OPERATING PROCEDURES OF THE UWA ANIMAL ETHICS COMMITTEE

As a registered user of animals for scientific purposes The University of Western Australia (UWA) must ensure that the use of animals is justified, provide for the welfare of those animals and incorporate the principles of replacement, reduction and refinement into its policies for animal use.

The Animal Ethics Committee (AEC or Committee) is responsible to the Vice-Chancellor, through the Deputy Vice-Chancellor Research (DVCR) for assisting the University in meeting its animal ethics obligations. All communication with the DVCR regarding the AEC should be through the Animal Ethics Office.

Accordingly, the AEC at UWA has the university's approval and support to act as an AEC in accordance with its Terms of Reference, these Operating Procedures, the Animal Welfare Act 2002 (WA) and the Australian code for the care and use of animals for scientific purposes (Code) and the Australian code for the responsible conduct of research.

This document outlines the operation of the Committee. It is structured to correspond to Section 2.2.20 of the current Code: “AECs must establish procedures for the effective governance and operation of the AEC that enable the AEC to comply with the Code and relevant institutional policies, and promote competent and timely ethical review of animal care and use. These procedures should include declaration of interests and management of conflicts of interest, confidentiality, appointment of and delegation of function to an AEC Executive, administrative processes, meeting procedures, communication, complaints and non-compliance, records and documentation.

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Operating Procedures of the Animal Ethics Committee

1 Terms of Reference

The primary responsibility of the AEC is to ensure, on behalf of the institution, that all care and use of animals is conducted in compliance with the Code. The AEC applies a set of principles, outlined in the Code, that govern the ethical conduct of people whose work involves the use of animals for scientific purposes. Accordingly, the AEC operates under the following terms of reference. The AEC shall:

1.1 Approve guidelines for the care of animals that are bred, held and used for scientific purposes on behalf of UWA;

1.2 Monitor the acquisition, transportation, production, housing, care, use and fate of animals;

1.3 Recommend to the institution any measures needed to ensure that the standards of the Australian code for the care and use of animals for scientific purposes (current edition) are maintained;

1.4 Describe how members are appointed, re-appointed, or retired, according to procedures developed by the institution;

1.5 Require that all members and standing invitees declare any conflict of interest;

1.6 Deal with situations in which a conflict of interest arises;

1.7 Examine and approve, approve subject to modification, or reject written proposals relevant to the use of animals for scientific purposes;

1.8 Approve only those studies for which animals are essential and justified and which conform to the requirements of the Code. This should take into consideration factors including ethics, the impact on the animal or animals and the anticipated scientific or educational value;

1.9 Withdraw approval for all or any part of any project;

1.10 Authorise the emergency treatment or euthanasia of any animal;

1.11 Examine and comment on all institutional plans and policies that may affect the welfare of animals used for scientific purposes;

1.12 Maintain a record of proposals and projects;

1.13 Comply with the reporting requirements of UWA, the Government of Western Australia and the Code;

1.14 Perform all other duties required by the Code.
Operating Procedures of the Animal Ethics Committee

2 Membership

All members will be appointed by the Deputy Vice-Chancellor (Research) (DVCR). The Director of the Office of Research Enterprise and the AEC Executive Officer will in consultation with the AEC Chair, make recommendations to the DVCR. The DVCR may accept or reject the recommended appointments.

2.1 Members in each category A – D.

2.1.1 Category A – a person with qualification in veterinary science that are recognised for registration as a veterinary surgeon in Australia, and with experience relevant to the institution’s activities or the ability to acquire relevant knowledge.

2.1.2 Category B – a suitably qualified person with substantial and recent experience in the use of animals for scientific purposes relevant to the institution and the business of the AEC. This must include possession of a higher degree in research or equivalent experience. If the business of the AEC relates to the use of animals for teaching only, a teacher with substantial and recent experience may be appointed.

2.1.3 Category C – a person with demonstrable commitment to, and established experience in, furthering the welfare of animals, who is not employed by or otherwise associated with the institution, and who is not currently involved in the care and use of animals for scientific purposes. Veterinarians with specific animal welfare interest and experience may meet the requirements of this category.

While not representing an animal welfare organisation, the person should, where possible, be selected on the basis of active membership of, and endorsement by, such an organisation.

2.1.4 Category D – a person not employed by or otherwise associated with the institution and who has never been involved in the use of animals in scientific or teaching activities, either in their employment or beyond their undergraduate 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.

2.2 The Committee Chair shall be appointed by the Deputy Vice-Chancellor Research (DVCR)

2.2.1 A Deputy Chair may be appointed from among the Committee members.

2.3 The term of office of appointed and co-opted members, including the Chair is three years. Members may be re-appointed for no more than three consecutive terms.

2.3.1 Members who have complete three consecutive terms may apply for re-appointment after a 12 month period of absence from the AEC.

2.4 As much as possible, members’ terms on the Committee should be staggered so as to preserve a continuation and handover of relevant knowledge.

2.5 When a new Chair is appointed, it is desirable for their assumption of the role of chairing the Committee to be preceded by a period of induction into the AEC’s processes.
2.6 The Animal Welfare Officer and the Director of Animal Care Services have standing invitations to attend meetings. Where relevant and necessary, their independent advice may be sought on projects. The Head of the School of Biological Science may nominate a representative to attend meetings.

2.7 The Chair on the advice of the Committee may issue other standing or occasional invitations to attend meetings to persons whose presence would assist the Committee in performing its functions.

2.8 The AEC Executive Officer and the Animal Ethics Administrative Officer attend and routinely brief the Committee on applications, policy matters and general advice as needed.

2.9 AEC members must:

2.9.1 Acknowledge in writing that they accept the Terms of Reference and the Operating Procedures of the AEC;

2.9.2 Sign a confidentiality agreement; and

2.9.3 Declare real or potential conflicts of interest.

2.10 A member may resign from the AEC at any time by advising the Chair in writing. The Chair will advise the Animal Ethics Office.

2.11 The Chair may ask a member to resign from the AEC if the Chair deems this course of action to be in the best interests of ensuring that the AEC is able to perform its functions effectively. If the member does not accede to the Chair’s request, the Vice-Chancellor may initiate action through the DVCR to retire the member. The Vice-Chancellor may retire members at any time by providing not less than 24 hours notice in writing.

2.12 Change to membership status must be noted and recorded in the minutes.

2.13 The decision to re-appoint a member for a subsequent term should be initiated by the Chair, who may consult with representatives of all categories of committee members. All members will be re-appointed by the Deputy Vice-Chancellor (Research). Factors that will be considered include the member’s:

2.13.1 Active participation in the functioning of the Committee, including regular meeting attendance and participation in annual facility inspections;

2.13.2 Ability to hear all sides of a matter under discussion and debate issues in an objective and constructive manner, relevant to the issues at hand.

2.13.3 Willingness to accept that the consensus-based decision-making processes of the AEC occasionally require one or more members to engage in compromise, albeit a dissenting member has a right to request that their dissenting view is recorded in the minutes.
Operating Procedures of the Animal Ethics Committee

3 Responsibilities of the Chairperson

3.1 The Chair is ordinarily selected from amongst members of staff at UWA. Alternately, the Chair may be an external appointee with the relevant qualifications or experience. The appointment is made by the Deputy Vice-Chancellor Research (DVCR).

3.2 The Chair shall perform the duties required by the Code.

3.3 The Chair does not ordinarily count as part of the quorum.

3.4 The Chair does not ordinarily occupy any of the Categories A, B, C or D during a meeting.

3.5 When the appointed Chair is unavailable, the role of chairing the meeting will be taken on by the Deputy Chair or Acting Chair. The arrangement will be formally noted in the minutes.

3.6 If the Deputy Chair / Acting Chair is normally a representative of Category A, B, C or D, he/she should not ordinarily represent that Category when called on to chair a meeting.

3.6.1 In extraordinary circumstances the Deputy Chair / Acting Chair may be approved to undertake the role of the Chair in addition to a category, provided that all members of the committee present are in agreement with the arrangement. The arrangement will be formally noted in the minutes.

3.7 The AEC may delegate functions to the Chair; e.g. final evaluation of conditions of approval; endorsement of correspondence that represents the Committee’s decisions.

3.8 The Chair shall represent the views of the AEC in communications with researchers and may accept minor accommodations of the AEC’s requirements after consultation with at least one Category C or D member, where these are a rational consequence of evolving circumstances or new information, provided that observance of the Committee’s intended principles and standards is not diminished. Such variations shall be reported at the next meeting of the AEC.

3.9 In situations where animal welfare is compromised or at risk to an extent that, in the opinion of the Chair, the AEC would deem unacceptable, the Chair may exercise the powers of the AEC to require immediate remedial actions or to recommend remedial actions. Decisions of this type will have immediate effect and shall be reported at the next meeting of the AEC.

3.10 The Chair shall represent the AEC in any negotiations with University management.
Operating Procedures of the Animal Ethics Committee

4 Operating Procedures

4.1 The Committee is known formally as the “Animal Ethics Committee (AEC)”. Definitions from the Code are the authorised terms.

4.2 The role of Committee Secretary is undertaken by the Animal Ethics Officer or delegate.

4.3 A quorum at meetings is at least one member from each category A, B, C and D, with categories C and D representing no less than one third of members present.

4.3.1 Where a face-to-face meeting is not possible and a quorum is required, a member may participate in the meeting by teleconference if it is impractical for them to attend the meeting in person. The conferencing feature must be utilised so that all participating members can hear each other during the discussion and decision making.

4.3.2 Should the situation in 4.3.1 occur, details of the arrangement and decision must be recorded in the meeting minutes.

4.3.3 In exceptional circumstances, the Chair may request the Committee to consider an urgent matter using internet or other communication technology, the participating AEC members create a quorum and have access to the views expressed by other participating members; the Chair proposes a draft consensus to all participating members prior to a final decision; and that the process cannot proceed further if, at any time, any participating AEC member asks the matter be carried over to the next face-to-face Committee meeting.

4.3.4 Should the situation in 4.3.3 occur, details of the arrangement and decision must be noted and recorded in the minutes of the next face-to-face AEC meeting.

4.4 All members must declare any actual or potential conflict of interest. Members of the Committee shall act in accordance with the University’s principles, rules and code of conduct.

4.5 To deal with situations in which a conflict of interest arises, the following pertains:

4.5.1 Members who have or could reasonably be seen to have, a conflict of interest, e.g. a close personal relationship with an investigator, are required to declare this to the Committee.

4.5.2 A member who has declared an interest on a matter being considered during a meeting, e.g. if they are named as an investigator on the project under discussion, should normally leave the meeting. However, on the advice of the Committee, the Chair may determine that such a member may be present for all or any part of the deliberations, especially in circumstances where the Committee considers that their technical expertise would be of assistance. An appropriate record will be made in the minutes of the meeting.

4.5.3 If a researcher has consulted a Committee member about their application prior to the application being discussed at the meeting, the Committee member must disclose this communication to the Committee.

4.6 Researchers (including applicants) may be invited to a meeting to brief the Committee on their area of research or to give educational presentations within their area of expertise.
4.7 The Committee may delegate tasks to the Animal Ethics Office (AEO) as required, including the following:

4.7.1 The Animal Ethics Office may provide advice to applicants regarding ethics applications, procedures and reporting requirements to assist project applications and approval processes.

4.7.2 The Animal Ethics Office must oversee database integrity, manage application procedures and forms, and provide management reports as required.

4.7.3 The Animal Welfare Officer or an Animal Welfare Veterinary Advisor may be requested to assess responses from investigators to conditions imposed by the Committee, and if required, provide advice to the Chair or other decision-makers prior to final decision.

4.8 The AEC may delegate functions to the Animal Ethics Office, Animal Welfare Officer or Chair such as approval of minor amendments for any change in a protocol, approval of observational studies, specification of emergent or alternative action required in response to reports of adverse events and review of submissions from investigators requested by the Committee. However, the AEC must not delegate the authority to approve new proposals or renewal applications.

4.9 In the event that the Animal Welfare Officer or an Acting Animal Welfare Officer is unavailable for any period, urgent animal welfare concerns must be forwarded to the Chair. In the event that the Chair does not have veterinary qualifications and relevant experience, advice should be sought from suitably qualified veterinarians on veterinary matters. If required, Category A members may be consulted on matters regarding specific veterinary issues.

4.10 Access to project information by external personnel (other than inspectors appointed under the Animal Welfare Act) will be at the discretion of the DVCR based on advice from the Animal Ethics Office, the Chair and the Director of Research Services. The DVCR reserves the right to scrutinise the credentials of anyone wishing to access this information and may consult with the AEC before making a decision.

4.11 Persons assisting the AEC must sign a confidentiality agreement prior to being granted access to material pertaining to the AEC’s deliberations.

4.12 The Animal Ethics Office will determine meeting frequency.

4.13 There must be no carry-over of business from one meeting to another where there is deemed to be a welfare impact on live animals.

4.14 The AEC should be provided with material for meetings with reasonable time to read and consider all documents.

4.15 Documents relating to the AEC and approved permits must be stored electronically on UWA’s central records keeping files (TRIM). The TRIM record must hold the official ‘source of truth’ document.

4.16 The AEC must approve policies and guidelines for the care of animals that are held, bred and used for scientific purposes on behalf of UWA. These documents should be reviewed at the time of a new Scientific Code, or with the introduction or review of other Codes and guidelines that impact on the policy or guideline.
Proposals – Forms

5.1 Authorisation must be obtained from the Director of Animal Care Services (ACS) animal facilities, or Curator for non ACS facilities, and the Head of School (HOS). Where the HOS is named as the Chief or a Co-Investigator, the Dean of the Faculty, independent from the study, must provide authorisation before applications are submitted to the AEC.

5.2 The role of Chief Investigator must ordinarily be fulfilled by a staff member. Students are not eligible to be Chief Investigators unless the student is also a staff member and the AEC application has no connection with the reason for their studentship.

5.3 Applications should not reach the AEC without a prior peer review for sound science in the proposal, clarify the outcomes being sought, consideration of the 3Rs and to ensure quality of presentation and statistical validity. Prior peer review may be achieved by a successful outcome from a peer reviewed granting process; a successful outcome from a peer-reviewed journal submission of similar work by the research team; an internal peer review process within the applicant’s school; a review solicited from an external expert or a review obtained from an Animal Welfare and Veterinary Advisor.

5.4 Statistical justification must be provided for all projects where appropriate.

5.5 The Committee will only accept realistic estimates of required animals from investigators. The basis for numbers must be provided.

5.5.1 If pregnant animals are requested, an estimate of young must also be provided.

5.5.2 Variation from approved animals resulting from variable litter sizes must be communicated to the committee via the annual report.

5.6 All variation from an approved number of animals resulting from trapping or netting conditions must be communicated to the Committee as soon as possible. In most cases, an amendment will be required prior to work continuing.

5.7 The Committee may develop and promulgate appropriate policies and Standard Operating Procedures (SOPs).

5.7.1 All SOP’s submitted by investigators will be reviewed by the AEC Researcher SOP Review Committee and include a review date.

5.8 Use of animal cadavers or cadaver tissue on campus, or by personnel off campus, must be notified in advance to the Animal Welfare Officer or the Institutional Biosafety Committee.

5.9 All animals bred or kept at the University for research or educational purposes must be subject to AEC approval regardless of whether the animals are owned by the University, another organisation or another person. No AEC approval is required for animals kept at the University for non-scientific commercial or aesthetic purposes or to promote public interest in animal science.

5.10 The AEC expects all application forms to be filled out in detail. Routine veterinary practices must be explained.
Applicants must obtain consent from all investigators listed on the project that they agree to the details of the application. Applicants must also obtain relevant reviews and approvals from other parties identified on the form such as Heads of School, animal facility managers, and the technicians in charge of animal husbandry. Applicants should retain evidence of these agreements.

Submission of the Teaching Unit Outline and the student Unit Feedback with the application is encouraged.

Applications must be received by the Animal Ethics Office by the published submission date. Submissions after this date will only be considered for acceptance should there be extenuating circumstances.

The normal duration of a protocol will be three years. Within the guidelines of the legislation the Committee project approval dates will be in accordance with funding periods to a maximum of five years.

Each application is allocated a unique identification number. This reference number must be used in all correspondence related to that protocol.

All material in support of applications is confidential and must be treated accordingly. Particularly sensitive documents may from time to time be distributed to members at meetings rather than with the Agenda. Confidentiality extends to all items sent electronically.

The AEC provides an assessment of ethical merit and animal welfare impact, in association with the current legislation.

All persons with a role within a protocol must be listed as investigators. All investigators named on a project must apply for Permission to Use Animals (PUA) prior to their involvement.

Amendments for any change in a protocol must be applied for. Major amendments are submitted to the full Committee. In extenuating circumstances, the Chair may request the Committee to consider an urgent major amendment application ‘out-of-session’ prior to the next face-to-face meeting, on a case-by-case basis.

Changes to a protocol considered to be minor, may be reviewed and assessed by delegated officers. Minor amendments must be ratified at the next quorate AEC meeting.

The following delegations apply:

- The Animal Welfare Officer may receive and action, Transfer of Animals (between UWA AEC approved protocols only).
- The Animal Welfare Officer may receive and action minor amendments when the change does not increase the impost or impact on the animals.
- The Animal Welfare Officer reserves the right to defer any minor amendment to the full Committee.

In the event that the Animal Welfare Officer or Acting Animal Welfare Officer is unavailable for any period and the minor amendment is urgent, the AEC Executive Officer in consultation with the Chair will determine if approval may be or given.

Changes to Chief Investigators must be assessed by the full Committee.
6 Proposals - Assessment

6.1 The AEC shall examine in detail all proposals for the use of animals in teaching, research or breeding at UWA and for any other organisation(s) for which UWA act(s) as the AEC. Proposals will be evaluated according to the Code and in a manner that is fair to applicants and acceptable to AEC members. In reviewing proposals, the AEC shall refer to the Code, the Animal Welfare Act and relevant State and National Industry Codes of Practice. Other guidelines and standards developed for the ethical treatment of animals are also considered by the AEC.

6.2 The AEC may seek independent reviewer advice where it deems necessary. Any independent advisors invited to a meeting must be non-voting.

6.3 Further clarification may be sought from applicants where this will assist with evaluating an application.

6.4 All communication between applicants and Committee members on AEC matters should be normally via the Animal Ethics Office.

6.4.1 Prior to a meeting, AEC members may contact the Animal Ethics Office to request clarifications or further information, but must not make direct contact with researchers for this purpose.

6.4.2 Following a meeting, Committee decisions must be communicated to the Chief Investigator in writing (generally by email). The communication is undertaken by the Animal Ethics Office. On occasions the AEC may delegate the Chair or another committee member to convey specified information.

6.5 Only proposals for which animals are essential and justified and which conform to the requirements of the Code can be approved.

6.6 The AEC shall approve, modify, reject or defer proposals taking into consideration ethical and welfare aspects as well as the scientific or educational value of the proposal, as defined by the Code. Committee decisions on proposals are:

6.6.1 APPROVED - The proposed use of animals is approved and work using animals may commence. Conditions may apply, restrictions, reporting requirements etc which must be adhered to.

6.6.2 MODIFICATIONS REQUIRED - The Committee views the application favourably and it is probable that it will be approved subject to the Chief Investigator addressing the concerns raised by the AEC.

6.6.3 REVISE AND RESUBMIT - The proposed use of animals is not currently approved. The Committee invites a resubmission of an application to a future meeting.

6.6.4 NOT APPROVED - The proposed use of animals is not approved. Resubmission of the same or similar application will not change the outcome.

6.6.5 DEFERRED – The application is deferred to a future meeting, generally in combination with a list of concerns identified by committee members (and notified to the applicant) with an invitation for the investigator to attend the meeting to speak to their modifications.
6.7 Applicants do not have a right of audience at an AEC meeting.

6.8 Appeals against Committee decisions should be directed to the Committee Chair in the first instance, or to the DVCR.

6.9 The AEC strives to reach decisions by consensus. If the Chair deems that a consensus has been reached, the Chair may propose that it be recorded as a decision in the meeting minutes, provided there is no objection. Should any member object, the Chair will initiate further discussion.

The Chair shall then have discretion to rule:

6.9.1 That the matter be taken back to the Committee for further reconsideration after a period of research and reflection by the AEC members; or

6.9.2 The application be returned to the researcher for further information or redesign and then reconsidered by the Committee;

6.10 If after reconsideration following the process in 6.9 there remains any objection to a consensus proposed by the Chair, then the Chair has discretion to rule that a motion has been passed by a majority of committee members;

6.11 Evaluation of responses by Chief Investigators should normally be to the satisfaction of the Chair and at least one other member with relevant expertise. In circumstances where the AEC wishes other opinions to be sought from individuals with specific expertise this will be raised at the meeting and noted in the minutes. The Committee may delegate minor administrative changes to the Chair or the Animal Ethics Office.
7 Monitoring

7.1 The AEC authorises a Chief Investigator (CI) to carry out the emergency euthanasia of any animal. If consultation is necessary, or if an external over-riding authority is required, the AEC delegates the Animal Welfare Officer, the Chair, the Director of Animal Care Services or the Farm Manager as persons with appropriate authority.

7.2 The AEC may formally suspend or withdraw approval for all or any part of any project.

7.3 The AEC delegates authority to the Animal Welfare Officer (AWO) or the Chair, to step in and halt procedures. Senior Animal Technicians and Farm Management must immediately notify the AWO or Chair of personnel handling animals whom they deem to lack competency or to be compromising the welfare of an animal.

7.3.1 The Animal Welfare Officer and the AEC Chair may halt the project.

7.3.2 The AEC must be advised at a time determined by the Chair and by the latest at the next ordinary meeting.

7.4 The AEC shall monitor the acquisition, transportation, production, housing, care, use and fate of animals and ensure that the highest possible standards of care and welfare are given to the animals in approved projects. Monitoring may be delegated at the discretion of the Committee.

7.4.1 Appropriate environmental enrichment must be made available and supported by the animal facility.

7.5 The AEC requires investigators to maintain adequate records related to the scientific use of animals in compliance with the Code.

7.6 Suitable euthanasia techniques must be applied at all times. The administration of drugs by students in the field must be under supervision by personnel skilled and experienced in the technique.

7.7 Where an animal dies unexpectedly or needs to be euthanased, an evaluation of the cause of death must be undertaken:

7.7.1 The examination should be conducted by a competent, suitably qualified person outside of the direct responsibility of the project Chief Investigator.

7.7.2 Specific exemptions can only be provided by the AEC.

7.7.3 Chief Investigators and co-investigators must not perform post mortem examinations on animals that are part of their own research or teaching projects, unless specifically approved by the AEC, although they may be present.

7.7.4 Where an independent evaluation is not provided, Chief Investigators should advise their reasons for not seeking this option.

7.8 The AEC must report significant contraventions of the Code, or approved protocol, to the Deputy Vice-Chancellor (Research).
Reporting of projects

8.1 Adverse events must be reported to the AEC, through the Animal Welfare Officer. In the event the Animal Welfare Officer or an Acting Animal Welfare Officer is unavailable for any period, the event must be reported to the Animal Ethics Officer or the AEC Chair.

8.2 Annual reports must be submitted on all AEC projects approved for any part of the calendar year (1 January to 31 December). Annual Reports are due in January, the following year.

8.3 Annual report forms are designed and approved by the AEC, based on the requirements of the Code.

8.4 The AEC shall review reports and determine: that a project may continue, be suspended, be closed or be discontinued.

8.5 At a minimum, the Annual Report must provide information about:

8.5.1 The progress achieved to date and whether the stated aims are being reached;

8.5.2 Any problems that may have interfered with the progress of the project;

8.5.3 The number of animals that have been used and whether there has been any variation from approved numbers resulting from variable litter sizes. Circumstances leading to additional animal use must be promptly communicated to the Committee throughout the year;

8.5.4 Whether the wellbeing of the animals is consistent with that anticipated in the proposal;

8.5.5 Any conclusions as to how procedures in future could be modified to reduce any negative impacts on animal welfare;

8.5.6 Details of any publications or presentations that have resulted from the project.
9  Reporting to the Institution

9.1  The AEC will prepare annually, a written report on its activities for the previous year. The report will be provided to the Vice-Chancellor and the DVCR.

   9.1.1 The report will include, as a minimum, the information specified annually, by the Government of Western Australia.

   9.1.2 The report will be provided to the AEC and the Institution.

   9.1.3 The report will be made available, as required, to the Department of Primary Industries and Regional Development (as the regulator) and other states where UWA holds a licence.

9.2  The AEC may provide advice to UWA on any infrastructure developments, plans and policies that may directly or indirectly affect the welfare of animals used in teaching or research.
Operating Procedures of the Animal Ethics Committee

10 Projects involving more than one AEC

10.1 All students and staff using animals at UWA and another Institution must obtain AEC approval from both institutions. An Inter-institutional agreement (IIA) must be signed with any licensed WA or interstate institution that conducts collaborative research or teaching with UWA. These contracts are managed by the Animal Ethics Office.

10.1.1 The IIA must outline each institution’s responsibilities (e.g. who undertakes to monitor the project, who reports the animal use, who receives adverse incident reports) and these terms must be agreed between the relevant institutions.

10.2 All UWA students and staff using animals at another WA institution or in collaboration with another institution are required to obtain AEC approval from the other institution and submit a Notification of External AEC approval, along with the copy of the AEC approval from the other institution, to the UWA AEC.

10.3 Persons external to UWA who intend to use animal facilities covered by UWA’s licence must apply to the UWA AEC for approval.

10.4 All personnel listed on AEC approvals are required to hold a valid Permission to Use Animals, renewable every (5) years.
11 Non Institutional applicants and AEC responsibility

11.1 The AEC may provide AEC services for non-institutional applicants and for other institutions. AEC Services (non UWA investigators) must be approved by the Deputy Vice-Chancellor Research (DVCR).

11.1.2 Full AEC services for institutions who do not have their own AEC;

11.1.3 Where formal agreements are required, these shall be written by the University’s Legal Services and authorised by the appropriate university officer.

11.2 Staff or students from other institutions, applying through the UWA AEC should obtain approval from their own AEC prior to submission of a UWA AEC application form. Exceptions may apply where timing of meetings may preclude this happening. Advice should be sought from the Animal Ethics Office.
12 Non-compliance with the Code

12.1 Reports of incidents alleging non-compliance with the Code (including inadvertent non-compliance) must be made in accordance with the Standard Operating Procedure for Non-Compliance of Animal Ethics.

12.2 The process by which the AEC, its officers and the DVCR respond to alleged incidents of non-compliance must be in accordance with the Standard Operating Procedure for Non-Compliance of Animal Ethics.
13 Other relevant AEC Policies

13.1 Other policies and documents of the AEC that should be consulted in relation to this Operating Statement are:

<table>
<thead>
<tr>
<th>Policy Name</th>
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<tr>
<td>AEC Constitution</td>
<td>December 2013</td>
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<tr>
<td>AEC External Approvals / Use of UWA Animal Facilities</td>
<td>November 2015</td>
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<tr>
<td>Amendments Minor vs Major - Guidelines</td>
<td>September 2017</td>
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<tr>
<td>Standard Operating Procedure for Non- Compliance of Animal Ethics</td>
<td>September 2017</td>
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<td>Standard Operating Procedures Research Use</td>
<td>November 2012</td>
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<tr>
<td>Standard Operating Procedure for Implied Protocol Roles and Responsibilities for Ethical Animal Care</td>
<td>July 2014</td>
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Operating Procedures of the Animal Ethics Committee

14 Document Management

14.1 Each section should be regularly updated with the most recent version.

14.2 Every resolution should be numbered for the section in which it is located.

14.3 If there is any contradiction between these terms of reference, the Code or the Act, then the Code and the Act must be the overriding documents.

14.4 Review Date: Annual AEC policy meeting or at the next revision of the Code.

TRIM FILE REFERENCE: F12979

DOCUMENT STATUS:

☐ Draft    ☐ Ready for Review  ☒ Final

DOCUMENT MODIFICATION HISTORY

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<th>Version Number</th>
<th>Primary Author(s) (name and position)</th>
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<td>Draft V1</td>
<td>August 2012</td>
<td>AEC Policy meeting 9 August 2012</td>
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DOCUMENT APPROVAL

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