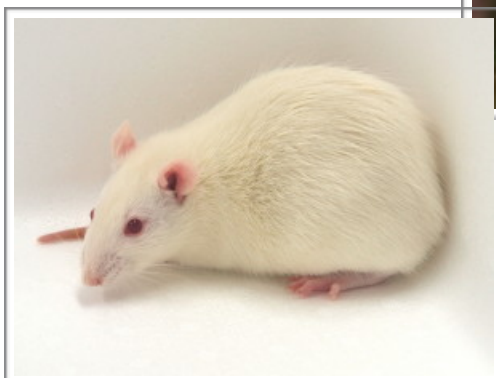


## Scientific Auditing Services Pty Ltd

# External Review

## Report:

**GRU02022021**



Prepared by: Karen Boundy, Senior Auditor, Scientific Auditing Services Pty Ltd.  
Provided to Griffith University, 170 Kessels Road, Nathan, 4111, on 15 April, 2021.

## Acknowledgements

Scientific Auditing Services Pty Ltd has taken all reasonable steps within in the time allocated, the budget allowed and in accordance with the Agreement for the Supply of Services, (signed 2021), between Scientific Auditing Services Pty Ltd and Griffith University associated with Client File ID: GRU02022021 in preparation of this document.

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### Acknowledgement of Source Document

The source document for Report GRU02022021 is the *Australia code for the care and use of animals for scientific purposes, 8th Edition, 2013*. Information contained in this report (inclusive of all its parts) may include material adapted or derived from the source document. The source document must always be considered as the definitive reference and all matters relating to the contents of the report and should be managed in direct consultation with the source document.

### To obtain further information

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## Executive Summary

Institutions using animals for scientific purposes, research and teaching, have an obligation under the *Australian code for the care and use of animals for scientific purposes - Edition 8, 2013* (the Code) to undertake a program of external review of their animal ethics systems. This assessment is required to ensure the continued suitability, adequacy and effectiveness of institutional procedures to meet the responsibilities of the Code. To satisfy this obligation, the Griffith University's Office for Research commissioned a review of its animal ethics system by the independent, external review service provider, Scientific Auditing Services Pty. Ltd. The review was undertaken by a three-member panel, the external review panel (ERP), in line with the provisions outlined in section 6 (s 6.1 - 6.7) of the Code.

The ERP collected information for assessment of the Griffith University's Animal Ethics Framework (AEF) during 2021 review period. This included:

- A desk-top assessment of the policies, procedures, forms and records selected from the years 2017 - 2021 were provided for review by the Office for Research to provide an overview of the institutional program governing the care and use of animals for scientific purposes.
- Discussions with the animal ethics coordinator, AEC chair, animal facility manager, selected investigators representing Griffith Institute for Drug Discovery (GRIDD), the Environmental Futures Institute and the Institute for Glycomics to provide detail in regard to the processes involved in the Animal Ethics Framework. (10th and 11th of March, 2021)
- Attendance at an Animal Ethics Committee (AEC) meeting to demonstrate the process of ethical review and monitoring of projects. (Gold Coast Campus - 11th of March 2021)
- An on-site inspection of Griffith University's animal facilities at the Nathan and Gold Coast campuses.

The independent external review concluded that the Griffith University has achieved a very high level of conformance with the Code. This is outlined in Part B of this report. The external review panel's conclusion is based on the review findings, detailed in Part D of this report, identified during the review to support the following:

- The institution provides for an ongoing program to maintain this level of conformance with the Code and demonstrates commitment to the review and continual improvement of the systems governing the care and use of animals undertaken by its researchers, technicians and students for scientific purposes.
- The institutional program provides an ethical framework sufficient for the care and use of animals to be subject to ethical review, approval and monitoring by an AEC in accordance with Code requirements.

- The institutional program promotes the application of the governing principles including the 3Rs, (replacement, reduction and refinement), to all those involved in the care and use of animals for scientific purposes.
- The institutional program provides an ethical framework that includes resources and education for AEC members, sufficient to be aware of and meet their responsibilities under the Code.
- The institution provides resources and infrastructure sufficient to maintain adequate animal facilities to support the wellbeing of animals in accordance with the provisions of the Code.
- The AEC is operating effectively and provide ethical review of the institution's animal use.
- Those caring for and using animals in research, on behalf of Griffith University, acknowledge the importance of, and contribute to maintaining a high standard of animal wellbeing.

Commendations are provided by the external review panel to recognise behaviours and actions by individuals and teams that support compliance activities in Part C of this report.

No review findings of major concern (where animal wellbeing is compromised and immediate corrective actions are required) were found during the review period.

Review findings requiring consideration and action by the institution were identified relating to following Code provisions:

Clauses [2.2.12], [ 2.2.33 - 2.2.36], [3.4.1(i) & 3.4.2 - 3.4.3], [5.3].

Recommendations for corrective actions are made in relation to these findings in Part E of this report.

## **Review Participant Details**

### **Client Details**

Griffith University, 170 Kessels Road, Nathan, Queensland, 4111.

### **Senior Institutional Representative:**

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### **Griffith University - Liaison Officer:**

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### **Other Client Representatives:**

Selected staff members involved in scheduled meetings and / or facility inspections during the on-site visit, 10th and 11th of March 2021.

### **AEC Chair and Members:**

AEC Chair, appointed AEC members, ex-officio attendees and other invited participants in attendance at the Griffith University Animal Ethics Committee (AEC) Meeting, 11th April 2021.

### **External Review Panel (ERP) Members employed by Scientific Auditing Services Pty Ltd. (Named Consultants):**

Ms Karen Boundy, Senior Reviewer / External Review Panel Leader (Scientific / Technical Representative).

External Review Panel Member - (Scientific / Technical Representative).

External Review Panel Member - (Welfare / Animal Care Representative).

## Review Brief

### Objectives

To evaluate and provide information, through independent external review, regarding the level of conformity to the *Australian code for the care and use of animals for scientific purposes - 8th Edition, 2013* by Griffith University's animal ethics system.

To contribute to Griffith University's promotion of animal wellbeing, principles of best practice and application of high standards of scientific integrity within the Griffith University's animal ethics framework.

### Scope of Audit - extent or boundaries:

This audit is conducted for Griffith University, as part of their responsibility under the compulsory Code, *Australian code for the care and use of animals for scientific purposes - 8th Edition* to undertake a review, using an independent external review of their animal ethics system. This system includes the following areas located within Brisbane and the Gold Coast.

The Scope of the review is limited to:

- Griffith University's Animal Ethics Administrative Framework - Overall Guidance Documentation - including but not limited to procedures, policies, forms and records that make up the Griffith University's animal ethics system.
- Operation of the Griffith University's Animal Ethics Committee and its relationships - Administrative and Operational - including but not limited to forms, policies, procedures (e.g. dealing with conflict of interest, complaint handling, member resignation etc), meeting structures, authorities, minutes, training, membership make up, meeting frequency and dynamics. Attendance by the External Review Panel at a Griffith University's Animal Ethics Committee meeting held on 11th of March, 2021.
- Griffith University's Animal Facilities:
  1. Nathan (Building N75, Griffith Institute for Drug Discovery (GRIDD))
  2. Gold Coast (Building G26)
- Selected Griffith University's Animal Use Activities - Provided by Griffith University - approved (for >1 year) research / teaching projects. All documentation associated with the approved project, including all amendments, reporting, and related correspondence for the life of the project.

## Criteria

- (1) *NHMRC - Australian code for the care and use of animals for scientific purposes - 8th Edition*  
[<https://www.nhmrc.gov.au/guidelines/publications/ea28>]
- (2) Operating documents specified and supplied by the Griffith University Office for Research.

## Outcome

A Report, with recommendations, of the findings of the independent external review, in relation to the level of conformance of the Griffith University's animal ethics system with the requirements of the *Australian code for the care and use of animals for scientific purposes - 8th Edition*

## Method Used

The review method included an assessment of the raw data sample collected during the review period. The sample included documentation supplied by Griffith University and data collected from the on-site visits and collated by Scientific Auditing Services Pty Ltd.

This data was reviewed in relation to the NHMRC published *Australian code for the care and use of animals for scientific purposes 8th Edition 2013* for the identification of areas which may be of concern associated with system conformance.

Recommendations for potential system improvements are included as per client request.

Commendations are derived from the interactions with Griffith University staff or students and review of the collected sample documentation, including any observations and notations recorded.

General comments are derived from the interactions with Griffith University staff and review of the collected sample documentation, including observations and notations recorded.



## STATEMENT OF CONFORMANCE

The extent to which there is overall conformance with the *Australian code for the care and use of animals for scientific purposes - edition 8, 2013* (the Code) is the subject of external review, GRU02022021.

This review was undertaken, on behalf of Griffith University, by Scientific Auditing Services Pty. Ltd. in line with the provisions outlined in section 6 (s 6.1 - 6.7) of the Code.

### The scope and outcome of the review included:

- the conduct of all people involved in the care and use of animals for scientific purposes on behalf of the institution, including the AEC, institutional officers and administrators, investigators and animal carers (c 6.6 i)
- the adequacy of the institutional program to ensure that the care and use of animals for scientific purposes is conducted in compliance with the Code; is subject to ethical review, approval and monitoring by an AEC; and is conducted in accordance with the AEC approval (c 6.6 ii)
- the adequacy of institutional support, resources and educational programs for the AEC and its members, and for people involved in any aspect of the care and use of animals for scientific purposes, to ensure that they can meet their responsibilities under the Code (c 6.6 iii)
- whether the AEC is operating effectively in accordance with the Code (c 6.6 iv)
- the effectiveness of institutional strategies to promote and monitor the implementation of the governing principles (c 6.6 v)
- whether there is effective monitoring of the wellbeing of animals (c 6.6 iv)
- whether facilities used to house animals are managed to support and safeguard animal wellbeing (c 6.6 vii)

## Conclusion

The independent external review has concluded Griffith University has achieved a very high level of conformance with the Code. The institution provides for an ongoing program to support the level of conformance with the Code and was found to have demonstrated a commitment to the review of, and continual improvement to the systems governing the care and use of animals undertaken by its staff and students for scientific purposes. Four (4) review findings requiring consideration and action by the institution were identified during the review period and recommendations for corrective actions have been provided by the External Review Panel. The institution has undertaken to consider the findings and recommendations outlined in report GRU02022021 as part of its obligation to ensure its effectiveness in meeting its responsibilities under the Code and providing a robust animal ethics framework GRU02022021.

## COMMENDATIONS

Commendations are provided in recognition of the effort made by the institution, groups or individuals in their commitment to ensuring the care and use of animals for scientific purposes achieves a high standard.

### The Institution

Griffith University is commended for:

- promoting responsible and ethical animal use for scientific purposes through its commitment to achieving a high level of compliance to the Code.
- providing governance and resources for the animal ethics framework to oversee the scientific use of animals undertaken at Griffith University.
- considering and implementing recommendations from the previous independent external review (GU09062016).
- providing resources for the AEC to operate effectively.
- ensuring the AEC has the appropriate level of authority and autonomy.
- providing resources for key positions in the animal ethics framework including the animal ethics coordinator, animal ethics advisors, consultant veterinarian and the animal facility manager to advise the AEC and investigators with specialist advice on the scientific, technical and welfare issues involved in animal use projects.
- providing resources for the development and management of the animal facilities to provide a high standard of housing and care.
- actively promoting the governing principles within the institution and ensuring they are integrated into the animal ethics framework.
- actively promoting the 3Rs through the animal ethics framework and, in particular, offering the 3Rs Award to recognise outstanding contribution in the areas of reduction, replacement and refinement.

### The Office for Research

The Office for Research is commended for:

- their cooperation and participation in the external review process. In particular, the animal ethics coordinator and animal facility manager for actively participating in the review process.
- providing administrative support for and regulatory advice to the AEC.
- their commitment to ensuring the animal ethics framework achieves a high-level of compliance with the Code.
- developing, in consultation with the AEC, and implementing code related policy and procedures and to provide for a robust animal ethics framework.
- supporting researchers through the development of the animal ethics RIMS, including the animal ethics application questionnaires for laboratory and field research and prior review.

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- ongoing development of the AEC website, the animal ethics internal site and the animal ethics online learning animal ethics modules through Learning@Griffith and promoting external training programs COMPASS. Information available is easily accessed and concise. In particular, the training (Tier 1, 2 & 3) resources were found to be comprehensive and supported the practical training provided for investigators and animal carers.
- developing in consultation with the animal facilities a program to ensure those working with animals are competent in the procedures they undertake.
- the continual program of improvement of the animal ethics system with the development of policies, procedures and processes in line with the the Code and the previous independent external review (GU09062016) .
- providing an effective means of communication between the AEC and the institution, the AEC and investigators, and the institution and external agencies including state governments departments and external research institutions.

### **The AEC Chairperson**

The AEC Chairperson is commended for:

- their cooperation and participation in the external review process including their frank and open interactions with the reviewers.
- providing leadership to the AEC and support for AEC members. In particular, supporting new members to understand their individual roles and how the AEC functions.
- representing the AEC at an institutional level.
- investing their time and expertise in the overall management of the AEC and its processes.

### **The AEC**

The AEC members are commended for:

- their cooperation and participation in the external review process.
- ensuring the activities involving animals at Griffith University is ethically reviewed, approved and the wellbeing of animals used is monitored. This was evident during the lengthy and determined discussions during the AEC meeting attended by the reviewers.
- their commitment to providing service, to the institution, the AEC and the animals involved, in particular those who volunteer their time and energy to undertake the responsibility of C - and D - category member roles.
- taking their responsibilities to the AEC seriously and participating actively in meetings and at inspections to provide oversight in the area of animal wellbeing.
- effectively representing the AEC at conferences outside the institution when required.

**Animal Ethics Advisors**

Animal Ethics Advisors are commended for:

- their participation in the animal ethics application process to assist investigators in the planning and submission of applications.

**Animal Technicians (including the Animal Facility Manager)**

The Animal Facility Manager and Animal Technicians / Carers are commended for:

- their cooperation and participation in the external review process. In particular, animal technicians working in the animal facility for discussing their work with, and allowing reviewers to observe them while undertaking their duties.
- the high level of commitment to their work as technicians and the animals they care for.
- providing environmental enrichment to promote animal wellbeing.
- their skill in maintaining the high standard of management of Griffith University animal facilities.
- developing and undertaking, in consultation with the Office for Research, a program to ensure those working with animals are competent in the procedures they undertake.
- their efforts in improving communications between themselves, the investigators and the AEC.

**Investigators**

Investigators are commended for:

- their cooperation and participation in the external review process, in particular, for discussing their projects with reviewers.
- the high level of commitment to their research work and the animals they use.
- their efforts in adopting the procedures and practices under the animal ethics framework.
- undertaking theoretical and practical training and assessment to ensure they are proficient in the procedures and techniques they apply to their animal use.

**DETAILED REVIEW FINDINGS****SECTION 1 - GOVERNING PRINCIPLES****SECTION 1 - GOVERNING PRINCIPLES**

***Governing Principle 1.1: Respect for animals must underpin all decisions and actions involving the care and use of animals for scientific purposes. This respect is demonstrated by:***

- (i) using animals only when it is justified***
- (ii) supporting the wellbeing of the animals involved***
- (iii) avoiding or minimising harm, including pain and distress, to those animals***
- (iv) applying high standards of scientific integrity***
- (v) applying Replacement, Reduction and Refinement (the 3Rs) at all stages of animal care and use:***
- (vi) knowing and accepting one's responsibilities.***

The institution was found to actively promote and facilitate the adoption of the governing principles at all levels to ensure all those involved with the care and use of animals for scientific purposes associated with Griffith University consider them when applying the Code to their specific circumstance.

The institution through the Office for Research has ensured the governing principles have been integrated into the animal ethics framework at several key stages where they have become part of the routine processes for using animals in research and teaching.

Key areas in which examples of the governing principles were found to have been applied include:

- (1) The policy and procedures governing the animal ethics framework including those procedures for the operation AEC, the submission of applications for ethical clearance and the operation of the animal facilities.
- (2) The education and competency requirements for those using animals for research and teaching
  - Tier 1 training requirements are to be completed prior to the commencement of animal use (<https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-training>) and comprises of seven (7) modules that provide background information and detail the responsibilities and expectations of those involved in the care and use of animals:
    - Introduction to the use of animals in research and teaching at Griffith University
    - The Code's governing principles
    - Investigator responsibilities
    - Animal carer responsibilities

- Animal wellbeing
- Roles and responsibilities of the Animal Ethics Committee
- Best Practice Methodology and Reporting of Animal Studies.

- Tier 2 of the training is designed around the practical care and use of animals. Those undertaking the training are expected to complete the relevant training and undergo assessment by an experienced trainer.
- Tiers 2 & 3 training include competency based training for laboratory research that records technical assessment of those for specific procedures (see *Animal Procedures Competency Legend*) to ensure competent people are undertaking procedures.

(3) The application system for an project involving animal research or teaching and the guidance documents include questions and prompts to ensure investigators consider the governing principles when planning a project or activity and include information sufficient for the AEC to make an ethical judgement regarding whether the proposed use is justified, the use of animals essential and the work has scientific or educational merit. Investigators are expected to apply the governing principles.

(4) The active promotion of the 3Rs in:

- (i) the application system, for example, Questions 13, 16 and 21 - relate to the steps taken to consider and apply the 3Rs (see clauses 1.18 - 1.30 of the Code).
- (ii) encouraging those using animals to engage in additional training, "*Completed the short course on experimental design for research scientists working with lab animals? <http://www.3rs-reduction.co.uk/> Although not essential, it is encouraged.*"
- (iii) establishing an annual 3Rs Award to "*... recognise an individual or group who has made an outstanding contribution to the field of the 3Rs (Replacement, Refinement and Reduction) and animal welfare at the University.*"

c 1.1

***Governing Principle 1.2: The care and use of animals for scientific purposes must be subject to ethical review.***

The Griffith University animal ethics framework was found to support and manage processes to ensure that those involved with the use of animals for scientific purposes have all projects and activities, assessed and approved by an AEC prior to the commencement of work. This framework include:

- the AEC, operating in-line with the provisions outlined in chapters 2.2 and 2.3 of the Code.
- a requirement for investigators to obtain ethical clearance from the AEC for all projects and any variations or modifications (major or minor) to approved projects prior to commencement.
- the AEC undertaking follow-up review of projects to ensure they conform with their ethical clearance through annual and completion reports.
- implementing processes for the management of unexpected or adverse events including review by the AEC.
- implementing processes to manage instances where investigators fail to comply with institutional process and the Code.
- support for the AEC in the decision making process from qualified and experienced scientific, veterinary, regulatory and technical advisors.

Processes observed during the review, including the assessment of documents, observations recorded during the on-site visit and the AEC meeting attended by the external review panel (10 & 11 March 2021) provided evidence that governing principle 1.2 is applied to the animal ethics system used within the institution.

c 1.2

***Governing Principle 1.3: 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.***

The Griffith University animal ethics framework was found to provide processes to ensure the AEC receives applications and reports that allow them to undertake ethical review of animal use activities and decide whether a proposed use of animals is ethically acceptable based on information that demonstrates the principles in Clause 1.1, and balance whether the potential effects on the wellbeing of the animals involved is justified by the potential benefits. This was found to be done by:

- investigators completing and submitting an animal ethics application through the on-line Research Information Management System (RIMS) for the assessment and approval by the AEC prior to undertaking any animal use.
- the animal ethics application (*Laboratory, Field, Prior Review Questionnaires*) requiring investigators to address whether the potential effects on the wellbeing of the animals involved is justified by the potential benefits. Investigators are required to provide sufficient information to satisfy the AEC that this has been considered and justification for use has been adequately addressed prior to granting approval.
- the format of the animal ethics on-line application (*Laboratory, Field, Prior Review Questionnaires*) meeting the requirements outlined in chapter 2.7 of the Code and reflecting Code provision 1.1. AEC processes demonstrated the committee members base their decisions on the information provided in the application and may in addition actively seek further information or clarification from investigators and other expert sources when required. The AEC may also place conditions on the approval to ensure they have sufficient assurances that the animal use meets the requirements of ethically acceptability.
- investigators providing the AEC with information in relation to the annual progress (Document 31), completion (Document 32) and variation (Document 33) to existing approved projects, ensuring they continue to be monitored and any outcomes or variations assessed for ethical acceptability.

Processes observed during the review, including the assessment of documents, observations recorded during the on-site visit and the AEC meeting attended by the external review panel (10 & 11 March 2021) provided evidence governing principle 1.3 is applied to the animal ethics system used within the institution.

c 1.3



***Governing Principle 1.4: 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.***

The Griffith University animal ethics framework was seen to promote respect for animals, and the responsibilities associated with this obligation ensuring it is applied throughout the animals lifetime. Examples of how the institution meets this requirement was found in the following areas:

- Providing ethical oversight of projects through AEC application and reporting processes for animal use activities

The application process requires investigators to consider and complete the on-line application, providing sufficient information to satisfy the AEC that the use is ethically acceptable and complies with the requirements of the Code. The AEC was seen to continue monitoring activities that impact on the animal's wellbeing throughout the animal's lifetime through annual, completion and unexpected or adverse event or incident reporting. The AEC undertake routine on-site inspections of animal facilities to ensure animal use activities proceed in accordance with the AEC approval and that facilities, the animals and their environment are managed appropriately to support the animal's wellbeing throughout its lifetime.

- Ensuring oversight and support for the management of animals used and those involved in the use of animals

Oversight and support in all aspects of animal use was evident in the management of the animal facilities, the use of animals and in AEC processes.

- Providing opportunities for education and training to the investigators and animal carers / technicians to ensure a high level of skill in animal handling

In-house education and training opportunities are provided by qualified and experienced staff to ensure those caring for and using animals are aware of their responsibilities and undergo animal handling training. Animal facility staff undergo an induction process that includes training to ensure animals and facilities are well maintained.

Processes observed during the review, including the assessment of documents, observations recorded during the on-site visit and the AEC meeting attended by the external review panel (10 & 11 March 2021) provided evidence governing principle 1.4 is applied to the animal ethics system used within the institution.

c 1.4

## **END OF COMMENTS RELATING TO SECTION 1**

## SECTION 2 - RESPONSIBILITIES

### Chapter 2.1- Responsibilities of institutions

The governing body of the institution, Griffith University, is responsible for ensuring that the care and use of animals for scientific purposes conducted on behalf of the institution complies with the code.

Griffith University is registered in its home state of Queensland as a user of animals for scientific purposes and also holds license or registration in New South Wales..

Griffith University has undertaken to establish, support and provide authority to an animal ethics framework that includes an AEC, promotes and monitors compliance with the Code and ensures all those involved in the use of animals are aware of, accept and acknowledge their responsibilities under the Code.

c 2.1.1 - c 2.1.2

#### **Ensure compliance through an animal ethics committee**

The institution provides resources and support for an animal ethics framework that includes the Griffith University AEC. Please refer to the review findings for Section 2, Chapters 2.2 and 2.3 for details in regard to the AEC.

c 2.1.3

Griffith University does not use an external AEC or share an AEC with another institution

c 2.1.4

#### **Promote compliance**

The institution promotes compliance by:

- nominating the position of Deputy Vice Chancellor Research as the Senior member of the institution with the authority for the overall institutional governance of the institution in respect to the care and use of animals. *“The AEC advises the Deputy Vice Chancellor (Research) and makes recommendations to the Research Committee on all matters relating to the ethical conduct of animal research undertaken under the auspices of the University.”* (Documents 14 & 15)
- providing the animal ethics framework with adequate resources to ensure that the AEC and people involved in the care and use of animals can meet their responsibilities, including monitoring animals and managing adverse impacts on their wellbeing. This includes resourcing the Office for Research to provide management and undertake the development of procedures and processes to support the animal ethics framework including the operation of the AEC.

c 2.1.5 (ii)

- promoting and facilitating adoption of the governing principles of the Code through the animal ethics framework. The governing principles form the basis of the processes, procedures and forms used by those involved in the use of animals for scientific purposes. Education and training provide an understanding of how to apply the governing principles to individual circumstances and the institution encourages and recognises positive behaviours in relation to the 3Rs with the annual 3Rs Award (Document 12).  
c 2.1.5 (iii)
- by publishing the institutional policies and procedures on the Griffith University website: <https://policies.griffith.edu.au>, and through the dedicated Animal Ethics website: <https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal> for all relevant people including AEC members to have access.  
c 2.1.5 (iv)
- ensuring that guidelines for animal care must include:
  - (a) how the competence of people involved in the care and use of animals will be assessed and ensured. The Griffith University webpage: <https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-training> outlines the steps for the provision of training and assessment of competence for those using animals for scientific purposes (Document 8). The institution provides a detailed guideline for staff and students that outlines the training available and the requirement to achieve competency. (Document 25 - 23.0: *Training and competency assessments*).
  - (b) strategies to ensure the maintenance of a health status of the animals that safeguards animal wellbeing and meets the requirements of their proposed are available animal ethics framework documentation (Document 25 - 17.0: *Monitoring of health and welfare*).
  - (c) monitoring and assessment of animals to ensure that any harm, including pain and distress, is promptly detected and managed were identified to be available through the animal ethics framework documentation and through the monitoring procedures for animals in animal facilities. (Document 25 - 18.0: *Detection and management of harm, pain and distress*).
  - (d) the management of unexpected adverse events (UAE) and emergencies is provided through the animal ethics framework documentation (Document 25 - 19.0: *Unexpected adverse events*, 20.0: *Emergency treatment or euthanasia* and 21: *Emergencies*).
  - (e) the approval in advance for the immediate use of animals, if required, for the diagnosis of unexplained and severe disease outbreaks, or morbidity / mortality in animals or people. (Document 25 - 6.0: *Application and review process*).

c 2.1.5 (v) a - e

1.

- providing access to veterinary advice for the management and oversight of a program of veterinary care, quality management and project design to safeguard animal wellbeing. Access to a consultant veterinarian and additional veterinary support is available to researchers, teachers and animal facility / field staff from specialist veterinarians when required.

c 2.1.5 (vi)

- the institution has appointed (since Review GU09062016) a consultant veterinarian in this role.

c 2.1.5 (vii)

**Ensure and support the effective operation of the animal ethics committee**

The institution provides support and resources through the Office for Research for the effective operation of the Griffith University AEC in accordance with Section 2, Chapter 2.2 of the Code. This includes a publicly available TOR or Constitution (Document 14) and *AEC Operating Procedures* (Document 16) <https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-committee> that includes procedures for reviewing, approving and monitoring the care and use of animals, communication between the AEC and institution and the management of non-compliance and complaints.

c 2.1.6 (i - v)

**Identify clear lines of responsibility, communication and accountability**

The institution provides:

- (a) processes for identifying the person responsible at any given time through the AEC review of ethical acceptability and monitoring of animal activities and projects. RIMS Animal Ethics Applications, modifications and reports require detailed information to be provided by investigators. Information including identification of the Chief Investigator or Teacher, all those involved in the care and use of animals, their specific qualifications, experience (or how training will be provided to reach competency) and how they will undertake the procedures and monitoring responsibilities.
- (b) The institution provides information including a flowchart that outlines the processes for managing UAEs and emergencies (Document 25).
- (c) emergency procedures including contact numbers and access to specialist information (e.g. OGTR) to ensure disease outbreaks and emergencies, such as fire, power failure and biosafety issues, are promptly detected and effectively managed. (Document 25) Appropriate procedures were identified in animal facilities outlining actions and responsibilities in the case of emergencies.

c 2.1.7(i)

Procedures were available for addressing animal ethics-related complaints and non-compliance. (Document 17)

c 2.1.7(ii)

**Ensure understanding of responsibilities**

- (iv) The institution has provided the animal ethics framework to ensure all people involved in the care and use of animals understand their responsibilities and the requirements of the Code, are competent for the procedures they perform or are under the direct supervision of a person who is competent to perform the procedures and have access to appropriate education programs and resources. Please refer to the comments made for c 2.1.5 (v) a.

c 2.1.8 (i - ii)

- (iii) The institution encourages the adoption of best practice in the care and use of animals in the research and teaching.

c 2.1.8 (iii)'

- (iv) Institutional employment processes ensure those engaged to provide care for and use animals on behalf of the institution have the necessary qualifications and experience to undertake their duties. It appeared adequate numbers of staff were available in on-site facilities in relation to the number of animals present at the time of the review.

c 2.1.8 (iv - v)

- (vi) Veterinary assistance and diagnostic services were found to be available as required by the animal facilities. This included a consultant veterinarian and the animal facility manager.

- (vii) The institution is committed to and provides health and safety information on their website: <https://www.griffith.edu.au/staff/human-resources>.

c 2.1.8 (vi - vii)

- (viii) Please refer to the review finding for Section 2 - Chapter 2.6.

c 2.1.8 (vii)

**Monitor and review compliance**

Griffith University monitors and reviews institutional compliance with the Code by:

- (i) establishing a schedule for independent external review every four (4) years (Code: Section 6) including reviews GU09062016 and GRU02022021 to meet State and territory reporting obligations.

c 2.1.9 (i)

- (ii) assessing a written review of the operations of the AEC annually. The annual report of the operations of the AEC (Documents 19a - d) is prepared by the animal ethics coordinator and the AEC chair on behalf of the AEC and provided to the University Council through the Research Committee. The report includes information on the operations of the AEC in regard to the review and monitoring of projects, AEC processes, facility inspections, compliance issues, complaints and adverse events.

c 2.1.9 (ii)

- (iii) an annual review process by the institution of the AEC to assess the effectiveness of its processes regarding complaints and non-compliance. Correspondence with the ethics officer outlined quarterly meetings between the DVCR (or Director - Office for Research) and the AEC Chair that provide an opportunity to discuss effectiveness of processes regarding complaints and non-compliance.

c 2.1.9 (iii)

No comment in regard to c 2.1.10.

## END OF COMMENTS RELATING TO CHAPTER 2.1

## Chapter 2.2 - Responsibilities of institutions regarding the governance of an animal ethics committee

### Responsibilities

During the review evidence through review of governance documents and discussion with the Ethics Manager and AEC chair was identified to demonstrate how Griffith University meets its responsibilities regarding the governance of the AEC.

c 2.2.1 (i - v)

### Ensure appropriate animal committee membership

#### Composition of the animal ethics committee

The institution meets these responsibilities by:

- appointing a membership consistent with the Code requirements outlined in Section 2 including the appointment of a chairperson and a core membership of the four (4) categories, A, B, C and D.

c 2.2.2 - c 2.2.4

- the Deputy Vice Chancellor (Research) appointing a chair to guide the operation of the AEC. The AEC chair is an appointment from within the institution and not independent of the use of animals for research and teaching as recommended in c 2.2.2. They hold a Senior position in the institution as a member of the Academic Staff engaged in research and teaching within the School of Medical Science.

c 2.2.2 - c 2.2.3

- appointing multiple appointments to each of the categories A-, B-, D- and one C-member. The AEC currently has the following voting appointments:

- Three (3) A-members
- Six (6) B-members
- Two (2) C-members
- Four (4) D-members

c 2.2.4

- supporting the AEC meetings with several non-member positions including the animal facility manager, animal ethics coordinator (and secretary), consultant veterinarian and a statistician are present to provide technical, administrative and regulatory support for the AEC.

c 2.2.1 (i) and c 2.2.2 - c 2.2.7

- ensuring all appointments meet and are acknowledged as accepted under the processes of the Queensland Department of Agriculture and Fisheries - Biosecurity Queensland as complying with the Code and State requirements. These appointments are provided to other State and Territory Regulators as required to meet the obligations in those particular jurisdictions.

(State / Territory Government requirement)

- at the time of the review the AEC had a total membership of fifteen (15) with five (5) C- and D- members and an additional D-member appointed but attending as an observer. The AEC has the correct balance of C-and D- members making up at least 1/3 of committee membership. At the time of review the Office for Research were actively trying to recruit a new C-member through the Ethical Jobs website and expected to interview candidates in the coming week.

c 2.2.8

- including an appointment, re-appointment and retirement procedure in the TOR (Document 14) that outlines the processes for appointment, re-appointment or retirement of AEC members.

c 2.2.9

- requiring new and returning AEC members to sign a membership deed disclosing any real, perceived or potential conflict of interest prior to appointment, accept the constitution (TOR) and sign a confidentiality agreement prior to appointment. (Document 14 - 14: *Terms of Office*)

c 2.2.10 - c 2.2.11

- providing induction to new and returning members. In discussions with the animal ethics coordinator it was established the institution meets these responsibilities by providing induction to new and returning members including the signing of a membership deed (Document 14), a face-to-face meeting with the AEC chair, animal ethics officer and complete on-line (Tier 1 training) training.

**No documented procedure specifically for the induction and training for AEC members was identified however, in discussions with the animal ethics coordinator the induction process was outlined.**

c 2.2.12

### Responsibilities of the chairperson

The AEC chair was identified during the review to impartially guide the AEC meeting (11 March, 2021) and adhere to the meeting procedures including conflict of interest and maintenance of quorum. In discussions it was established the chair has effective lines of communication within the institutional hierarchy to make representation, on the AEC's behalf, when required.

c 2.2.13



**Responsibilities of members (c 2.2.14 - c 2.2.17)**

Members have access to, and are encouraged to familiarise themselves with the AEC Constitution (TOR) (Document 14), *AEC Standard Operating Procedure* (Document 16) and the Code to ensure they understand their roles and meet their responsibilities as AEC members. Discussions with the AEC chair and animal ethics coordinator established that members understood their responsibilities under the Code and contributed to AEC business including providing their individual opinions in regard to the review and monitoring of animal use projects and activities.

c 2.2.14 - c 2.2.15

AEC members understood the requirements of conflict of interest, made appropriate declarations of any actual, perceived or potential conflict of interests prior to their appointment to the committee or with items on the AEC meeting agenda prior to the meeting date or at the time of the meeting (if an instance arises) before items are discussed (Document 16).

c 2.2.16

Confidentiality requirements are outlined in the *AEC Standard Operating Procedures* (Document 16). New members are briefed on their responsibility to uphold confidentiality through the induction process and sign a confidentiality agreement prior to appointment to the AEC.

c 2.2.17

**Ensure the animal ethics committee has a terms of reference**

Griffith University provides a publicly available (<https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-committee>) Constitution (TOR) (Document 14) and a *AEC Standard Operating Procedures* (Document 16) accepted under the processes of the Queensland Department of Agriculture and Fisheries - Biosecurity Queensland as complying with the Code. The constitution (TOR) is provided to other State and Territory Regulators as required to meet the obligations in those particular jurisdictions. Please Note: At the time of Review the Constitution (Document 15) was the subject of redrafting and discussions with DAF - Biosecurity Qld in regard to its finalisation and acknowledgement were almost complete.

c 2.2.1 (ii) and 2.2.18 (i - iii)

**Provide the animal ethics committee with adequate resources**

The institution resources the AEC through the Office for Research to support its operation and meet its responsibilities under the code by providing financial, administrative, educational (including induction) and operational assistance. The AEC is provided with sufficient resources to maintain its operations.

c 2.2.1 (iii) and c 2.2.19 (i - ii)

**Establish procedures for animal ethics committee governance and operation**

Griffith University has established a suite of policies and procedures to govern AEC operation, ensuring it is able to meet its responsibility for the ethical oversight of animal use on behalf of the institution in accordance with the Code. Documentation, including the constitution (TOR) (Document 14) and *AEC Standard Operating Procedure* (Document 16) support the AEC operations by outlining procedures for:

- the management of conflict of interest. (Document 16 - 5.3: *Conflict of Interest*)  
c 2.2.21
- maintaining confidentiality. (Document 16 - 10: *Confidentiality*)  
c 2.2.22
- forming AEC executive delegations. (Document 14)  
c 2.2.23
- the RIMS processes for submission, receipt and processing of applications and reports by the Office for Research. ( (Document 16 - 7: *Format of submissions of applications for ethics approval*, 8: *Administrative processes* and 9: *Monitoring of Research*)  
c 2.2.24
- managing quorum. (Document 16 - 5.3: *Quorum*)  
c 2.2.25
- the timely distribution of papers to AEC members is stated as 7 days before a meeting (Document 16 - 5: *Meeting procedures* and 8.1(3): *Administrative processes*)
- Documented (Document 16) meeting procedures include:
  - the timely distribution of papers to AEC members (Document 16 - 5: *Meeting procedures*)
  - the conduct of quorate meetings (Document 16 - 5: *Meeting procedures*)
  - managing any conflict of interest during the AEC meeting (Document 16 - 5.3: *Conflict of Interest*)
  - meeting frequency (Document 16 - 5: *Meeting procedures*)
  - review of new and ongoing proposals (Document 16 - 5: *Meeting procedures*)

c 2.2.26 (i - v)

The AEC are to provide prompt notifications of its decisions (Document 16 - 5.8: *Communication the outcomes*)

c 2.2.27

The AEC consider and have the opportunity to hold face-to-face with investigators to discuss and resolve issues arising from decisions made in regard to the decisions resulting from the review of activities and projects.

c 2.2.28

Complaints and non-compliance are addressed in the *Animal Ethics Manual Processes for responding to complaints, alleged breaches of ethical standards or appeals against decisions* (Document 17). **Please refer to the Review Findings for Section 5 for further detail.**

c 2.2.29

The AEC Secretary maintains records relating to the Committee as outlined in the procedures (Document 16). Records maintained include:

- a register of all applications to the Committee, including the outcomes of deliberations
- minutes that record decisions and other aspects of the Committee's operation
- records of inspections conducted by the AEC

c 2.2.30 - c 2.2.31

The institution has developed and provides the required documentation through RIMS. Documentation has been developed for:

- applying for animal ethics review and approval of work involving the use of animals for teaching or research (Documents)
- requesting modification to an approved project, (Document 16)
- reporting the progress of, or completion of an approved activity or project (Documents 17 & 18)
- reporting of an adverse incident or event (Document 19)

c 2.2.32

The institution in consultation with the AEC allows the use of SOPs. Examples of the SOPs were provided for review. SOPs for procedures used in the animal facilities (Documents 57a & 57b) and SOPs in wildlife studies (Documents 58a- 58e) were reviewed. Whereas the animal facilities SOPs are reported in the minutes as under review in early 2021 the wildlife SOPs expired up to 4 years ago in 2017. Expired SOPs are still available on the webpage <https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-applications/standard-operating-procedures>.

**As SOPs are used within the institution the current system of SOPs, in particular, those available for wildlife studies require review to ensure they meet the Code requirements.**

c 2.2.33 - c 2.2.36

### **Conduct an annual review of the operation of the animal ethics committee**

The AEC has a responsibility to provide a written report to the institution for review to ensure its processes are effective and consistent with the Code and institutional policy. The institution has met its responsibilities under the code by receiving annual reports (Documents 19a - 19d) from the AEC for review by the University

Council through the Research Committee. In discussions with the AEC chair and Ethics Coordinator it was established that the AEC chair has opportunity for a face-to-face meeting with Senior representatives of the institution including the Deputy Vice Chancellor (Research) at least annually.

c 2.2.37

**Table 1: Section 2 - Chapter 2.2 Review Findings identified as areas highlighted for review by the institution.**

Code Reference	Review Finding
c 2.2.12	<p><b>Composition of the animal ethics committee</b></p> <p>The institution meets these responsibilities by providing induction to new and returning members including the signing of a membership deed (Document 14), a face-to-face meeting with the AEC chair, animal ethics officer and complete on-line (Tier 1 training) training.</p> <p><b>However no documented procedure was identified for the process of induction for AEC members.</b></p>
c 2.2.33 - c 2.2.36	<p>The institution in consultation with the AEC allows the use of SOPs. Examples of the SOPs were provided for review. SOPs for procedures used in the animal facilities (Documents 57a &amp; 57b) and SOPs in wildlife studies (Documents 58a- 58e) were reviewed. Whereas the animal facilities SOPs are reported in the minutes as under review in early 2021 the wildlife SOPs expired up to 4 years ago in 2017. Expired SOPs are still available on the webpage <a href="https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-applications/standard-operating-procedures">https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-applications/standard-operating-procedures</a>.</p> <p><b>As SOPs are used within the institution the current system of SOPs, in particular, those available for wildlife studies require review to ensure they meet the Code requirements.</b></p>

Please refer to PART E of the Review report for comments and recommendations relating to the review findings listed in Table 2.

## END OF REVIEW FINDINGS RELATING TO SECTION 2 - CHAPTER 2.2

## Chapter 2.3 - Responsibilities of animal ethics committees

During the review period evidence was found to demonstrate how the Griffith University AEC meets its responsibilities to provide the ethical review, approval and monitoring of animal use for scientific purpose on behalf of the institution.

c 2.3.1 - 2.3.2 [i - ix]

### Review and approval of new and ongoing activities

The AEC meets its responsibilities by reviewing and monitoring new and ongoing projects and by assessing the information submitted by investigators and teachers in the appropriate Animal Ethics RIMS formats (Documents 28 - 40) and providing a decision regarding the work's or actions for ethical acceptability. The meeting process was observed by the external review panel at the AEC meeting (11 March 2021). Nine (9) AEC members, two (2) non-member advisors and two (2) observers / guests attended via video-link with apologies from four (4) members. The external review panel, AEC chair, animal facility manager and AEC secretary attended face-to-face at the Gold Coast campus.

Attendance at AEC (11 March 2021) meeting demonstrated that the conflict of interest procedures are observed. One of the B-members present declared a conflict of interest and left the meeting for deliberations and the final vote.

The AEC members reviewed, discussed, provided comment and requested additional information from the applicants before making a judgement on the applications ethical acceptability. At the AEC meeting (11 March 2021) seven (7) applications were submitted for approval, six (6) were granted provisional approval and required the submission of additional information and one (1) application is to be re-submitted by the applicant. The AEC noted the application for re-submission was from a new investigator and they would require some additional support for their submission to provide more detail and additional information.

c 2.3.3 - c 2.2.12

Review of the animal ethics applications (Documents 46 & 47) demonstrated that the AEC, as far as practical, adheres to its procedure to make prompt decisions.

c 2.2.13

Attendance at AEC meeting (11 March 2021) confirmed that a quorum (A, B, C & D members present) was maintained and the C- and D- member balance of (total membership 11:4 C & D members present) was in-line with the Code requirement of one-third of members present. One b-member left the meeting approximately 40 minutes before the meeting concluded which had no negative impact on quorum or the C-/ D-member balance. Review of the minutes of ten (10) previous AEC meetings (60b, 61b, 62b, 63b, 64b, 65b, 66b, 67b & 68b) demonstrated that the requirements for quorum and C-/ D-member balance are consistently maintained.

It was identified that pilot studies may be submitted by investigators for approval by the AEC under the same review process used for a full application.

c 2.3.14

Reuse is specifically addressed in the application (Document 29), *“Have, or will, any of the animals be re-used in other experiments? If so, please specify the AEC protocol number (if known) and justify their use in this project by discussing the benefits balanced against the adverse effects on these animals.”* Investigators must provide sufficient justification to satisfy the AEC in their applications.

c 2.3.15

Approvals are normally issued for a period of three years. An extension of approval for a further year beyond the initial expiry date can be considered by the Animal Ethics Committee after the submission of a variation request and progress report. Extensions beyond this must be submitted as a new application.

c 2.3.16

### **Monitoring the care and use of animals**

The AEC monitor the care and use of animals through annual inspection reports of animal facilities and projects. Evidence of planned and unplanned inspections, including any actions or follow-up correspondence arising from the visits, and facility reports were found to be documented and recorded in the minutes provided for review. Examples of inspection reports of facilities and projects were provided for review (Documents 51a - 54c). In nine (9) of the thirteen (13) inspection reports (2017 - 2020) provided for review C- and/or D-members were present. Records of inspections follow a consistent format and records are maintained by the Office for Research. Observations recorded included the identification of any negative issues or problems and highlighted positive outcomes including environmental enrichment and good hygiene practices. Projects are subject to random project audits (Documents 55a - 55d).

c 2.3.17 - c 2.3.23

### **Taking action regarding unexpected adverse events**

The AEC have a documented processes (Document 25) for the AEC and investigators to follow and a RIMS coversheet (Document 30) for reporting UAEs. To support the management of unexpected adverse events the AEC have a written procedure, including timeframes for reporting and a flowchart to outline the process and assist in the decisions-making process. Review AEC minutes demonstrated that the AEC receives UAE reports, make recommendations and follow-up actions.

c 2.3.24

### **Taking action regarding non-compliance**

The institution and AEC have procedures in place to manage non-compliance (Documents 17) Examples of breaches where the AEC took action were identified in the annual reports to the institution. Non-compliance was generally of a minor nature, late reporting and were resolved with notifications from the AEC and education. None warranted suspension or withdrawal of approval. One breach involved the use of animals (Document 19d - item 7) and was resolved through a letter for the AEC chair.

c 2.3.25

**Approving guidelines for the care and use of animals**

The AEC, considers and approves guidelines for the care and use of animals referred to it by the institution including procedures for monitoring and maintaining the wellbeing of animals and Tier 2 training.

c 2.3.26

**Providing advice and recommendations to the institution**

The AEC, under its constitution (TOR) (Document 14) provides advice and makes recommendations to the institution through the annual reporting process and AEC chair's face-to-face meetings with institutional representatives, Deputy Vice Chancellor (Research). It was established in discussions with the AEC chair and animal ethics coordinator that the AEC are able to provide comment or make recommendation on a range of issues related to the care and use of animals, animal facilities associated with Griffith University and any matters that may affect how it fulfils its obligations under the Code.

c 2.3.27

**Reporting to the institution**

The annual report of the operations of the AEC (Documents 19a - d) is prepared by the animal ethics coordinator and the AEC chair on behalf of the AEC and provided to the University Council through the Research Committee. The report includes information on:

1. The constitution and membership
2. Committee's major achievements and impact on University Community
3. Animal Ethics applications assessed
4. External Review Report Status
5. Inter-Institutional Agreements
6. Physical facilities for care and use of animals
7. Education and training support for AEC members, animal care staff and investigators involved in the care and use of animals
8. Compliance with the Australian Code for the Care and Use of Animals for Scientific Purposes
9. Implementation of the 3Rs (Replacement, Refinement, Reduction)
10. Animal Ethics workplan for Office for Research Ethics team in 2021

c 2.3.28 - c 2.3.29

**END OF REVIEW FINDINGS RELATING TO SECTION 2 - CHAPTER 2.3**

## Chapter 2.4 - Responsibilities of investigators

Investigators have access to a system that enables them to fulfil their responsibilities under the Code. Access to education and training, procedures and forms by the institution provides structure and support so they may meet their obligations under the Code.

Griffith University investigators are required to acknowledge and work within the Animal Ethics Framework to meet their responsibilities under the Code in regard to their use of animals for scientific purposes.

During the review period (10th & 11 th March 2021) the external review panel met with investigators from different research areas within the institution including Griffith Institute for Drug Discovery (GRIDD), the Environmental Futures Institute and the Institute for Glycomics to discuss how they consider the planning of projects, the AEC processes they use, using animals at Griffith University facilities and the support they receive from the institution in regard to animal ethics. Investigators demonstrated a comprehensive knowledge of the Code and awareness of their responsibility to ensuring their use of animals was in-line with the Code requirements and institutional expectations.

c 2.4.1 - c 2.4.5

### Planning Projects

To proceed with a project, investigators were found to complete an animal ethics RIMS Application with the appropriate coversheet and provide attachments in relation to animal requirements, timelines, project administration and safety for ethical review and approval by the AEC in accordance with the institutional procedures. The RIMS application system is designed to ensure the investigator has considered and applied the governing principles and specific Code requirements to the animal use associated with their planned research. The investigator is required to provide information in the AEC format outlining the use in sufficient detail to satisfy the AEC that the proposed animal use falls within ethics guidelines. Animal ethics applications reviewed provided examples of responses to the questions regarding animal use projects. Investigators were found to have provided information in their responses to questions in the application or as requested to provide additional information to the AEC in relation to:

- Using animals only when justified. c 2.4.8 (i - iv)
- Applying high standards of scientific integrity. c 2.4.8 (v - viii)
- The 3Rs. c 2.4.8 (ix - x)
- Supporting the wellbeing of animals. c 2.4.8 (xi - xiv)
- Avoiding or minimise harm, including pain and distress. c 2.4.8 (xv - xvii)
- Accepting responsibilities. c 2.4.8 (xviii - xxi)



Investigators identify and provide detail if they are involved in collaborative studies in the Prior Review coversheet.

c 2.4.9

### **Obtaining approval from the AEC**

Before commencing a project or amending an approved project, investigators submit a completed animal ethics application or variation (Document 33) request using the RIMS application and coversheet to the AEC for approval. In addition investigators must provide information to support their submission to the AEC during the review process, if requested, before approval is granted and the work can commence. The Investigator is not permitted to commence animal use project or activity or implement an amendment until they have formal AEC approval.

c 2.4.10 (i-ii)

Investigators will only have their projects assessed by AEC for approval if the submission follows the correct procedures and is in the accepted AEC on-line format.

c 2.4.11

Investigators are required to use provide a plain English when preparing applications avoiding the use of technical language so that they can be understood by an educated person without a scientific background. Investigators provide project summaries provide a basic overview of the work provide sufficient information for all AEC members to participate effectively in the assessment of the applications.

c 2.4.12

### **Conducting and reviewing projects**

To undertake an approved project, the investigator agrees to and adhere to the any conditions imposed by the AEC. (Document 34)

c 2.4.13

Investigators are required to act in accordance with the conditions of AEC approval and the requirements of the Code. (Document 34)

c 2.4.14

Investigators submit an application for ethical review approval by the AEC. The RIMS application prompts the investigator to consider Code requirements. The investigator provides information in this format outlining the animal use involved in sufficient detail to satisfy the AEC the use is ethical acceptable. Completed and approved applications reviewed (Document 46 & 47) provided examples of responses demonstrating the investigator's consideration of Code requirements when answering the AEC's questions regarding the conduct of the project.

Investigators provided information in their responses to questions in the application or requests from AEC during the review process relating to the following:

- Apply high standards of scientific integrity.
- Support the wellbeing of animals.
- Avoid or minimise harm, including pain and distress.
- The 3Rs.
- Accept responsibilities.
- Provisions for animals at the conclusion of their use and disposal of carcasses and waste material.
- Projects involving hazards

c 2.4.15 - c 2.4.29

### **Maintaining records**

Investigators at Griffith University were found to maintain records that include the care and use of animals, monitoring (monitoring sheets) and assessment. Examples were reviewed however it was discussed and found that investigators keep records in accordance with the requirements of their research groups and those approved by the AEC in their projects. The external review panel saw examples of cage cards where notations in regard to animal use were recorded.

c 2.4.30 - c 2.4.33

### **Reporting**

The document review provided examples of documents submitted by investigators including, progress and final reports, unexpected adverse event (incident) reports and other correspondence to requests from the AEC.

c 2.4.34

## **END OF COMMENTS RELATING TO CHAPTER 2.4**

## Chapter 2.5 - Responsibilities of animal carers

Griffith University animal carers (animal technicians) were found to be provided with a system that enabled them to meet the requirements of the Code. The provision of information, processes and procedures, access to education and training by the institution gives structure and support so they may meet their obligations under the Code.

At the time of the on-site review, the external review panel visited Griffith University's Animal Facilities at the Nathan and Gold Coast campuses. The on-site visit allowed inspection of the infrastructure and discussion surrounding the processes involved in caring for animals used for research with the animal facility manager and animal technicians.

The Griffith University Animal Facilities are managed to maintain a high standard and are appropriate for the animals they accommodate. All those encountered during the tour demonstrated a high level of commitment ensuring a high standard of animal wellbeing is consistently maintained. There was a high level of understanding of the animal ethics framework, the animals and procedures used and a good knowledge of the Code.

### Responsibilities

Those caring for animals at Griffith University were found to undertake the responsibilities outlined in Section 2: Chapter 2.5 in collaboration with animal facility manager, senior technicians the AEC and the institution.

### Support animal wellbeing

Animal technicians were observed to support animal wellbeing by:

- providing for the species-specific needs of the animals they care for and provide care and enrichment suitable for their physiological and behavioural needs.
- using procedures and practices suitable for the animal species they care for.
- ensuring the health and biosecurity status of the animals is maintained and meets the requirements for the proposed use.

c 2.5.4 [i-iii]

### Avoid or minimise harm, including pain and distress, to animals

Animal technicians were found to be responsible for the day to day care of animals in the animal facilities including husbandry and monitoring. Through discussion with technicians it was found that prompt actions in cases of unexpected adverse events (incidents) or emergency situations formed part of their duties and procedures including emergency contacts were identified.

c 2.5.5 - c 2.5.6

**Ensure provisions for animals at the conclusion of their use, and disposal of carcasses and waste material**

The animal ethics RIMS application requires the information relating to the fate of animals including euthanasia and tissue sharing. The disposal of biological waste resulting from the use of animals was seen to be appropriately controlled with facilities for treatment, storage and disposal. Procedures were observed to include, the use of freezers, pathological waste bins and autoclaves.

c 2.5.7 - c 2.5.10

**Maintain records**

Animal technicians were seen to maintain records that include the care and monitoring of animals and, for breeding facilities, the health status and breeding performance of animals (see Clauses c 3.1.22, c 3.2.2 and c 2.4.27 [v]). Animal technicians made these records available to the institution, the AEC, authorised external reviewers and investigators.

Records of animal monitoring seen were sufficient to enable the AEC to verify that the wellbeing of animals has been monitored, and allow review and critical investigation of the cause(s) of and responses to unexpected adverse events as a basis for future prevention strategies. The external review panel saw examples of animal care records that logged the monitoring, breeding, husbandry and other procedures performed in the facilities.

c 2.5.11 - c 2.5.13

**People managing and supervising breeding and holding facilities**

Animals held in the Animal Facilities are managed by competent Griffith University staff (competency records available). There is an animal facility manager to manage the animal facilities that provide the routine care and maintenance of animals including breeding colonies and experimental animals. This position is supported by a group of animal technicians that includes experienced senior technicians. The animal facilities have support for their operations from an experienced consultant veterinarian appointed by the institution. The animal facility manager is a central role within the institution that requires support and authority from the institution to fulfil its obligations ensure the Animal Facility can effectively provide animal-related services and ensure that the Code requirements are met and animal wellbeing is of a high standard.

The animal facility manager meets their responsibility under the Code.

c 2.5.14 - c 2.5.17

**END OF COMMENTS RELATING TO CHAPTER 2.5**

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

### Institutions and investigators that use an external animal ethics committee

Griffith University (as the 'host' institution) does not accept, review and monitor animal use activities from other institutions or investigators external to Griffith University (the 'second' institution) for approval and oversight by the AEC.

Griffith University does not use an AEC established by another institution, to provide ethical oversight for its animal use activities undertaken by investigators or teachers on behalf of Griffith University.

c 2.6.1 - c 2.6.3

It was found where projects involve more than one institution and/or AEC, a procedure to accommodate is included in the *guidelines for animal care and use in teaching and research (Document 25)*. The institution advises, "As research is often performed collaboratively across institutions, the Griffith University Animal Ethics Committee (AEC) regularly considers applications approved by other AECs. It is a requirement of the [Code](#) that investigators notify 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 (see Clause 2.4.9 and 2.6.8 of the [Code](#)).

*Following receipt of a completed Prior Review application a protocol number is assigned and the application is forwarded to the AEC Executive for ratification between scheduled meetings. The AEC Executive may:*

- a) ratify the approval of the Primary AEC, or*
- b) refer the application to the full Animal Ethics Committee at the next scheduled AEC meeting.*

*The AEC Executive or AEC may ask the applicants to provide further information. If the Executive or full AEC has significant concerns or questions, these will be raised with the researcher and/or the primary AEC."*

Examples where Prior Review Applications (Document 29 - *Prior review research branch questionnaire*) have been made were identified through review of AEC minutes and inter-institutional agreements outlining the roles of respective AECs involved in collaborations (Documents 22 & 23) were reviewed.

c 2.6.4 - c 2.6.8

No direct guidance was found projects conducted in other countries, however references were identified in documentation (Document 25) and the RIMS application process for Prior Review (Document 29 - *Prior review research branch questionnaire*).

This included:

- “If the research involves the use of animals interstate or overseas there may be a requirement for additional state licensing to be undertaken by Griffith University.” (Document 25)
- the RIMS application process for Prior Review Question 10,” *In what country is the other Institution/Organisation located? If overseas, please explain why animal use will be undertaken overseas rather than in Australia and provide advice on how the proposed project can meet the principles of the Code, taking into account compliance with local requirements.*” (Document 29)

c 2.6.4 - c 2.6.14

## **END OF COMMENTS RELATING TO CHAPTER 2.6**

## SECTION 2.7 - Responsibilities of Institutions when developing an Animal Ethics Committees Application Form.

Griffith University has developed, in consultation with the AEC, a web-based application system, RIMS, to manage animal ethics applications and reports that require AEC approval to commence a project or activity using animals. The system is made up of six (6) tabs that includes a coversheet and questionnaire to capture the information required for the AEC to assess a project for ethical acceptability. The system includes guidance to support the investigators and teachers with explanatory notes, a checklist and prompts. (Documents 28 - 40).

c 2.7.1 - c 2.7.2

Guidance is provided (Document 25, 26, 28 [a -c] & 29) for completing an application. Instructions to investigators and teachers include , *'Where possible use "plain English" and "The aims and significance of most projects can be explained in approximately half a page of plain English. When addressing this issue, think about the style of English you would use if you were explaining your project to an intelligent person with a basic science education. If the use of jargon and scientific language cannot be avoided, it is essential that the acronyms and glossary question (Q 22) is completed to allow all members of the AEC to have sufficient information to complete an assessment of the proposal.'*

c 2.7.3

**Table 2 - Review of the Animal Ethics RIMS Application**

<b>Governing Principle 1.1 Reference</b>	<b>Code Reference</b>	<b>Review Finding</b>
Using animals only when it is justified (1.1 - 1.7)	c 2.7.4 (i - v)	Adequately addressed in throughout the application.
Applying high standards of scientific integrity (1.15 & 1.17)	c 2.7.4 (vi - vii)	Adequately addressed in throughout the application.
Applying Replacement, Reduction and Refinement (the 3Rs) (1.18 - 1.30)	c 2.7.4 (viii - x)	Adequately addressed in throughout the application.

Governing Principle 1.1 Reference	Code Reference	Review Finding
Supporting the wellbeing of animals (1.8 & 1.9)	c 2.7.4 (xi - xiii)	Adequately addressed in throughout the application.
Avoiding or minimising harm, including pain and distress, to animals (1.10 - 1.14)	c 2.7.4 (xiv - xv)	Adequately addressed in throughout the application.
Knowing and accepting responsibilities (1.31 - 1.32)	c 2.7.4 (xvi - xxiii)	Adequately addressed in the application process (Documents 37 - 40)

#### **Information to be provided to an animal ethics committee for activities associated with the care and management of animals in facilities**

Some activities related to the care and management of animals are provided to the AEC in projects and SOPs.

An example for the care and management of animals was identified in the AEC approved project BRF-Animal Care and Breeding Program (Document 24).

c 2.7.5

#### **Information to be provided to an animal ethics committee for an amendment to an approved project or activity**

In the case of amendments to approved activities and projects, a variation request (Documents 29 & 33) are available and includes relevant information for review and approval by the AEC.

c 2.7.6

### **END OF REVIEW FINDINGS RELATING TO SECTION 2 - CHAPTER 2.7**



## SECTION 3 - ANIMAL WELLBEING

### SECTION 3.1 - Strategies to Support and Safeguard Animal Wellbeing

In the planning stages of any animal use investigators are required to identify, consider, avoid or minimise pain and distress, monitor and establish appropriate parameters to support animal wellbeing. Investigators, in completing the animal ethics RIMS application are prompted by the questions to ensure adequate consideration is given to safeguarding animal wellbeing. The planning and conduct of activities involving the care and use of animals was found to support and safeguard animal wellbeing.

c 3.1.1

The AEC must be satisfied with the information provided in the application that these requirements are met. The AEC monitors the animal facilities and reviews projects to ensure animal wellbeing is being safeguarded, this includes inspecting sites where animals are kept.

Investigators are required to consider the governing principles and Code requirements and apply them when planning their projects (see review findings for section 2: chapter 2.4) and provide sufficient information in their applications to

The animal facility manager (and facility staff) and the consultant veterinarian play integral roles in ensuring animal wellbeing is supported and safeguarded by providing reports and advice to the AEC in regards to the conduct of activities

**Investigators and Teachers demonstrate they have given adequate consideration by:**

#### **Identifying known and potential causes of adverse impacts on animal wellbeing**

The RIMS application, SOPs (**please refer to the review findings for 2.2.33 - 2.2.36**) and the animal facility address, the acquisition, transport, housing and care, social and physical environment, handling, restraint, sample collection, non-surgical procedures, anaesthesia, surgical procedures, genetic modification, humane killing and provisions for the animal at the conclusion of their use.

c 3.1.2 - 3.1.4

#### **Take steps to avoid or minimise adverse impacts on animal wellbeing**

The Animal Facility supports and safeguard the animals' wellbeing by providing information regarding how the animals will be managed taking into account the species or strain of animals being used. Steps taken include identifying how the animals will be managed to ensure their species-specific or strain-specific physiological and behavioural needs are met, the procedures involved in the use, the animal's living conditions, how they are identified, monitoring and assessment.

c 3.1.5 - 3.1.13

**Avoiding or minimising harm, including pain and distress**

Examples of steps taken to avoid and minimise harm were identified during the review period.

This included AEC approved applications for projects that specifically addressed:

- the justification for use of animal species
- the competency of those involved in the care and use
- avoiding or minimising known or potential causes of pain and distress
- monitoring procedures including the how animals will be monitored, intervention points, humane endpoints and the use of anaesthetics and analgesia

c 3.1.14 - 3.1.19

**Monitor animals and take appropriate action**

Examples of how animals are monitored and records of actions taken were seen in the assessment approved applications and reports during the inspection of on-site animal facilities during the review.

These included:

- procedures for monitoring and reporting
- how animals will be monitored, including methods, frequency, copies of monitoring score sheets and the details of treatment, withdrawal or intervention points.
- monitoring records, annual progress and unexpected adverse event (incident) reports
- SOPs including those for humane killing and autopsy.

c 3.1.20 - 3.1.25

**Set intervention points and experimental humane endpoints**

Examples of steps taken to set intervention points and experimental humane endpoints were identified during the review period.

This included AEC approved applications for projects that specifically addressed

intervention points and humane killing and included timeframes for the collection of valid data.

c 3.1.26 - 3.1.28

**Review the effectiveness of strategies to support and safeguard animal wellbeing and Implement changes to the strategy to ensure its ongoing effectiveness**

Annual reports of the progress of projects are required for each project and adverse event reporting procedures are available to investigators and animal technicians.

c 3.1.29

Any modification to an approved project must be reviewed and approved through the processes of the AEC including the AEC executive process (if a minor modification) and not implemented until approval is given.

c 3.1.30

The Project Leader and other participants in the project are detailed in the animal ethics application.

Projects

c 3.1.31

## END OF REVIEW FINDINGS RELATING TO SECTION 3 - CHAPTER 3.1

### SECTION 3.2 Animal Care and Management

The review included a tour of the animal facilities at the Nathan and Gold Coast animal facilities including breeding, experimental and procedure rooms. The external review panel had an opportunity to observe and discuss the daily management of the facility with the animal facility manager and animal technicians.

At the time the numbers of animals were being maintained on-site were consistent and it was noted that the management of the animals and facilities had been maintained to a high level with a contingency plan enacted to provide for the maintenance of appropriate levels of animal wellbeing and minimal disruption due to any COVID-19 restrictions.

Documentation for managing and monitoring how animals are accommodated, used and cared for in the facility were provided for review.

Discussions during the on-site visit related to animal health monitoring and breeding, transport of animals, admission of new animals to breeding and holding facilities, acclimatisation and conditioning, housing and care, indoor facilities, food and water.

From the information provided for review, the external review panel were satisfied the AEC monitors the animal facilities and projects to ensure they support and safeguard animal wellbeing during their care and management.

Animal Facility discussions included:

- staff outlining their qualifications, training and experience working with animals in the facility
- comprehensive knowledge of animal ethics and the AEC procedures.
- outlining examples the management of the animals including:
  - routine husbandry, health surveillance, handling and experimental procedures
  - preparing (selection, acclimatisation and monitoring) of animals for research projects
  - animal monitoring and the maintenance of various breeding lines, stock and experimental animals.

- intervention points and humane killing
- veterinary support and care
- outlining procedures for emergencies, facility maintenance, animal health, hygiene and biosecurity. Appropriate emergency and biosecurity signage was identified for the site.
- managing UAE and their immediate and corrective actions were outlined. The facility appeared to be maintained at an appropriate level to maintain a high standard of animal wellbeing.
- detailing procedures and reviewing records for the facilities that provide specialised breeding services, housing, care, management, and the monitoring of animal health and environmental conditions.

c 3.2.1 - c 3.2.12

**Specific observations of physical facilities recorded by the external review panel at the time of the review included:**

### **Housing and care**

In the animal house animals (rodents) are provided with accommodation, physical and social environmental conditions, food, water and care to meet species-specific or strain-specific physical and behavioural needs. It was found that if the requirements of a project or activity preclude or modify these conditions special ethical consideration and specific AEC approval is required (see Clauses 1.9 and 3.1.5).

c 3.2.13

The animal house are staffed, designed, constructed, equipped, maintained and managed to achieve a high standard of animal care and they are suitable for the type of animals kept and the aims of the activities undertaken.

c 3.2.14

### **Animal facilities**

The animal facilities visited are designed and operated to:

- control environmental factors such as air quality, temperature, humidity, light and noise within limits compatible with the health and wellbeing of the species held. Capacity for control of the microclimate by the caging systems are taken into account
- enable appropriate segregation of species or activities that might affect other animals held in the same facility
- maintain quarantine and biosecurity requirements
- exclude vermin

- limit contamination associated with the keeping of animals, and the delivery of food, water and bedding
- prevent the entry of unauthorised people and other animals.

c 3.2.17

The Animal Facilities were clean, tidy and in good repair. Walls and floors are constructed of safe, durable materials that can be cleaned and disinfected readily. There is adequate storage areas for food and equipment, a reticulated water supply and proper facilities for drainage.

c 3.2.18

Ammonia levels are monitored.

c 3.2.19

Chemicals including detergents and disinfectants were seen to be appropriate for the purpose.

c 3.2.20

#### **Pens, cages and containers**

Cages and containers (including those for transporting rodents) seen in the Animal Facility were constructed of safe, durable materials, clean, maintained in good repair, secure and escape-proof, were protective of animals against climatic extremes, designed to minimise injury to animals, large enough for the species and the number of animals held and compatible with the behavioural needs of the species

c 3.2.21 - 3.3.23

#### **Food and water**

Animals observed had access to appropriate, uncontaminated, nutritionally adequate food of a quantity and composition. Clean, fresh drinking water was seen to be available and was suitable for the species. Provisions in the Animal Facility demonstrated that the supply of food and water is in-line with the requirements.

c 3.2.24 - 3.3.25

From the information provided for review the external review panel were satisfied the Griffith University animal facility staff are adequate qualified, competent and manage the animals and facilities to ensure animal wellbeing is of a high standard during their care and management.

### **END OF REVIEW FINDINGS RELATING TO SECTION 3 - CHAPTER 3.2**

**SECTION 3: Chapter 3.3 - Specific procedures Chapter 3.3****General requirements that apply to all procedures**

Procedures used for the care and management of animals and procedures used during the conduct of approved projects were found to be:

- be appropriate for the species (mice, rats, guinea pigs, rabbits & frogs) and the circumstances of their use at the institution  
c 3.3.1(i)
- accord with what is current best practice including citing recent references from accepted sources  
c 3.3.1(ii)
- be compatible with the purpose and aims of the project or activity  
c 3.3.1(iii)
- cause the least harm, including pain and distress, to the animals  
c 3.3.1(iv)
- be performed competently, and by a person who is competent for the procedures, or under the direct supervision of a person who is competent to perform the procedures. Griffith University was found to have a program of training and competency assessment that assures animal carers and investigators are proficient in the procedures involved in their activities and projects. Supervision and technical assistance was seen to be available in the animal facilities.  
c 3.3.1(v)

**Handling and restraining animals**

Handling and restraint of laboratory animals and wildlife were found to be considered and addressed in the planning of activities and projects and identified in the animal ethics applications submitted to the AEC for approval.

Animal technicians and investigators undergo induction, training and competency assessment to ensure methods used in handling and restraint are appropriate and are competently performed.

Justification for prolonged handling and restraint of animals, if used, is included in the animal ethics applications submitted to the AEC for approval.

c 3.3.2 - c 3.3.4

**Routine husbandry procedures**

Routine husbandry procedures used on the animals were found to be approved and are undertaken in the animal house by competency assessed animal carers or investigators in accordance with animal facility procedures. Any addition or variation to a normal practice included in the application requires AEC approval. The investigator or teacher details information regarding the qualifications and experience of those involved in the project.

c 3.3.5

**Identification of animals**

The methods of identification observed during the onsite visit were found to be:

- species appropriate
- compatible with the project's aims and purpose
- involve non-invasive methods whenever possible. The use of invasive methods must conform with Clause 3.3.1
- cause the least harm, including pain and distress, to the animals.
- Procedures and SOPs were found to be available for identification of laboratory and field animals.

c 3.3.6 (i - iv)

**Injections, blood sampling and non-surgical procedures**

The methods used for injections, blood sampling and non-surgical procedures are outlined in the animal ethics application (or referenced to an existing SOP) and investigators and teachers are required to provide the details of any procedures used in the activity or project with sufficient detail for the AEC to make an assessment on its ethical acceptability.

c 3.3.7

**Anaesthesia, analgesia and sedation, and management of pain and distress**

The methods used for anaesthesia, analgesia and sedation, and management of pain and distress are outlined in the animal ethics application (or referenced to an existing SOP) and investigators and teachers are required to outline the details of any procedures used in the activity or project with sufficient detail for the AEC to make an assessment on its ethical acceptability.

c 3.3.8 - 3.3.15

**Surgical procedures**

The methods used for surgical procedures are outlined in the animal ethics application (or referenced to an existing SOP) and investigators and teachers are required to outline the details of any procedures used in the activity or project with sufficient detail for the AEC to make an assessment on its ethical acceptability.

c 3.3.16

**Postprocedure care**

The methods used for postprocedure care are outlined in the animal ethics application (or referenced to an existing SOP) and investigators and teachers are required to outline the details of any management used in the activity or project with sufficient detail for the AEC to make an assessment on its ethical acceptability.

c 3.3.17

**Creation and breeding of new animal lines where the impact on animal wellbeing is unknown or uncertain**

Breeding of new lines with uncertain or unknown impacts on animal wellbeing is considered and outlined prior to AEC approval. In discussions with the Animal Facility Manager the activity and its outcomes are monitored, recorded and assessed using a commercial animal management database.

c 3.3.24 (i - iv)

In line with Code requirements for ethical assessment and approval the following activities are subject to the AEC approval processes.

- Projects involving the fetus and embryo. c 3.3.21 - 3.3.22
- Induction of tumours. c 3.3.23
- Modification of behaviour and neurological function. c 3.3.25 - 3.3.30
- Immunomodulation and production of antibodies. c 3.3.31 - 3.3.32

**Wildlife and Field Techniques**

No field sites were visited by the external review panel during the review period.

Discussions with an investigator from the Environmental Futures Institute included an outline of their field project. It was established that in the initial submission of the application included details of permits, participant qualifications and competency (including specialist veterinary assistance and volunteers), to undertake the procedures for trapping, capture, handling, monitoring and humane killing (if required).

Procedures involved in wildlife studies were found to be considered and addressed in the planning of activities and projects and identified in the animal ethics RIMS applications (Document 29 - *Field research questionnaire branch* & Document 45a - *Fieldwork animal monitoring record*) submitted to the AEC for approval.



This information was found to include:

- General considerations
- Capture and handling
- Use of traps
- Transport, holding and release
- Tracking the movement of wildlife
- Interference activities
- Voucher specimens
- Studies involving vertebrate pest animals
- Humane killing

c 3.3.33 - c 3.3.46

### END OF COMMENTS RELATING TO CHAPTER 3.3

## Chapter 3.4 - Provisions for animals at the conclusion of their use

It was identified that the institution, through the competency training (Tier 1, 2 & 3 training) and assessment of those involved in the care and use of animals for scientific use, ensure investigators and technicians understand their responsibilities in relation to chapter 3.4. The review found sections of the RIMS application for animal use require the investigator to address the fate of animals at the conclusion of use, including details of any methods of humane killing or release, for approval by the AEC.

**There is no documented process outlining re-housing** however it has been discussed at the AEC meetings in regard to guinea pigs (Document 60b).

c 3.4.1(i) & c 3.4.2 - c 3.4.3

Return to normal husbandry conditions or natural habitat is addressed in the application (Document 29).

c 3.4.1(ii) & c 3.4.4 - c 3.4.5

Humane Killing is addressed in the application (Document 29), *“What will happen to animals at the completion of the project? If the animals will be humanely killed, how will this be done? and “Will animals be humanely killed within sight of other unanaesthetised active animals? If so, please justify why this cannot be avoided. Please also specify if a number of animals will be humanely killed simultaneously.”*

c 3.4.1(iii)

Reuse is specifically addressed in the application (Document 29), *“Have, or will, any of the animals be re-used in other experiments? If so, please specify the AEC protocol number (if known) and justify their use in this project by discussing the benefits balanced against the adverse effects on these animals.”*

c 3.4.1(iv)

The institution was found to encourage tissue sharing and address this in the application (Document 29).

c 3.4.1(v)

### END OF REVIEW FINDINGS RELATING TO CHAPTER 3.4

**Table 3: Section 3 - Review Findings identified as areas highlighted for review by the institution.**

Code Reference	Review Finding
c 3.4.1(i) & c 3.4.2 - c 3.4.3	<b>There is no documented process outlining re-housing</b> however it has been discussed at the AEC meetings in regard to guinea pigs (Document 60b).

Please refer to PART E of the Review report for comments and recommendations relating to the review findings listed in Table 4.

### END OF REVIEW FINDINGS RELATING TO SECTION 3

## SECTION 4: The care and use of animals for the achievement of educational outcomes in science

### Responsibilities

#### Institutions

The review found the institution fulfils its responsibility by providing for a frame work to govern the care and use of animals for scientific purposes in accordance with the requirements of the Code.

It was found to meet these responsibilities by:

- providing governance through the animal ethics framework for teaching activities undertaken at its institution as outlined in Chapter 2.1. c 4.1
- providing governance of the Griffith University AEC to oversee the care and use of animals in teaching activities are as outlined in Chapter 2.2. c 4.2

Information outlining why animals used in a teaching activity is essential to achieve an educational outcome in science, as specified in the relevant curriculum or competency requirements, and suitable alternatives to replace the use of animals to achieve the educational outcome are not available is addressed in the RIMS (see Document 28c), submitted for review to the AEC. c 4.3

The person with ultimate responsibility is identified in the RIMS Animal Ethics Application Coversheet (Documents 28), submitted for review and approval by the AEC. The information submitted includes:

- (i) a declaration that that all people involved understand and accept their role and responsibilities
- (ii) a declaration that procedures and resources are in place so that all people involved can meet their responsibilities (Document 29 - question 42)
- (iii) qualifications and experience that demonstrates the level of competency in respect to the care and use of the animals involved in the activity. (RIMS Coversheet: *Internal Investigator Information*)

c 4.4 (i - iii)

#### Primary and secondary sectors (including secondary agricultural colleges)

Code clauses 4.5 - 4.7 are not found to be relevant to the business of the institution.

#### Animal Ethics Committees

Please refer to the review findings for Section 2 - Chapter 2.3 for details of how the Griffith University AEC undertakes to meet its responsibilities. c 4.8

**Teachers as investigators and animal carers**

Teachers at Griffith University were found have the same responsibilities under the animal ethics framework and be subject to the same processes for undertaking animal use projects for achieving educational outcomes as investigators and Animal Carers.

c 4.9 - c 4.11

The responsibility to educate students about animal ethics identified in the animal ethics questionnaire. Question 6a, *"If this project involves undergraduate students, please describe how it will be ensured that 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 before the use of animals commences. Please also describe what steps will be taken if a student conscientiously objects to the activity."*

The "Ethical guidelines for students using animals or animal tissues for educational purposes (<https://www.adelaide.edu.au/ANZCCART/docs/aust-ethical-guide2013.pdf>) is a useful resource for students."

c 4.12

Employment processes to ensure those engaged to teach (including the care and use animals) on behalf of Griffith University have the necessary qualifications and experience to undertake their duties. Qualifications to participate in the teaching activities using animals is outlined in the RIMS Animal Ethics Application Coversheet (Documents 28).

c 4.13

A documented procedure for rehoming was not identified during the review - **Please refer to the review findings for Section 3 - c 3.4.1 (i) & c 3.4.2 - c 3.4.3.**

c 4.14 (i- iii)

**Obtaining approval from an animal ethics committee**

Teaching projects were found to be submitted to, and approved by the AEC. Examples of teaching projects included:

- Wildlife surveys for enhancing student learning in environmental studies
- Tier 2 Education Training and Competency Assessment for Animal Use at Griffith University.

Teachers apply to the AEC using the on-line RIMS Animal Ethics Application (Documents 28) for animal use activities. In the application sufficient information must be provided for the AEC to be satisfied that the work meets the Code and any institutional requirements for approval.

c 4.15

## **PART D**

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Information regarding locations, times, animals or students that may differ during an approved teaching activity are required to be provided to the AEC using the on-line RIMS Animal Ethics Application (Documents 28 - Question 18 [b]).

c 4.16

AEC approval is not required for the training and application of agricultural extension work practices, or the training of students in veterinary science, veterinary nursing or animal technology to achieve competency-based outcomes in routine procedures if all of the following apply:

- (i) the animals are at their home property or a premises licensed by a state or territory Veterinary Surgeons Board
- (ii) the procedures would normally occur as part of routine management or veterinary clinical management of the animal
- (iii) the animals are not subjected to anything additional to routine management or veterinary clinical management of the animal
- (iv) the Teacher is competent to carry out the procedure.

No comment

c 4.17 (i - iv)

**END OF COMMENTS RELATING TO SECTION 4**

## SECTION 5 - COMPLAINTS AND NON - COMPLIANCE

The institution has developed policy and procedures for addressing complaints and non-compliance relating to the care and use of animals for scientific purposes.

### Responsibilities

The institution has met its responsibility of ensuring procedures are available for addressing complaints and non-compliance relating to the care and use of animals for scientific purposes. Evidence of this requirement being met was found in the institution-wide and animal ethics-specific guidance publicly available on the Griffith University's webpages.

These policy and procedures, (Documents 3, 4, 6 & 17) are available on the Griffith University Complaints and Grievances Webpage: <https://www.griffith.edu.au/about-griffith/corporate-governance/complaints-and-grievances> and the Animal Ethics Applications and Projects webpage: [https://www.griffith.edu.au/\\_data/assets/pdf\\_file/0035/179099/booklet\\_AEC\\_-\\_Complaints-MN-v9.pdf](https://www.griffith.edu.au/_data/assets/pdf_file/0035/179099/booklet_AEC_-_Complaints-MN-v9.pdf) (Document 17).

c 5.1

The animal ethics complaints and non-compliance processes (Document 17) outlines procedures to address complaints and non-compliance in regard to :

- giving priority consideration to the wellbeing of the animals, and ensure that activities with the potential to adversely affect animal wellbeing cease immediately (Document 17 - 9.3: *Initial receipt*)  
c 5.2 (i)
- clearly defining the mechanisms for receiving, investigating and addressing complaints (Document 17 - 9.0: *Concerns or complaints about a researcher and/or the ethical conduct of a research project*)  
c 5.2 (ii)
- clearly defining the mechanisms for addressing non-compliance with the Code (Document 17 - 12.0: *Formal investigation*)  
c 5.2 (iii)
- clearly defining the responsibilities of all parties (Document 17 - 4.0: *Investigator Responsibilities*, - 5.0 *Responsible Investigator Responsibilities*, - 6.0: *AEC Responsibilities*, - 7.0: *Institutional Responsibilities*)  
c 5.2 (iv)

- ensuring fair, prompt, timely, effective, confidential processes that accord with procedural fairness, the principles of natural justice and protection of whistleblowers (Documents 3, 4, 6 & 17)

c 5.2 (v)

- Identifying and ensuring appropriate reporting to the institution, AEC, state or territory government authorities, and any other relevant bodies. (Document 17 - 12.4: *Notifications at the commencement*)

c 5.2 (vii)

- It was found that the institution has made these procedures available through the Griffith University Complaints and Grievances Webpage: <https://www.griffith.edu.au/about-griffith/corporate-governance/complaints-and-grievances> and the Animal Ethics Applications and Projects webpage: [https://www.griffith.edu.au/\\_data/assets/pdf\\_file/0035/179099/booklet\\_AEC\\_-\\_Complaints-MN-v9.pdf](https://www.griffith.edu.au/_data/assets/pdf_file/0035/179099/booklet_AEC_-_Complaints-MN-v9.pdf)

c 5.2 (vii)

**No procedure for the reporting of complaints and non-compliance for projects involving more than one institution / AEC was identified**, however it was found to be addressed in formal agreements between institutions where a formal agreement exists.

c 5.3

## Receiving, investigating and addressing complaints

### Complaints concerning the care and use of animals and animal ethics committee process

The institution was found to detail in the *Animal Ethics Manual - Booklet 1*, the management of complaints in accordance with the Code requirements and with the *Australian code for the responsible conduct of research*.

No complaints during the 2017 - 2020 period were identified in the review.

c 5.4 - c 5.6

### Complaints concerning the process for independent external review

Institutional procedures for addressing complaints concerning the process for independent external review (c 6.5) were identified (Document 17 - 12.0: *Formal investigation*). The institution and the independent external review service provider enter into a formal agreement that provides an avenue for addressing complaints. (Document 76).

c 5.7

Complaints and non-compliance procedures makes reference to referral to a person or agency external to the institution. (Document 17 - 13.0: *External independent investigation*)

c 5.8

### Addressing non-compliance

The institution was found to address non-compliance with the Code, so that behaviours that create and support compliance are encouraged, and behaviours that compromise compliance are not tolerated, through preventative education ([Learning@Griffith](#)), actively promoting the governing principles, providing an ethical framework that encourages compliance and ensuring procedures are in place to manage instances of non-compliance. (Document 17 - 10.0: *Alleged non-compliance with the Code*, 12.0: *Formal Investigation* & 14: *Research Misconduct*)

c 5.9

The institution through the Office for Research maintains records associated with AEC business.

c 5.10

### Advising regulatory authorities

No comment

c 5.11 - c 5.12

**Table 4: Section 5 - Review Findings identified as areas highlighted for review by the institution.**

Code Reference	Review Finding
c 5.3	<b>No procedure for the reporting of complaints and non-compliance for projects involving more than one institution / AEC was identified</b> , however it was found to be addressed in formal agreements between institutions where a formal agreement exists.

Please refer to PART E of the Review report for comments and recommendations relating to the review findings listed in Table 5.

## END OF REVIEW FINDINGS RELATING TO SECTION 5



## SECTION 6 - INDEPENDENT EXTERNAL REVIEW OF THE OPERATION OF INSTITUTIONS

The institution has a review schedule to assess its level of compliance with the Code, and to ensure the continued suitability, adequacy and effectiveness of its procedures to meet its responsibilities under the Code by engaging an external review provider, Scientific Auditing Services Pty Ltd. to undertake an independent external review - GRU02022021.

c 6.1

### Responsibilities

The institution was found to meet its responsibilities to organise an independent external review by:

- by contracting Scientific Auditing Services P/L for the review to be conducted by external people who are independent of the institution and the activities conducted on behalf of the institution, and who have appropriate qualifications and/or experience relevant to the activities of the institution.

c 6.2 (i)

- establishing, and accepting the procedures of Scientific Auditing Services P/L, that require members of the review panel to declare their interests, and ensure conflicts of interest are managed appropriately.

c 6.2 (ii)

- ensuring, through the processes of Scientific Auditing Services P/L, that members of the review panel are advised of requirements for confidentiality.

c 6.2 (iii)

- providing the review panel with the necessary authority and resources to conduct the independent review of the activities of the institution. This has included providing Scientific Auditing Services P/L with access to people, information, records and premises, and provision of reasonable assistance.

c 6.2 (iv)

- Please note that c 6.2 (v &vi) are to be considered and acted upon by the institution after the report has been accepted by the institution.

c 6.2 (iv)

- Please note that (c 6.2 [v &vi]) are to be considered and acted upon by the institution after the report has been accepted by the institution.

Griffith University provided the report from the most recent external review (GU09062016) in 2017 undertaken by the Scientific Auditing services. The institution, in the 4 year period between independent external reviews has considered and adopted recommendations provided in the Report GU09062016.

c 6.3

### Review Panel

The independent external review panel has met its responsibilities in undertaking a review of the Griffith University animal ethics framework and:

- providing written declaration detailing from each external review panel member any actual or potential conflicts of interest to Scientific Auditing Services P/L.

c 6.4 (i)

- signing an agreement with Scientific Auditing Services P/L that included a confidentiality clause specific to review GRU02022021.

c 6.4 (ii)

- developing a process and schedule with the Office for Research for the manner in which review GRU02022021 is conducted including a desktop review of documents, attendance at an AEC meeting (11 March, 2021), an on-site visit to the Animal Facilities at the Nathan and Gold Coast Campuses, and meetings with the animal ethics coordinator, AEC chair, investigators and Animal Facility Staff.

c 6.5 (i)

- documenting the findings and providing recommendations from the review in a report presented to the institution in April, 2021.

c 6.5 (ii)

### Scope and outcomes of the independent external review

The external review report GRU02022021 in its entirety includes information regarding:

- the conduct of all people involved in the care and use of animals for scientific purposes on behalf of the institution, including the AEC, institutional officers and administrators, investigators and animal carers

c 6.6 (i)

- the adequacy of the institutional program to ensure that the care and use of animals for scientific purposes is conducted in conformance with the Code; is subject to ethical review, approval and monitoring by an AEC; and is conducted in accordance with the AEC approval

c 6.6 (ii)

- the adequacy of institutional support, resources and educational programs for the AEC and its members, and for people involved in any aspect of the care and use of animals for scientific purposes, to ensure that they can meet their responsibilities under the Code  
c 6.6 (iii)
- whether the AEC is operating effectively in accordance with the Code  
c 6.6 (iv)
- the effectiveness of institutional strategies to promote and monitor the implementation of the governing principles  
c 6.6 (v)
- whether there is effective monitoring of the wellbeing of animals  
c 6.6 (vi)
- whether facilities used to house animals are managed to support and safeguard animal wellbeing  
c 6.6 (vii)
- if applicable, an assessment of the report from the previous external review and actions taken in response to recommendations in that report.  
c 6.6 (viii)

The external review in it's entirety has provided recommendations that:

- identify areas of concern that may be found to be non-compliant in a regulatory compliance review. The findings related to this provision is detailed in Section E of report GRU02022021.  
c 6.7 (i)
- support strategies for short-term and long-term continual improvement. The findings related to this provision is detailed in Section E of report GRU02022021.  
c 6.7 (ii)
- give recognition to behaviours and actions by individuals and teams that support conformance with the Code. The findings related to this provision is detailed in Section C of report GRU02022021.  
c 6.7 (iii)

## END OF REVIEW FINDINGS RELATING TO SECTION 6

**TABLE 5: Summary of Review Findings, Recommendations and Comments Arising from the Review Findings in Part D**

		<p>The clauses listed in this table have been identified during the review period as requiring review by the institution to ensure Griffith University's procedures are effective and adequate to meet its responsibilities under the the Australian code for the care and use of animals for scientific purposes - 8th Edition.</p> <p>The following Code provisions (clauses) have been identified for further review by the institution:</p> <ul style="list-style-type: none"> <li>• c 2.2.12</li> <li>• c 2.2.33 - c2.2.36</li> <li>• c 3.4.1(i) &amp; c 3.4.2 - c 3.4.3</li> <li>• 5.3</li> </ul> <p>Recommendations and comments made by the External Review Panel in relation to the listed clauses have been made to assist the institution in its efforts to continually improve its animal ethics framework and maintain its high level of compliance with the Australian code for the care and use of animals for scientific purposes - 8th Edition.</p>
	<p>For Reference CR : Code Reference RF : Review Finding from Part D R : Recommendation C : Comment</p>	

<b>CR1</b>	Code reference for review finding relating to Clause 2.2.12	<b><i>Appointment, reappointment and retirement of members</i></b> <i>Institutions should ensure that AEC members undergo appropriate induction, and have access to appropriate education programs and resources.</i>
<b>RF1</b>	Review Finding in relation to Clause 2.2.12	<b>Appointment, reappointment and retirement of members</b>  In discussions with the animal ethics coordinator it was established the institution meets these responsibilities by providing induction to new and returning members including the signing of a membership deed (Document 14), a face-to-face meeting with the AEC Chair, animal ethics officer and complete on-line (Tier 1 training) training.  <b>No documented procedure specifically for the induction and training for AEC members was identified however, in discussions with the Animal Ethics Coordinator the induction process was outlined.</b>
<b>R1</b>	Recommendation in relation to Clause 2.2.12	Include a list or outline of all induction (or resource kit) requirements for AEC members in the <i>AEC Standard Operating Procedures</i> (Document 16) in section 16: <i>Member Training</i> .
<b>C1</b>	Comment in relation to Clause 2.1.5 [v] c	The induction process for AEC members outlined by the animal ethics coordinator appeared comprehensive however it was hard to identify what documents and processes were included.

<b>CR2</b>	Code reference for review finding relating to Clause c 2.2.33 - c 2.2.36	<p><b>Standard operating procedures</b></p> <p>2.2.33 <i>Institutions, in consultation with the AEC, may allow the AEC to consider and approve standard operating procedures (SOPs) relating to the care and use of animals. Reference to SOPs can help people prepare applications to the AEC, but may make it more difficult for the AEC to apply rigour when evaluating procedures described in applications. An SOP must only be referenced in an application under the following conditions:</i></p> <ul style="list-style-type: none"> <li>(i) <i>the SOP must have current approval from the AEC</i></li> <li>(ii) <i>the SOP must include in its title the date of approval or last review by the AEC</i></li> <li>(iii) <i>investigators named in the application must be competent to implement the SOP</i></li> <li>(iv) <i>any variation to an SOP must be described in the application and should be considered as a prompt for review of the SOP.</i></li> </ul> <p>2.2.34 <i>New SOPs must not be used until approved by the AEC, and may be included with an application for consideration by the AEC.</i></p> <p>2.2.35 <i>If an approved SOP is not reviewed by the AEC within three years of its approval, approval for the SOP lapses, and the SOP cannot be used.</i></p> <p>2.2.36 <i>Approved SOPs must be made available to all relevant people, including AEC members.</i></p>
<b>RF2</b>	Review Finding in relation to Clauses 2.2.33 - 2.2.36	<p>The institution in consultation with the AEC allows the use of SOPs. Examples of the SOPs were provided for review. SOPs for procedures used in the animal facilities (Documents 57a &amp; 57b) and SOPs in wildlife studies (Documents 58a- 58e) were reviewed. Whereas the animal facilities SOPs are reported in the minutes as under review in early 2021 the wildlife SOPs expired up to 4 years ago in 2017. Expired SOPs are still available on the webpage <a href="https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-applications/standard-operating-procedures">https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-applications/standard-operating-procedures</a>.</p> <p><b>As SOPs are used within the institution the current system of SOPs, in particular, those available for wildlife studies require review to ensure they meet the Code requirements.</b></p>

<b>R2</b>	Recommendation in relation to Clauses 2.2.33 - 2.2.36	Continue with the process of review and approval in line with the Code that is underway with the Biosciences and Laboratory SOPs. Include in this process the expired SOPs for wildlife (Documents 58 [a - e]) available on the Griffith University website.
<b>C2</b>	Comment in relation to Clauses 2.2.33 - 2.2.36	It is important to ensure that SOPs, particularly those that are publicly available on the institution's website are not out of date and there is confidence that they reflect current best practice used in the care and use of animals.
<b>CR3</b>	Code reference for review finding relating to Clauses 3.4.1(i) & 3.4.2 - 3.4.3	<p><i>Provisions for animals at the conclusion of their use must be made promptly and in accordance with the animal ethics committee (AEC) approval.</i></p> <p><i>Provisions may include:</i></p> <p><i>(i) rehousing (rehoming) (see Clauses 3.4.2–3.4.3)</i></p> <p><i>3.4.2 Opportunities to rehome animals should be considered wherever possible, especially when the impact of the project or activity on the wellbeing of the animal has been minimal and their physiological condition and behavioural attributes indicate that they can be introduced to a new environment with minimal, transient impact on their wellbeing.</i></p> <p><i>3.4.3 An animal must not be released to a person at the conclusion of their use unless:</i></p> <p><i>(i) the AEC has approved such release</i></p> <p><i>(ii) safeguards are in place and approved by the AEC to ensure the ongoing wellbeing of the animal. In the case of primary and secondary level students, safeguards must include a written commitment from a parent or guardian for the provision of adequate, ongoing and responsible care of the animal, and demonstrating an awareness of relevant legislative requirements regarding the animal being rehomed</i></p> <p><i>(iii) transport of animals between sites is in accordance with Clauses 3.2.5–3.2.8.</i></p>

<b>RF3</b>	Review Finding in relation to Clauses 3.4.1(i) & 3.4.2 - 3.4.3	<b>There is no documented process outlining re-housing</b> however it has been discussed at the AEC meetings in regard to guinea pigs (Document 60b).
<b>R3</b>	Recommendation in relation to Clauses 3.4.1(i) & 3.4.2 - 3.4.3	Provide guidance through an SOP or other AEC procedure to include the provision of c 3.4.2 - c 3.4.3.
<b>C3</b>	Comment in relation to Clauses 3.4.1(i) & 3.4.2 - 3.4.3	As rehoming comes up from time to time it would be useful to provide a structure to the process to ensure animals are suitable to rehome and options for rehoming are acceptable, documented and fulfil the obligations outlined under the Code.
<b>CR4</b>	Code reference for review finding relating to Clause 5.3	<b>Responsibilities</b> <i>For projects involving more than one institution and/or AEC (see Clauses 2.6.4–2.6.7), procedures <b>should</b> include mechanisms for reporting between the relevant institutions and AECs on complaints and non-compliance.</i>
<b>RF4</b>	Review Finding in relation to Clause 5.3	<b>No procedure for the reporting of complaints and non-compliance for projects involving more than one institution / AEC was identified</b> , however it was found to be addressed in formal agreements between institutions where a formal agreement exists.



<b>R4</b>	Recommendation in relation to Clause 5.3	It is recommended that the institution include a documented process for the reporting of any complaints or non-compliance between institutions / AECs involved in collaboratory projects or activities where there is no formal agreement in place. These may be included in the <i>Guidelines for animal care and use in research and teaching</i> (Document 25).
<b>C4</b>	Comment in relation to Clause 5.3	Griffith University has processes surrounding complaints and non-compliance so robust processes are already in place to ensure that the institution can maintain its compliance with the Code and State's requirements. Where there is a formal agreement in place there is a documented process for communication. It is recommended when there is no formal agreement in place, there should be an avenue for communication of any potential negative issues concerning the actions of external parties that may impact on its staff or facilities or the reputation of the institution so it may be managed for the best possible outcome.

## DOCUMENT LIST

Document Number	
	<b>Please Note</b> - All hard copy and electronically sourced and stored documents that were used for review are listed in this table. E-documents were supplied by Griffith University or found on the website <a href="https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal">https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal</a> during the course of Review <b>GRU02022021</b>
	<b>Governance (Institutional Policy and Procedure )</b>
1	Organisational Structure <a href="https://www.griffith.edu.au/about-griffith/structure-and-governance/organisational-structure">https://www.griffith.edu.au/about-griffith/structure-and-governance/organisational-structure</a>
2	University Committees Directory <a href="https://www.griffith.edu.au/about-griffith/corporate-governance/university-committees">https://www.griffith.edu.au/about-griffith/corporate-governance/university-committees</a>
3	Institution-wide Complaints and Grievances Policy and Procedures <a href="https://www.griffith.edu.au/about-griffith/corporate-governance/complaints-and-grievances">https://www.griffith.edu.au/about-griffith/corporate-governance/complaints-and-grievances</a>
4	Whistleblowing (Public Interest Disclosure) <a href="https://www.griffith.edu.au/about-griffith/corporate-governance/whistleblowing">https://www.griffith.edu.au/about-griffith/corporate-governance/whistleblowing</a>
5	Conflict of Interest <a href="https://www.griffith.edu.au/about-griffith/corporate-governance/conflict-of-interest">https://www.griffith.edu.au/about-griffith/corporate-governance/conflict-of-interest</a>
6	Griffith University - The Responsible Conduct of Research <a href="https://sharepointpubstor.blob.core.windows.net/policylibrary-prod/The%20Responsible%20Conduct%20of%20Research.pdf">https://sharepointpubstor.blob.core.windows.net/policylibrary-prod/The%20Responsible%20Conduct%20of%20Research.pdf</a>
	<b>Animal Ethics Public Website</b>
7	Animal Ethics Website <a href="https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal">https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal</a>
8	On-line Training <a href="https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-training">https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-training</a>
9	Animal Ethics Applications and Projects <a href="https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-applications">https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-applications</a>
10	Biosciences Resources Facility (authorised access only) <a href="https://auth.griffith.edu.au/idp/SSO.saml2">https://auth.griffith.edu.au/idp/SSO.saml2</a>
11	Animal Ethics (As part of our commitment to the ethical principles of the Code, we offer an annual 3Rs Award) <a href="https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-committee">committeehttps://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-committee</a>
12	Ethical Awards ( <a href="https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/3rs-award">https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/3rs-award</a>

13	External Resources (links offer integral information and guidelines regarding the welfare and care of animals used in scientific research) <a href="https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/external-resources">https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/external-resources</a>
	<b>AEC Governance (AEC-specific Policy and Procedure )</b>
14	Animal Ethics Committee Constitution (Publicly available at time of the review - under revision)
15	Animal Ethics Cttee Constitution_revision March 2021.docx (Revision accepted post-review - replaces document 14 as publicly available TOR)
16	AEC Standard Operating Procedures V3.00-0716 <a href="https://www.griffith.edu.au/_data/assets/pdf_file/0018/211743/Revised-AEC-Standard-Operating-Procedures-v3.pdf">https://www.griffith.edu.au/_data/assets/pdf_file/0018/211743/Revised-AEC-Standard-Operating-Procedures-v3.pdf</a>
17	Animal Ethics Manual_AEC_Complaints.pdf Website: <a href="https://www.griffith.edu.au/_data/assets/pdf_file/0035/179099/book-let_AEC_-Complaints-MN-v9.pdf">https://www.griffith.edu.au/_data/assets/pdf_file/0035/179099/book-let_AEC_-Complaints-MN-v9.pdf</a>
18	Conscientious Objections to the Use of Animals or Animal Products in Teaching and Assessment Policy <a href="https://sharepointpubstor.blob.core.windows.net/policylibrary-prod/Conscientious%20Objections%20Animals.pdf">https://sharepointpubstor.blob.core.windows.net/policylibrary-prod/Conscientious%20Objections%20Animals.pdf</a>
	<b>Annual Reports for Research Committee</b>
19a	2017 Annual Report for Research Committee.pdf
19b	2018 Annual Report for Research Committee.pdf
19c	2019 Annual Report for Research Committee.pdf
19d	2020 Annual Report for Research Committee.pdf
	<b>Previous Review Reports</b>
20	External Review Report 2017.pdf
21	Final Animal Ethics Internal Audit Report.pdf
	<b>Inter- institutional Agreements</b>
22	ANTSO MOU_executed.pdf
23	Inter-Institutional Agreement_GU_QUT_20180412.pdf
	<b>Current Projects</b>
24	AEC active projects.xlsx

	<b>Animal Ethics Application - Applications, Reports and Guidelines</b>
25	Griffith-University-Guidelines-for-Animal-Care-and-Use-v2.1-1.pdf Website copy : <a href="https://www.griffith.edu.au/_data/assets/pdf_file/0025/209725/Griffith-University-Guidelines-for-Animal-Care-and-Use-v2.1-1.pdf">https://www.griffith.edu.au/_data/assets/pdf_file/0025/209725/Griffith-University-Guidelines-for-Animal-Care-and-Use-v2.1-1.pdf</a>
26	Checklist for lab based and free ranging studies: <a href="https://www.griffith.edu.au/_data/assets/pdf_file/0034/996415/CHECKLIST-for-lab-based-and-free-ranging-studies.pdf">https://www.griffith.edu.au/_data/assets/pdf_file/0034/996415/CHECKLIST-for-lab-based-and-free-ranging-studies.pdf</a>
27	Animal Ethics Advisors: <a href="https://www.griffith.edu.au/_data/assets/pdf_file/0021/1238520/Animal-Ethics-Advisors-updated.pdf">https://www.griffith.edu.au/_data/assets/pdf_file/0021/1238520/Animal-Ethics-Advisors-updated.pdf</a>
28a	RIMS Animal Ethics Application Process - Quick Reference Guide <a href="https://www.griffith.edu.au/_data/assets/pdf_file/0026/209744/Create-a-Animal-Ethics-Application-Quick-reference-guide-v1.15.pdf">https://www.griffith.edu.au/_data/assets/pdf_file/0026/209744/Create-a-Animal-Ethics-Application-Quick-reference-guide-v1.15.pdf</a>
28b	Guidelines-for-completing-an-application-form-RIMS-Factsheet-V2.pdf Website copy: <a href="https://www.griffith.edu.au/_data/assets/pdf_file/0026/209726/Guidelines-for-completing-an-application-form-RIMS-Factsheet-V2.pdf">https://www.griffith.edu.au/_data/assets/pdf_file/0026/209726/Guidelines-for-completing-an-application-form-RIMS-Factsheet-V2.pdf</a>
28c	Create_an_Animal_Ethics_Approval_Application_-_Quick_reference_guide_.docx.pdf
29	RMS-Animal-Ethics-Questionnaire-v1 1.docx
30	AE Adverse Event Report Coversheet.docx
31	AE Report Annual CoversheetID.docx
32	AE Report Final CoversheetID.docx
33	AE Report Variation CoversheetID.docx
34	Animal Ethics Approval Email.pdf
35	Team_Member_Table-v5.1
36	Animal_Ethics_New_Team_Members_Declaration_Form
37	Signing an application <a href="#">Team Member / Head of School submission approval quick reference guide</a>
38	Signing an application <a href="#">New Team Members Declaration Form</a>
39	<a href="#">Ratification of projects approved by other Animal Ethics Committees</a>
40	Signing an application <a href="#">External Researchers Declaration form</a>
41	Example Animal Ethics Approval Certificate.pdf
42	AEC_Provisional_Approval_and_Approval_Fact_Sheet_180418.pdf
43	Provisional Approval email.pdf
44	Resubmit email.pdf
	<b>Monitoring Sheets</b>
45a	Fieldwork-Animal-Monitoring-Record
45b	Daily-animal-monitoring-and-clinical-scoresheet-template-BRF-JV
	<b>Project Dossiers (Complete Projects)</b>

<b>46</b> <sub>(0 - 38)</sub>	ESK0217AEC (39 Documents )
<b>47</b> <sub>(0 - 21)</sub>	GLY0419AEC (22 Documents)
	<b>Examples of Completed Reports</b>
<b>48</b>	Variations: ENV0518AEC Variation.pdf
<b>49a</b>	Annual Reports: ENV1120AEC Annual Report.pdf
<b>49b</b>	Annual Reports: GLY0919AEC Annual Report.pdf
<b>49c</b>	Annual Reports: MHIQ0620AEC Annual Report.pdf
<b>50a</b>	Final Reports: ENV1020AEC Final Report.pdf
<b>50b</b>	Final Reports: MSC0319AEC Final Report.pdf
	<b>Animal Facility Inspections</b>
<b>51a</b>	2017: G26 inspection record 24 August 2017.pdf
<b>51b</b>	2017: G40 inspection record 18 May 2017.pdf
<b>51c</b>	2017: N75 inspection record 27 July 2017.pdf
<b>52a</b>	2018: G12 inspection 7 November 2018.pdf
<b>52b</b>	2018: G26 inspection November 2018.pdf
<b>52c</b>	2018: G40 inspection November 2018.pdf
<b>52d</b>	2018: GRIDDD inspection July 2018.pdf
<b>53a</b>	2019: G12 G40 31 October 2019.pdf
<b>53b</b>	2019: G26 Inspection 31 October 2019.pdf
<b>53c</b>	2019: GRIDDD 18 July 2019.pdf
<b>53d</b>	2019: Random Inspection GRIDDD 300919.pdf
<b>54a</b>	2020: Animal Facility Inspection Form G26 2020.pdf
<b>54b</b>	2020: Animal Facility Inspection Form G40 2020.pdf

54c	2020: Animal Facility Inspection Form GRIDD 2020.pdf
	<b>Post - Approval Compliance Review Reports</b>
55a	AEC Compliance Review Meeting Report 11 March Alison Peel.pdf
55b	AEC Compliance Review Meeting Report Brnd Rehm 08102020.pdf
55c	AEC Compliance Review Meeting Report James St John 2019.pdf
55d	AEC Compliance Review Meeting Report Susan Bengsten-Nash 21102020.pdf
	<b>SOPs</b>
56	List of AEC approved SOPs 2021.xlsx
57a	BRF_SOP_31.pdf
57b	BRF_SOP_83.pdf
58a	Wildlife SOP <a href="https://www.griffith.edu.au/_data/assets/pdf_file/0032/209786/SOP-W-1-Netting-and-Trapping-FW-fish_final_Nov2016.pdf">https://www.griffith.edu.au/_data/assets/pdf_file/0032/209786/SOP-W-1-Netting-and-Trapping-FW-fish_final_Nov2016.pdf</a>
58b	Wildlife SOP <a href="https://www.griffith.edu.au/_data/assets/pdf_file/0033/209787/SOP-W-2-Electrofishing-in-FW-Final_Nov2016.pdf">https://www.griffith.edu.au/_data/assets/pdf_file/0033/209787/SOP-W-2-Electrofishing-in-FW-Final_Nov2016.pdf</a>
58c	Wildlife SOP <a href="https://www.griffith.edu.au/_data/assets/pdf_file/0034/209788/SOP-W-3-Euthanasia-of-fish2016-1.pdf">https://www.griffith.edu.au/_data/assets/pdf_file/0034/209788/SOP-W-3-Euthanasia-of-fish2016-1.pdf</a>
58d	Wildlife SOP <a href="https://www.griffith.edu.au/_data/assets/pdf_file/0035/209789/SOP-W-4-Collecting,-Swabbing-and-Marking-Frogs-2015.pdf">https://www.griffith.edu.au/_data/assets/pdf_file/0035/209789/SOP-W-4-Collecting,-Swabbing-and-Marking-Frogs-2015.pdf</a>
58e	Wildlife SOP <a href="https://www.griffith.edu.au/_data/assets/pdf_file/0027/209790/SOP-W-6-Fin-clipping-of-fish-2016.pdf">https://www.griffith.edu.au/_data/assets/pdf_file/0027/209790/SOP-W-6-Fin-clipping-of-fish-2016.pdf</a>
	<b>Tier 2 training Records</b>
59a	20201304152338.pdf
59b	20201304152351.pdf

<b>59c</b>	20201304152403.pdf
	<b>Agenda and Minutes</b>
<b>60a</b>	Agenda AEC 0121.pdf
<b>60b</b>	AEC Minutes 0121.pdf
<b>60c</b>	AEC Minutes 0121Sub committee.pdf
<b>61a</b>	Agenda AEC 0320.pgf
<b>61b</b>	AEC Minutes 0320.pdf
<b>62a</b>	Agenda AEC 0420.pdf
<b>62b</b>	AEC Minutes 0420.pdf
<b>63a</b>	Agenda AEC 0520.pdf
<b>63b</b>	AEC Minutes 0520.pdf
<b>63c</b>	Agenda AEC 0520 Sub Committee.pdf
<b>64a</b>	Agenda AEC 0620.pdf
<b>64b</b>	AEC Minutes 0620.pdf
<b>65a</b>	Agenda AEC 0720.pdf
<b>65b</b>	AEC Minutes 0720.pdf
<b>66a</b>	Agenda AEC 0820.pdf
<b>66b</b>	AEC Minutes 0820.pdf
<b>67a</b>	Agenda AEC 0920.pdf

<b>67b</b>	AEC Minutes 0920.pdf
<b>68a</b>	Agenda AEC 1020.pdf
<b>68b</b>	AEC Minutes 1020.pdf
-	<b>AEC Meeting Documents</b>
<b>69</b>	Agenda AEC0221.pdf
<b>See 60b</b>	Item 2.0 AEC Minutes 0121.pdf
-	<b>Agenda Item 4.2 - Reports of the ethical conduct of Protocols</b>
<b>70<sub>(a1 - j3)</sub></b>	Item 4.2 Annual reports - (62 items - Annual Reports in alphabetical order)
-	<b>Agenda Item 5 - AEC Secretary Report</b>
<b>71a</b>	<b>Agenda Attachments</b> - Agenda item 5.1 Update on Tier 1 training word copy
<b>71b</b>	<b>Agenda Attachments</b> - Agenda item 5.1 pdf copy
-	<b>Agenda Items 8.1 - Applications for Full Ethical Review</b>
<b>72a</b>	<b>Word copies</b> ENV0521AEC (26 items)
<b>72b</b>	<b>Word copies</b> GLY0321AEC (9 items)
<b>72c</b>	<b>Word copies</b> GRIDD0321AEC (13 items)
<b>72d</b>	<b>Word copies</b> MHIQ0321AEC (3 items)
<b>72e</b>	<b>Word copies</b> MHIQ0421AEC (5 items)
<b>72f</b>	<b>Word copies</b> MHIQ0521AEC (4 items)
<b>72g</b>	<b>Word copies</b> MHIQ1120AEC (10 items)



<b>72h</b>	<b>Word copies</b> MSC0321AEC (7 items)
<b>72i</b>	<b>Applications</b> - 0221 APP 1 MSC0321AEC.pdf
<b>72j</b>	<b>Applications</b> - 0221 APP 2 MHIQ0321AEC.pdf
<b>72k</b>	<b>Applications</b> - 0221 APP 3 GRIDD0321AEC.pdf
<b>72l</b>	<b>Applications</b> - 0221 APP 4 GLY0321AEC.pdf
<b>72m</b>	<b>Applications</b> - 0221 APP 5 ENV0521AEC.pdf
<b>72n</b>	<b>Applications</b> - 0221 APP 6 MHIQ0521AEC.pdf
<b>72o</b>	<b>Applications</b> - 0221 APP 7 MHIQ1120AEC.pdf
	<b>Agenda Item 9.1 - Variations to Approved Protocols</b>
<b>73a</b>	Variations to approved Protocols
<b>73b</b>	Variations - Word - GLY0519AEC (3 Items)
<b>73c</b>	Variations - Word - MHIQ0720AEC (4 Items)
<b>73d</b>	Variations - 0221 VAR 1 GLY0519AEC.pdf
<b>73e</b>	Variations - Word - 0221 VAR 2 MHIQ0720AEC.pdf
	<b>Agenda Item 11.1 - Prior Review Applications</b>
<b>74a</b>	<b>Applications</b> - Prior Review - 0221 APP 1 MHIQ0221AEC.pdf
<b>74b</b>	<b>Applications</b> - Prior Review - 0221 APP 2 MHIQ0321AEC.pdf
	<b>Meeting Minutes (provided post-review on-site visit)</b>
<b>75</b>	AEC Minutes 0221.pdf

	<b>Independent External Review Contract</b>
<b>76</b>	Independent External Review Service Provider Agreement with Griffith University

**ACRONYMS AND ABBREVIATIONS USED IN THIS REPORT****List of acronyms and abbreviations that may be found in review report GRU02022021**

Acronym and Abbreviation	Meaning
3Rs	The Principles of Replacement, Reduction and Refinement
AEC	Animal Ethics Committee
AFM	Animal Facility Manager
DAF	Queensland Department of Agriculture and Fisheries
ERP	External Review Panel
IVCs	Individually Ventilated Cages
NHMRC	National Health and Medical Research Council
OFR	Office for Research
QLD	Queensland
c	Clause
SOPs	Standard Operating Procedures
the Code	<i>Australian code for the care and use of animals for scientific purposes 8th Edition 2013</i>
GRIDD	Griffith Research Institute for Drug Development
GRU	Griffith University

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