any recommendations or take any proper action needed to ensure that the standards imposed by the Governing Provisions are maintained;
- (xi) require that all members declare any Conflict of Interest and deal with situations in which a conflict of interest arises;
- (xii) perform all other duties imposed on the University by the Australian Code of Practice for the care and use of animals for scientific purposes; and
- (xiii) consider and report on any matter referred to it by the Vice-Chancellor or the Academic Board.

### **Reports to**

Deputy Vice-Chancellor (Research).

### **Chair**

Appointed by the Vice-Chancellor in consultation with the Committee, following a selection process. The Chair is appointed in addition to the membership, for a two-year, once renewable term.

## **Deputy Chair**

Appointed from the membership and elected by the AEC. The person must be a UNE employee (i.e. a Category B member). The Deputy Chair will hold office for the term of their appointment to the AEC.

## **Membership**

The Governing Provisions currently stipulate four categories of AEC members:

- (i) three Category A members (persons with qualifications in veterinary science and with experience relevant to the activities of the institution. Veterinarians who lack this experience must familiarise themselves with the biology and clinical characteristics of the species of animals used.);
- (ii) three Category B members (persons with substantial recent experience in the use of animals in scientific or teaching activities. This will usually entail possession of a higher degree in research.);
- (iii) three Category C members (persons with demonstrable commitment to, and established experience in, furthering the welfare of animals, who are not employed by or otherwise associated with the institution, and who are not involved in the care and use of animals for scientific purposes. While not representing an animal welfare organisation, a person should, where possible, be selected on the basis of active membership of, and nomination by, such an organisation; and
- (iv) three Category D members (persons who are both independent of the institution and who have never been involved in the use of animals in scientific or teaching activities, either in their employment or beyond their under-graduate education. Category D members should be viewed by the wider community as bringing a completely independent view to the AEC, and must not fit the requirements of any other Category).

Additional members may be included outside the above four categories.

## **Quorum**

For a quorate meeting to be achieved, at least one member from each of the Categories A, B, C and D must be present.

## **Term of Membership**

Category A to D members will hold office for a two-year period and may serve a maximum of two consecutive terms unless invited by the Deputy Vice-Chancellor (Research) to continue as a member for an additional period, in the event that no suitably qualified alternative members can be identified. If a Category A to D member vacates office prior to the conclusion of their term, their replacement will be appointed for a new two-year term.

New members are recommended for appointment in writing to the DVC(R) by the AEC Executive, with the AEC's endorsement. For Category C members, this occurs after appropriate consultation with animal welfare organisations. 2.2.1 code Terms of Reference – must address retirement/resignation how it is done i.e. member advises DVC/AEC in writing.

## **Obligations of Members**

Committee members are obliged to treat AEC business as confidential and to declare any conflict of interest to the Committee. Members are required to complete a Confidentiality Acknowledgement and Conflict of Interest Undertaking prior to their appointment. If members have any questions or concerns about an application they may seek clarification from the researcher, prior to the meeting, after consulting the Chair.

The Committee will deal with situations in which a conflict of interest arises by:

- Requiring members to disclose the nature of their interest and conflict as soon as practicable after they become aware of anything that may be reasonably considered to be a conflict of interest.
- Requiring a member whose objectivity may be influenced by an interest (including consideration of a proposal submitted by that member) to leave the meeting at an appropriate time (certainly during the decision making process).
- Considering and responding to any concern raised by a researcher or teacher that an AEC member has an interest that may have influenced the objectivity of an AEC decision. In this instance, the Chair must advise the complainant, in writing, of the AEC's response. If the complainant is not satisfied with the AEC's response, a grievance may be lodged, in accordance with the UNE AEC Grievance Procedures.

### **Executive**

The AEC delegates certain powers to its Executive (Refer to UNE AEC Powers of Executive) which consists of the Chair, the Secretary and two other members. The members must be selected by the full AEC, so that the Executive includes someone from either Category A or B, and someone from either Category C or D. The Deputy Chair acts as a reserve member for the Chair. The Secretary serves on the Executive, as on the Committee, in a non-voting capacity.

The Executive may not approve new proposals but it may approve minor modifications to existing projects for review at the next AEC meeting.

### **Frequency of Meetings**

The Committee will meet once each month.

### **Self-Review**

Once in every twelve-month period, the Committee shall devote at least part of one meeting to a review of its policies, practices and procedures over the preceding 12 months.

### **Support**

Research Services will provide support.

*Attachment 3*

**THE UNIVERSITY OF NEW ENGLAND  
ANIMAL ETHICS COMMITTEE**

***MEMBERSHIP LIST***

<b>CATEGORY</b>	<b>NAME</b>	<b>MEMBERSHIP EXPIRY DATE</b>
<b>A</b>	Dr Steve Eastwood	1 February 2013
<b>A</b>	Dr Barbara Vanselow	1 March 2013
<b>A</b>	Mr Ian Duncan	30 June 2012
<b>B</b>	Dr Andrew Talk	31 December 2011
<b>B</b>	Dr Stuart Cairns	1 June 2012
<b>B</b>	Dr Peter Wilson	30 June 2012
<b>C</b>	Mrs Jacqueline Maisey	01 September 2013
<b>C</b>	Mrs Jill Chetwynd	30 June 2013
<b>C</b>	Mrs Neen Brown	30 June 2013
<b>D</b>	Mrs Pam Dutton	1 <sup>st</sup> July 2013
<b>D</b>	Mr Angus Cameron	15 September 2013
<b>D</b>	Mr John Gordon	1 September 2013
<b>Ex-Officio</b>	Mr Grahame Chaffey	Ex-officio/ Ongoing
<b>Secretary</b>	Mrs Jo-Ann Sozou	Ongoing

THE UNIVERSITY OF NEW ENGLAND  
ANIMAL ETHICS COMMITTEE

**CONFIDENTIALITY ACKNOWLEDGEMENT  
AND  
CONFLICT OF INTEREST UNDERTAKING BY MEMBERS**

- a) **I have received and read copies of the following documents, for reference in my assessment of applications for approval:**
  - (i) *Constitution of the Animal Ethics Committee (AEC), including the UNE Guidelines Covering the Welfare of Animals Used for Research & Teaching;*
  - (ii) *NSW Animal Research Act 1985;*
  - (iii) *Animal Research Regulation 1995;*
  - (iv) *Australian Code of Practice for the Care and Use of Animals for Scientific Purposes 2004;*
  - (v) *UNE Code of Conduct in Research; and*
  - (vi) *Relevant NSW DPI ARRP Policies and Fact Sheets*
  
- b) **I accept the Constitution, together with the other documents, as governing my work as an AEC member.**
  
- c) **I undertake to keep discussions with researchers in regard to their application totally confidential. Initiation of these discussions requires the approval of the Chair.**
  
- d) **I undertake to keep proceedings totally confidential.**
  
- e) **I undertake to disclose any conflict of interest to the AEC as soon as practicable.**

.....  
**SIGNED**

.....  
**PRINT FULL NAME**

.....  
**DATE**

## *Attachment 5*

### **THE UNIVERSITY OF NEW ENGLAND ANIMAL ETHICS COMMITTEE**

#### ***MONITORING AND SITE INSPECTIONS***

##### **SITE INSPECTIONS**

Members of the AEC inspect all animal housing and laboratory areas regularly. Inspections are to be organised and outcomes recorded by the Secretary. Records of inspections include the names of those who attended, observations, any identified problems, follow-up and outcomes. Inspections of fieldwork conducted at extremely remote sites, or where access is difficult, may be inspected by an agent or delegate and can be facilitated or corroborated with photographic or video imaging.

Inspections of all animal housing and laboratory areas are normally conducted by a sub-group of AEC members. These groups comprise one member from each category. Three groups exist and rotate inspection sites throughout the year. The AEC may also conduct inspections involving all Committee members. Ad hoc inspections are also conducted from time to time by one or more members of the Committee at the direction of the AEC. Any new facilities must be inspected by the AEC, the AEC Executive or a representative of the AEC prior to the animals being housed in the facilities.

Inspections are designed to ensure all housing and research facilities are of a high standard and animals are being cared for in accordance with the Australian code of practice for the care and use of animals for scientific purposes. These inspections also enable the members to fully appreciate the facilities and the research being undertaken. Reports to the AEC on inspection tours must be submitted in writing.

All members are expected to visit the animal holding areas on campus and the outlying farms at least twice annually.

##### **MONITORING**

In accordance with the Code of practice for the care and use of animals for scientific purposes, once an animal is allocated to a project, the Principal Investigator or associate researcher is responsible for the day-to-day monitoring of its well-being. Prior to this allocation, day-to-day monitoring it is the responsibility of the Animal House Manager. The AEC monitors these activities during inspections and in the review of reports, unless otherwise determined by the Committee.

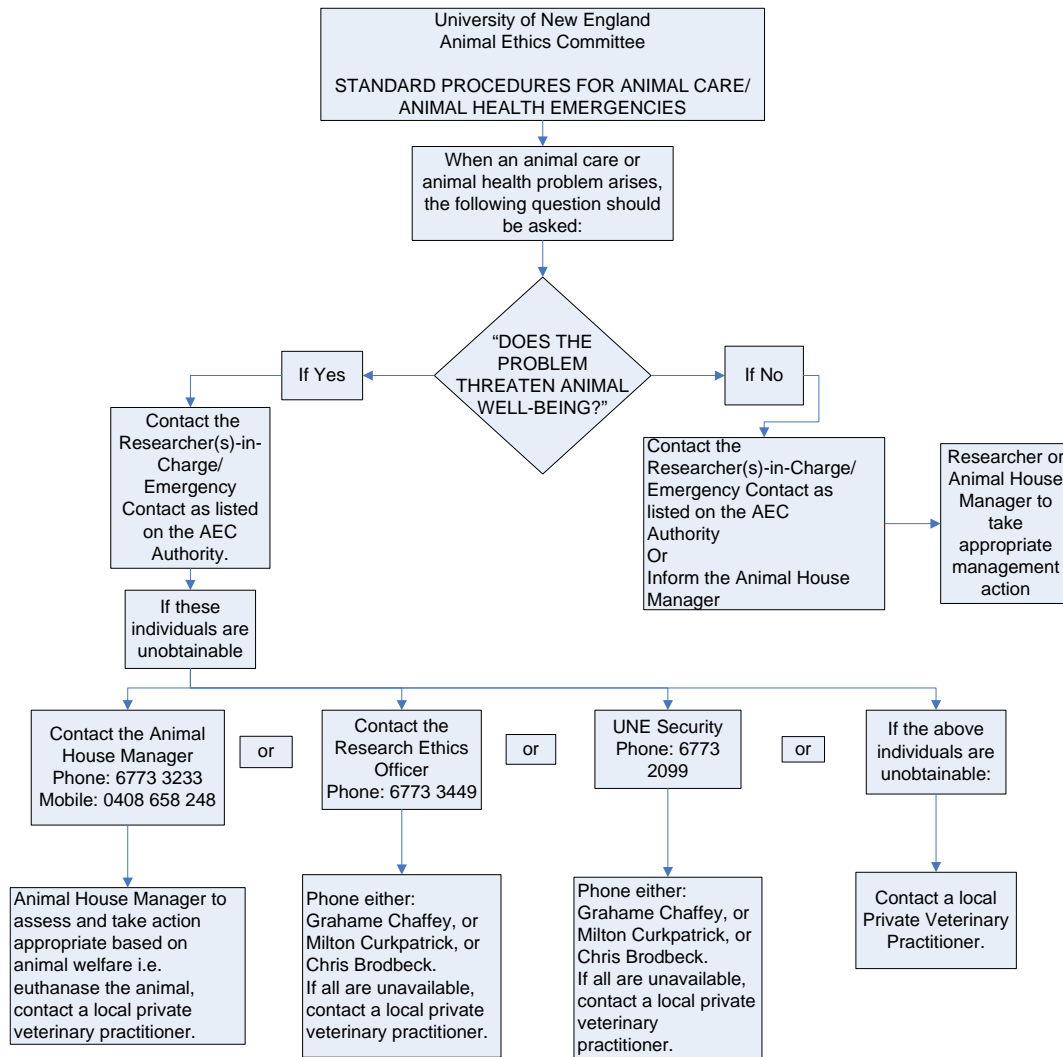
The frequency and timing of inspections will be determined by factors such as the number and accessibility of sites, the amount, type and variety of scientific and teaching activities, and whether inspections can be combined with scheduled AEC meetings. The AEC routinely inspects animal holding areas twice annually and preferably more frequently. In addition, certain projects may necessitate more frequent inspections of animals and animal use.

Monitoring of protocols performed either off-campus or at remote locations will be considered after photographic evidence of the animal housing facilities has been provided to the AEC.

Fees incorporated with the monitoring of protocols conducted at remote locations are based on a full cost recovery basis.

Monitoring of protocols performed on or within the property boundaries of the University will be subject to inspection when the Committee deems it appropriate with or without notice. The AEC also may require that an AEC representative be present during certain procedures being undertaken as part of an AEC approved research protocol.

**Attachment 6**



**UNIVERSITY OF NEW ENGLAND  
ANIMAL ETHICS COMMITTEE**

***PROCEDURES FOR HANDLING ENQUIRIES AND CONCERNS  
ABOUT ANIMALS USED IN RESEARCH AND TEACHING AT UNE***

Enquiries and concerns about the care, health or welfare of an animal involved in a protocol being conducted by UNE researchers or teachers can be raised in accordance with the Standard Procedures for Animal Care/Animal Health Emergencies (see Attachment 6).

If any person involved is dissatisfied with the outcome or process involved in dealing with an enquiry or concern that has been properly raised, then may lodge a formal complaint with the UNE AEC. The matter would then be dealt with in accordance with the UNE AEC Grievance Procedures (see Attachment 8).

**UNIVERSITY OF NEW ENGLAND  
ANIMAL ETHICS COMMITTEE**

***GRIEVANCE PROCEDURES***

The Australian Code of Practice for the Care and Use of Animals for Scientific Purposes specifies that institutions must establish mechanisms to respond to complaints concerning the use of animals within the institution (i.e., Grievance Procedures).

**1. Definition of grievance**

Consistent with the NSW Department of Primary Industries Policy #8 *Establishment of protocols for grievance procedures* this mechanism is to be set up to handle the following situations:

- (a) A formal complaint from a person not satisfied with the outcome or process following an enquiry or concern properly expressed (Refer to Procedures for handling enquiries and concerns - see Attachment 7).
- (b) Complaints from independent people who are not associated with the University with respect to the use of animals in research or teaching.
- (c) Disputes between researchers or teachers and the AEC with respect to the use of animals in research or teaching.
- (d) Disputes between members of the AEC.

It is the University's policy that staff or student complaints will not jeopardize their employment or entitlements for voicing concern or initiating an enquiry or complaint concerning the use of animals within the University.

**2. Making a complaint**

- 2.1 A complaint must be in writing and signed.
- 2.2 The complaint must be lodged with the AEC Secretary, or the AEC Chair.
- 2.3 Receipt of a complaint must be acknowledged immediately in writing.
- 2.4 Complaints must be passed promptly to the AEC Chair if lodged with the AEC Secretary.

**3. Investigation of Complaints/Grievances**

- 3.1 The responsibility for investigating a complaint lies with the AEC Chair.
- 3.2 The AEC Chair must decide whether there is immediate danger of animal pain or distress. If so, the AEC Standard Procedures for Animal Care/Animal Health Emergencies apply. Where necessary, the powers given by the AEC to the Executive to halt or suspend a project will also apply.
- 3.3 The AEC Chair shall investigate complaints in the manner provided below.
  - 3.3.1 The AEC Chair may delegate the investigation, in whole or in part, to other appropriate persons, including member(s) of the UNE AEC, or other University staff. The AEC Chair remains responsible for the investigation.
  - 3.3.2 If the complaint is made against the AEC Chair, or involves potential conflict of interest for the Chair, the AEC Chair must immediately inform the Deputy Vice-Chancellor (Research) (DVC(R)), who will appoint someone else to conduct the investigation. This person will have the same powers as the AEC Chair.

- 3.4 Any person acting under this section is called an “Investigator.”
- 3.5 The Investigator may at all times where possible try to resolve the complaint informally.
- 3.6 Where formal processes apply, the Investigator must notify in writing all those judged to be affected by the complaint.
- 3.7 The AEC and the DVC (R) must be notified of the complaint as soon as practicable.
- 3.8 The Investigator may investigate by making all enquiries deemed relevant, including, but not limited to, unannounced inspection of facilities, examination of records, discussion with appropriate individuals, inviting any person with an interest in the proceedings to attend a meeting of the AEC for discussions and seeking any further relevant expert advice.
- 3.9 The Investigator shall keep an adequate record of the progress of the investigation.

#### **4. Outcome of the Investigation**

- 4.1 The Investigator shall prepare a written report for presentation to the AEC as soon as practicable.
- 4.2 If a complaint has been resolved informally, the report may simply state that fact.
- 4.3 In other cases, the report shall set out the enquiries undertaken, and contain the Investigator’s recommendations on all the issues raised. These may include whether any project or procedure should be modified, whether any person was at fault and any further action that might be suggested.
- 4.4 The AEC shall consider the report and may accept, modify or reject any of the recommendations.
- 4.5 A member of the AEC referred to in the recommendations (including the Chair as in cases under 3.3) may present their views when the report is discussed, but must withdraw during the determination of the AEC decisions.
- 4.6 The AEC shall provide a report to the complainant and all interested parties, detailing the procedures undertaken and the outcomes from the investigation and the decisions and/or recommendations of the AEC on the matter. People provided with a copy of the report will be given the opportunity to make comments back to the AEC.
- 4.7 Upon receipt of relevant comments from all interested parties the AEC will proceed to reach and implement its decisions on the report as it finds appropriate.

#### **5. Appeals against AEC Decisions**

- 5.1 Any person objecting to an AEC decision may request the DVC (R) to review the decision. Such a request must be made in writing, be made as soon as practicable after the decision is brought down and must set out in detail the reasons for dissatisfaction.
- 5.2 On receipt of such a request, the DVC (R) may review the decision in any way seen fit. All available documentation on the investigation and the AEC deliberations will be available to the DVC (R). The ultimate decision of an AEC after such review must not be over-ridden.

**UNIVERSITY OF NEW ENGLAND  
ANIMAL ETHICS COMMITTEE**

***APPLICATION AND REPORTING PROCEDURES***

**1. Meetings and Dates**

The AEC usually meets monthly, to examine applications for approval and to consider related matters.

**2. Procedures at Meetings**

The AEC operates in accordance with the University's standard procedures and guidelines. The Australian code of practice for the care and use of animals for scientific purposes stipulates that at least one member must be present from each of categories A, B, C & D for a quorate meeting. If there is no quorum, the meeting may proceed and input from the unattended category obtained. The outcomes are communicated to the researchers and ratified at the next quorate meeting.

**3. Applications**

Applications must be submitted on the UNE AEC Application form.

**4. Outside Applications**

Applications may be considered for approval from researchers who are not UNE employees or those who do not have an Agreement with UNE to act as their AEC, if (i) the applicants intend to operate on University property; or (ii) they wish to undertake research off-campus at a location which the AEC judges to be reasonably accessible for the purposes of a site inspection.

The AEC reserves the right to refuse to accept any such application.

If the application is accepted, it attracts the following fee structure:

An application fee of \$200 plus \$20 GST for a total of \$220. It may also attract monitoring fees based on the following, subject to variation:

- (i) Initial inspection fee for off campus facilities prior to approval;
- (ii) Complexity of the project (combined with the duration of the project will determine the degree and regularity of supervision, visits and/or inspections);
- (iii) Duration of the project (combined with the complexity of the project will determine the degree and regularity of supervision, visits and/or inspections); and
- (iv) Travel costs.

Fees are based on a full cost recovery basis.

**5. Closing Dates, Late Applications and Out-of Session Meetings**

Committee meetings are usually held on the last Friday of each month. Applications for each month's agenda close 14 days prior to the meeting, i.e., 5pm on the Friday. Due to the tight time frame, no late applications will be added to the agenda once it has closed.

Late applications submitted either by an outside organisation or by an internal UNE researcher, which require the AEC to be convened outside its set meeting schedule, will attract a fee of \$220 inclusive of GST for internal UNE researchers and \$440 for outside organisations.

A maximum of four Extraordinary Meetings are available for all researchers and only under exceptional circumstances when the researchers can provide a strong justification for consideration at an out-of-session meeting (justification to be reviewed by the Chair each time). A minimum turnaround time of four working days will be met if a quorum can be achieved.

## **6. The Approval Process**

Approval is signified by the AEC providing an AEC Authority which includes an approval number; AECxxxxx.

Applications may be dealt with in the following ways:

- 6.1. Approved with no conditions
- 6.2. Approved with pre-conditions (which must be satisfactorily addressed prior to the issue of an AEC Authority) or conditions (which will remain in force for the duration of the AEC Authority).
- 6.3. Approved but approval number temporarily withheld, pending the provision of further information to the satisfaction, in most cases, of the Executive Committee. In such cases the research may not proceed until the approval number is issued.
- 6.4. Deferred, so that the application can be resubmitted to the Committee in the light of its previous comments.
- 6.5. Not Approved.

In cases 6.4 and 6.5, the researcher is in most cases requested to consult with the Chair to provide additional information before resubmitting.

If, during consideration of an application, the AEC identifies a point of concern, the Principal Investigator may be contacted by phone during the meeting to resolve the point of concern. This interaction and resolution are to be recorded in the minutes.

Where researchers are only conducting observations with no interference, i.e. no manipulation of the environment, the researchers are required to notify the AEC in writing. This notification should outline the location(s), dates, and species to be observed. If researchers are in doubt about whether an application is required or not, they may contact the AEC Chair or the Research Ethics Officer.

The Executive may not approve new proposals but it may approve minor modifications to existing projects for review at the next AEC meeting (see Attachment 10).

## **7. Duration and Completion of Approvals**

Teaching and breeding protocols may be granted a maximum approval period of three years. Annual Reports are required on the 12 month anniversary of the initial approval. Researchers must submit an [Animal Ethics Variation Form](#) to the AEC for all personnel changes or minor modifications to the protocol. The Secretary will ensure that the annual reporting is undertaken.

Non-teaching protocols will only be granted approval for a period of 12 months. If a project is designed to extend beyond one year, it is the researcher's responsibility to reapply to the AEC each year, and submit a Progress Report on work completed to date.

A Final Report must be submitted on completion of each project.

*Attachment 10*

**UNIVERSITY OF NEW ENGLAND  
ANIMAL ETHICS COMMITTEE**

***POWERS OF THE EXECUTIVE***

In accordance with the Governing Provisions, the AEC may delegate certain powers to its Executive.

Currently, the Executive has the Authority to:

- discuss with researchers issues related to the outcome of their application;
- approve minor modifications to projects for review at the next AEC meeting;
- approve, in advance, the immediate use of animals should that be required for the diagnosis of unexplained and severe disease outbreaks, or morbidity/mortality, in animals or people;
- draft and recommend changes to forms/policies/procedures of the AEC;
- halt or suspend a project; and
- formally withdraw approval for any project or authorise the treatment or humane killing of any animal.

The Executive does not have the Authority to approve new proposals.

All action taken by the Executive is to be ratified at the next meeting of the AEC.

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***CONDITIONS FOR ANIMAL EXPERIMENTATION***

- (i) Animal experimentation is to conform to the Guidelines Covering the Welfare of Animals Used for Research and Teaching, the current editions of the UNE Code of Practice for Experimental Animals, the Australian code of practice for the care and use of animals for scientific purposes 2004, the NSW Animal Research Act 1985, and the NSW Animal Research Regulation 2005.
- (ii) All research involving experimental animals must have received prior approval by the AEC, and the AEC Authority must be displayed at the location/site.
- (iii) The person responsible must strictly adhere to the experimental procedures approved by the AEC. If during the course of an experiment the procedures are changed radically, the person responsible must immediately notify the Secretary of the AEC in writing. Members of the AEC may request to view daily activity log during any site inspection. Where possible approval must be obtained prior to continuation of the experiment.
- (iv) All researchers and animal facility managers should promptly notify the AEC of any unexpected, adverse events that may impact on the wellbeing of an animal in their care. Notification is to include details of the steps taken to address the problem. In serious cases no further experiments are to be undertaken until the protocol has been reviewed by the AEC.
- (v) All researchers must make reports to the AEC as requested, including prompt notification of any adverse or unexpected effects that impact on animal wellbeing, advice when a project is completed or discontinued and the information required for the annual report of any on-going project.
- (vi) Teaching and breeding protocols may be granted a maximum approval period of three years. Annual Reports are required every 12 months. Researchers must submit an [Animal Ethics Variation Form](#) to the AEC for all personnel changes or minor modifications to the protocol. Non-teaching protocols will only be granted approval for a period of 12 months. If a non-teaching protocol is designed to extend beyond one year, it is the researcher's responsibility to reapply to the AEC each year, and submit a Progress Report on work completed to date. A Final Report must be submitted on completion of all projects.
- (vii) The AEC requires that the person responsible identifies the availability of any live animals which are to be sacrificed, or animal tissues from animals killed, at the finalisation of an experiment, on the e-mail Animal Tissue Sharing Mailing List ([ats@une.edu.au](mailto:ats@une.edu.au)).
- (viii) Researchers must note the "Standard Procedures for Animal Care/Animal Health Emergencies" approved by the AEC and included as Attachment 6 to the AEC Constitution.