



Animal Use Report

Animal Welfare Act 2002, Part 2 (Use of Animals for Scientific Purposes)

01 January 2013 - 31 December 2013

What is the Animal Use Report?

This report is the new format used by the Department of Agriculture and Food WA (DAFWA) to collect information required as a condition of your licence to use or supply animals for scientific purposes (under the *Animal Welfare Act 2002*). The information to be provided is for the scientific use of animals which occurred in Western Australia during the calendar year (i.e. 1 January to 31 December).

This information must be submitted by all Licensees by 30th April 2014.

The report is made up of five sections.

| | | |
|------------|--|---------|
| Section 1: | AEC annual report cover sheet, AEC annual report template, and statement of compliance with the Scientific Use Code ¹ | Page 2 |
| Section 2: | Licensee's annual review of its animal use activities | Page 8 |
| Section 3: | Death as an end point testing report | Page 11 |
| Section 4: | Animal use and/or supply statistics | Page 13 |
| Section 5: | Checklist | Page 23 |

How do I submit the report?

The completed reports must be submitted electronically using Microsoft Word and/or Excel.

Other formats may be accepted with prior approval of a scientific inspector (contact details below).

1. Preferred method:

Email the report as an attachment to: scientific.licensing@agric.wa.gov.au

(Please put the name of the licensee and 'licensee's report' in the subject line).

OR

2. Post the completed report on CD or DVD to the address below.

Scientific Licensing
Regulation and Response
Department of Agriculture and Food WA
Locked Bag 4
Bentley Delivery Centre WA 6983

Where do I get help to complete the report?

Explanations have been provided for each section of the return. If after you have read the explanation and still have questions, email: scientific.licensing@agric.wa.gov.au. If your query is more urgent, you may contact Bridget Kennedy (scientific inspector) on (08) 9366 2357.

¹ The 7th edition of the "Australian code of practice for the care and use of animals for scientific purposes" published by the National Health and Medical Research Council

Section 1: Animal Ethics Committee Annual Report Coversheet and Template

This section details information on Animal Ethics Committee (AEC) activities. To be completed for ALL licensed scientific establishments (including where AEC services are being provided by another institution's AEC)

***** Please note this information is to be completed for scientific use of animals in Western Australia ONLY *****

| Animal Ethics Committee Annual Report Cover Sheet | | |
|---|-----------------------------|------------------------------|
| REPORTING YEAR 1 January 2013 – 31 December 2013 | | |
| 1. Licensed Scientific Establishment & Address | | Licence Number |
| 2. AEC Name | | |
| 3. Number of AEC meetings held | | |
| 4. Total number of facility inspections carried out by the AEC of the licensee | | |
| 5. Number of projects submitted by the licensee but not approved (include all projects not approved. Note reason for non-approval in the AEC annual report). | | |
| 6. Number of new projects approved for the licensee without additional conditions imposed by the AEC. | | |
| 7. Number of continuing projects approved for the licensee without additional conditions imposed by the AEC. | | |
| 8. Number of new and continuing projects approved for the licensee with conditions imposed by the AEC, before approval was granted. | | |
| 9. Number of new and continuing projects approved for the licensee with conditions imposed by the AEC, after approval was granted. | | |
| 10. Number of licensee's projects for which AEC approval was withdrawn prior to completion. | | |
| 11. Have any projects which include 'death as an end point' been approved by the AEC for the licensed scientific establishment? (If any, complete Section 3) | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 12. Are all surgical procedures carried out under appropriate local or general anaesthesia? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 13. Are aseptic techniques used where it is intended that all animals will recover from surgery? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 14. When the animal is to recover from anaesthesia, do the surgical procedures conform to accepted standards in medical or veterinary practice? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 15. Where surgical procedures are undertaken, is there a pain management plan aimed at the prevention or alleviation of pain that is appropriate for the procedures and the species? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 16. Has the relevant pain management plan been implemented for each project involving surgical procedures? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 17. When were pain management plan/s last reviewed? | Date: _____ | |
| 18. When analgesic and/or sedatives or anaesthetic agents are required, do they conform to accepted standards in medical or veterinary practice? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 19. Following a surgical procedure, are records required to be kept of all animals' state, including observations and the administration of any drugs, fluids or other treatments? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |

| | | | |
|--|--------------------------------------|-------------------------------------|---|
| 20. Has the licensed scientific establishment appointed to the AEC a person responsible for the routine care of all animals within the licensee's establishment? May include a non-voting AEC member. | | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 21. Have any events of non compliance with the Scientific Use Code been identified or detected at the licensee's scientific establishment? | | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| If yes, note the number of non-compliance events. These are to be identified in the AEC annual report. | | Number: <input type="text"/> | |
| 22. Have any unexpected adverse events been identified at the licensed scientific establishment? See definition of unexpected adverse events on page 6 | | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| If yes, note the number of projects with unexpected adverse events reported. All unexpected adverse events must be identified in the AEC annual report | | Number: <input type="text"/> | |
| 23. Only to be completed for licensees that have their own AEC. Has the AEC assessed applications for use of animals for any other WA licensed scientific establishment other than the above? If yes, list the name of the Scientific Establishment and the number of applications and the number approved. | | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| Scientific Establishment | Number of projects considered | Number of projects approved | |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| 24. The annual report of the AEC to the licensed scientific establishment for this reporting period. A copy of the AEC annual report for 2013 should be attached, or mailed separately at the same time as the Animal Use Report- see <i>Australian Code of Practice for the Care and Use of Animals for Scientific Purposes</i> Clause 2.2.40 (Note this is a condition of your licence). Use the Animal Ethics Committee Annual Report Template on page 5 | | AEC Annual Report attached | No <input type="checkbox"/> Yes <input type="checkbox"/> |
| | | AEC Annual Report mailed separately | No <input type="checkbox"/> Yes <input type="checkbox"/> |
| 25. Declarations | | | |
| Animal Ethics Committee Declaration | | | |
| I declare that the AEC complied with the <i>Australian code of practice for the care and use of animals for scientific purposes</i> [condition 2 of the Licence] and that the above information is correct to the best of my knowledge. | | | |
| AEC Chair: | | | |
| Signature: | Name: | Date: | |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| Licensee Declaration | | | |
| I declare that the above information is correct to the best of my knowledge. | | | |
| I declare that the licensed scientific establishment complied with the <i>Australian code of practice for the care and use of animals for scientific purposes</i> (section 11, <i>Animal Welfare Act 2002</i>) and that the above information is correct to the best of my knowledge. | | | |
| Licensee: | | | |
| Signature: | Name: | Date: | |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | |

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A licence may be suspended or revoked for providing false or misleading information.*

Animal Ethics Committee Annual Report Template

[Insert establishment name] Animal Ethics Committee

Annual Report [YEAR] for Western Australian Scientific Use ONLY

Submitted to Licensee and Heads of the Licensed Scientific Establishment [name(s) and position(s)]

The Scientific Use Code requires AECs to report at the end of each calendar year to the head of their licensed scientific establishment and to any other licensed scientific establishment that uses the AEC. The purpose of this report is to inform the licensee and heads of the licensed scientific establishment and DAFWA (as the regulator) of the activities of the AEC. The reports should be used by licensed scientific establishments as part of their self-assessment for compliance with the *Australian code of practice for the care and use of animals for scientific purposes 7th Edition* (Scientific Use Code) and to enable them to take measures to ensure ongoing compliance. This self-assessment is a central component of licensed scientific establishments' responsibilities under the Scientific Use Code. The preparation of the report also provides an opportunity for the AEC to reflect on its activities and assess its operations.

Where an AEC provides services for more than one institution, third party information may be confidential. In this case, the AEC may prepare separate reports for each licensee it services.

Note: The AEC Coversheet (see Section 1) is required for ALL institutions, even if AEC services are being provided by another institution's AEC.

The following headings define the mandatory components of the AEC report. The AEC may wish to include more information.

1. Introduction

Include a brief introduction on the scope of the AEC activities.

Include any formal agreements the scientific establishment has with other establishments that relate to the use or supply of animals for scientific purposes.

2. AEC Terms of reference

Include a copy of the terms of reference for the AEC. *Clause 2.2.1* of the Scientific Use Code, AECs must have terms of reference that are publicly available and include the provisions stated in: *Clause 2.2.1(i) - (xiv)*. May be included as an appendix. If the Terms of Reference were provided previously, a further copy is not required. However, if there have been any changes made to the version provided, an updated copy must be included with the report.

3. AEC Operating procedures

Include a copy of the operating procedures for the AEC. *Clause 2.2.10* of the Scientific Use Code, AECs must establish and document procedures that will enable compliance with the provisions of the Code and where relevant, policies of the institution. May be included as an appendix. If the Operating Procedures were provided previously, a further copy is not required. However, if there have been any changes made to the version provided, an updated copy must be included with the report.

4. AEC membership

Include for the reporting year;

- A list of members of the AEC and their category of membership.
- A summary of how relevant members meet the criteria set out in the Scientific Use Code (*Clause 2.2.2*).
- In relation to category C member(s) include
 - the name and contact details of the animal welfare organisation that nominated the person;
 - the date the person was nominated by the animal welfare organisation;
 - the name of the animal welfare organisation(s) they are an active member of.
- If it has not been possible to select a category C member on the basis of the above, explain why it has not been possible, and how the current person has a demonstrable commitment to, and established experience in, furthering the welfare of animals.

5. AEC meetings

Include a list of the AEC meeting dates for the reporting year and which members attended each meeting. If a member only attends part of a meeting, this should be noted.

List all proposals and decisions regarding proposals that were not supported unanimously by AEC members and the category of member that did not support the proposal.

6. Numbers and types of projects

This section to include

- List individual research projects
 - approved without conditions;
 - approved with conditions;
 - rejected;
 - reasons for the rejection of projects.
- Projects approved with high adverse impact on the welfare of animals must be identified (that is *Category 6: Major Surgery with Recovery*, *Category 7: Major Physiological Challenge*, *Category 8: Death as an End Point* – see *Death as an End Point Testing Report and Category 9: Production of genetically modified animals* see page 17).
- Include measures that have been implemented by the licensed scientific establishment to reduce the number of high impact projects approved and to reduce the number of animals used in high impact projects.

7. Management of pain

7.1 Where surgical procedures are performed:

The Scientific Use Code states:

Clause 3.3.25 *For any surgical procedure a pain management plan aimed at the prevention or alleviation of pain and which is appropriate for the procedures and the species must be developed, implemented and reviewed, as necessary.*

- Please describe how the AEC ensures that a project that involves any surgical procedures complies with the Scientific Use Code.
- If the Scientific Establishment has less than five different pain management plans for surgical procedures, please attach each plan.
- If the Scientific Establishment has more than five different pain management plans, please attach the most recent five plans.
- If the a pain management plan does not include specific details of the use of analgesics, local or general anaesthetics and/or sedatives (such as dose rates of drugs, timing and mode of administration) please explain how the AEC satisfies itself that the prevention and alleviation of pain is appropriate for the procedures and species.
- For each plan attached as required above, please include the dates the plan was developed, implemented and reviewed.
- Have any projects where surgical procedures are carried out been approved without a pain management plan? If so, please explain why the project was approved without requiring pain management.

7.2 Where physiological challenges and/or invasive procedures are performed:

The Scientific Use Code states:

Clause 3.3.4 *Pain and distress cannot be evaluated easily in animals and therefore investigators and teachers must assume that animals experience pain in a manner similar to humans unless there is evidence to the contrary. Decisions regarding the animals' welfare must be based on this assumption.*

Clause 3.3.5(v) *Investigators and teachers must anticipate and take all possible steps to avoid or minimise pain and distress including using anaesthetic, analgesic and tranquilising agents that are appropriate to the species and the scientific or educational aims.*

Clause 3.3.7 *The use of local or general anaesthetic, analgesic or tranquilising agents must be appropriate to the species, and should at least parallel their use in current medical or veterinary practice.*

- If any projects involve any physiological challenges and/or invasive procedures, please describe how the AEC satisfies itself that each project complies with the Scientific Use Code,

specifically how investigators anticipate and take all possible steps to avoid or minimise pain and distress.

- Please attach any documents relied on by the AEC to satisfy itself that the appropriate steps were taken to avoid or minimise pain and distress.
- Have any projects where physiological challenges and/or invasive procedures are carried out been approved without taking all possible steps to avoid or minimise pain and distress? If so, please explain why the project was approved and any conditions.

8. Physical facilities for the care and use of animals by the licensed scientific establishment

Comment on the adequacy of facilities for animal care and use at the licensed scientific establishment.

List the facilities inspected for the reporting year.

Describe how the AEC assesses and determines how an application for a project provides animals that are used for scientific purposes with environmental conditions that suit their behavioural and biological needs (*Clause 4.4.14*).

9. Activities that have supported the educational needs of AEC members, and of personnel involved in the care and use of animals

In accordance with *Clause 2.2.40(iii)* of the Scientific Use Code, include;

- Relevant training/workshops/seminars attended by members of the AEC.
- Activities to support the educational needs of animal researchers/teachers and animal carers.
- Any additional educational needs that have been identified and recommendations for how these needs may be met.

10. Administrative or other difficulties being experienced

In accordance with *Clause 2.2.40(iv)* of the Scientific Use Code - identify any difficulties and how (or if) they have been resolved and, if necessary, recommendations for action.

11. Compliance with the Code

Individually list and describe all cases of;

- Non-compliance with the Code.
- Unexpected adverse events².

For each case or event describe how these were managed.

Provide details of any on-going investigations.

12. Recommendations to the licensed scientific establishment

List any recommendations made from the AEC to the licensed scientific establishment regarding compliance and animal welfare, including the application of the 3Rs (replacement, reduction and refinement).

13. Response by the licensed scientific establishment

Briefly describe or list the licensed scientific establishment's response to the recommendations from the AEC.

Describe any processes implemented (and date of implementation) to address concerns raised by the AEC regarding non-compliance with the Scientific Use Code.

² *Adverse event*: any event that has a negative impact on the wellbeing of an animal.

Unexpected adverse event: an event that may have a negative impact on the wellbeing of animals and was not foreshadowed in the approved project or activity.

14. Declaration

The following signed declaration should appear at the end of the report.

I declare that the above information is correct to the best of my knowledge.

AEC Chair:

Signature:

Name:

Date:

Note: Where there are no matters to report under particular headings, the report must still include the headings and a notation made that there were no issues to report. This demonstrates that the AEC has considered these issues.

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Section 2: The Licensed Scientific Establishment's Annual Review of its Animal Use Activities

| REPORTING YEAR 1 January 2013 – 31 December 2013 | | |
|---|-----------------------------|------------------------------|
| 1. Licensed Scientific Establishment Name & Address | | Licence Number |
| 2. AEC Name | | |
| 3. Has the scientific establishment maintained a register of all AEC approved projects and is it able to identify current projects covered by this licence? <i>(Condition 1 of your licence to use animals for scientific purposes)</i> | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 4. Has the scientific establishment implemented processes to ensure that all scientific use of animals complies with the Animal Welfare Act, regulations and the Scientific Use Code? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 5. Has the scientific establishment implemented processes to ensure that investigators and teachers are aware of their responsibilities under the Animal Welfare Act and the Scientific Use Code? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 6. Has the scientific establishment implemented processes to ensure that the scientific establishment responds promptly and effectively to all recommendations from the AEC to ensure that all care and use of animals for scientific purposes within the institution remains in accordance with the Scientific Use Code? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 7. Has the scientific establishment implemented processes to address concerns raised by the AEC regarding non-compliance with the Scientific Use Code? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 8. Has the scientific establishment and the AEC prepared written procedures, which are agreed to by the scientific establishment, [see Clause 2.1.1 (v)] to deal with non-compliance with the Scientific Use Code and any grievances related to the AEC process [see Clause 2.2.10 (v)]? If yes, please attach a copy of the procedures. | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 9. Has the scientific establishment ensured that the AEC approves guidelines for animal care and use within the institution and that these are implemented? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 10. Has the scientific establishment conducted an annual review of the operation of the AEC, including an assessment of the AEC's Annual Report and a meeting with the AEC chairperson? For those licensed scientific establishments that use another establishment's AEC, this requirement needs only to be completed in relation the services provided by the AEC. | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 11. Has the scientific establishment ensured that appropriate veterinary services are available and that there is access to diagnostic services? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 12. Has the scientific establishment ensured that there are adequate numbers of appropriately trained and skilled personnel to care for the animals? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |
| 13. Has the scientific establishment, or any of the scientific establishment's staff or students, committed an offence under the <i>Animal Welfare Act</i> since the licence was issued or last renewed? | No <input type="checkbox"/> | Yes <input type="checkbox"/> |

| | |
|--|---|
| 14. Have there been any changes to the details supplied to DAFWA on the application for this licence? For example name, address, contact details. (<i>Condition 8 [or 5 for schools] of your licence to use animals for scientific purposes</i>) If yes, please list the change/s below | No <input type="checkbox"/> Yes <input type="checkbox"/> |
| | |
| 15. Date of last External Triennial Review (ETR): | |
| 16. Expected completion date of next ETR or ER (External Review): | |
| 17. Addressing the ETR Recommendations Provide a brief summary below of progress towards meeting the last ETR recommendations (note if recommendations are not supported in whole or in part by the licensee, this is to be noted) If there have been no changes made to the progress in meeting the ETR Recommendations since last year's Animal Use Report note this below. | |
| 18. Only to be completed for those scientific establishments that have their own AEC. AECs must have terms of reference that are publicly available and include provisions to meet Clause 2.2.1 (i)-(xiv) of the Scientific Use Code Do the AEC's terms of reference satisfy Clause 2.2.1? | No <input type="checkbox"/> Yes <input type="checkbox"/> |
| 19. Only to be completed for those scientific establishments that have their own AEC. Responsibilities of the Chairperson of the AEC The Chairperson of the AEC must meet the requirements listed in Clause 2.2.9 (i)-(vi) of the Scientific Use Code Does the Chairperson: | |
| a) ensure that the AEC operates in accordance with the principles and requirements of the Code; the relevant policies of the licensed scientific establishment, and the agreed AEC procedures? | No <input type="checkbox"/> Yes <input type="checkbox"/> |
| b) ensure that proposals are considered by the AEC and the outcomes conveyed to investigators and teachers in a timely manner? | No <input type="checkbox"/> Yes <input type="checkbox"/> |
| c) oversee all requirements of the AEC to report and review its operation? | No <input type="checkbox"/> Yes <input type="checkbox"/> |
| d) ensure AEC records are maintained and made available for review by the licensed scientific establishment and authorised external reviewers? | No <input type="checkbox"/> Yes <input type="checkbox"/> |

20. Only to be completed for those scientific establishments that have their own AEC.

Operating procedures of the AEC

Clause 2.2.10- 2.2.14 of the Scientific Use Code

| | |
|--|------------------------------|
| a) Is there a presence of at least one member from each category to establish a quorum? | No <input type="checkbox"/> |
| | Yes <input type="checkbox"/> |
| b) Has the AEC established an executive including a member from Category C or D? | No <input type="checkbox"/> |
| | Yes <input type="checkbox"/> |
| c) Are the AEC minutes maintained and do they record decisions and other aspects of the AEC's operation? | No <input type="checkbox"/> |
| | Yes <input type="checkbox"/> |
| d) How many times per calendar year does the AEC meet? | |

21. Licensee Declaration

I declare that the above information is correct to the best of my knowledge.

Licensee:

Signature:

Name:

Date:

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Section 3: 'Death as an End Point' Research

A licensed scientific establishment must keep records of all 'death as an endpoint' or lethality research that are approved by its AEC, during the period 1 January to 31 December of the reporting year. A separate 'death as an end point' form must be completed for each project where 'death as an end point' is approved.

The Scientific Use Code defines "death as an end point" as "*when the death of an animal is the deliberate measure used for evaluating biological or chemical processes, response or effects,*" and includes lethality testing (e.g. LD₅₀ testing).

| REPORTING YEAR 1 January 2013 – 31 December 2013 | | | |
|---|------------------------------|--|---|
| 1. Licensee Name and Address: | | | Licence Number: |
| 2. Has the licensed scientific establishment's AEC approved 'death as end point' tests during this period? (Circle response) | YES Go to number 3 | NO Go to number 11 | |
| 3. Date on which the approval was issued: (A separate form should be used for each test approved) | | | |
| 4. Date on which the approval expires: | | | |
| 5. Details (A separate line should be used for each species approved – add additional lines if more than 3 species were used) | | | |
| Species | Number | The number that died as a result of the administration of the test: | The number euthanized as an early end point: |
| | | | |
| | | | |
| | | | |
| 6. The type of procedure: | | | |
| 7. The justification for the approval: | | | |
| 8. Any alternatives or modifications being developed to replace the need to carry out the test: | | | |

| | | |
|--|--|-------|
| 9. Other Comments: | | |
| 10. Chief Investigator Name Signature | | Date: |
| 11. AEC Chair Name Signature | | Date: |

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Section 4: Animal Use and Supply Statistics

Section 4A- Use

For an example of the completed form, refer to Appendix 1.

What is the Animal Use and Supply Statistics Form?

It is a condition of a scientific use or supply licence that the licensee must provide details in relation to the licence as requested by the CEO of the Department (condition 4 of your Scientific Use Licence). DAFWA uses the data provided in the Animal Use and Supply Statistics Form to collect the statistical information on animal use and/or supply in Western Australia.

This form replaces the animal statistics Excel spreadsheet used in previous years.

Note. Government, Catholic and Independent Schools, use Form D, provided by the Schools AEC, for animal use statistics. All other educational institutions are to use the Animal Use and Supply Statistics Form.

Collecting statistics

Animals must be counted in each project where they are used and must be included for each calendar year they are in a long-term project.

The responsibility for submitting statistics rests with the licensee. Only animal use in Western Australia is to be included in this form.

If there were no animals used or supplied the tables must be returned with '0's in the first line.

I only do wildlife observations (no trapping). Do I need to submit the Animal Use Statistics Form?

Researchers who only "use" animals in wildlife observations are still required to submit a statistics form - use procedure "1" (see page 14) for this work. If the exact 'number used' is unknown for an observational study this does not need to be included in your statistics table.

Categorisation of procedures

Much of the animal research and teaching which is carried out will be relatively easy to categorise. The procedure categories are intended to give some indication of the impact of procedures on the animals used. With this in mind, use the brief guide and the examples given to help categorise the procedure. The examples are only a guide and do not exclude otherwise unlisted procedures which are judged to have a similar level of impact. If you have any doubt which section to use or require clarification, email your question to: scientific.licensing@agric.wa.gov.au. If your query is more urgent, you may contact Bridget Kennedy (scientific inspector) on (08) 9366 2357.

Multiple species categories and/or procedures in a single project

Some projects will have more than one species category (see page 16 for species categories) in the group of animals and some projects will have animals which are subject to different categories of procedures. In these cases, the projects should be split into appropriate 'sub-projects' which each only have one species category and one category of procedure and each of these 'sub-projects' occupy a single line of the spreadsheet. Each line should have the same project number (provided by the AEC when approving the project). Only count animals once per year per project.

(See example at Appendix 1).

Stages of development

We are seeking data on the use of prepartum or embryonic animals which have reached over half gestation or incubation (e.g. embryonated eggs) but have not been allowed to progress to independent viability (for example they are killed before they are born/hatched). Animals which have been used as embryos' or foetuses, but allowed to progress to hatching/birth, should be counted as animals used in their own right.

Only include embryonic or foetal animals once the development has progressed beyond half the gestation or incubation period for the animal. Any stages earlier than this should not be counted (e.g. do not count chicken embryos used for cell culture at 9 days of incubation. Chicken incubation is 21 days)

Include an additional line if recording both pre-term and other independent animals (for example hatched) in the same project.

Fish and Cephalopods

The reporting of fish and cephalopods is not mandatory under the current legislation. If your institution already collects this information please include them in your table.

Re-use of animals

Each year, an animal should be counted once for each project in which it is used. For example, where an animal is used repeatedly in one project (e.g. teaching animal handling once a week) this animal is counted only once for their inclusion in this project. If the project is renewed the following year, then that animal is counted once again in that subsequent year.

However, if an animal is used in two projects in the same year (e.g. weekly handling project and a short behavioural study), it must be counted twice - once for each project.

It is important that animals are counted in this way as it more closely reflects the overall use of animals for scientific purposes. When an animal has been re-used it must be noted in the comments column.

Production of genetically modified animals (as defined in the Scientific Use Code)

The production of genetically modified animals may involve a wide range of procedures, making it difficult to assign these to a particular category of procedure. The production of genetically modified animals is "animal use". A category has been included for these animals to permit easier collection of data. It effectively includes ALL animals used in genetically modified animal production other than the final progeny. The supply of the final progeny under a supply licence must be included in the supply statistics.

Submitting the General Animal Use Statistics:

This section of the form should be created in a Word table or Excel spreadsheet as in the following example:

| ANIMAL USE STATISTICS | | | | | | | |
|--|------------|--------------|---------------------|----------------|-------------------------|-------------------|-----------|
| REPORTING YEAR 1 January 2013 – 31 December 2013 | | | | | <<Name of Institution>> | | |
| 1. Project No. | 2. Purpose | 3. Procedure | 4. Species category | 5. Number used | 6. Comments | 7. Pre-term (Y/N) | 8. Source |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

Column 1: PROJECT NUMBER

Enter the project number as given by the AEC.

Column 2: PURPOSE

Enter the most appropriate numerical code (**1-9**) from those listed below to describe the primary purpose of the project (one purpose only for each project should be entered).

| Purpose Number: | Description: |
|-----------------|--|
| 1 | <p>Animals Held</p> <p>Animals maintained specifically for use in other projects and not yet used in the reporting year. That is, these animals are acquired and held solely for the purpose of use in other projects. These animals may not have a project number and this column may be left blank.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> • <i>Non-breeding colony of diabetic rats held for research in other projects.</i> • <i>Animals allocated to a project with an AEC number but not yet used.</i> • <i>Animals that had not been allocated by 31 Dec.</i> <p>This section does not include animals which are not held specifically for scientific use, (e.g. Stock held on properties for normal farming purposes, from which animals may be drawn. These animals should only be counted in the project when they are used for scientific purposes).</p> |

| Purpose Number: | Description: |
|-----------------|---|
| 2A | <p>Stock breeding (Genetically modified)</p> <p>Breeding projects to produce <u>genetically modified animals only</u>. Include the animals used to produce progeny and any breeders or progeny culled in the process, but NOT the final progeny themselves (as these will be counted under the project in which they are used).</p> |
| 2B | <p>Stock Breeding (not genetically modified)</p> <p>Breeding projects to produce animals that have not undergone any genetic modification at any stage, even though the line may have been previously genetically modified at a different stage. Include the animals used to produce progeny and any breeders or progeny culled in the process, but NOT the final progeny themselves (as these will be counted under the project in which they are used). Please see the breeding project diagram on page 19 as an example</p> |
| 3 | <p>Education</p> <p>Non-invasive projects carried out to achieve educational objectives. The purpose of the project is not to acquire new knowledge, rather to pass on established knowledge to others. This would include interactive or demonstration classes in methods of animal husbandry, management, examination and treatment.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> • <i>Animals used by veterinary schools to teach examination procedures such as pregnancy diagnosis.</i> • <i>Sheep used in shearing demonstration classes for students; dogs used to teach animal care to TAFE students.</i> |
| 4 | <p>Research: human or animal biology</p> <p>Research projects which aim to increase the basic understanding of the structure, function and behaviour of animals, including humans, and processes involved in physiology, biochemistry and pathology.</p> |
| 5 | <p>Research: human or animal health and welfare</p> <p>Research projects which aim to produce improvements in the health and welfare of animals, including humans.</p> |
| 6 | <p>Research: animal management or production</p> <p>Research projects which aim to produce improvements in domestic or captive animal management or production.</p> |
| 7 | <p>Research: environmental study</p> <p>Research projects which aim to increase the understanding of animals' environment or their role in it. These will include studies to determine population levels and diversity and may involve techniques such as observation, radio tracking or capture and release.</p> <p><i>Example</i></p> <ul style="list-style-type: none"> • <i>Pre-logging or pre-development fauna surveys.</i> |
| 8 | <p>Product testing</p> <p>Pre-registration efficacy or toxicity testing of drugs and vaccines.</p> |

Column 3: PROCEDURE

Enter the highest appropriate numerical code (1-9) from those listed below to describe the type of procedures carried out on the animals in the project. The descriptions given are a guide only. Note: where necessary include additional lines for each procedure category where different animals within the same project are subjected to different procedure categories. See Appendix 1

Where 'Death as an endpoint' or 'Production of genetically modified animals ' applies, animals must be placed in categories 8 or 9 rather than any others which might also appear appropriate.

| Procedure Number: | Description: |
|-------------------|---|
| 1 | <p>Observation Involving No or Minor Interference</p> <p>Animals are not interacted with or, where there is interaction, it would not be expected to compromise the animal's welfare any more than normal handling, feeding, etc. There is no pain or distress involved.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> • <i>Observational study only.</i> • <i>Breeding or reproductive study with no detriment to the animal.</i> • <i>Feeding trial, such as Digestible Energy determination of feed in a balanced diet.</i> • <i>Behavioural study with minor environmental manipulation.</i> • <i>Teaching of normal, non-invasive husbandry such as handling and grooming.</i> |
| 2 | <p>Animal Unconscious Without Recovery</p> <p>Animal is rendered unconscious under controlled circumstances with little or no pain or distress. Any pain is minor and brief and does not require analgesia. Procedures are carried out on the unconscious animal which is then euthanized without regaining consciousness.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> • <i>Teaching surgical techniques on live, anaesthetised patients which are not allowed to recover following the procedure.</i> • <i>Dissection of euthanized animals, where animal is alive at time of receipt.</i> |
| 3 | <p>Minor Conscious Intervention</p> <p>Animal is subjected to minor procedures which would normally not require anaesthesia or analgesia. Any pain is minor and analgesia usually unnecessary, although some distress may occur as a result of trapping or handling.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> • <i>Injections, blood sampling in conscious animal.</i> • <i>Minor dietary or environmental deprivation or manipulation, such as feeding nutrient-deficient diets for short periods.</i> • <i>Trapping and release as used in species impact studies.</i> • <i>Trapping and humane euthanasia for collection of specimens.</i> • <i>Trapping and humane euthanasia for feral animal control research.</i> • <i>Stomach tubing, shearing.</i> |
| 4 | <p>Minor Surgery With Recovery</p> <p>Animal is rendered unconscious with as little pain or distress as possible. A minor procedure is carried out and the animal allowed to recover.</p> <p>Field capture using chemical restraint methods are also included here.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> • <i>Biopsies.</i> • <i>Cannulations.</i> • <i>Sedation/anaesthesia for relocation, examination or injections/blood sampling.</i> |
| 5 | <p>Minor Physiological Challenge</p> <p>Animal remains conscious for some or all of the procedure. There is interference with the animal's physiological or psychological processes. The challenge may cause only a small degree of pain/distress or any pain/distress is quickly and effectively alleviated.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> • <i>Minor infection.</i> • <i>Early oncogenesis.</i> • <i>Arthritis studies with pain alleviation.</i> • <i>Induction of metabolic disease.</i> • <i>Prolonged deficient diets.</i> • <i>Polyclonal antibody production.</i> • <i>Antiserum production.</i> |

| Procedure Number: | Description: |
|-------------------|---|
| <p>6</p> | <p>Major Surgery With Recovery</p> <p>Animal is rendered unconscious with as little pain or distress as possible. A major procedure, such as abdominal or orthopaedic surgery, is carried out and the animal allowed to recover. Post operative pain is usually considerable and at a level requiring analgesia.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> • <i>Orthopaedic surgery.</i> • <i>Abdominal or thoracic surgery.</i> • <i>Transplant surgery.</i> |
| <p>7</p> | <p>Major Physiological Challenge</p> <p>Animal remains conscious for some or all of the procedure. There is interference with the animal's physiological or psychological processes. The challenge causes a moderate or large degree of pain/distress which is not quickly or effectively alleviated.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> • <i>Major infection.</i> • <i>Major phenotypic modification.</i> • <i>Oncogenesis.</i> • <i>Uncontrolled metabolic disease.</i> • <i>Isolation or environmental deprivation for extended periods.</i> |
| <p>8</p> | <p>Death As An Endpoint</p> <p>This category only applies in those cases where the death of the animal is a planned part of the procedure and the animal dies but is not euthanized. Where predictive signs of death have been determined <i>and</i> euthanasia is carried out before significant suffering occurs, they may be placed in category 7.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> • <i>Lethality testing (including LD₅₀, LC₅₀).</i> <p>It does not include: death by natural causes; animals which are euthanized as part of the project; animals which are euthanized if something goes wrong; animals euthanized for dissection or for use as museum specimens; or accidental deaths.</p> |
| <p>9</p> | <p>Production of genetically modified animals</p> <p>This category is intended to allow for the variety of procedures which occur during the <u>production</u> of genetically modified (GM) animals. As animals in this category may be subjected to both minor <i>and</i> major physiological challenges <i>and</i> surgical procedures, this category reflects the varied nature of the procedures carried out. It effectively includes ALL animals used in GM production other than the final progeny which are used in a different category of procedure.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> • <i>Initial breeding animals for GM production.</i> • <i>Animals culled as part of the GM production process.</i> |

Column 4: SPECIES CATEGORIES

Enter the numerical code (**01 - 113**) from those listed below to describe the species category used in the project.

Note: In filling out the table include additional lines for each species category where more than one species category is used in a project.

| | Species Category | |
|---------------------------|------------------|--|
| Laboratory mammals | 01 | Mouse |
| | 02 | Rat |
| | 03 | Guinea Pig |
| | 04 | Rabbit |
| | 06 | Ferret |
| | 07 | Other laboratory mammal (not primates) |
| Domestic* mammals | 10 | Sheep |
| | 11 | Cow |
| | 12 | Pig |
| | 13 | Horse |
| | 14 | Goat |
| | 15 | Deer |
| | 16 | Cat |
| | 17 | Dog |
| | 18 | Other domestic mammal |
| Birds | 20 | Poultry* |
| | 21 | Exotic Captive |
| | 22 | Exotic* Wild |
| | 23 | Native* Captive |
| | 24 | Native Non-endemic* |
| | 25 | Native endemic* |
| Aquatic animals | 30 | Fish (reporting not mandatory) |
| | 31 | Cephalopod (reporting not mandatory) |
| | 32 | Whale and dolphin |
| | 33 | Dugong |
| | 34 | Seal |
| Reptiles | 40 | Lizard |
| | 41 | Snake |
| | 42 | Turtle/Tortoise - Freshwater |
| | 43 | Turtle/Tortoise - Marine |
| | 44 | Crocodile |
| | 45 | Other reptile |

| | Species Category | | |
|-----------------------------------|------------------|----------------------|-------------------------------|
| Native mammals | 50 | Macropod | |
| | 51 | Possums and gliders | |
| | 52 | Native rats and mice | |
| | 53 | Dasyurid | |
| | 54 | Wombat | |
| | 55 | Dingo | |
| | 56 | Echidna | |
| | 57 | Bandicoot | |
| | 58 | Bilbie | |
| | 59 | Bat | |
| | 60 | Other native mammal | |
| Non - endemic pest mammals | 70 | Goat | |
| | 71 | Camel | |
| | 72 | Cat | |
| | 73 | Rat | |
| | 74 | Mouse | |
| | 75 | Pig | |
| | 76 | Rabbit | |
| | 77 | Wild Dog (not dingo) | |
| | 78 | Cow | |
| | 79 | Horse | |
| | 80 | Fox | |
| | | 81 | Other non-endemic pest mammal |
| | | 90 | Native amphibian |
| Amphibians | 91 | Exotic amphibian | |
| Zoo animals | 100 | Zoo animal | |
| Primates | 110 | Marmoset | |
| | 111 | Macaque | |
| | 112 | Baboon | |
| | 113 | Other primate | |
| | | | |

***Definitions of terms used:**

Domestic - any animal that has been tamed over a number of generations and has adapted to a human environment.

Native - an animal that occurs naturally in Australia (e.g. Kangaroo).

Native Non-endemic – an animal that occurs naturally in Australia but not naturally occurring in Western Australia (e.g. Koalas).

Native endemic- an animal that occurs naturally in Western Australia (e.g. numbat or emu).

Poultry - domestic fowls, such as chickens, quails, turkeys, ducks or geese that are commonly raised for meat or eggs.

Exotic - an animal that has been introduced into Australia (e.g. foxes).

Zoo animals - an animal that is being kept in a zoo. Only include animals that are used for educational purposes. All other purposes require the appropriate species category.

Column 5: NUMBER USED

Enter the number of animals that were actually used (i.e. not just the number supplied or AEC approved) in the project in the year for which statistics are being collected.

Column 6: COMMENTS

Use this column to communicate any other information, e.g. use of pre term animals (see page 11) and re-use of animals (see page 11).

Column 7: PRE-TERM

If information is available, indicate whether the animals used in the project are pre-term using 'Y' for yes or leave blank for no (see page 11).

Column 8 SOURCE

Enter the name of the source where the animals were obtained for each project. If the animals were obtained internally, use the term 'internal'. If from the wild (as in wildlife studies) then use "wild".

Note: The Animal Welfare Act imposes penalties for providing false or misleading information.

A licence may be suspended or revoked for providing false or misleading information.

Appendix 1: An example of how the final spreadsheet should appear:

An example of statistics submitted by an institution for the calendar year 2013.

| ANIMAL USE STATISTICS | | | | | | | |
|--|------------|--------------|---------------------|----------------|-------------------------------|-------------------|------------------------|
| REPORTING YEAR 1 January 2013 – 31 December 2013 | | | | | Kennedy University (KU) | | |
| 1. Project no. | 2. Purpose | 3. Procedure | 4. Species category | 5. Number used | 6. Comments | 7. Pre-term (Y/N) | 8 Source |
| 09/215 | 1 | 1 | 01 | 30 | | | Internal |
| 09/217 | 8 | 8 | 01 | 24 | | | DAFWA |
| 08/001 | 5 | 4 | 02 | 12 | | | Internal |
| 07/002** | 4 | 3 | 01 | 6 | | | DAFWA |
| 07/002** | 4 | 6 | 01 | 10 | | | Internal |
| 07/003*** | 1 | 1 | 03 | 4 | | Y | Internal |
| 07/003*** | 1 | 1 | 04 | 8 | | | ARC |
| 08/183**** | 5 | 2 | 01 | 23 | 20 reused from project 09/215 | | ARC |
| 08/183**** | 5 | 2 | 03 | 20 | | | Internal |
| 08/183**** | 5 | 4 | 01 | 15 | | | Internal |
| 08/183**** | 5 | 4 | 03 | 12 | | | Internal |
| 09/004 | 7 | 1 | 16 | 30 | | | City of Belmont pound |
| 09/001 | 1 | 1 | 01 | 20 | | | City of Armadale pound |
| 07/002 | 5 | 2 | 02 | 34 | | | DAFWA |
| 908218 | 7 | 3 | 55 | 12 | | | Internal |
| | | | | | | | |

** 07/002: Example of one project with differing procedure categories and the same species of animals.

*** 07/003: Example of one project with the same procedure categories and differing species of animals.

****08/183: Example of one project with differing procedure categories and differing species of animals.

Appendix 2: Summary of codes used

| PURPOSE | | PROCEDURE | |
|---------|--|-----------|--|
| 1 | Animals held | 1 | Observation involving no or minor interference |
| 2A | Stock breeding (Genetically modified) | 2 | Animal unconscious without recovery |
| 2B | Stock breeding (not Genetically modified) | 3 | Minor conscious intervention |
| 3 | Education | 4 | Minor surgery with recovery |
| 4 | Research: Human or animal biology | 5 | Minor physiological challenge |
| 5 | Research: Human or animal health & welfare | 6 | Major surgery with recovery |
| 6 | Research: Animal management or production | 7 | Major physiological challenge |
| 7 | Research: Environmental study | 8 | Death as an end point |
| 9 | Product testing | 9 | Production of genetically modified animals |
| | | | |

| | Species Category | |
|---------------------------|--------------------------|--|
| Laboratory mammals | 01 | Mouse |
| | 02 | Rat |
| | 03 | Guinea Pig |
| | 04 | Rabbit |
| | 06 | Ferret |
| | 07 | Other laboratory mammal (not primates) |
| | Domestic* mammals | 10 |
| 11 | | Cow |
| 12 | | Pig |
| 13 | | Horse |
| 14 | | Goat |
| 15 | | Deer |
| 16 | | Cat |
| 17 | | Dog |
| 18 | | Other domestic mammal |
| Birds | 20 | Poultry* |
| | 21 | Exotic Captive |
| | 22 | Exotic* Wild |
| | 23 | Native* Captive |
| | 24 | Native Non-endemic* |
| | 25 | Native endemic* |
| Aquatic animals | 30 | Fish (reporting not mandatory) |
| | 31 | Cephalopod (reporting not mandatory) |
| | 32 | Whale and dolphin |
| | 33 | Dugong |
| | 34 | Seal |
| Reptiles | 40 | Lizard |
| | 41 | Snake |
| | 42 | Turtle/Tortoise - Freshwater |
| | 43 | Turtle/Tortoise - Marine |
| | 44 | Crocodile |
| | 45 | Other reptile |

| | Species Category | |
|-----------------------------------|------------------|-------------------------------|
| Native mammals | 50 | Macropod |
| | 51 | Possums and gliders |
| | 52 | Native rats and mice |
| | 53 | Dasyurid |
| | 54 | Wombat |
| | 55 | Dingo |
| | 56 | Echidna |
| | 57 | Bandicoot |
| | 58 | Bilbie |
| | 59 | Bat |
| Non - endemic pest mammals | 60 | Other native mammal |
| | 70 | Goat |
| | 71 | Camel |
| | 72 | Cat |
| | 73 | Rat |
| | 74 | Mouse |
| | 75 | Pig |
| | 76 | Rabbit |
| | 77 | Wild Dog (not dingo) |
| | 78 | Cow |
| | 79 | Horse |
| 80 | Fox | |
| Amphibians | 81 | Other non-endemic pest mammal |
| | 90 | Native amphibian |
| Zoo animals | 91 | Exotic amphibian |
| | 100 | Zoo animal |
| Primates | 110 | Marmoset |
| | 111 | Macaque |
| | 112 | Baboon |
| | 113 | Other primate |

Appendix 3: Privacy Notice

The information provided by the licensed scientific establishment is collected for the purpose of reporting on animal use and supply and AEC activity under the *Animal Welfare Act 2002*. It will be used by the Department of Agriculture and Food WA for administration of the Act and publication of general information (licensed scientific establishment and individuals will not be identified). The information will be stored securely within the Scientific Licensing Unit of the Department of Agriculture and Food WA. Access to this information is limited to scientific inspectors and those approved and under the direction of a scientific inspector or as required by law.

Section 4: Animal Use and Statistics

Section 4B- Supply

Submitting the General Animal Supply Statistics:

Section 4B is required by scientific establishments that hold a Supply licence. All licensees that hold a Supply licence must complete the table below.

If there were no animals supplied to other institutions during the reporting year, put a '0' in the first row of the table and send back with your form.

This section of the form should be created in a Word table or an Excel spreadsheet as per the following example:

| ANIMAL SUPPLY STATISTICS | | | | |
|--|--------------------------|-------------------------|-----------------|---|
| REPORTING YEAR 1 January 2013 – 31 December 2013 | | | | <<Name of Supplier>> |
| 1. Species category | 2. Number supplied alive | 3. Number supplied dead | 4. Modification | 5. Name of the scientific establishment supplied- please indicate if Interstate, WA or Overseas |
| | | | | |
| | | | | |

Column 1: SPECIES CATEGORY

Enter the numerical code (**01 - 113**) from those listed on page 10 to describe the species category supplied.

Column 2: NUMBER SUPPLIED- ALIVE

Enter the number of animals supplied alive to outside institutions or people.

Column 3: NUMBER SUPPLIED- DEAD

Enter the number of animals that have been bred specifically for the purpose of being supplied dead to outside institutions or people. Note: animals that are killed for other reasons (such as surplus to breeding requirements) do not need to be counted.

Column 4: MODIFICATIONS

Enter the most appropriate numerical code (**1-3**) from those listed below to describe the modifications, if any, which have been made to the animals.

| Modification Number: | Description: |
|----------------------|--|
| 1 | No genetic or other modifications |
| 2 | Genetically modified The use of any technique for the modification of genes or other genetic material, but not including the use of natural processes such as sexual reproduction. |
| 3 | Other modifications Where an animal has been modified in any way (except by genetic modification) to be supplied for scientific purposes, e.g. the supply of castrated rats. |

Column 5: NAME OF THE INSTITUTION SUPPLIED

Enter the name of the scientific establishment or person to which the animals were supplied

Note: *If your establishment has supplied to schools, the individual school does not need to be identified if it is a Government School (use term "Gov. School") or a school operating under the Catholic Education Office licence (use the term "CEO School"). All other schools are to be identified.*

Note: not all 'suppliers' need a Supply Licence. For example, those 'suppliers' that are not in the business of supplying animals for use for scientific purposes do not need a supply licence.

Section 5: Check List of Documents to Be Provided

**This checklist must be completed and returned with the Licensee's Animal Use Report.

- The AEC has completed and signed the AEC Annual Report Coversheet. (Section 1)
- The AEC Annual Report using the AEC Annual Report template is included with the Animal Use Report. (Section 1)

Or

- The AEC Annual Report using the AEC Annual Report template has been forwarded separately. If forwarded separately the Annual Report must still be received by 30 April 2014 (Section 1)
- The Licensee's annual review of its animal use activities is completed and signed. (Section 2)
- List any changes to the details supplied to DAFWA on the application for this licence (Section 2)
- 'Death as an End Point' Testing form completed and signed. (Section3)
- Animal use statistics form completed for the calendar year. (Section 4A)
- Animal supply statistics form completed for the calendar year. (Section 4B)